New Application Process for FY 2017 SAMHSA Grant Applicants

Presented by:

Substance Abuse and Mental Health Services Administration (SAMHSA) and the National Institutes of Health (NIH)

Speakers

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Agenda

- **Section 1 of Webinar: Video Recording**
    - Webinar Objectives
    - SAMHSA's Transition to NIH's eRA System
    - FOA Part Two Updates
    - Application and Registration Processes
    - Requirements and Validations
    - Post-Submission Process
    - Summary and Helpful Resources

- **Section 2 of Webinar:**
    - Essential components of completing the SF424 and the SF424A
    - Question and Answer (Q&A) Session

Audience

| Audience | Objectives | SAMHSA's Transition | NIH's eRA | FOA Part II Updates | Application Process |

New FY2017 Discretionary Grant Program Applicants

SAMHSA Grant Programs can be found at the SAMHSA site at
http://www.samhsa.gov/grants/grant-announcements-2017

Webinar Objectives

Audience → **Objectives** → SAMHSA's Transition → NIH's eRA → FOA Part II Updates → Application Process

- Understand SAMHSA's transition to NIH's eRA Commons

- Understand all required registration processes (DUNS, SAM, Grants.gov and eRA Commons registrations)

- Understand all requirements and validations to successfully submit applications via Grants.gov and eRA Commons

SAMHSA's Transition to NIH's eRA system

| Audience | Objectives | SAMHSA's Transition | NIH's eRA | FOA Part II Updates | Application Process |

- SAMHSA's transition to the NIH's eRA systems will allow the agency to centralize and automate its grants management business practices

- NIH's eRA systems will allow SAMHSA applicants and recipients to view and monitor progress on their applications and awards

- NIH's eRA systems will support SAMHSA's full grants lifecycle

- NIH's eRA systems will be used by SAMHSA's applicants, recipients and federal staff

eRA: Electronic Research Administration System

- **What is eRA?**
  - eRA provides IT infrastructure to manage grants awarded by NIH, SAMHSA and other grantor agencies
  - eRA systems, including eRA Commons, ASSIST and IMPAC II modules, that support the full grants life cycle and are used by applicants and grantees worldwide as well as federal staff at the NIH, AHRQ, the CDC, FDA, SAMHSA, and VA.

- **Benefits of using eRA Commons**
  - Applicants can manage their grant portfolios in one place
  - Allows grantees to find application status information (i.e., warnings or errors on application)
  - Provides NOA, Post Award Reporting and Grant Closeout Information

FOA Part II Updates

- Changes have been made to the application registration, submission and data formatting requirements, which can be found in the **Funding Opportunity Announcement (FOA) Part II**.
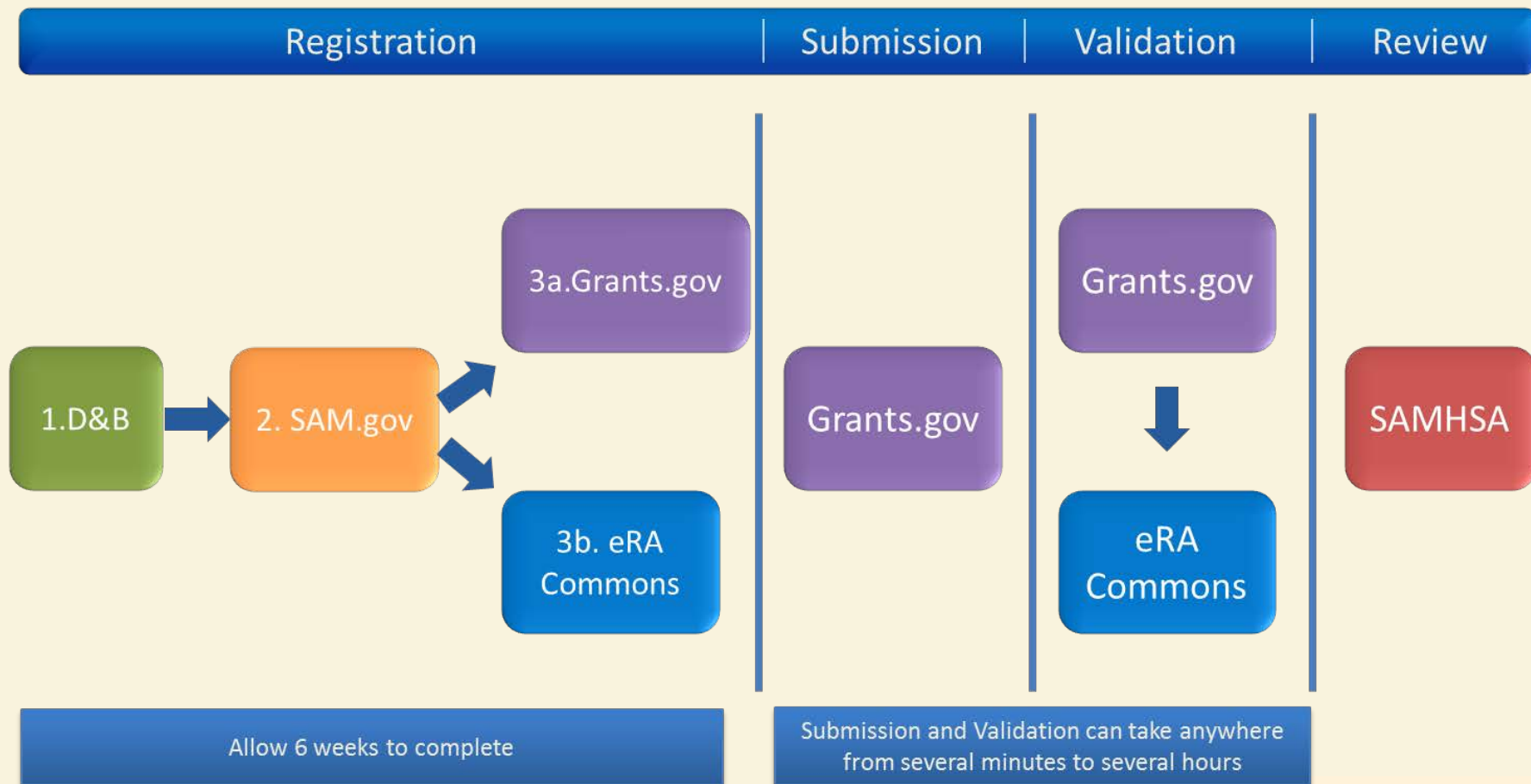
Application Process

Audience → Objectives → SAMHSA's Transition → NIH's eRA → FOA Part II Updates → **Application Process**

1. Complete all required registration processes with Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS Number), System for Award Management (SAM), Grants.gov, and eRA Commons

2. Download and complete all required forms from Grants.gov and the SAMHSA Website

3. Submit application through Grants.gov. Successfully submitted applications through Grants.gov will then proceed to the **NIH eRA Commons where they will go through data validation checks**.

4. Once your submitted application is successfully validated by Grants.gov and the NIH eRA Commons, it will be forwarded to **SAMHSA** as the receiving institution for further review.

Registration, Submission and Validation Timeline

Registration Processes

Register ➤ Download Application ➤ Requirements/ Validations ➤ Post-Submission

- **The following registrations must be completed and active before the time of submission:**

    1. Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS Number) Registration

    2. System for Award Management (SAM) Registration

    3a. Grants.gov Registration (Username and Password)

    3b. eRA Commons (Organization and Individual) Registration

- **Allow a minimum of 6 weeks to complete all registrations**

1. DUNS Registration Process

Register	Download Application	Requirements/ Validations	Post-Submission

- **Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS Number)**
  - All applicant organizations must obtain a free, D&B DUNS number as the Universal Identifier when applying for Federal grants or cooperative agreements
  - It is used to uniquely identify your business/ institution
  - See the D&B DUNS website for registration timeline

- **Begin registration process at:**
  - http://fedgov.dnb.com/webform
  - Telephone Number: 866-705-5711

2. SAM Registration Process

| Register | Download Application | Requirements/ Validations | Post-Submission |

- **System for Award Management (SAM)**
  - It is the primary registrant database for the Federal government and is the repository into which an entity must provide information required for the conduct of business as a recipient
  - Register your entity (i.e. organization) to do business with the Federal Government
  - An active and verified SAM registration is required for Grants.gov registration

- **SAM registration must be renewed annually to keep Grants.gov credentials active**
  - www.sam.gov
  - https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf
  - US Calls: 866-606-8220
  - International Calls: 334-206-7828

3a. Grants.gov Registration Process

Register	Download Application	Requirements/ Validations	Post-Submission

- **Grants.gov (Username and Password)**
  - Federal-wide portal to find and apply for Federal grant funding
  - Prior to registering with Grants.gov, you must obtain a DUNS number and register in SAM
  - Person submitting application must be registered with Grants.gov as the Authorized Organization Representative (AOR) for specific DUNS number cited on SF-424

- **All applications must be submitted via Grants.gov**
  - http://www.grants.gov/
  - US Calls 1-800-518-4726 | International Calls: 606-545-5035

3b. eRA Commons Registration Process

Register	Download Application	Requirements/ Validations	Post-Submission

- **Electronic Research Administration (eRA Commons)**
  - public.era.nih.gov/commons
  - Agency system that allows SAMHSA and its applicants and grantees to share application/grant information
  - Used by NIH, SAMHSA and other HHS divisions (e.g. CDC)
  - One time registration

- **Search for current eRA Commons registration**
  - public.era.nih.gov/chl/public/search/ipfNumberByOrgName.era

- **Complete the Online Registration Process**

3b. eRA Commons Registration Process

Register → Download Application → Requirements/ Validations → Post-Submission

Welcome to the Commons

Register Grantee Organization

About the Commons

- Frequently Asked Questions
- Latest Release Notes

Additional Links

- RePORT
- Grants.gov
- iEdison
- National Institutes of Health

System Notification Message

All systems are currently available.

Scheduled Commons Maintenance: For maintenance information, see the eRA Scheduled Maintenance Calendar.

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at Avo
- Electronic Application Submission: To learn about completing and submitting a website.
- eRA Home Page: To find Commons FAQs, User Guides, training materials, and

Commons Related Resources

- Reference Letters: To submit a reference letter when requested by an applican
- Demo Facility: Demo Facility allows you to try most of the capabilities of the NIH

Privacy Act Statement

This is a U.S. Government computer system, which may be accessed and used only f this computer system may subject violators to criminal, civil, and/or administrative acti NIH grant proposal submission and administration process. Grant proposals are treat abstracts, and award amount are disclosed publicly. Other information may be made or, subject to the provisions of the Freedom of Information Act 5 U.S.C. 552. Your activ login information that is used for access, as well as the individual pages you visit. The interest and/or to respond to user queries. A more detailed notice is provided Here.

Online Registration

Only Signing Officials can register their institutions with the NIH. Follow these directions to register your institution.

1. Complete the online Institution Registration Form and click Submit.

2. Agency will send you an email with the link to confirm your email address.

3. Once email address is verified, the Agency will review your request and let you know of the result via email.

4. If your request is denied, you will get an email notifying you of the reason.

5. If your Request is approved, you will get an email with your Commons user id and temporary password.

6. Log in to Commons with temporary password and system will prompt you to change temporary password to the permanent one. Principle Signing Official will be prompted to electronically sign your registration request. (Please review your registration information carefully).

7. Once Principle Signing Official has electronically signed the request, your organization will be active in Commons and you may Create and maintain additional accounts for your institution staff.

Register Now

3b. eRA Commons Registration Process

3b. eRA Commons Registration Process

Register	Download Application	Requirements/ Validations	Post-Submission

- The AOR from the SF-424 or the Business official listed on HHS Checklist that registered the organization in Commons will have the SO (Signing Official) Role

- Create as many accounts with the SO role as necessary to support business needs

- Business Official listed on HHS Checklist must have SO role in Commons

- The SO is responsible for maintaining institutional information, submitting documents that require signature authority to act on behalf of the organization, and managing accounts

3b. Creating New eRA Commons Accounts

3b. Assigning Roles to New Accounts

Register → Download Application → Requirements/ Validations → Post-Submission

AMS | Add Roles

Organization

Whatsamatta U

Role(s) *(to multi-select, please use ctrl or shift keys)*

AA - Accounts Administrator
AO - Administrative Official
ASST - PI Assistant
BO - Business Official
FCOI - External FCOI Officer
FCOI_ASST - Financial Conflict of Interest (FCOI) External Assistant role
FCOI_VIEW - Financial Conflict of Interest (FCOI) External View role
FSR - Financial Reporting users
GRADUATE_STUDENT - Graduate Student
PACR - Public Access Compliance Role
PI - Principal Investigator

Close   Add Role(s)

3b. Affiliating Accounts in Commons

PD/PI Commons ID for Application
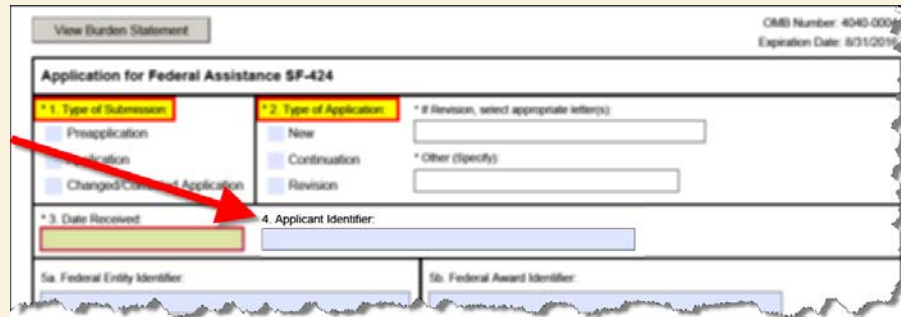
| Register | Download Application | Requirements/ Validations | Post-Submission |

- Create or affiliate a Commons account with the PD/PI Role in Commons for the PD/PI listed on HHS Checklist.

- This is the Commons ID that should be entered on the SF 424, #4 Applicant Identifier:

- eRA Commons Service Desk and Support: http://grants.nih.gov/support/

Download Application and Apply

Register	Download Application	Requirements/ Validations	Post-Submission

- Grants.gov Application Package includes required and optional forms

- Additional forms for Submission can be found on the SAMHSA website: http://www.samhsa.gov/grants/applying/forms-resources

- Data validations are run on all forms in the Application Package

- Applicants can also use ASSIST (Application Submission System & Interface for Submission Tracking) to apply

ASSIST (Optional)

SAMHSA | **NIH**

| Register | Download Application | Requirements/ Validations | Post-Submission |

- There are several ways applicants can submit their applications to SAMHSA through Grants.gov and ASSIST is an alternative option to Grants.gov downloadable forms

- You can use the **ASSIST** system to prepare, submit and track your application online. Note: ASSIST requires an eRA Commons ID to access the system

- Regardless of your submission method, applications will be subject to the same registration requirements, completed with the same data items, routed through Grants.gov, validated against the same agency business rules, assembled in a consistent format for review consideration and tracked in eRA Commons.

ASSIST (Optional)

| Register | Download Application | Requirements/ Validations | Post-Submission |

- ASSIST is a web-based system used to prepare applications using the SF424 Research & Related form set and to submit electronically through Grants.gov

- ASSIST allows applicants to:
  - Leverage current eRA Commons credentials to access ASSIST
  - Delegate application preparation responsibilities to multiple users within and outside the applicant organization while maintaining appropriate access control and security
  - Populate data from established eRA Commons profiles
  - Run validations on federal-wide and agency business rules prior to submission
  - Generate Table of Contents, headers, footers, page numbers, etc. automatically
  - Present to reviewers clear, color PDF images rather than scanned versions of the application

- For more information on ASSIST, go to:
  https://era.nih.gov/erahelp/ASSIST/Default.htm

Required Application Documents/ Components

- Applications must include the following required application components

- Refer to **FOA Part II – General Policies and Procedures** for detailed list of required documents for application submission

#	Required Documents and Forms	Source
1	SF-424 (Application for Federal Assistance) Form	Grants.gov Application Kit Package
2	SF-424 A (Budget Information – Non-Construction Programs) Form	Grants.gov Application Kit Package
3	SF-424 B (Assurances for Non-Construction) Form	Grants.gov Application Kit Package
4	Disclosure of Lobbying Activities (SF-LLL)	Grants.gov Application Kit Package
5	HHS Checklist	Grants.gov Application Kit Package
6	Project/Performance Site Location(s) Form	Grants.gov Application Kit Package
7	Project Abstract Summary Form	Grants.gov Application Kit Package
8	Project Narrative Form	Grants.gov Application Kit Package
9	Budget Narrative Attachment Form	Grants.gov Application Kit Package

Required Application Documents and Components

Register > Download Application > Requirements/ Validations > Post-Submission

- For each of the following application components, attach each document **(Adobe PDF format only)** using the Other Attachments Form.

#	Required Documents and Forms	Source
1	Certifications	SAMHSA Website
2	HHS 690 Form	SAMHSA Website
3	Charitable Choice Form SMA 170	SAMHSA Website
4	Biographical Sketches	FOA Part II: Section 3.1 and Appendix D
5	Confidentiality and SAMHSA Participant Protection/ Human Subjects	FOA PART I: See appropriate Appendix
6	Additional Documents in the FOA: PART I	FOA: PART I, Section IV-1

New Application Data Formatting Requirements

| Register | Download Application | Requirements/ Validations | Post-Submission |

- **List of New Application Formatting Requirements (eRA Commons Validations)**

- **Refer to FOA Part II** for detailed list and description of validations

#	Application Requirement
1	DUNS numbers: The DUNS number provided on any forms must have valid characters (9 or 13 numbers with or without dashes).
2	Submit required documentation in the application kit for the FOA.
3	Check the "Changed/Corrected Application" box in the SF-424 form after making changes/corrections to resubmit an application.
4	Applications cannot be larger than 1.2GB
5	The Funding Opportunity Announcement (FOA) number must exist.
6	All documents and attachments must be in PDF format.
7	All attachments should comply with the following formatting requirement: PDF attachments cannot be empty (0 bytes).
8	All attachments should comply with the following formatting requirement: PDF attachments cannot have Meta data missing, and cannot be encrypted, password protected or be secured documents.

#	Application Requirement
9	All attachments should comply with the following formatting requirement: Size of PDF attachments cannot be larger than 8.5 x 11 inches (horizontally or vertically).
10	All attachments should comply with the following formatting requirement: PDF attachments should have a valid file name. Valid file names must include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period.
11	Contact person email in the SF-424 Section F, must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \ , ; : are not valid.
12	Congressional district code of applicant (after truncating) must be valid.
13	Authorized Representative email must contain a '@', with at least 1 and at most 60chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \ , ; : are not valid.

Post-Submission Process Cont'd

- eRA Commons will notify the Business Official and PD/PI listed on the HHS checklist, and the AOR listed on the SF-424

- Types of submission notifications from eRA Commons:

Notification	Description
Acknowledgement	Your application was received by eRA Commons
Validation Notice	A. No errors or warnings – application moves forward B. Warnings only – application moves forward but you may want to take a second look at some items C. Errors and warnings – application will not move forward until you make updates to correct errors and submit a Changed/Corrected Application before the deadline
System Error Alert	Something went wrong with our system

Changing or Correcting an Application

- Mark application as Changed/Corrected whenever you update an application that is already submitted

eRA Service Desk Information

Service Desk can help with eRA Commons registration, viewing application status, documenting system problems that threaten submission by the due date, post submission issues:

Submit a web ticket:	Contact Service Desk via phone:	Find additional Service Desk Information on the eRA Commons Page:
http://grants.nih.gov/support/index.html	1-866-504-9552 (toll-free) or 301-402-7469 **Business hours are M-F 7am-8pm Eastern Time**	public.era.nih.gov/commons

- For programmatic questions, please contact the SAMHSA contact listed in the FOA. The Service Desk can help you find this information if you need assistance.

- When contacting the Service Desk, please **specify** that it is a **"SAMHSA grant application" related issue**.

eRA Service Desk Information

Our Help Desks

eRA Service Desk (formerly the eRA Commons Help Desk):

Submit a web ticket

(preferred method of contact)

Toll-free: 1-866-504-9552
Phone: 301-402-7469
Hours: Mon-Fri, 7 a.m. to 8 p.m. Eastern Time (closed on federal holidays)

Contact for information/questions on:

- ASSIST
- eRA Commons
- eRA Commons Registration
- eRA errors and warnings
- Status of the application
- Post-award administration

If you need immediate help (i.e. you are within two days of a deadline or in the event of a security emergency), call us. Note that the Service Desk's busiest hours are between 10 a.m. ET and 3 p.m. ET.

For system issues with iEdison, please contact:
eRA's iEdison Service Desk
Toll-free: 1-866-504-9552; **Phone:** 301-435-1986; edison@od.nih.gov
You may also visit https://era.nih.gov/iedison/iedison_faqs.cfm to view our self-help resources

eRA Service Desk Information

To Contact the eRA Service Desk, please complete the online request form below.

If you have a Commons account please click here to log in to the eRA Service Desk Web Ticketing system.

* Required field(s)

* First Name	
Middle Name	
* Last Name	
* Email Address	
* Phone Number	
* I need help with	Please select an issue ▾
* Description (maximum of 2000 characters)	
Contact Preference	No Preference ▾

Submit

ASSIST Help Desk Information

- **ASSIST Help Desk Contacts:**
  - Access the ASSIST Online Help Site at: https://era.nih.gov/erahelp/assist/
  - Or contact the eRA Help Desk

Summary

1. Allow 6 weeks minimum to complete all four registrations: DUNS, SAM, Grants.gov and eRA Commons.

2. Download required forms from the application package in Grants.gov and the SAMHSA website.

3. All application attachments MUST be in PDF format and submitted as individual files. Other formats (e.g., Excel, Microsoft Word) are not accepted by eRA Commons.

4. Grants.gov and eRA Commons will conduct a series of data validations checks to ensure all the required data is included and in a format that can be processed electronically through Grants.gov and eRA Commons.

5. Commons ID for the PD/PI should be entered on the SF 424, field #4 Applicant Identifier.

Additional Resources

- SAM Registration Quick Start Guide:
  - https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf

- Grants.gov Video Series:
  - http://www.grants.gov/web/grants/applicants/applicant-tools-and-tips.html
  - http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html

- NIH Links:
  - https://era.nih.gov/reg_accounts/register_commons.cfm
  - https://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm
  - https://era.nih.gov/files/eRA_Commons_Roles.pdf

Completing the SF-424 and SF-424A

- **Applicants are required to complete the SF-424 and the SF-424A Form - *Budget Information – Non-Construction Programs***

Completing the SF-424

- **In Line #17 of the SF-424 please input the following information: (Proposed Project: a. Start Date: 9/30/2017; b. End Date: 9/29/20XX).**

- **Please note the end date needs to coincide with the number of years for the program. For example:**
    - o 3 year program will have an end date of 9/29/2020
    - o 4 year program will have an end date of 9/29/2021
    - o 5 year program will have an end date of 9/29/2022

Completing the SF-424A

- **Section A - Budget Summary:** Use the first _row_ only (Line 1) to report the total federal funds and non-federal funds requested for the 1st year of the project only.

- **Section B – Budget Categories:** Use the first _column_ only (Column 1) to report the budget category breakouts (Lines 6a through 6h) and indirect charges (Line 6j) for the total funding requested for the 1st year of the project only.

- **Section D – Forecasted Cash Needs:** This section is the year one requested amount. Enter the amount of cash needed by quarter for the 1st year. The column, "Total for 1st Year", should equal the annually requested amount (federal and non-federal) for Year 1 of the project period.

- **Section E – Budget Estimates of Federal Funds Needed for Balance of the Project:** This section is for the amount requested for Year 2, Year 3, Year 4, and Year 5.

Q&A

Do you have any questions?

Please type your questions into the Q&A box located to the right of the screen in the webinar control panel, and we will do our best to answer your questions.

Thank you!

The presentation slides, recording, and transcript of the webinar will be available for download on the SAMHSA Fiscal Year 2017 Grant Announcements and Awards Webpage.