

Grants.gov Submission : From PureEdge to Adobe

Presented by the Office for Sponsored Research

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Grants.gov

Grants.gov has been designated by the Office of Management and Budget as the single access point for all grant programs offered by 26 Federal grant-making agencies. It provides a single interface for agencies to announce their grant opportunities and for all grant applicants to find and apply for those opportunities.

NIH Transition

- In August 2005, NIH announced a plan to:
 - 1) transition from the PHS398 application to the SF424 Research and Related (R&R) application
 - 2) simultaneously transition to electronic submission via Grants.gov by the end of 2007.

NIH Planned Transition Dates by Funding Mechanism

Notable Programs:

- 12/05 – SBIR/STTR
- 3/06 – S10
- 6/06 – R03, R21, R21/R33, R34
- 2/07 – R01
- 10/07 - *Everything (yet K, F, T&D complex mechanisms have been delayed)*
- Ks (except K12) (Feb. 12, 2009) , Fs (April 8, 2009) , Ts (Sept. 25, 2009)

Other Agencies Plans

NSF : Beginning in FY 2006, NSF began identifying specific programs that would either authorize or require use of Grants.gov to prepare and submit proposals to NSF

DOE: Beginning in 10/1/05, DOE's Office of Science has required all financial assistance applications be submitted via Grants.gov

Others (DOD, CDC, DoED, USDA, etc...) : Have begun posting opportunities on Grants.gov and are at different phases of implementation, but not yet fully required

How can Institutions Submit Applications via Grants.gov?

- System to System Transfer of Data – *(Northwestern is in process of transitioning to InfoEd which will eventually allow system to system transfer. Currently in Pilot Stage. Full Dept transition, Latest estimate – Fall/Winter 2009)*
- Forms-based Submission – *(PureEdge forms viewer now transitioning to the Adobe Reader software – available by free download)*

PureEdge - PC's or Macs?

- PI's/Business Staff are highly encouraged to use PC's when using the Pure Edge Viewer to avoid Mac problems
- PureEdge on Grants.gov will not run within the Firefox browser
- PureEdge does not work with Microsoft Windows Vista at this time

Current Mac Options

NIH-hosted Citrix servers: allow non-PC users to prepare and submit applications using the PureEdge forms viewer

PC-emulation software: commercially available products allow Mac users to run the PureEdge viewer

- IBM Workplace Forms (PureEdge) viewer – posted on Grants.gov for PPC and Intel based Macs
 - Occasional crashes and subsequent loss of any unsaved data
 - Inability to run on Mac OS version prior to 10.4.6
 - No current support for screen readers for visually impaired users

Adobe Forms solution

- Compatible with both PC's and Macs; As well as Tiger, Leopard, WINXP, Vista OS. Same look and feel, but more user friendly than PureEdge. Grants.gov is phasing out PureEdge based applications.
 - NIH began to pilot the Adobe forms in Fall 2008 with a few FOA's. The first scheduled deadlines using Adobe forms are in January 2009. (Most notable federal agencies have similar plan)
 - * Note - **Adobe Reader 8.1.3** is the recommended version to apply for grants on Grants.gov – which resolves 'Broken Pipe' error. 8.1.2 and 9.0 are also compatible. If you use any other version of Adobe Reader or Acrobat, the forms will not submit
 - Acrobat Professional users must parallel the Adobe Reader version to avoid errors (i.e., Professional version 8.1.3 = update Reader to 8.1.3)
 - Adobe Versioning Test:
<http://grantsgfessioiv.tmp.com/static2007/applicants/AdobeVersioninongTestOnly.jsp>
- (PDF attachments will of course need to be created by other than Adobe Reader. It will not affect the package)

The Transition

- Most electronic submissions to NIH on or **after Jan. 1, 2009, must use Adobe application forms**, with the **exception** of:
Small business (R41, R42, R43, R44) and conference (R13/U13) grant applications for the standing AIDS receipt date of Jan. 7, 2009
- Applicants should download the new application forms from the Funding Opportunity Announcement (FOA) for which they are applying after December 5, 2008.**
- Funding Opportunity Announcements (FOAs) expiring on or before January 31, 2009 that will continue to use PureEdge until the expiration date. (See [complete list](#) at NIH ERA submission website)

Proposal Submission Process (8 Step)

1. PI's register for an eRA Commons account (**NIH only**)
2. Download the PureEdge Application Viewer or Adobe Reader Software
3. Find and Download the appropriate Funding Opportunity Announcement (FOA)
4. Complete the Application package
5. Notify your OSR GCO of your intent to submit
6. Upload your application to NUIT Depot
7. OSR reviews and submits application
8. Grants.gov Validation and NIH Commons Verification process

Step 1 (NIH only)

PI's must first register for an eRA Commons account

- For Commons registration, please contact Mike Green (msgreen@northwestern.edu)
- Anticipate at least two weeks to create new account or affiliation
- Note: You DO NOT Register with Grants.gov. Northwestern is already registered as an Institution and PI's do not have to individually register

Step 2

Download the PureEdge Application Viewer or Adobe Reader software

- Both are free software that will allow you to complete and submit applications electronically and securely on Grants.gov
- PureEdge vs. Adobe reader Functional Differences (see handout)

Step 3

Find and Download the appropriate FOA

- Search options in Grants.gov:
 - » Basic (R03, R21, etc..)
 - » Opportunity Number
 - » CFDA Number

Step 4

Complete the Application package

- All yellow fields and NIH required fields must be completed
- Open and complete each form separately in the Mandatory Box (*With Adobe Reader, must first move over to the Submissions box to open and complete*)
- Once a form is completed, transfer it to the Submissions box. The application cannot be submitted unless all Mandatory Documents are moved over
- **(NIH specific)** All text attachments are required to be in PDF format. DO NOT use form-fillable PDF's as these will cause errors in submission
- **(Other Agencies)** New Microsoft 2007 Office Products Will NOT work with Grants.gov - **does not** process Microsoft Word documents with the extension .DOCX . Must use version resulting with extension .DOC

Step 4 (Continued)

- After moving all mandatory and the desired optional documents to the Submissions box, click the 'Check Package for Errors' button
- With PureEdge, Errors will be listed one at a time. (Adobe Reader lists a number of errors simultaneously) Each must be corrected in order to submit the application
- Click the Save button, and save the final copy of your application
- Make sure Submit button is active. If not, review that all required fields were completed and that no errors remain. Note: DO NOT press the Submit button. PI's and staff cannot Submit the application. Only OSR has the password and Institutional authority to submit.

Standard Required Documents

- SF 424 (R&R) – *complete first as this auto-fills other forms*
- Research & Related Project/Performances Site Locations
- Research & Related Other Project Information
- Research and Related Senior/Key Person
- PHS398 Cover Page Supplement
- PHS398 Research Plan
- PHS398 Checklist
- PHS398 Modular Budget Component

SF 424 (R&R) – Useful Info

- 5. Applicant Information
 - Legal Name: Northwestern University
 - Organizational DUNS: 005436803 (Chicago)
 - Organizational DUNS: 160079455 (Evanston)
- 6. Employer Identification
 - 1362167817A1 (NIH)
 - 362167817 (Other Agencies)
- 7. Type of Applicant
 - O. Private Institution of Higher Education
- 14. Congressional Districts of:
 - Evanston: Applicant: IL-009; Project: IL-009
 - Chicago: Applicant: IL-009; Project: IL-007

SF 424 (R&R) – Useful Info

- 19. Authorized Representative
 - Susan G. Ross
Director, Evanston Campus
Office for Sponsored Research (OSR)
633 Clark St., Crown Center Room 2-502
Evanston, IL 60208-1110
phone: 847/491-3003
fax: 847/491-4800
e-mail: OSR-Evanston@northwestern.edu
 - Bruce W. Elliott
Director, Chicago Campus
Office for Sponsored Research (OSR)
750 N. Lake Shore Drive, Rubloff 7th Floor
Chicago, IL 60611-3008
phone: 312/503-7955
fax: 312/503-2234
e-mail: OSR-Chicago@northwestern.edu

Step 5

- Notify your OSR Grant and Contract Officer of your intent to submit an application via Grants.gov.
- Begin routing the OSR-1, OSR-100 to OSR.

(<http://www.research.northwestern.edu/research/osr/forms.html>)

Step 6

Upload your application to the NUIT Depot Webfile server

- Depot is a Northwestern web-based file sharing tool. Due to technical constraints, applications should not be forwarded to OSR via email.
- You DO NOT need to register in Depot

Step 6 (Continued)

- Once you have communicated your intent to submit, your OSR GCO will send you a Depot Ticket in an email message. The link will appear similar to this:

https://depot.northwestern.edu/xythoswfs/webui/_xy-2568298_1-t_ti568w6g

- See Depot Instructions for Uploading

Step 7

OSR reviews application package, requests any necessary revisions, and Submits final version to Grants.gov before deadline

- OSR requires the OSR-1, OSR-100 and application package with all administrative forms (including budget) on Depot five business days before the deadline. OSR must have the completed application package (including science) on Depot two business days before deadline to ensure complete review and allow adequate time for submission and correction of validation errors if necessary.
- Grants.gov deadlines are local time by 5 p.m. local time

Step 8

Application moves through the Grants.gov Validation and NIH Commons Verification

- Once an application has been submitted, Grants.gov and eRA Commons will send a series of status email notifications.
- Grants.gov sends notifications to the Authorized Organization Representative (AOR) only; eRA Commons sends notifications to the AOR/Signing Official (SO) and the Principal Investigator (PI).
- Within 48 hours, the submitting AOR should receive a receipt of confirmation and either a validation confirmation or a rejection email message from Grants.gov.

Step 8 (Continued)

- Grants.gov has been sending validation errors/rejection due to Adobe versioning, 'Broken Pipe' errors, etc.. . These errors are not always intuitive. Institutions are working with G.gov to improve communications in this area.
- After passing Grants.gov validation, eRA Commons may take one weekday, although processing generally happens more quickly than that
- NIH says "Email can be unreliable – applicants should proactively check the status of their applications in eRA Commons after submission"

Step 8 (Continued)

- **Warnings** can be fixed at the applicant's discretion but **do not require action** for the application to move on. **Errors must be addressed before the application can move on.**
- **Most common errors**
 - Missing Commons User ID – "Credentials field"
 - *Include the Organization Name for all Senior/Key Persons listed*
 - *R&R Budget Form – Senior/Key Person effort must be greater than zero.*
 - PDF issues
 - Do not submit both modular and detailed budgets (only one)
- After making all corrections to the application forms, the entire changed/corrected application must be resubmitted through Grants.gov. Once an error-free application is received, the eRA system will assemble the application and make the grant image available to the PI and Signing Official for a final check. (AOR/SO can "Reject" up to two business days)

Additional Resources

- Adobe Reader Submission Interactive Demo
(http://grantsgov.tmp.com/static2007/flash/AdobeReaderApplicationTutorial_skin.swf)
- NIH Electronic Submission of Grant Application Update
(<http://era.nih.gov/ElectronicReceipt/>)
- NIH Electronic Submission FAQ's
(<http://era.nih.gov/ElectronicReceipt/faq.htm>)
- Adobe/Pure Edge Transition FAQ's
(<http://www.grants.gov/assets/AdobePEFAQs.pdf>)
- OSR Web
(<http://www.research.northwestern.edu/research/osr/GrantsGov.html>)

Questions?