

Why Scan and Where Does It Fit?

**Presentation at the Advocates and OPDIV
Representatives Meeting of March 23, 2004**

By

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To Be Discussed

- **What is scanning and why should we scan?**
- **eRA Objectives**
- **History of Scanning**



What is Scanning?

- Scanning, in its simplest form, is the conversion of a paper document into an electronic image
- This image may have additional features added, such as optical character reading (also known as 'capturing' or the conversion of image to text), bookmarking and hyperlinking



Why Scan?

- **Each year:**
 - ▶ ~75,000 applications est. in 2004
 - ▶ ~3,200 review meetings
 - ▶ ~80 National Advisory Council meetings
 - ▶ >60,000 competing and non-competing awards
 - ▶ >2,200 grantee institutions worldwide
 - ▶ ~100,000 applicants
 - ▶ ~200,000,000 pieces of paper
- **Each Day:**
 - ▶ 3,500 users from OD and ICS
 - ▶ 1.6 million transactions

**And
Growing!**



GPEA

- **Not to be confused with the Paperwork Reduction Act or GPPRA**
- **The Government Paperwork Elimination Act (GPEA, Pub. L. 105-277) requires that, when practicable, Federal agencies use electronic forms, electronic filing, and electronic signatures to conduct official business with the public by 2003**
- **NARA has recently approved a change such that the official record can now be composed of both paper and electronic records**



One Outcome of the Old Process



Too Much Paper Also Results in:



Overload!



eRA Objectives

- **Convert all of the paper involved in the NIH application, initial peer review, Council review and both award and post-award administration into an electronic medium so as to effect a process of complete electronic grants administration**
- **Integrate with all NIH business systems and the Federal Commons**



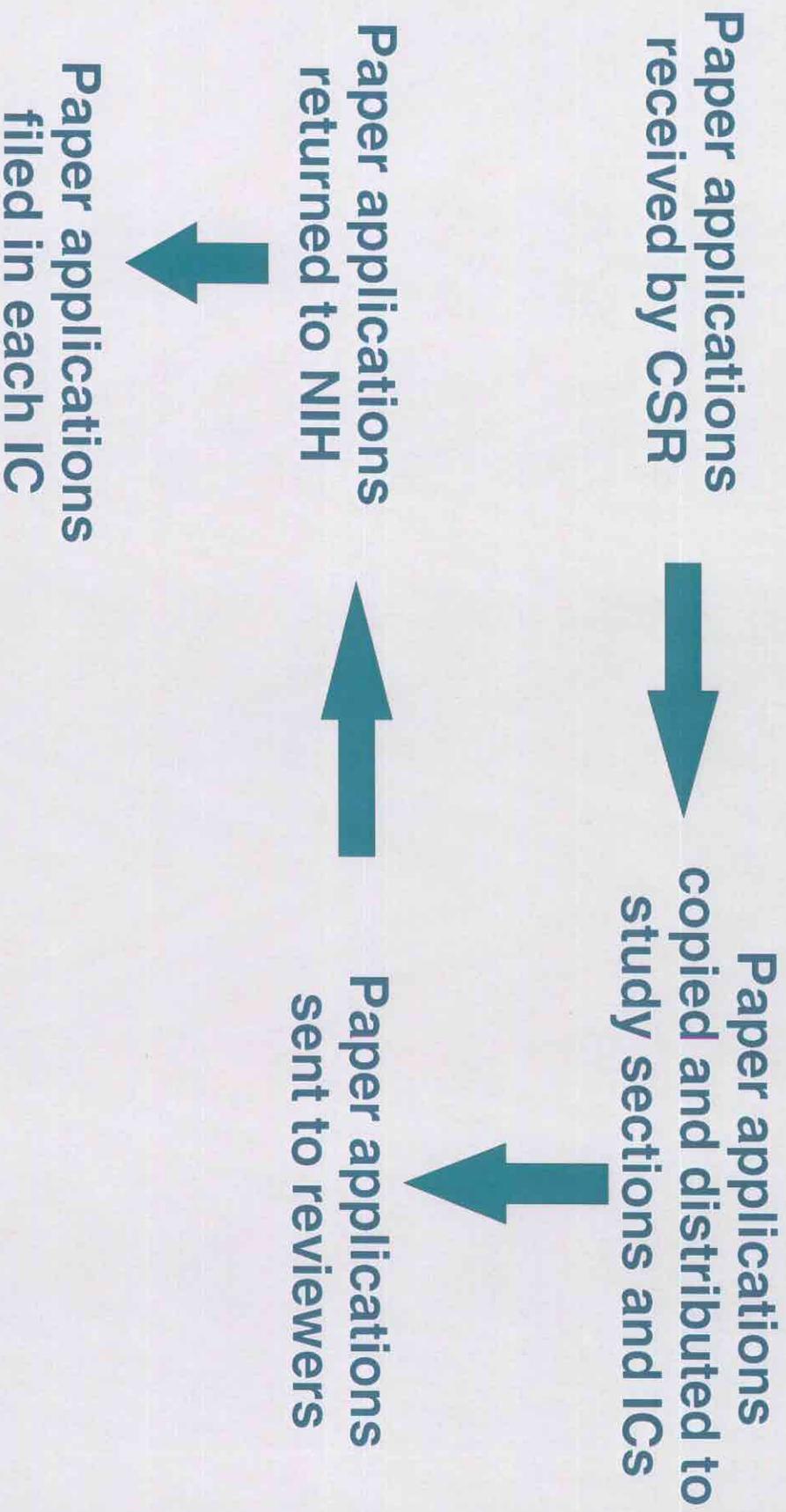
eRA Goals

- **Implement user-driven, user-friendly, highly reliable, secure systems that provide a complete set of tools to allow access to grant information**
- **Provide a computer architecture that allows the system to quickly react to changes in business practices, policies and technology**
- **Inform, educate, listen to and respond to the user community**



The Process for Applications

Circa 2001 and before



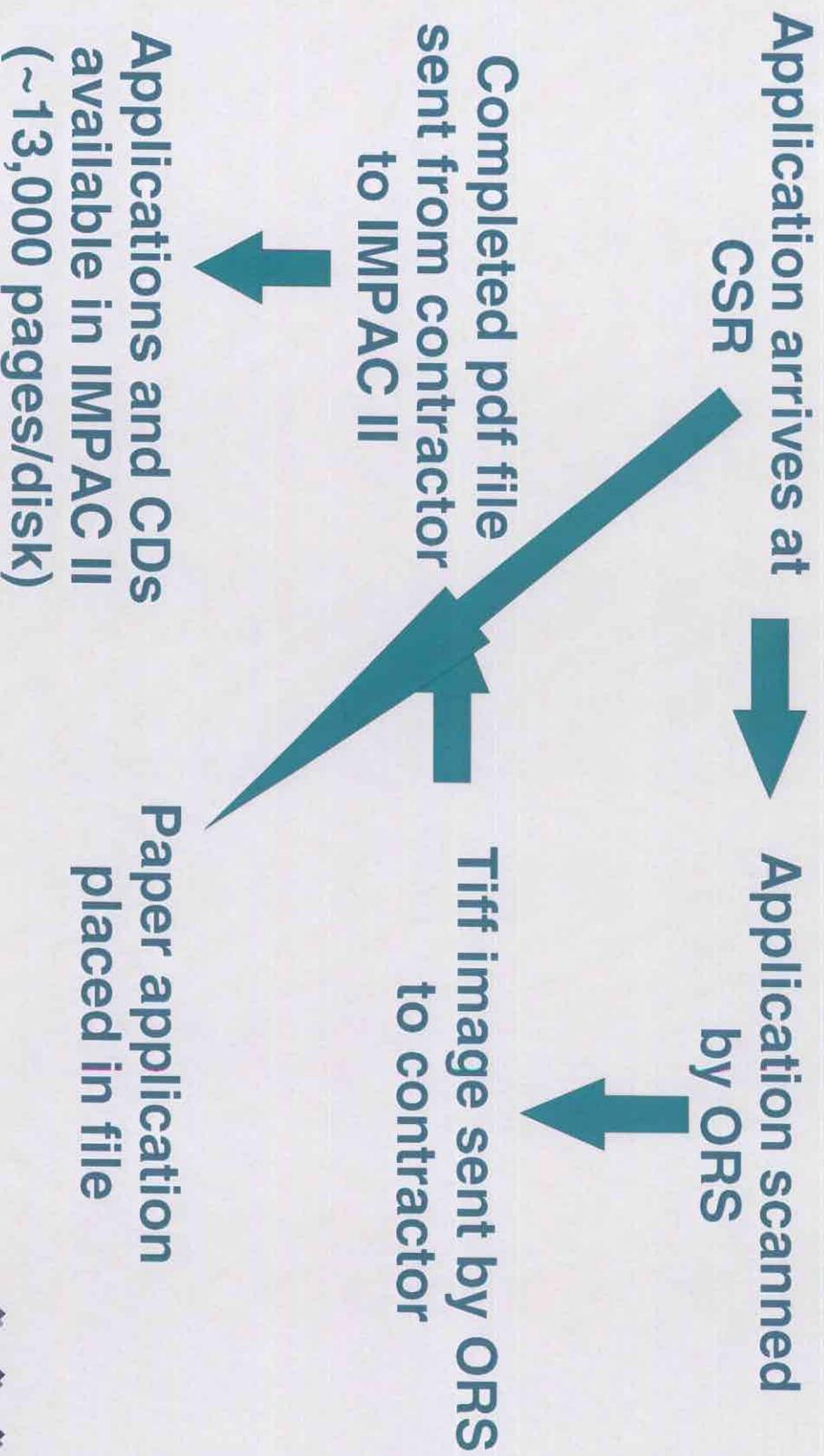
How Did We begin the Process to Convert Paper to Images?

- Scanning used as an interim solution before electronic application submission
- All applications arriving at NIH in the Center for Scientific Review scanned, captured, bookmarked (and searchable)
- CDs provided for review purposes (ordered via IMPAC II)
- All pdf images viewable in IMPAC II



The Intermediate Process for Applications

Beginning January, 2002



The Ultimate Process for Grant Applications

Beginning 2004?

eGrants received via
the Commons



Data captured and
images formed



Images available to
reviewers and staff



Electronic review at
all levels



Electronic storage of all
records

- 2002 - 56,000 appls. scanned
- 2003 - 64,000 appls. scanned
- 2003 - 49,000 CDs ordered
- 2004 - 75,000 appls. scanned (est.)



Pre-Scan versus Post-Scan

- All applications received in paper format
 - All applications received electronically (eventually)
- 30 copies made of each application
 - Scanning obviates need for copying
- Paper copies mailed to scientific reviewers
 - CDs mailed to scientific reviewers (& returned)
- Limited application availability
 - Applications available to all staff
- Applications not searchable
 - Applications fully searchable on screen
- Large volume of physical storage space required
 - Need for physical storage space will decrease over time



Some Benefits of eRA

- Information can be accessed in ways that could never have been done previously
- The IMPAC II databases can be used as a resource for all ICs (either through the eRA modules or through extension systems)
- Sometimes IC systems can be adapted for enterprise-wide use



Advocates

- **Advanced Technologies - Steven Hausman**
- **Budget Management -Danielle Bielenstein**
- **Committee Management - Anna Snouffer**
- **CIT Liaison - Pete Morton**
- **Electronic Council Book/Query, View report - Pete Morton**
- **Grants Management - Michael Loewe**
- **Grants Policy - Marcia Hahn**
- **Knowledge Discovery - Richard Morris**
- **Population Tracking - Carlos Caban**
- **Receipt, Referral and Assignment - Ellen Liberman**
- **Reporting - Carol Martin**
- **Review - Eileen Bradley**
- **Scientific Program Management - Carlos Caban/ Israel Lederhendler**
- **Training Activities - Walter Schaffer/Barbara Huffman/Rick Ikeda**



Grants Modules

- Grants Management (GM)
- Committee Management (CM)
- Quick View (QV)
- Training Activities (TA)
- Special Initiatives Tracking System (SITS)
- IRDB (IMPAC II Reporting Database)
- PowerView (PV)
- Review (REV)
- IC Operations (ICO)
- CRISP + (CP)
- Receipt and Referral (CSR Only)
- ECB/QVR.....



System Architecture

- **Key External Modules (for grantees and Institutions)**
 - ▶ Electronic Streamlined Non-Competing Award Process (eSNAP)
 - ▶ Financial Status Report (FSR)
 - ▶ Interagency Edison (iEdison)
 - ▶ Internet Assisted Review (IAR)
 - ▶ Status
 - ▶ X-Train
- **Key Internal Modules (for staff)**
 - ▶ Committee Management (CM)
 - ▶ Grants Management (GM)
 - ▶ Program (PGM)
 - ▶ Receipt and Referral (RR)
 - ▶ Review (RV)
 - ▶ Training Activities (TA)



Grants Modules

Commons & CGAP

- **Commons**
 - ▶ A virtual meeting place that facilitates contact with the NIH; Contains organizational profile and financial, assurance and certification information; principal investigators complete a professional profile, contact information and biosketch
- **CGAP (Competitive Grant Application Process)**
 - ▶ The means by which the applicant institution will send an electronic grant application to NIH as a datastream



Restricted Sites

SNAP
Status
Admin
X-Train
Datastream Delivery
Application Viewer

Production System Login

Demo Site Login

Unrestricted Sites

CRISP
NIH Home Page
OER Home Page
CSR Home Page
Edison
NSF Fastlane

Production 1.93



About the Commons

- ▶ Scope and Purpose
- ▶ Frequently Asked Questions
- ▶ Grantee Organization Registration
- ▶ ERA Contacts

What's NEW on the Commons

Minimum Password Length Increased - The minimum password length for ERA Commons accounts has been increased to six characters to match present industry standards. Existing accounts with passwords less than six characters will continue to work. However, users who create new accounts or modify passwords of existing accounts will have to abide by the new 6 character minimum.

Closed Registration - We are currently developing a new, more robust version of the NIH Commons to accommodate the broad grantee community. During this re-design and development we must limit the number of institutions in the current pilot to those who have already registered.

National Institutes of Health (NIH)
 Bethesda, Maryland 20892
 Contact Us: commons@od.nih.gov
[Privacy Statement](#)
[YZK Readiness](#)

[Production System Login](#) [Demo Site Login](#) [SNAP](#) [Status](#) [Admin](#)
[X-Train](#) [Datastream Delivery](#) [App Viewer](#) [CRISP](#) [NIH](#) [OER](#) [CSR](#)
[Edison](#) [NSF Fastlane](#) [Scope & Purpose](#) [Frequently Asked Questions](#)
[Grant the Original Teacher Request](#) [ERA Contact](#)



NATIONAL INSTITUTES OF HEALTH eRA Commons



Version 2.6.2

Welcome Guest
Institution: Not Affiliated
Authority:

Home Links Help

Commons Login ?

* indicates required field.

Username *

Password *

Login Reset

Forgot Password?

System Notification

About the Commons

- ▶ [Scope and Purpose](#)
- ▶ [Frequently Asked Questions](#)
- ▶ [Grantee Organization Registration](#)
- ▶ [eRA Contacts](#)
- ▶ [Enter eRA NIH Commons Demo](#)

Links

- ▶ [Commons Support Page](#)
- ▶ [CRISP](#)
- ▶ [eRA Home Page](#)

What's NEW on the COMMONS

A new release of NIH Commons is now available and registration is open to all NIH grantee organizations. Please reference the [Commons Support Page](#) for specific features of this release.



For NIH grantee organizations that have not registered, go to [Registration](#). NIH eRA Commons now includes the following functionality:

- ◆ **Status** — Allows Principal Investigators to review the current status of all their grant applications and review detailed information associated with their grants. Institution Officials (i.e., Signing Official (SO) or Administrative Official (AO) associated with the institution) can see a summary view of grant applications, review the Notice of Grant Award, and access the Progress Report face page.
- ◆ **esNAP** — Allows an institution to review non-competing grant data and submit a progress report online.
- ◆ **X-Train** — Not currently available.



Done

Start



>>



Internet

2:02 PM

Grants Modules

e-SNAP

- **e-SNAP (Electronic Streamlined Non-Competing Award Process)**
 - ▶ **e-SNAP allows PIs to electronically prepare, and administrative officials from grantee organizations to electronically approve and submit, information consistent with the Application for Continuation of a Public Health Service Grant (PHS 2590; the "Type 5")**



Grants Modules

ICSTORE

- **ICSTORE (IC Search, Track, Order, Report)**
 - ICSTORE is a shared module that is available through the Grants Management, Review, QuickView and other IMPAC II Modules. It allows for bulk/printing of Summary Statements as well as for downloading of IMPAC II grant data to Excel. In the future it will permit the creation of CDs as well.



Grants Modules

ECB/QVR

- **ECB/QVR (Electronic Council Book/Query View Report)**
 - ▶ ECB allows searches for summary statements, percentiles, priority scores, initial review groups, and key identifying information for applications going to institute advisory councils for second-level review
 - ▶ The QVR system enables a much broader range of searches and provides a reporting function



Grants Modules

Review

- **Review**
 - ▶ NIH review organizations use the Review module to access application data and generate lists of prospective reviewers and committee rosters, assign reviewers to applications, score applications, review meeting outcomes, and prepare summary statements



Grants Modules

Grant Folder

- **Grant Folder**
 - **The Grant Folder is a shared module present in many of the other modules that gives the user a central access point, on a single screen, to a variety of documents stored in the IMPAC II database, including the summary statement, grant image and the PI history**



Grants Modules

Closeout Module

- **Closeout module**
 - ▶ **Allows grants management staff to perform the activities necessary to close out a grant, including the ability to query IMPAC II for grants that terminate or expire in a specific month, generate letters to the Business Official and PI, and track items required for closeout.**
 - ▶ **Future enhancements will include generating workload reports and Federal Records Centers Reports**



Grants Modules

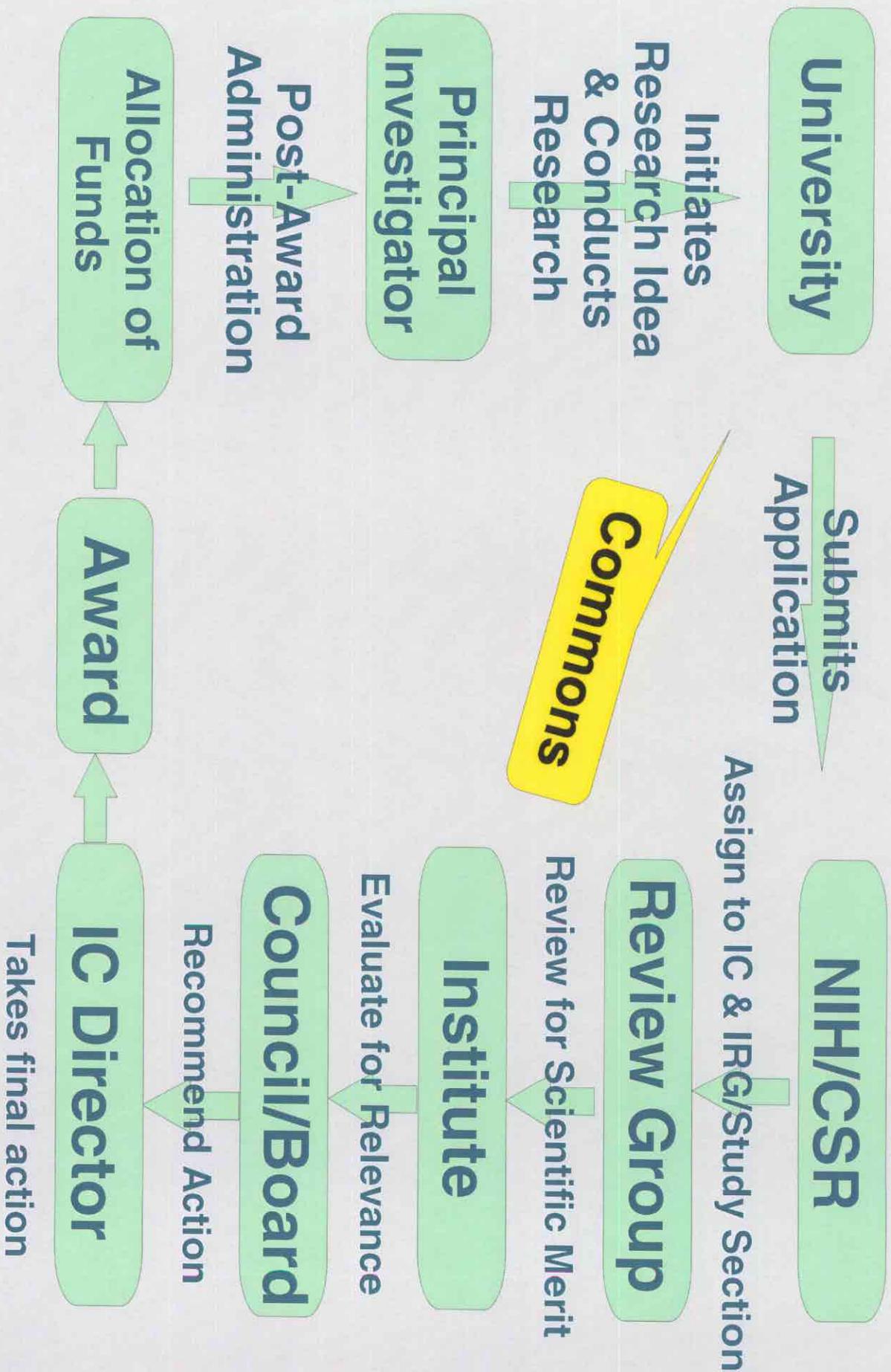
Population Tracking

- **Population Tracking**
 - **This application records and stores information about target and yearly cumulative enrollment of women, men, and minorities involved in NIH-supported clinical research**

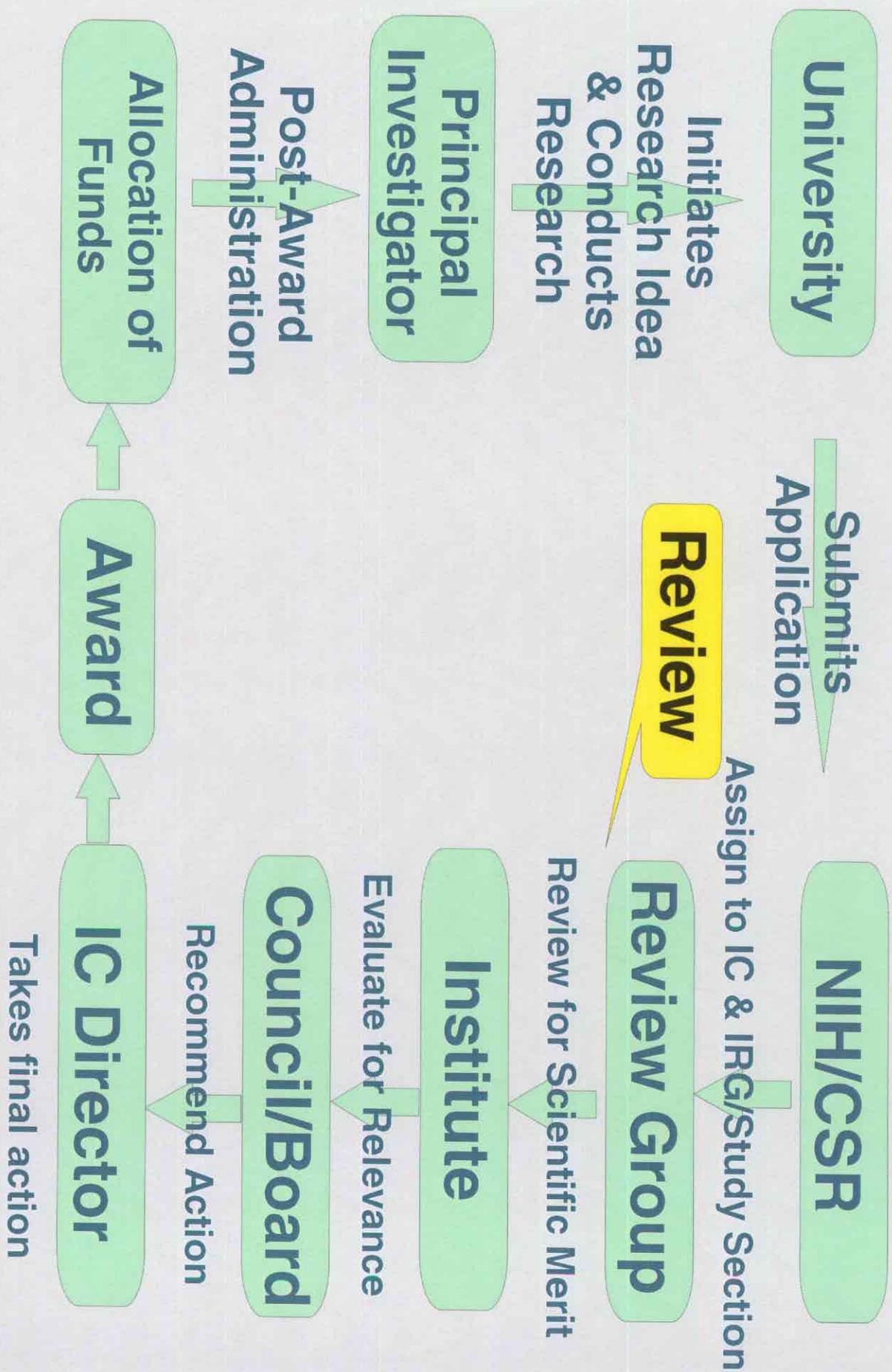


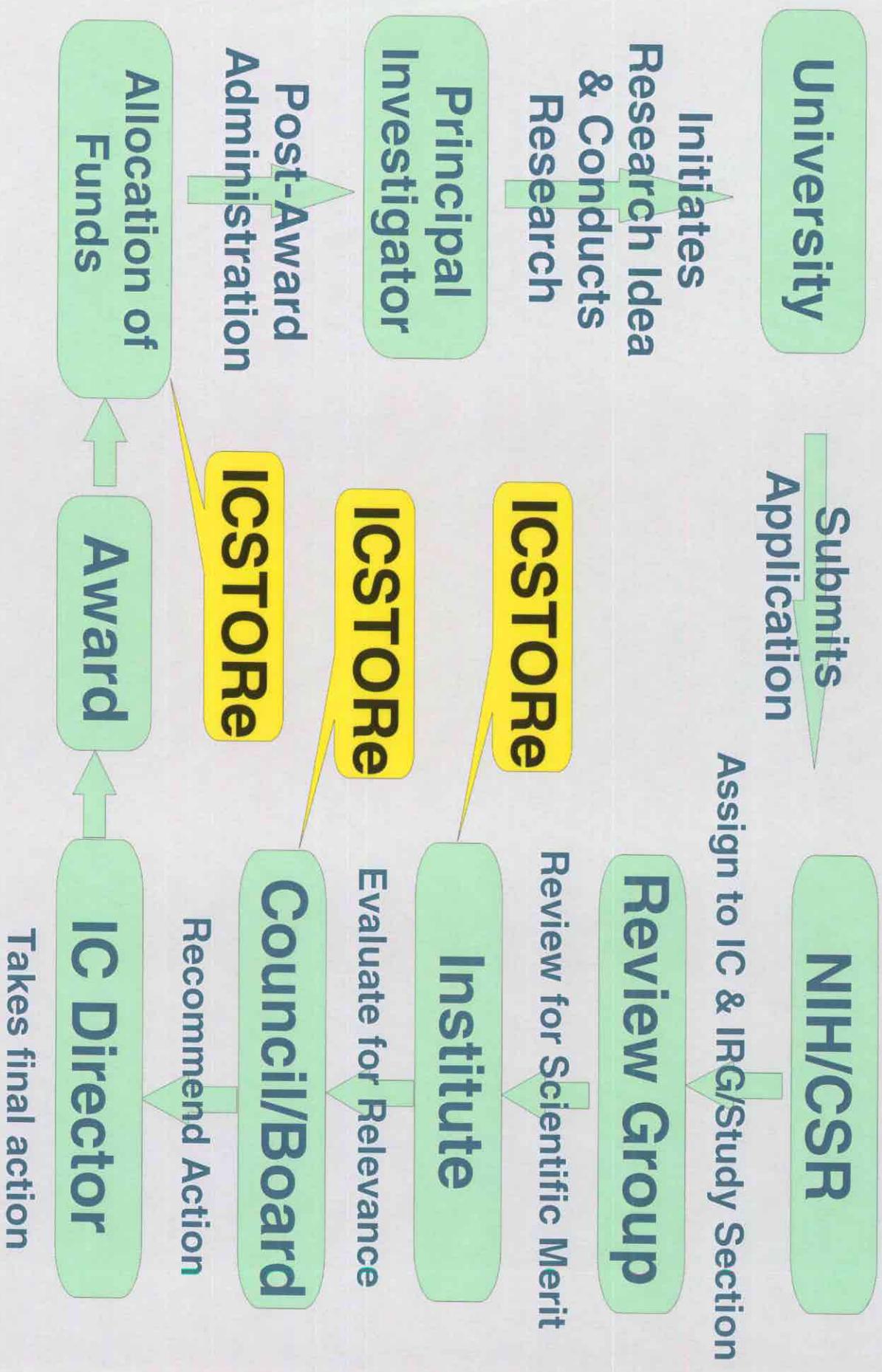
Where Does Everything Fit?













University

Initiates
Research Idea
& Conducts
Research

**Principal
Investigator**

Post-Award
Administration

Allocation of
Funds

Submits
Application

NIH/CSR

Assign to IC & IRG/Study Section

Review Group

Review for Scientific Merit

Institute

Evaluate for Relevance

Council/Board

Recommend Action

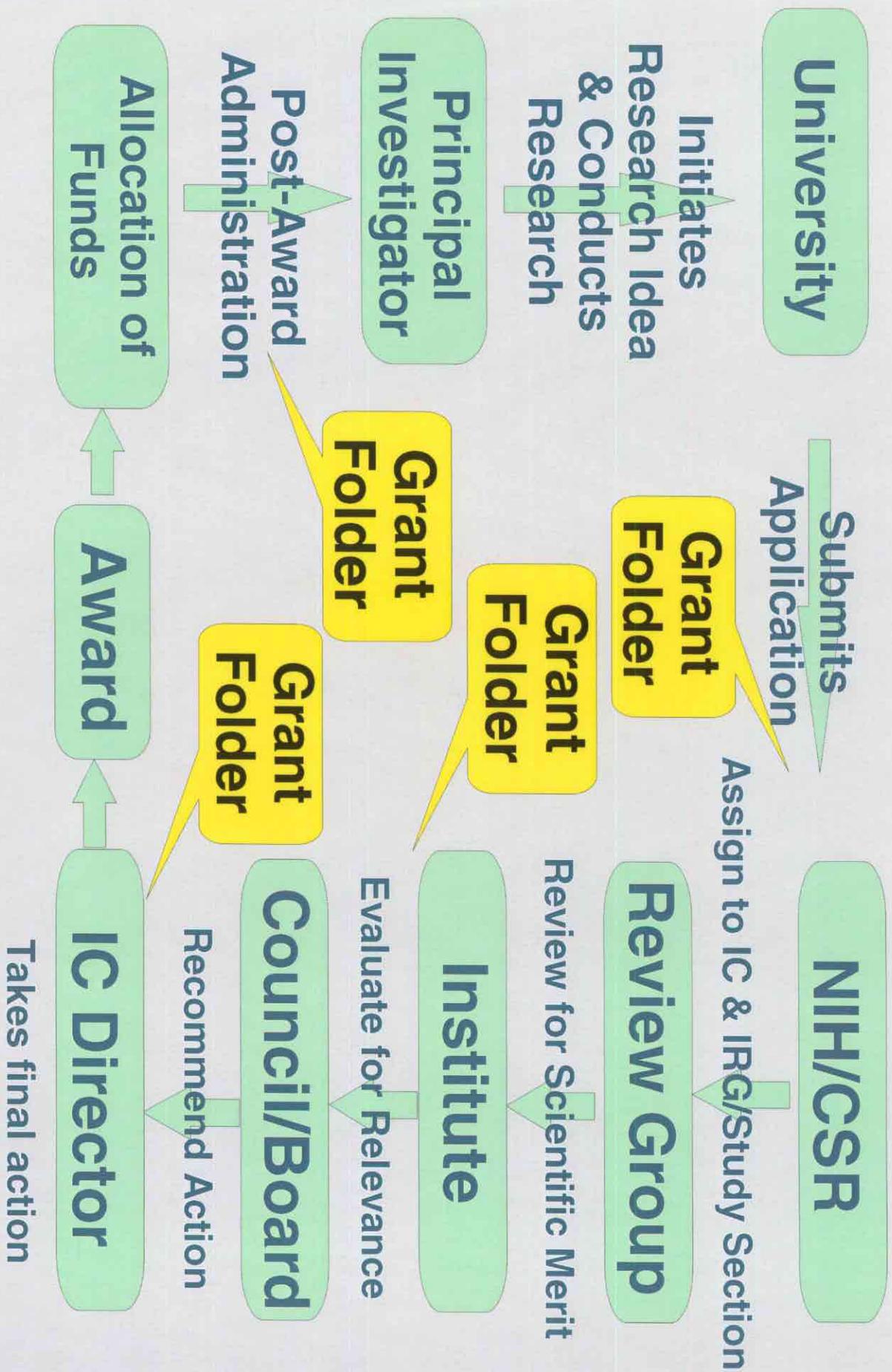
IC Director

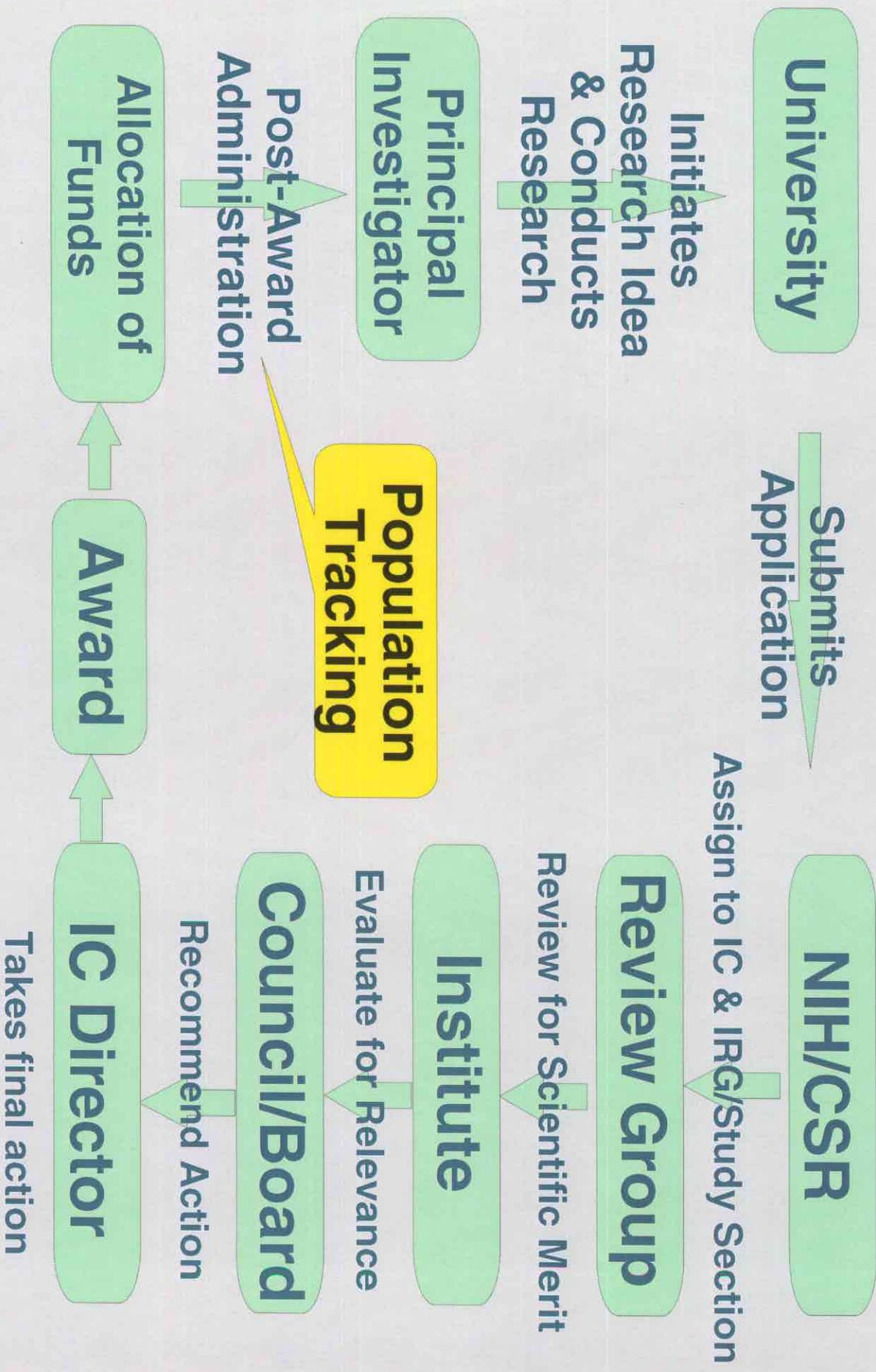
Takes final action

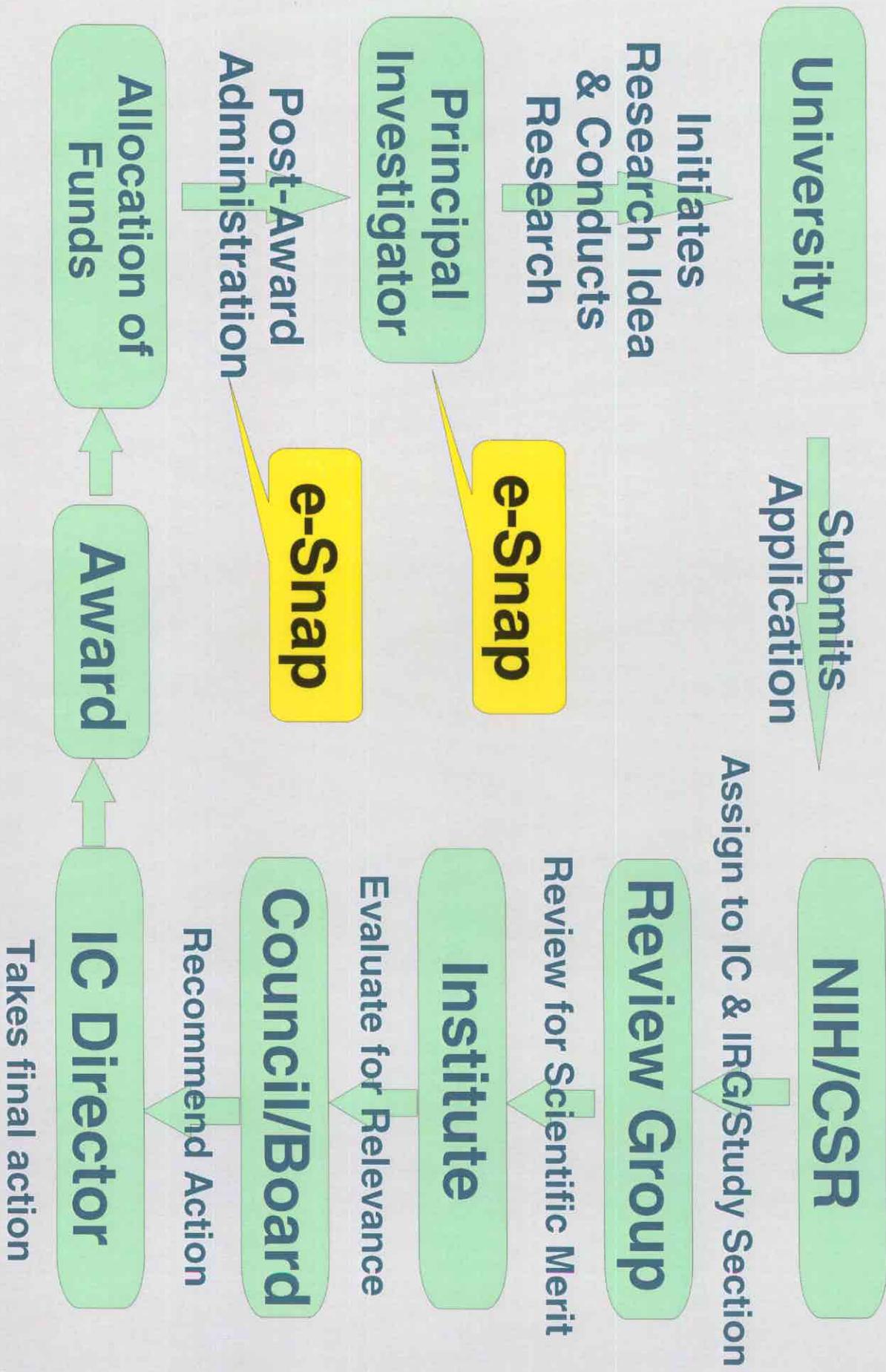
QVR

Award









University

Initiates
Research Idea
& Conducts
Research

Principal Investigator

Post-Award
Administration

Allocation of
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Application

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Institute

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Council/Board

Recommend Action

IC Director

Takes final action

Closeout

Award



On the Horizon

- **Scanning of Type 5's**
 - ▶ **Issue: Application receipt venue**
 - **IC versus CSR**
 - ▶ **Issue: Cost to IC**
 - ▶ **Benefit: Available to all (with rights management)**
- **Scanning of legacy files**
 - ▶ **Issue: Multiple sites**
 - ▶ **Issue: Cost to IC**
 - ▶ **Issue: Retrieval process**
 - **eGrants**
 - **Grant folder enhancement required**
 - ▶ **Issue/Benefit: Shelf space**
 - **Files no longer need to be checked out (NCL example)**
 - ▶ **Issue: Ancillary materials**
 - **(e-mail; correspondence, etc.)**

