



# eRA eCGAP Team and Service Providers Meeting

**December 2, 2004**

# Agenda



- Introductions
- Plans for opening access
- eXchange Technical Overview
- Support and Outreach
- Development Plans
- Wrap up

# Plans for Opening eCGAP Access



# Scope of eCGAP Open Access January 2005



- Kinds of Applications
  - Simple (R01, R03, R21)
  - Types:
    - New (Type 1)
    - Competing Continuations (Type 2)
  - Revisions
  - Modular budget without consortia or subcontracts
- One appendix document can be sent with the electronic application.
- NIH will accept applications that are in response to PAs and RFAs if they are for submission dates of February 1 and later.

# Scope of eCGAP Open Access



- NIH will NOT accept electronic submissions for ANY other kinds of applications, including:
  - Applications with consortia
  - Applications with Subprojects
  - Program Project and Center grants
  - Supplements
  - Research Career Awards
  - SBIRs/STTRs
  - Training grants
  - Fellowships
  - AREA grants
- NIH will also NOT accept electronic submissions that represent a PI Change of Institution, or a Change of PI.
- Full budget applications will still be in pilot.

# eCGAP 1.2.5 Release Schedule



- Target schedule:
  - Iteration 1 in Test now
  - Iteration 2 to test December 8
  - May need iteration 3 for minor tweaks
  - Certification period will open December 13
  - Release to prod January 10
- Open production by January 17 at latest

# eCGAP 1.2.5 Release

## Key Changes: Iteration 1



- Validations for Supplements (Plan to pilot in June 2005)
- When the modular Budget Justification exceeds a page, account for it in the TOC numbering.
- Send PDF with response in ValExchange only if listener is using secure protocol.
- If an appendix PDF is submitted, mark checkbox on Table of Contents Page.

# eCGAP 1.2.5 Release

## Key Changes: Iteration 2



- Implement security requirements for communication between Exchange and SP (enforce HTTPS)
- Deploy schema with the application instead of relying on Partnership page
- When eCGAP messages are submitted with mismatched message type and CGAP body an exception is thrown. Check for this condition and send a clear error message.
- Improvements to internal utilities for eXchange activity reporting and logs to facilitate eCGAP support functions.

# eCGAP 1.2.5 Release

## Key Changes: Iteration 2



- New attachment for Model Organism Sharing Plan
- Data Sharing Plan will be bookmarked have TOC entry
- If Research Plan (sections A-D) is greater than 25 pages, give warning. If it is greater than 28 pages, give error.
- Direct costs in every budget period must be less than or equal to \$250k in order to submit a modular grant.
- Validation on F&A Cost Rate to be between 1 and 100.
- Fix rounding on decimal in calculating detail budgets.

# eCGAP 1.2.5 Release

## Key Changes: Iteration 2



- Add a validation on Country Code for AuthorizedOrganizationalRepresentative.
- Various modifications to addresses:
  - 1. Validation against ContactInformation (for PI/PD) should be made against the entire Contact Information component if any subcomponent had data submitted.
  - 2. Clarified specification for ISO-3166-1 Alpha-3 format (no software changes required, but should be tested).
  - 3. Added blank on concatenation of mail stop code.
- Specify name of person in error messages that deal with Key Persons and with Budget Persons.

# Submission and Verification Timeline



- February 1 receipt date:
  - Ticket request by Feb 1
  - PI/SO verify by Feb. 4
  - If PI/SO reject the e-application, paper applications must be received by NIH on Feb. 9
  
- March 1 receipt date:
  - Ticket request by Mar 1
  - PI/SO verify by Mar. 4
  - If PI/SO reject the e-application, paper applications must be received by NIH on Mar. 9

# Submission and Verification Timeline



- Deadlines are 5:00 pm in the applicant's time zone.
- Deadlines for electronic submission will be as firm as in the paper process and will be enforced.
- If NIH is the cause of a technical problem preventing submissions, deadlines will be extended accordingly.
- *Same deadlines apply for Full budget Feb/Mar pilot.*

# Certification



- Each physical site, regardless of the software used, represents a new trading partner and will need to be registered and certified with NIH.
- Each site or installation should have its own account, password and certificates and will represent specific institutions and applicants.
- Service Providers only need to get certified for the types of applications that they plan to submit.
- eCGAP Support will track certification status of service providers.
- eRA will post SPs' certifications on web site.
- Re-certification will be required for each major eCGAP release.

# Certification Tests



TEST of one simple (R01, R03, or R21) modular new (Type 1) application certifies the SP to submit simple modular new applications

TEST of one simple modular competing continuation (Type 2) app certifies the SP to submit simple modular Type 2 apps

TEST of one simple modular revision app certifies the SP to submit simple modular revised apps

TEST of one simple (R01, R03, or R21) full-budget app certifies the SP to submit simple full-budget app in pilot

TEST of one simple Full-budget app certifies the SP to submit full-budget apps in pilot

# “Rules” of Engagement: Service Providers



- Need to be certified.
- Use the validation Web service before final submission.
- Do not submit test data to production.
- Use secured transmission method (HTTPS).
- Follow eCGAP Support procedures.
- Be knowledgeable about eCGAP business rules and NIH grants procedures.
- Provide the eCGAP Support desk with request for institution affiliations ASAP.
- Provide NIH with estimates of numbers of applications for each receipt date.

# “Rules” of Engagement: Applicants



- Keep Commons profiles up to date.
- Review the app carefully and thoroughly before verifying. Once verified changes to the electronic application cannot be made.
- Verify on time. Do not rely on “ready to verify” e-mail.
- If the PI/SO reject the e-application and send paper, include a cover letter explaining e-sub as reason for being late
- Should not send duplicate paper copies of electronic submissions.
- Send additional, hard copy appendices directly to the SRA after the PI receives the Study Section assignment notice from NIH.
- Send any corrections after verification to the SRA.
- Must write out Greek letters and other special characters in the Project Title.

# "Rules" of Engagement: eRA



- Support Service Providers in testing, pilots, and production.
- Maintain the eRA Exchange as an operational system for the duration of the testing, Pilots and submission periods.
- Provide support to applicants via Commons Helpdesk.
- Orient new Service Providers.
- Make available information on planned developments, defects, issues, FAQ to the entire Service Provider Community.
- Keep technical information up to date.
- Solicit and respond to feedback from Service Providers, Internal NIH staff, Common Working Group, and other stakeholders.
- If NIH is the cause of a technical problem preventing submissions, extend deadlines accordingly.

# Technical and Business Issues



- Q & A

# PDF Attachments



- **Validation Rules**
  - PDF attachment is Required or not
  - PDF attach. is within specified number of pages or not
- **We support PDF attachments:**
  - Versions 1.4 and earlier
  - Generated using Adobe Acrobat or Acrobat plug-ins from Microsoft Word
  - Password protected PDFs
- **Size**
  - Have tested with up to 30MB
  - Doing further tests

# Creating the Grant Image



## ■ Format:

- The page size for the Image: Letter (8.5 inches by 11 inches)
- Margins (left, right, top, bottom): 25 points =  $25/72$  of an Inch
- Header and Footer are added to each page, resulting in a little less space to work with for the user PDFs at the top and bottom, than the left and right of the document.
- PDF attachments merged into Grant Image without attempts to resize the attachments to fit

# eXchange Technical Overview



- Current architecture
- ebXML plans

# Support and Outreach



# Support: eRA Role



- Handling problem reports and requests:
  - Acknowledge within 3 hours
  - Respond within 24 hours
  - Triage support requests based on severity
  - Follow Commons Helpdesk hours: M-F 8:00 am to 8:00 pm ET
  - Issues affecting all SPs will be announced via email and posted on announcement corner on Partnership Page
- Update and improve upon website
- Handle eXchange administration:
  - Service Provider registration and affiliations
  - Certification
  - Assisting with creation of test data
- Orient new service providers

# Support: Service Provider Role



- Get familiar with Partnership website:
- When reporting technical issues:
  - Email [CGAPSupport@mail.nih.gov](mailto:CGAPSupport@mail.nih.gov) (and do not cc Jen)
  - Include time, date, environment, error message, SOAP file, and other information to help NIH troubleshoot the issue
  - If NIH doesn't respond in 24 hours, email CGAPSupport again and cc Jen ([flachj@od.nih.gov](mailto:flachj@od.nih.gov))
- When SPs report questions on behalf of applicants, NIH will respond to SP not applicant

# Support: Applicant Role



- Be familiar with websites: Partnership page, CSR, etc.
- Questions and reporting issues:
  - Commons Helpdesk for verification and related issues
  - Other technical questions via Service Provider
  - GrantsInfo for grants policy and procedures not specific electronic submission
- Restrain from reporting issue to multiple places
- If NIH doesn't respond in 24 hours, report to same support desk and cc Jen

# Outreach



- Improving and Updating eCGAP website --Need SP feedback
- Adding info about e-submission to other NIH websites
- Presentations at NIH Regionals, SRA, and other meetings
- Guidance from Commons Working Group and eCGAP Focus Group
- Challenge to communicate clearly which grant mechanisms will be accepted in production and which are not

# Planned development



# Planned Development



<u>Task</u>	<u>Status</u>	<u>Target</u>
Supplements	Test	Pilot in June
SP test/Commons Demo	In process	Late Dec
eNGA	Reqs completed	Pilot in March
GCRC progress reporting	Design	March
Grants.gov integration	Dev. NIH forms	Test in April
Corrections iteration 1	BPM	Pilot in May
Implement new 398	Req analysis	Prod in May

# Supplements



- eCGAP code changes now in Test
- Validations will be posted on eRA website
- Changes to Receipt and Referral module need to be made
- Pilot in June 2005
- Certification will be defined prior to pilot

# SP Test Environment



- Separate from eRA integration test environment
- Will integrate with Commons demo facility
- Set of new environment is underway
- Planned to be deployed in late December

# Electronic Notice of Grant Award



- First major outgoing transaction for the eRA eXchange
- Identified by CWG and SPs as high priority
- Requirements completed
- Design underway
- Development to begin by end of 2004
- Pilot in early 2005

# Post-verification corrections



- Iteration 1 (Target to pilot in June)
  - Full Replacements – up to a point
  - Addenda
  - Up to peer review
- Later iterations
  - Structured data (not for this pilot)
  - Corrections after review

# Grants.gov Integration



- Using the 424 Research and Related + NIH-specific forms and schema
- eCGAP will generate 424RR-based image
- Provide errors and warnings to applicants via Commons
- Will test with CWG members using dead data before doing live submissions
- Pilot with SPs who develop applicant system-to-system with grants.gov, when ready

# Collaboration with NCRR for GCRC Progress Reporting



- National Center for Research Resources, NIH, is developing an XML-based system by which the 80 General Clinical Research Centers will submit their annual progress reports via the eRA eXchange
- In the first phase, NCRR providing software to converts progress reports to XML and attachments
- In the future, SPs may want to develop and provide this service for GCRCs
- Paves the way for other progress report transactions

# Potential Priorities for 2005 Development



# Potential Priorities for 2005 Development



- Expand types of grant mechanisms
  - SBIR/STTR
  - Training
  - Fellowships
  - AREA grants
  - Complex program grants and subprojects
  - Others (examples are U's, other R's, S's)

# Potential Priorities for 2005 Development



- New capabilities
  - Handle consortia
  - PI change of institution
  - IC and Study Section requests
  - Control receipt dates
  - Expand appendix capabilities
  - Sign on to Commons via SP system
  - Others

# Potential Priorities for 2005 Development



- New transactions
  - PPF update
  - IPF update
  - FSR
  - eSNAP
  - eNAP
  - Others

# Wrap Up

