Electronic Receipt Update
Presented to the CWG
May 22, 2005
Agenda

- Update on electronic receipt
- Grants.gov integration
- 424RR transition
- Plans for next year
eCGAP open submission

- January 2005 opened submission for:
  - Simple (R01, R03, R21)
  - Types:
    - New (Type 1)
    - Competing Continuations (Type 2)
  - Revisions
  - Modular budget without consortia
E-application stats

- Received 38 apps for Feb/March receipt dates
- 148 e-applications received to date
- 12 awarded, to be paid, or pending award
- 20 pending council review
- 38 pending peer review
Releases for next receipt cycle

**eCGAP**
- Deployed to Production May 9
- Changes to accept new 398 form
- Consortia for modular applications will be accepted
- Pilot 4 for Full-budget applications
- PPF update transaction

**CGAPRR**
- Next CGAP-Receipt and Referral release planned for June 3
- Includes enhancements and defect fixes
- Being done under newly awarded Task Order (SAIC)
- Improvements in CGAPRR critical to handling volume and extending deadline for e-applications
Submission and verification timeline

June 1 receipt date:
- Ticket request by Wednesday, June 1
- PI/SO verify by Friday, June 3
- If PI/SO reject the e-application, paper applications must be received by NIH no later than Thursday, June 9

July 1 receipt date:
- Ticket request by Friday, July 1
- PI/SO verify by Wednesday, July 6
- If PI/SO reject the e-application, paper applications must be received by NIH no later than Friday, July 8
Increasing numbers of applications

- Service provider readiness and numbers
  - Recruiting and setting up new clients takes time
  - Some potential SPs waiting for outgoing transactions (eNGA) and/or Grants.gov applicant system-to-system interface
- Grants.gov
  - Some institutions waiting for Grants.gov submission option
  - Some SPs waiting for Grants.gov applicant system-to-system interface
- Consortia restrictions
  - Lifted for modular, Still in place for Full-budget applications, developing requirements for consortia
- Outreach
  - Expanding outreach activities
  - Educating interested applicants to begin earlier in the process
- Extending receipt deadlines
  - Enhancing CGAP Receipt and Referral to be ready for volume
Outreach and support

- Improved partnership and submitting grants electronically (eCGAP) on the eRA Web site
  - Information about Service Providers
  - Applicant Orientation to electronic receipt
  - Plans with Grants.gov
- Outreach activities:
  - Brochure on e-receipt
  - Link on OER Web site
  - Newsletter articles and press releases
  - Presentations at council meetings, extramural conferences, etc.
- Expanded eCGAP technical support
Other activities and plans for eCGAP

- **eCGAP/Commons Demo**
  - New environment that integrates eCGAP with Commons Demo
  - Separate from eRA integration test which SPs currently use
  - Facilitate “end-to-end” training on e-submission
  - Allow remote testing of Grants.gov integration
  - To be deployed in May

- **Planned releases for eCGAP for Summer/Fall**
  - Loan Repayment Program applications
  - Receive planned and actual enrollment as structured data in application (currently pdf)
  - Receive actual enrollment as separate transaction
  - Grants.gov
Registered Grantees

Grants.gov

Prepared application content and attachments

Convert data to XML

Submit XML data stream and attachments

Commerical Service Providers

Service Provider

Prepare content and attachments

Convert application data to XML data stream

Submit XML data stream and attachments

Grantee Institutions

Download application form from Grants.gov and complete offline

Upload to Grants.gov

Package XML data stream as SOAP message

Notify grantor institutions that completed applications are available for retrieval

NIH
Integration with Grants.gov

- Use federal-wide 424 Research and Related + PHS-specific forms and other federal forms
  - Grant image to be based on 424RR not PHS 398
  - Created 424RR Transition Working Group
  - Will focus on using SF424 when possible for more simple applications
- Accommodate other HHS Operating Divisions migrating to eRA
  - Plans to modify Commons to provide status and verification ability to OpDivs grantees
- Handle simple modular and full-budget applications
  - Developed modular NIH-specific budget form
  - Will use 424RR budget form for full budgets
- Several current eRA Service Providers involved in Grants.gov Applicant System-to-System Interface pilot
Status of Grants.gov integration

- **Completed**
  - System-to-system testing with Grants.gov completed in August
  - 398 PHS-specific forms and schema deployed by Grants.gov in April
  - Validations for simple, modular applications defined
  - 424RR-based grant image generation requirements completed
  - Analyzed database changes, short-term changes approved
  - Mechanism for returning errors and warnings via Commons deployed
Status of Grants.gov integration

- **In progress**
  - Refining Grants.gov system-to-system interface in eRA development environment
  - Implementing short-term databases changes and mechanism for storing XML in useful way until long-term changes complete
  - Continue analysis of impacts of long-term database changes to eRA
  - Developing and testing validations and grant image
  - Working with OPDIVs to define their needs and priorities
  - Outreach activities
  - Presentations and discussions at NIH grants management, peer view, and program committees on 424RR implementation
  - Preparing eRA helpdesk to handle calls on Grants.gov submissions
  - Pioneer awards will be accepted via Grants.gov again this year
Status of Grants.gov Integration

- **Planned: Grants.gov Release 1**
  - Iteration 1 to be finished in May
  - Test by CWG members using “dead” data on May 25
    - Thank you Denise, Tammy, Tom, and Tolliver!
  - Publish 424RR application guide in June
  - Next iteration/production release in July
  - Continue acceptance testing through Summer
  - Live pilot in Fall – sooner if an opportunity can be identified
  - Accept live applications in Fall 2005 for select grant mechanisms
  - 424RR Transition Working Group providing guidance on ramp up

May 22, 2005
424RR Transition Working Group

- Includes OPDIVs, Review, Policy, eRA, and Grants.gov representation
- Develop plan and guidance on transitioning to the 424RR forms set and phasing out the PHS398 as it existing today
- Established about 2 months ago
Draft milestones for 424RR transition

- June 2005: Publish 424RR Application Guide for pilots
- Fall 2005: Begin pilot live 424RR apps using Grants.gov
- March 2006: PHS 398 Revision Committee Forms
- May 2007: PHS 398 Revision to OMB due; Goal is to clear PHS-specific forms to 424RR and NIH instructions
- Sept 2007: Open 424RR Submission for “all” applications
- May 2008: Mandate 424RR+PHS-specific for “all” apps
Plan for transition to 424RR

Potential strategies:
- Target specific mechanisms and/or RFAs to pilot and move toward requiring Grants.gov submission
- Potential targets are R03 and SBIRs
- Other HHS Operating Divisions (OPDIVs) identifying opportunities

Decisions to make:
- Accept paper 424RR-based forms?
- Different forms in same peer review group for same mechanism?
Potential new mechanisms for FY06

- All new mechanisms to be developed using Grants.gov forms and submission process
  - Other R’s
  - Construction grants (424)
  - Mandatory/blocks grants (important for some OpDivs)
  - Form 5161-based applications (used heavily by some OPDIVs)
  - Pioneer Awards
  - SBIR
  - STTR
ebXML Evaluation for the eXchange

- Evaluation task completed -- Recommendation:
  - ebMS message handler using Hermes (open source)
  - Registry using OMAR (open source)
- eRA is designing new architecture based on recommendations:
  - Existing transactions/processes remain for foreseeable future
  - New eCGAP transactions to be ebXML compliant
  - New architecture parallel but share registration info
  - Need to handle multiple messaging formats (Grants.gov not ebXML compliant)
- eXchange construction task order being developed
Potential New Transactions for FY06

**System-to-system NGA**
- First major outgoing transaction

**System-to-system SNAP**
- eRA plans to make e-submission of SNAPs mandatory in October 2006

**IPF update**
- Double entry to maintain in Commons for institutions that have this data in their own systems
- Improve data quality for institutions and their assurances
- Facilitate creation of organizational hierarchies

**Data Retrieval by Grantees**
- Grantee institutions to retrieve data from IMPAC II to populate their systems
Potential New Capabilities for FY06

Corrections to e-applications
- Full replacement, addenda, and replacement of PDF attachments
- Enable changes to structured data in e-apps via the eXchange involves regenerating grant image
- Begin with verification-to-review, then extend from to review-to-award

Digital Signatures
- Important to expanding new applications and accepting electronic progress reports via the eXchange
- Current PI verification process is not sustainable
- Long-term approach would be needed for multiple PI if signatures required for each
- Follow directions from federal wide e-authentication efforts
Potential New Capabilities for FY06

Consolidated Rules Engine for Edit Checks

- Solution to current process by which the validations of e-applications and other process are developed using custom code.
- Changing and adding new validations is costly and time-consuming.
- Approach to managing rules for different grants mechanisms and application types
- Will facilitate OPDIVs use of electronic receipt by providing an efficient way to manage and apply rules specific to OPDIVs
- Service will have project-wide use beyond e-submission
Questions or Comments?