Electronic Receipt Update
Presented to the CWG
May 22, 2005

Agenda

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

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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

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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

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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

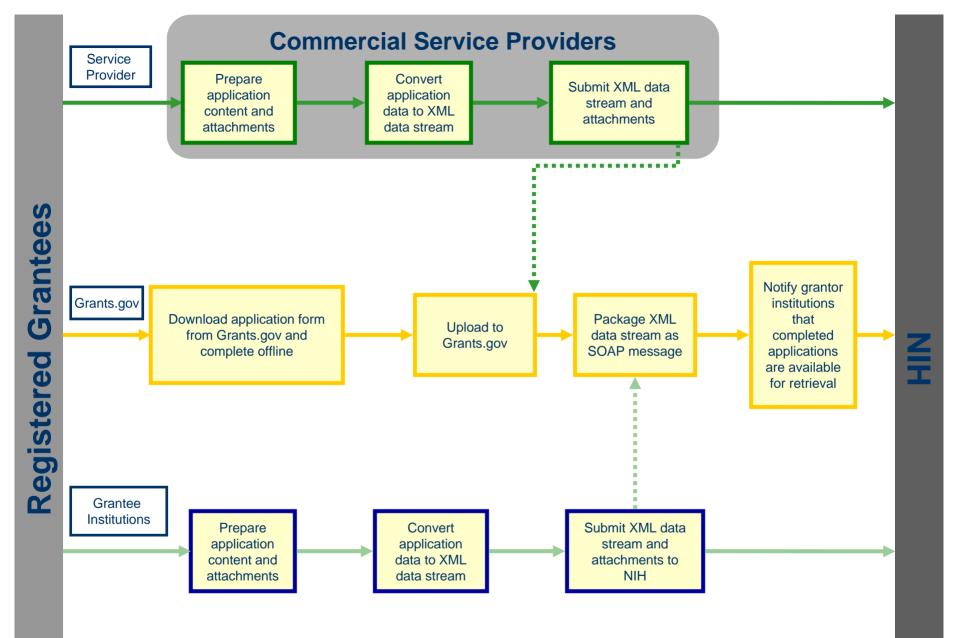May 22, 2005

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

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Registered Grantees

Commercial Service Providers

Service Provider → Prepare application content and attachments → Convert application data to XML data stream → Submit XML data stream and attachments →

Grants.gov → 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 →

Grantee Institutions → Prepare application content and attachments → Convert application data to XML data stream → Submit XML data stream and attachments to NIH →

HIN

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

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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

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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?

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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

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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

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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

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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

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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

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Questions or Comments?