Overview of Electronic Submission of Administrative Supplements

eRA Communications
Benefits of Electronic Type 3 Submission

• Meet NIH and Federal-wide goals for increasing electronic grant processes.
• Simplify application process to reduce burden on grantees.
• Enable NIH to handle increasing number of administrative supplement requests.
• Improve data collected for programs promoting diversity and reentry in the biomedical workforce.
Grantees are not required to use eSubmission options during pilot. Current paper process and existing IC submission systems remain available.

- To allow grantees the submission option during pilot ICs must allow submissions to come in electronically. Only applies to requests submitted in accordance with IC requirements.
- ICs may refuse requests submitted outside their deadlines, outside stated areas of interest, or lacking information required by IC.

Make sure to check with the IC before submitting regardless of mechanism to ensure you have the most recent and up-to-date information with regards to an Administrative Supplement Request.
Grantees have two options for submitting administrative supplement requests:

1. Through Grants.gov, allows users to leverage the same process used for competing grant application submissions – an especially nice feature for system-to-system users.

2. Through eRA Commons, a streamlined process where much of the application is pre-populated with information from the parent grant data and you are guided step by step through the rest of the application.
Applicant View: Grants.gov

Supplement Request

- As usual, click on
- Download application package based on the parent award’s Activity Code.

<table>
<thead>
<tr>
<th>CFDA</th>
<th>Opportunity Number</th>
<th>Competition ID</th>
<th>Competition Title</th>
<th>Agency</th>
<th>Instructions &amp; Application</th>
</tr>
</thead>
<tbody>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-FELLOWSHIP-B1</td>
<td>For all F’s</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-TRAINING-T-BUDGET-B1</td>
<td>For T15, T32, T34, T35, T36</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-TRAINING-RR-BUD-ONLY-B1</td>
<td>For K12, T37, KM1</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-TRAINING-DUAL-BUDGET-B1</td>
<td>For D71, D43, T01, T02, T03, T14, T42, T90, U2R, T02</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-INSTRUMENTATION-B1</td>
<td>For S10</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-DIRECTION-PIONEER-B1</td>
<td>For DP1, DP2</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>TYPE3-ADOBE-FORM-B1B2</td>
<td>For R01R03(NIH)R1521R34G08R13/U13 R18/U18R21/R33 S11SC1SC2SC3SC4R42R43R44</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-ENDOWMENT-B1</td>
<td>For S21, S22</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-CONSTRUCTION-B2</td>
<td>For C06, G20, UC6</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-CAREER-DEV-K-B1</td>
<td>For K02, K05, K24, K26, K01, K07, K08, K18, K22, K23, K25, K99</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
<tr>
<td>93.389</td>
<td>PA-08-333</td>
<td>SUPPLEMENT-TYPE3-TARGET-RESEARCH-B1</td>
<td>For DP3</td>
<td>National Institutes of Health</td>
<td>download</td>
</tr>
</tbody>
</table>
Applicant View: Grants.gov

Supplement Request

- Complete following FOA and Application Guide instructions.
Streamlined System for “Simple Supplements” via Commons

• Available for use in all programs currently accepting electronic submissions.
• Optimized for the majority of administrative supplements requesting only small amounts of money for simple additions, such as:
  – Adding personnel, particularly candidates for the diversity and re-entry programs.
  – Replacing or upgrading equipment
  – Purchasing additional supplies
Streamlined System for “Simple Supplements” via Commons

- PD/PIs, ASSTs or SOs will access an existing grant on the Commons and see a link to the Supplement Request module.
- Module will include web-based system for data entry.
- PD/PI and ASST can fill out but only SO can submit.
- NIH will route the application directly to the awarding IC (and notify the proper NIH staff) who will consider the request.
Applicant View: Streamlined Supp Requests via Commons

- PI, Delegate, or SO accesses parent award in Commons and clicks on “Admin Supp” to see list of grants eligible for supplements.

![Administrative Supplements – List of Eligible Grants](image-url)
Applicant View: Streamlined Support Requests via Commons

Initiate Application Supplement

- IC and serial number of grant to be supplemented
  (example entry: CA987654)
- Anticipated Start Date
  (enter in MM/DD/YYYY format)
- Anticipated End Date
  (enter in MM/DD/YYYY format)
- Funding Opportunity Announcement this request is in response to
  (example entry: PA-XX-XXX)

Is this request for a diversity or re-entry supplement? [ ] Yes [ ] No

For supplements to increase diversity or promote reentry provide the following:

Commons Username
First Name
Middle Name
Last Name

Attach applicant biosketch
Attach applicant eligibility statement
Attach research experience plan

Clicking “Yes” makes Diversity/Reentry fields available.

Commons Username required both to allow pre-population AND to collect for future reporting.

Corresponds to data elements in existing FOAs.
Applicant View: Streamlined Support Requests via Commons

- Accepts any FOA-specific or IC-requested uploads as PDF files.

- No form available for subawards in Phase I. Subrecipients attach PDF file in any appropriate format.

- "Go" opens budget pages for selected year.

- If the page has a "Save" button, be sure to click it before moving on to the next item.
Applicant View: Streamlined Supplement Requests via Commons

### Main Budget Forms Screen
- Main Budget Forms screen shows overall line-item request.
- Edit navigates to the data-entry screen for that line-item.

### Navigation Bar
- Navigation bar (at top and bottom of screen) navigates between main summary screen and the data-entry screens for each line item.

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**Budget Forms**
- You selected this request for the **Recipient or Subrecipient**
- **Edit**

<table>
<thead>
<tr>
<th>Cumulative Administrative Supplement Funds Requested</th>
<th>Totals ($)</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$0</td>
<td><strong>Edit</strong></td>
</tr>
<tr>
<td>Equipment Purchases</td>
<td>$0</td>
<td><strong>Edit</strong></td>
</tr>
<tr>
<td>Other Direct Costs</td>
<td>$0</td>
<td><strong>Edit</strong></td>
</tr>
<tr>
<td><strong>Total Direct Costs</strong></td>
<td><strong>$0</strong></td>
<td><strong>Edit</strong></td>
</tr>
<tr>
<td><strong>Total F&amp;A (Indirect) Costs</strong></td>
<td><strong>$0</strong></td>
<td><strong>Edit</strong></td>
</tr>
<tr>
<td><strong>Total Costs</strong></td>
<td><strong>$0</strong></td>
<td></td>
</tr>
</tbody>
</table>

---

**Additional Recipient F&A Costs**
- (only when activities will occur at a subrecipient organization)
- **Edit**

| Recipient Indirect Cost Base                          | $0         |
| Recipient F&A Cost Rate                               | 0%         |
| Additional Recipient F&A Costs                        | $0         |

**Total Administrative Supplement Funds Requested**
- $0

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Attach Budget Justification

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Save | View | Check for Errors | View Routing History | Route to SO | Cancel | Delete

---

Supplement Summary | **Personnel** | **Equipment Purchases** | **Other Direct Costs** | **F&A (Indirect) Costs** | **Additional Recipient F&A Costs**
### Applicant View: Streamlined Supplement Requests via Commons

#### Tabs for navigating budget forms.

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Equipment</th>
<th>Travel</th>
<th>Participant/Trainee</th>
<th>Other Direct</th>
<th>Total Direct Costs</th>
<th>Total F&amp;A (Indirect) Costs</th>
<th>Total Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

#### All Budget Pages include running total requested at top.

**Instructions for Senior and Key Personnel**

Complete the form below with information on the Senior and Key Personnel for this FOA. You may add up to ten people. *Required field(s)

**Commons**

- **ID**
- **Pre-populate**
- **First Name**
- **Middle Name**
- **Last Name**
- **Role**
  - Please Select a Role
- **Other Role**

- **Person-Months Requested**
- **Base Salary**
- **Requested Salary**
- **Fringe Benefits**
- **Funds Requested**

**Add**  **Clear**

**Instructions for Other Personnel**

Complete the form below with information for Other Personnel for this supplement request. You may add up to ten project roles.

- **# of Other Personnel**
- **Role(s)**
- **Person-Months Requested**
- **Requested Salary**
- **Fringe Benefits**
- **Funds Requested**

**Add**  **Clear**

**Total Personnel Requested**  **Total Personnel Funds Requested**  **$0**
Step 1: Add Sr./Key Person or Other Personnel Role.

Step 2: Click Add to see each item and allow next entry.

Step 3: See running total increase each time.

Step 4: Click on next budget line item.
List each equipment item and funds requested separately, and click Add. Screen updates with requested funds and clears fields for next entry.
Foreign and Domestic travel are listed separately as done in the R&R Budget.
Applicant View: Streamlined Supp Requests via Commons

This section included for consistency with R&R budget forms but will rarely be used.
**Applicant View: Streamlined Support Requests via Commons**

### Other Direct Costs for Budget Period 1

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Equipment</th>
<th>Travel</th>
<th>Participant/Trainee</th>
<th>Other Direct</th>
<th>Total Direct Costs</th>
<th>Total F&amp;A (Indirect) Costs</th>
<th>Total Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>$50,000</td>
<td>$1,000</td>
<td>$1,000</td>
<td>$600</td>
<td>$9,000</td>
<td>$61,600</td>
<td>$0</td>
<td>$61,600</td>
</tr>
</tbody>
</table>

#### Instructions for Other Direct Costs

- **Materials and Supplies:** List total funds requested for materials and supplies. In the budget justification, indicate general categories such as glassware, chemicals, animal costs, including an amount for each category. Categories less than $1000 are not required to be itemized.

- **Fee:** Only those grants that are R41, R42, R43, R44, U43, or U44 may enter fees.

<table>
<thead>
<tr>
<th>Materials and Supplies</th>
<th>Subawards/Consortium/Contractual Costs</th>
<th>Consultant Services</th>
<th>ADP/Computer Services</th>
<th>Publication Costs</th>
<th>Equipment or Facility Rental/User Fees</th>
<th>Alterations and Renovations</th>
<th>Fee</th>
<th>Total Other Direct Costs Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>$3,000</td>
<td>$1,500</td>
<td></td>
<td></td>
<td>$500</td>
<td>$4,000</td>
<td></td>
<td></td>
<td>$9,000</td>
</tr>
</tbody>
</table>

**Fee only available for R41, R42, R43, R44, U43, and U44 Parent awards**

Subaward costs not calculated from subaward budgets

[Return to Main Page]
Applicant View: Streamlined Support Requests via Commons

**F&A Indirect Costs for Budget Period 1**

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Equipment</th>
<th>Travel</th>
<th>Participant/Trainee</th>
<th>Other Direct</th>
<th>Total Direct Costs</th>
<th>Total F&amp;A (Indirect) Costs</th>
<th>Total Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>$50,000</td>
<td>$1,000</td>
<td>$1,000</td>
<td>$600</td>
<td>$9,000</td>
<td>$61,600</td>
<td>$10,000</td>
<td>$71,600</td>
</tr>
</tbody>
</table>

**Instructions for Indirect (F&A) Costs**

You may add up to 4 Indirect (F&A) Costs.

<table>
<thead>
<tr>
<th>Indirect Cost Type</th>
<th>Indirect Cost Base $</th>
<th>Indirect Cost Rate %</th>
<th>Indirect Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type 1</td>
<td>12,000</td>
<td>50%</td>
<td>6,000</td>
</tr>
<tr>
<td>Type 2</td>
<td>10,000</td>
<td>30%</td>
<td>3,000</td>
</tr>
<tr>
<td>Type 3</td>
<td>4,000</td>
<td>25%</td>
<td>1,000</td>
</tr>
</tbody>
</table>

Indirect Costs auto-calculated from base and rate provided.
Completing the Streamlined Request

- Return to “Home” tab to view summary of all budget and administrative data.
  - “Save” stores request information in Commons
  - “View” displays a printable PDF of the draft request
  - “Check for Errors” identifies errors and warnings that need to be addressed
  - PD/PI may “Route to SO” for review and submission
  - SO may “Route to PD/PI” with comments
  - “Cancel” clears the screen without saving data
  - “Delete” removes draft request from Commons
  - “Submit” routes official submission to NIH (SO only)
Completing the Streamlined Request

Budget Justification

Attach Budget Justification

Add Attachment  Delete Attachment  View Attachment

Budget Period

Select a budget period  Period 1  Go

Cumulative Administrative Supplement Funds Requested

<table>
<thead>
<tr>
<th>Cost</th>
<th>Totals ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$ 50,000</td>
</tr>
<tr>
<td>Equipment</td>
<td>$ 1,000</td>
</tr>
<tr>
<td>Travel</td>
<td>$ 1,000</td>
</tr>
<tr>
<td>Participant/Trainee Support Costs</td>
<td>$ 600</td>
</tr>
<tr>
<td>Other Direct Costs</td>
<td>$ 9,000</td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td>$ 61,600</td>
</tr>
<tr>
<td>Total F&amp;A (Indirect) Costs</td>
<td>$ 10,000</td>
</tr>
<tr>
<td>Total Administrative Supplement Funds Requested</td>
<td>$ 71,600</td>
</tr>
</tbody>
</table>

Options Menu

Complete each budget period, return to this main menu, and add any additional budget periods (up to the current project period end date)

Total budget request appears on main screen as entered in budget tabs.
**Administrative Supplement Request**

**Cover Page section, must be first page**

**DRAFT**

### ADMINISTRATIVE INFORMATION

- **Grant Number:** 12345-67890-12
- **Requested Supplement Period:** From: M/M/D/YYYY To: M/M/DD/YYYY
- **PI**:
- **DUNS:**
- **FDA #:** NOT-00-00-0000
- **Date Submitted:** M/M/DD/YYYY

### Project Title:

- **Principal Investigator:** Michael D. Smith, M.D., Colorado State University, Journalism and Technical Communication, Fort Collins, CO 80523
- **Phone Number:** 999-999-9999
- **Fax Number:** 999-999-9999
- **Email Address:** mjs@institute.edu

### Applicant Organization:

- **Department:** Radiology
- **Major Subdivision:** Pediatrics

### Administrative Official:

- **Name:**
- **Role:**
- **Phone Number:** 999-999-9999
- **Fax Number:** 999-999-9999
- **Email Address:** smj@institute.edu

### Human Subjects:

- **Human Subjects:** [ ] No [ ] Yes
- **Verifiable Animals:** [ ] No [ ] Yes
- **Research Exempt:** [ ] Yes [ ] No
- **Exemption #:** E4
- **FWA Number:** 12345678901

### Phase III Clinical Trial:

- [ ] Yes [ ] No

### Budget Information:

#### Personnel

<table>
<thead>
<tr>
<th>Senior/Key Personnel Requested</th>
<th>Name</th>
<th>Role</th>
<th>Base Salary</th>
<th>Requested Salary</th>
<th>Fringe Benefits</th>
<th>Funds Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>000,000</td>
<td>000,000</td>
<td>000,000</td>
</tr>
</tbody>
</table>

### Other Direct Costs:

- **Materials and Supplies Requested:** 000,000
- **Travel Requested:** 000,000
- **Other Cost Requested:** 000,000

### Equipment:

- **Equipment Item Requested:**
  - Item 1: 000,000
  - Item 2: 000,000
  - Item 3...up to 10: 000,000
- **Total Equipment Cost Requested:** 000,000

### Other Direct Costs Requested by Sub-recipient:

<table>
<thead>
<tr>
<th>Indirect Cost Base</th>
<th>Indirect Rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>000,000,000</td>
<td>0%</td>
<td>000,000,000</td>
</tr>
<tr>
<td>000,000,000</td>
<td>0%</td>
<td>000,000,000</td>
</tr>
</tbody>
</table>

### TOTAL SUPPLEMENTAL FUNDS REQUESTED:

- 000,000,000

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*Note: The document is a draft and contains placeholders for specific values.*
Applicant View: Streamlined Supp Requests via Commons

- Once submitted, status viewable in Commons by SO, PD/PI, and delegate.
- Awarded type 3s visible but those awarded as Type 5s will not update in Commons in Phase I.
Overview of Electronic Submission of Administrative Supplements

Thank you

eRA Communications