New Application Process for FY 2018 SAMHSA Grant Applicants

Presented by:
Substance Abuse and Mental Health Services Administration (SAMHSA) and the National Institutes of Health (NIH)
Speakers

• Holly Rogers
  – SAMHSA Project Manager

• Odessa Crocker
  – Grants Management Officer, SAMHSA’s Office of Financial Resources/Division of Grants Management

• Jason
  – Business Analyst, NIH eRA
Agenda

• **Section 1 of Webinar: Video Recording**
  – Webinar Objectives
  – SAMHSA’s Transition to NIH’s eRA System
  – Funding Opportunity Announcement (FOA) Updates
  – Application and Registration Processes
  – Requirements and Validations
  – Post-Submission Process
  – Summary and Helpful Resources

• **Section 2 of Webinar:**
  – Essential components of completing the SF424 and the SF424A
  – Question and Answer (Q&A) Session
New FY2018 Discretionary Grant Program Applicants
SAMHSA Grant Programs can be found at the SAMHSA site at
https://www.samhsa.gov/grants
Webinar Objectives

- Understand SAMHSA’s transition to NIH’s eRA Commons
- Understand all required registration processes (DUNS, SAM, Grants.gov and eRA Commons registrations)
- Understand all requirements and validations to successfully submit applications via Grants.gov and eRA Commons
SAMHSA’s Transition to NIH’s eRA system

- SAMHSA’s transition to the NIH’s eRA systems allows the agency to centralize and automate its grants management business practices
- NIH’s eRA systems allows SAMHSA applicants and recipients to view and monitor progress on their applications and awards
- NIH’s eRA systems supports SAMHSA’s full grants lifecycle
- NIH’s eRA systems are used by SAMHSA’s applicants, recipients and federal staff
• **What is eRA?**
  - eRA provides IT infrastructure to manage grants awarded by NIH, SAMHSA, and other grantor agencies
  - eRA systems, including eRA Commons, ASSIST and IMPAC II modules, support the full grants life cycle and are used by applicants and grantees worldwide as well as federal staff at the NIH, AHRQ, the CDC, FDA, SAMHSA, and VA.

• **Benefits of using eRA Commons**
  - Applicants can manage their grant portfolios in one place
  - Allows grantees to find application status information (i.e., warnings or errors on application)
  - Provides NOA, Post Award Reporting and Grant Closeout Information
FOA Updates

- Funding Opportunity Announcement (FOA) = Funding Opportunity Announcement (FOA)
- Changes have been made to the application registration, submission and data formatting requirements, which can be found in the **FOA in Section IV and Appendices A and B.**
1. Complete all required registration processes with Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS Number), System for Award Management (SAM), Grants.gov, and eRA Commons

2. Complete your application using eRA ASSIST, Grants.gov Workspace, or another system-to-system provider (PDF application packages used in previous years will not be supported by Grants.gov after December 31, 2017)

3. Submit application. Successfully submitted applications will then proceed to the NIH eRA Commons where they will go through data validation checks

4. Once your submitted application is successfully validated by Grants.gov and the NIH eRA Commons, it will be forwarded to SAMHSA as the receiving institution for further review
Registration, Submission and Validation Timeline

1. D&B
2. SAM.gov
3a. Grants.gov
3b. eRA Commons

Submission and validations can take anywhere from several minutes to several hours

Allow 6 weeks to complete
The following registrations must be completed and active before the time of submission:

1. Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS Number) Registration
2. System for Award Management (SAM) Registration
3a. Grants.gov Registration (Username and Password)
3b. eRA Commons (Organization and Individual) Registration

Allow a minimum of 6 weeks to complete all registrations
1. DUNS Registration Process

- **Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS Number)**
  - All applicant organizations must obtain a free, D&B DUNS number as the Universal Identifier when applying for Federal grants or cooperative agreements
  - It is used to uniquely identify your business/ institution
  - See the D&B DUNS website for registration timeline

- **Begin registration process at:**
  - [http://fedgov.dnb.com/webform](http://fedgov.dnb.com/webform)
  - Telephone Number: 866-705-5711
2. SAM Registration Process

- **System for Award Management (SAM)**
  - It is the primary registrant database for the Federal government and is the repository into which an entity must provide information required for the conduct of business as a recipient
  - Register your entity (i.e. organization) to do business with the Federal Government
  - An active and verified SAM registration is required for Grants.gov registration

- **SAM registration must be renewed annually to keep Grants.gov credentials active**
  - [www.sam.gov](http://www.sam.gov)
  - US Calls: 866-606-8220
  - International Calls: 334-206-7828
3a. Grants.gov Registration Process

• **Grants.gov (Username and Password)**
  - Federal-wide portal to find and apply for Federal grant funding
  - Prior to registering with Grants.gov, you must obtain a DUNS number and register in SAM
  - Person submitting application must be registered with Grants.gov as the Authorized Organization Representative (AOR) for specific DUNS number cited on SF-424

• **All applications must be submitted via Grants.gov**
  - US Calls 1-800-518-4726 | International Calls: 606-545-5035
3b. eRA Commons Registration Process

- **Electronic Research Administration (eRA Commons)**
  - [public.era.nih.gov/commons](http://public.era.nih.gov/commons)
  - Agency system that allows SAMHSA and its applicants and grantees to share application/grant information
  - Used by NIH, SAMHSA and other HHS divisions (e.g. CDC)
  - One time registration

- **Search for current eRA Commons registration**
  - [public.era.nih.gov/chl/public/search/ipfNumberByOrgName.era](http://public.era.nih.gov/chl/public/search/ipfNumberByOrgName.era)

- **Complete the Online Registration Process**
3b. eRA Commons Registration Process

Welcome to the Commons

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at Ask.
- Electronic Application Submission: To learn about completing and submitting your application.
- eRA Home Page: To find Commons FAQs, User Guides, training materials, and system maintenance.

Commons Related Resources

- Reference Letters: To submit a reference letter when requested by an applicant.
- Demo Facility: Demo Facility allows you to try most of the capabilities of the NIH Commons.

Online Registration

Only Signing Officials can register their institutions with the NIH. Follow these directions to register your institution.

1. Complete the online Institution Registration Form and click Submit.
2. Agency will send you an email with the link to confirm your email address.
3. Once email address is verified, the Agency will review your request and let you know of the result via email.
4. If your request is denied, you will get an email notifying you of the reason.
5. If your Request is approved, you will get an email with your Commons user id and temporary password.
6. Log in to Commons with temporary password and system will prompt you to change temporary password to the permanent one. Principle Signing Official will be prompted to electronically sign your registration request. (Please review your registration information carefully).
7. Once Principle Signing Official has electronically signed the request, your organization will be active in Commons and you may Create and maintain additional accounts for your institution staff.

Register Now
3b. eRA Commons Registration Process

Register Institution

Welcome to the eRA Commons On-Line Registration Process.

This process will register your institution into the eRA Commons and establish up to two accounts for your institution. Selected staff at your institution can then create additional accounts appropriate to the needs of your institution.

Before registering your institution, please read through the registration material provided here. It is recommended that you print a copy of this page to use as a reference when completing the form. To print a copy select the "Print button" on your browser button bar or select "FilePrint" from the menu bar.

* indicates required field

DUNS Number:
Institution Name:
Street 1:
Street 2:
Street 3:
Street 4:
Closest E-mail:
NeA E-mail:
City:
State: (20873) or (20873423)
Country: UNITED STATES

Principal Signing Official

Name Prefix:
First Name:
Middle Name:
Last Name:
Title:
User Name:
Phone:
Fax:
E-mail:

Accesso Administrator

This entire section is optional; however, if any information is entered, then all required fields must be entered.

Name Prefix:
First Name:
Middle Name:
Last Name:
Title:
User Name:
Phone:
Fax:
E-mail:

Save Reset Cancel
3b. eRA Commons Registration Process

- The AOR from the SF-424 or the Business official listed on HHS Checklist that registered the organization in Commons will have the SO (Signing Official) Role

- Create as many accounts with the SO role as necessary to support business needs

- Business Official listed on HHS Checklist must have SO role in Commons

- The SO is responsible for maintaining institutional information, submitting documents that require signature authority to act on behalf of the organization, and managing accounts
3b. Creating New eRA Commons Accounts

Register
Download Application
Requirements/ Validations
Post-Submission
3b. Assigning Roles to New Accounts

### AMS | Add Roles

**Organization**

- Whatsamatta U

**Role(s) (to multi-select, please use ctrl or shift keys)**

- AA - Accounts Administrator
- AO - Administrative Official
- ASST - PI Assistant
- BO - Business Official
- FCOI - External FCOI Officer
- FCOI_ASST - Financial Conflict of Interest (FCOI) External Assistant role
- FCOI_VIEW - Financial Conflict of Interest (FCOI) External View role
- FSR - Financial Reporting users
- GRADUATE_STUDENT - Graduate Student
- PACR - Public Access Compliance Role
- PI - Principal Investigator

[Add Role(s) button] [Close button]
3b. Affiliating Accounts in Commons

Search Accounts

Search Results

User ID | Name | Email | Account Status | Roles & Affiliations | Action
---|---|---|---|---|---
LESKOS | Lesko, Samuel M | erASstage@mail.nih.gov | Active | PI - Northeast Regional Cancer Institute | Manage

Create New Account

Roles

Role(s) | Organization(s)
---|---
PI | Northeast Regional Cancer Institute

Save | Cancel

Reset Password
PD/PI Commons ID for Application

- Create or affiliate a Commons account with the PD/PI Role in Commons for the PD/PI listed on HHS Checklist.

- This is the Commons ID that should be entered on the SF 424, #4 Applicant Identifier:

Apply using ASSIST or Grants.gov

- Required and optional forms are delivered through eRA ASSIST, Grants.gov Workspace, or another system-to-system provider.

- Additional forms for Submission can be found on the SAMHSA website: [http://www.samhsa.gov/grants/applying/forms-resources](http://www.samhsa.gov/grants/applying/forms-resources)

- Data validations are run on all forms in the Application Package
ASSIST

• There are several ways applicants can submit their applications to SAMHSA: eRA ASSIST, Grants.gov Workspace, or another system to system provider.

• You can use the ASSIST system to prepare, submit and track your application online.

• Regardless of your submission method, applications will be subject to the same registration requirements, completed with the same data items, routed through Grants.gov, validated against the same agency business rules, assembled in a consistent format for review consideration and tracked in eRA Commons.
ASSIST

• ASSIST is a web-based system used to prepare applications using the SF424 form set and to submit electronically through Grants.gov

• ASSIST allows applicants to:
  – Leverage current eRA Commons credentials to access ASSIST
  – Delegate application preparation responsibilities to multiple users within and outside the applicant organization while maintaining appropriate access control and security
  – Populate data from established eRA Commons profiles
  – Run validations on federal-wide and agency business rules prior to submission
  – Generate Table of Contents, headers, footers, page numbers, etc. automatically
  – Present to reviewers clear, color PDF images rather than scanned versions of the application

• For more information on ASSIST, go to:
  https://era.nih.gov/erahelp/ASSIST/Default.htm
Required Application Documents/ Components

• Applications must include the following required application components

• Refer to FOA – Appendix A for detailed list of required documents for application submission

<table>
<thead>
<tr>
<th>#</th>
<th>Required Documents and Forms</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>SF-424 (Application for Federal Assistance) Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>2</td>
<td>SF-424 A (Budget Information – Non-Construction Programs) Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>3</td>
<td>SF-424 B (Assurances for Non-Construction) Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>4</td>
<td>Disclosure of Lobbying Activities (SF-LLL)</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>5</td>
<td>HHS Checklist</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>6</td>
<td>Project/Performance Site Location(s) Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>7</td>
<td>Project Abstract Summary Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>8</td>
<td>Project Narrative Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>9</td>
<td>Budget Narrative Attachment Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
<tr>
<td>10</td>
<td>Other Attachments Form</td>
<td>ASSIST, Workspace, or other system to system provider</td>
</tr>
</tbody>
</table>
Required Application Documents and Components

- For each of the following application components, attach each document (Adobe PDF format only) using the Other Attachments Form.

<table>
<thead>
<tr>
<th>#</th>
<th>Required Documents and Forms</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Certifications</td>
<td>SAMHSA Website</td>
</tr>
<tr>
<td>2</td>
<td>HHS 690 Form</td>
<td>SAMHSA Website</td>
</tr>
<tr>
<td>3</td>
<td>Charitable Choice Form SMA 170</td>
<td>SAMHSA Website</td>
</tr>
<tr>
<td>4</td>
<td>Biographical Sketches</td>
<td>FOA Appendix</td>
</tr>
<tr>
<td>5</td>
<td>Confidentiality and SAMHSA Participant Protection/ Human Subjects</td>
<td>FOA Appendix</td>
</tr>
<tr>
<td>6</td>
<td>Additional Documents</td>
<td>FOA Section Four</td>
</tr>
</tbody>
</table>
Application Data Formatting Requirements

- List of New Application Formatting Requirements (eRA Commons Validations)

- Refer to FOA – Appendix B for detailed list and description of validations

<table>
<thead>
<tr>
<th>#</th>
<th>Application Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Applicant Identifier: The Commons Username provided in the Applicant Identifier field on the SF 424 for the PD/PI must be valid and affiliated with the organization (matching on the Org Primary DUNs).</td>
</tr>
<tr>
<td>2</td>
<td>DUNS numbers: The DUNS number provided on any forms must have valid characters (9 or 13 numbers with or without dashes).</td>
</tr>
<tr>
<td>3</td>
<td>Submit required documentation for the FOA.</td>
</tr>
<tr>
<td>4</td>
<td>Check the “Changed/Corrected Application” box in the SF424 form after making changes/corrections to resubmit an application.</td>
</tr>
<tr>
<td>5</td>
<td>Applications cannot be larger than 1.2GB</td>
</tr>
<tr>
<td>6</td>
<td>The Funding Opportunity Announcement (FOA) number must exist.</td>
</tr>
<tr>
<td>7</td>
<td>All documents and attachments must be in PDF format.</td>
</tr>
</tbody>
</table>

Refer to FOA-Appendix B for full list of validations
Application Data Formatting Requirements

- List of New Application Formatting Requirements (eRA Commons Validations)

- Refer to FOA – Appendix B for detailed list and description of validations

<table>
<thead>
<tr>
<th>#</th>
<th>Application Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>SF424-A: Section A – Budget Summary</td>
</tr>
<tr>
<td>16</td>
<td>SF424-A: Section B – Budget Categories</td>
</tr>
<tr>
<td>17</td>
<td>SF424-A: Section D – Forecasted Cash Needs</td>
</tr>
<tr>
<td>18</td>
<td>SF424-A: Section E – Budget Estimates Of Federal Funds Needed For Balance of The project</td>
</tr>
</tbody>
</table>
Post-Submission Process Cont’d

- eRA Commons will notify the Business Official and PD/PI listed on the HHS checklist, and the AOR listed on the SF-424
- Types of submission notifications from eRA Commons:

<table>
<thead>
<tr>
<th>Notification</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acknowledgement</td>
<td>Your application was received by eRA Commons</td>
</tr>
<tr>
<td>Validation Notice</td>
<td>A. No errors or warnings – application moves forward</td>
</tr>
<tr>
<td></td>
<td>B. Warnings only – application moves forward but you may want to take a</td>
</tr>
<tr>
<td></td>
<td>second look at some items</td>
</tr>
<tr>
<td></td>
<td>C. Errors and warnings – application will not move forward until you make</td>
</tr>
<tr>
<td></td>
<td>updates to correct errors and submit a Changed/Corrected Application</td>
</tr>
<tr>
<td></td>
<td>before the deadline</td>
</tr>
<tr>
<td>System Error Alert</td>
<td>Something went wrong with our system</td>
</tr>
</tbody>
</table>
• Mark application as Changed/Corrected whenever you update an application that is already submitted

### Application for Federal Assistance SF-424

<table>
<thead>
<tr>
<th>* 1. Type of Submission:</th>
<th>* 2. Type of Application:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preapplication</td>
<td>New</td>
</tr>
<tr>
<td>Application</td>
<td>Continuation</td>
</tr>
<tr>
<td>Changed/Corrected Application</td>
<td>Revision</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* 3. Date Received:</th>
<th>4. Applicant Identifier:</th>
</tr>
</thead>
</table>


eRA Service Desk Information

Service Desk can help with eRA Commons registration, viewing application status, documenting system problems that threaten submission by the due date, post submission issues:

<table>
<thead>
<tr>
<th>Submit a web ticket:</th>
<th>Contact Service Desk via phone:</th>
<th>Find additional Service Desk Information on the eRA Commons Page:</th>
</tr>
</thead>
<tbody>
<tr>
<td><a href="http://grants.nih.gov/support/index.html">http://grants.nih.gov/support/index.html</a></td>
<td>1-866-504-9552 (toll-free) or 301-402-7469</td>
<td>public.era.nih.gov/commons</td>
</tr>
<tr>
<td><strong>Business hours are M-F 7am-8pm Eastern Time</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- For programmatic questions, please contact the SAMHSA contact listed in the FOA. The Service Desk can help you find this information if you need assistance.
- When contacting the Service Desk, please **specify** that it is a “SAMHSA grant application” related issue.
eRA Service Desk Information

eRA Service Desk (formerly the eRA Commons Help Desk):

Submit a Web Ticket

(preferred method of contact)

Toll-free: 1-866-504-9552 (Press 1 for eRA Commons or ASSIST and 3 for iEdison)
Phone: 301-402-7469 (Press 1 for eRA Commons or ASSIST and 3 for iEdison)
Hours: Mon-Fri, 7 a.m. to 8 p.m. Eastern Time (closed on federal holidays)

Contact for information/questions on:

- ASSIST
- eRA Commons
- eRA Commons Registration
- eRA errors and warnings
- Application Status
- Post-award administration

If you need immediate help (i.e. you are within two days of a deadline or in the event of a security emergency), call us. Note that the Help Desk’s busiest hours are between 10 a.m. ET and 3 p.m. ET.
To Contact the eRA Service Desk, please complete the online request form below.

If you have a Commons account please click here to log in to the eRA Service Desk Web Ticketing system.

* Required field(s)
* First Name
  Middle Name
* Last Name
* Email Address
* Phone Number
* I need help with

Please select an issue

* Description
(maximum of 2000 characters)

Contact Preference

No Preference

Submit
ASSIST Help Desk Information

• ASSIST Help Desk Contacts:
  - Access the ASSIST Online Help Site at: https://era.nih.gov/erahelp/assist/
  - Or contact the eRA Service Desk
1. Allow 6 weeks minimum to complete all four registrations: DUNS, SAM, Grants.gov and eRA Commons.

2. Download required forms from the application package in Grants.gov and the SAMHSA website.

3. All application attachments MUST be in PDF format and submitted as individual files. Other formats (e.g., Excel, Microsoft Word) are not accepted by eRA Commons.

4. Grants.gov and eRA Commons will conduct a series of data validations checks to ensure all the required data is included and in a format that can be processed electronically through Grants.gov and eRA Commons.

5. Commons ID for the PD/PI should be entered on the SF 424, field #4 Applicant Identifier.
Additional Resources

- **SAM Registration Quick Start Guide:**

- **Grants.gov Video Series:**

- **NIH Links:**
  - [https://era.nih.gov/reg_accounts/register_commons.cfm](https://era.nih.gov/reg_accounts/register_commons.cfm)
  - [https://era.nih.gov/files/eRA_Commons_Roles.pdf](https://era.nih.gov/files/eRA_Commons_Roles.pdf)
Completing the SF-424 and SF-424A

- Applicants are required to complete the SF-424 and the SF-424A Form - Budget Information – Non-Construction Programs
Completing the SF-424

• In Line #17 of the SF-424 please input the following information: (Proposed Project: a. Start Date: 9/30/2018; b. End Date: 9/29/20XX).
• Please note the end date needs to coincide with the number of years for the program. For example:
  o 3 year program will have an end date of 9/29/2021
  o 4 year program will have an end date of 9/29/2022
  o 5 year program will have an end date of 9/29/2023
Completing the SF-424A

• **Section A - Budget Summary**: Use the first row only (Line 1) to report the total federal funds and non-federal funds requested for the 1st year of the project only.

• **Section B – Budget Categories**: Use the first column only (Column 1) to report the budget category breakouts (Lines 6a through 6h) and indirect charges (Line 6j) for the total funding requested for the 1st year of the project only.

• **Section D – Forecasted Cash Needs**: This section is the year one requested amount. Enter the amount of cash needed by quarter for the 1st year. The column, “Total for 1st Year”, should equal the annually requested amount (federal and non-federal) for Year 1 of the project period.

• **Section E – Budget Estimates of Federal Funds Needed for Balance of the Project**: This section is for the amount requested for Year 2, Year 3, Year 4, and Year 5.
Do you have any questions?

Please type your questions into the Q&A box located to the right of the screen in the webinar control panel, and we will do our best to answer your questions.
Thank you!

The presentation slides, recording, and transcript of the webinar will be available for download on the SAMHSA Grants Page Under FY 2018 Grant Announcements.