Training Outline

• Class Overview
• Multi-Component NIH Submission Definition
• Submitting a Multi-Component Application to NIH
• Resources

Learning Objectives

• Understand the definition of Multi-Component application
• Understand how to create a Multi-Component application in NIH ASSIST
• Know the required elements of a NIH Multi-Component application
• Know where to find helpful resources
Handouts

• Today’s Presentation
• Submitting a Multi-Component Application to NIH Toolkit
• Getting Started: Preparing Your Multi-project Application Using ASSIST (from NIH)

What is a Multi-Component NIH Submission?

• Single submission with multiple, interrelated components
  • Each component could stand alone (scientifically)
    • However, resources are shared among components
  • Each component has it’s own budget
  • Synergy must provide added value
    • Whole is more than the sum of its parts
• Collaboration to achieve a common goal
• Support for shared resources providing services/resources to at least two research projects
  • Core resources or facilities
  • Program Projects/Center Grants (P series); Cooperative Agreements (U series)
• Uses the same forms as a single-component submission

Single-Component vs. Multi-Component

**Single-Component**

• May have different projects
• One budget for the entire submission
  • Unless Subawards: Subawards have their own budget

**Multi-Component**

• Single Overall Component
• At least one Other Component Type
  • Admin Core
  • Project
  • Core
• Summaries
  • Auto-generated from the individual components and Overall Component
  • Included in the agency assembled application
  • Helps reviewers and sponsor staff working with the application
Multi-Project Application: Overall Component

- Single Overall component
- Provides an overview of the entire application

Examples: P01, P20, P50

From Sheri Cummins May 2018 Presentation

Multi-Project Application: Component Types

Some number of additional component types
- Component types vary by opportunity
- Funding opportunity announcements indicate the types of components expected in a responsive application

From Sheri Cummins May 2018 Presentation

Multi-Project Application: Components

Some number of components within a component type
- Announcements indicate the required minimum and/or maximum number of components expected

From Sheri Cummins May 2018 Presentation
Getting Started

Plan and Coordinate the Application

Prepare the Application

Submit the Application

Create a Plan

Plan and Coordinate the Application

- Read the FOA and other sponsor guidelines
- Determine eRA system to use
- Identify campus grant writing/application preparation resources [Link]
- Determine needed information and assignments

Prepare the Application

- Identify project start/end dates
- Determine structure of application Component order
- Create the application shell
- Request and collect application documents and information
- Enter information for all components

Submit the Application

- Review the application and submit to SPO for review
- Incorporate SPO feedback
- Work with PI to finalize application package
- Work with SPO on submission to the sponsor
- Validate and preview the application
- Finalize the application

Create a Plan

- Read the Funding Opportunity Announcement (FOA) and Other Sponsor Guidelines
  - Read all of the guidelines
  - Program specific FOA
    - Institute & Center (IC) specific: IC webpage
    - Sponsor specific: NIH Application Guide [Link]
  - Identify important information, such as:
    - Deadlines
    - Eligibility
    - Project periods
    - Proposal stages (NCI and NIAID often require pre-proposals)
    - Required application elements
    - Required Components (Admin, Cores, etc.)
    - Submission methods
  - Consider using the New Application Checklist as you read the guidelines
Read all Guidelines
Consider using the New Application Checklist as you read the guidelines

Plan and Coordinate the Application

Determine the eRA System to Use

NIH ASSIST
- Strongly recommended
- Strong multi-budget tool
- Auto access for SPO, PDPIs, Component Leads and initiator in ASSIST
- Versatile access
  - Edit vs. view
  - Entire application or a specific component
  - Budget data vs. non-budget data

Cayuse 424
- Start by selecting the opportunity OR by creating a Multi-Project Application
- Create a application for each component
- Link the components to the Overall Component
- Must grant access to SPO
- Learn more in the Cayuse Help Center

Plan and Coordinate the Application

Identify Campus Resources
- Interdisciplinary Research Support unit, Office of Research
  (https://research.ucdavis.edu/offices/irs/)
  - Coordinates large and complex grant and contract application efforts
  - Interdisciplinary projects involving multiple schools, colleges, divisions or institutions
  - Works with the investigators throughout the entire application process
  - Development of research, education and outreach aims
  - Creating budgets and budget justifications
  - High-level and detailed editing
  - Facilitates submission process
  - Advises on internal and external policy
  - Creates checklists, outlines, production calendars
  - Collects and edits forms
  - Request IRS assistance (https://research.ucdavis.edu/offices/irs/request-irs-assistance/)
- Provides samples and templates (https://research.ucdavis.edu/offices/irs/help/)
Identify Campus Resources

- Grant Facilitation Services, SOM Office of Research (http://www.ucdmc.ucdavis.edu/medresearch/grant_facilitation.html)
  - Grant preparation and development, editing, and review (all mechanisms and funding agencies)
  - Support for collaborative efforts in grant development and symposia
  - NIH funding institute personnel and site navigation
  - Investigator outreach and program announcement interpretation
  - Notification and interpretation of new funding policies and requirements
  - Grant writing education
  - Career development applications
  - Manuscript editing
  - Reviews of summary statements and grant resubmissions - guidance for review appeals
  - Request Service by contacting any of the team members

Plan and Coordinate the Application

Determine Needed Information and Responsibilities

- Determine the number and type of Components required and allowed
- Determine what is needed (found in the program and sponsor guidelines)
  - Components to include
    - PD/PIs for entire application
    - Project lead for each component
    - Organization lead for each component
    - Project Title for each component
    - Application forms required
- Determine who is responsible for which task
- Set deadlines

Number and Type of Components

- Look at the FOA

Plan and Coordinate the Application

- Number and Type of Components
  - Look at the FOA

- Determine the number and type of Components required and allowed
- Determine what is needed (found in the program and sponsor guidelines)
  - Components to include
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    - Organization lead for each component
    - Project Title for each component
    - Application forms required
- Determine who is responsible for which task
- Set deadlines
### Multi-Component Required Forms

#### Overall Component
- SF424 (R&R)
- Project/Performance Sites
- R&R Other Project Info
- R&R Senior/Key Persons
- PHS 398 Cover Page Supplement
- PHS 398 Research Plan
- PHS Human Subjects and Clinical Trials Information

#### Other Components
- Indicated in the FOA for each component type
- SF424 (R&R)
- Project/Performance Sites
- R&R Other Project Info
- R&R Senior/Key Persons
- PHS 398 Cover Page Supplement
- PHS 398 Research Plan
- PHS Human Subjects and Clinical Trials Information
- R&R Budget

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**Research Project**

When preparing your application in ASSIST, use Component Type ‘Project’. All instructions in the SF424 (R&R) Application Guide must be followed, with the following additional instructions, as noted.

**SF424 (R&R) Cover (Research Project)**

Complete only the following fields:
- Applicant Information
- Type of Applicant (optional)
- Descriptive Title of Applicant’s Project
- Proposed Project Start/Ending Dates

**PHS 398 Cover Page Supplement (Research Project)**

Enter Human Embryonic Stem Cells in each relevant component.

**Research & Related Other Project Information (Research Project)**

Human Subjects: Answer only the ‘Are Human Subjects Involved?’ and ‘Is the Project Exempt from Federal regulations?’ questions.

Vertebrate Animals: Answer only the ‘Are Vertebrate Animals Used?’ question.

Project Narrative:
- Do not complete. Note: ASSIST screens will show an asterisk for this attachment indicating it is required. However, eRA systems only enforce this requirement in the Overall component and applications will not receive an error if omitted in other components.

**Project/Performance Site Location(s) (Research Project)**

List all performance sites that apply to the specific component.

Note: The Project Performance Site form allows up to 300 sites, prior to using additional attachment for additional entries.

**Research & Related Senior/Key Person Profile (Research Project)**

- In the Project Director/Principal Investigator section of the form, use Project Role of ‘Other’ with Category of ‘Project Lead’ and provide a valid eRA Commons ID in the Credential field.

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**Plan and Coordinate the Application**

- Build from the basic Application Checklist
- Consider a Production Calendar Plan and Coordinate the Application

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**Determine Needed Information and Responsibilities**

- Build from the basic Application Checklist
- Consider a Production Calendar Plan and Coordinate the Application

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Example Checklist

Plan and Coordinate the Application

Example Calendar

December 2017

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Plan and Coordinate the Application

Example Calendar

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Application Structure

- Order Components by flow of work
- Final package order
  - Overall component
    - Including system-generated summaries
    - Additional Components in alphabetical order
    - Cores
    - Projects
    - Components are identified by type and serial number

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Create the Application Shell in ASSIST

- Login to ASSIST
- Use your eRA Commons ID
- Contact spoerahelp@ucdavis.edu if you do not have an eRA Commons ID
Prepare the Application

Create the Application Shell in ASSIST

• Enter the FOA Number
• Select "Go"

Prepare the Application

Create the Application Shell in ASSIST

• Complete the application information
  • Title may be changed later
  • Populate the PI name from his/her eRA Commons ID (recommended)

Prepare the Application

Create the Application Shell in ASSIST

• Select "Initiate Application"
Prepare the Application

Create the Application Shell in ASSIST

• Add the Components
  • Select "Add New Component"

Prepare the Application

Create the Application Shell in ASSIST

• Select the Component Type, Dates and enter the Project Title
• Continue for all Components

Prepare the Application

Create the Application Shell in ASSIST

• Add the Components
  • Select "Add New Component"
Enter and Save Information for Components

- Select the Component

Prepare the Application

Enter and Save Information for Components

- Select each tab (within the Component) to access the associated screens
  - Actions are dependent in the Component type

Prepare the Application

Enter and Save Information for Components

- If needed, select “Add Optional Form” (subaward budget, assignment requests)
Prepare the Application

Enter and Save Information for Components

• Add date to form fields and upload documents
  • Select “Edit” on the relevant tab

Prepare the Application

Enter and Save Information for Components

• Save
  • Select “Save and Keep Lock” if continuing to work on that page
  • Select “Save and Release Lock” if leaving that page

Prepare the Application

Request and Collect Data

• Use the checklist and/or production calendar you created
• Setting deadlines
  • Set deadlines for:
    • Response to you for each item
    • Subaward materials
    • Entry in ASSIST
    • Submission to SPO
    • Submission to NIH
  • When setting deadlines, consider:
    • Time for reviewing/editing for compliance and voice/consistency
    • Time for delayed responses
    • Some Components/actions are more complex and need additional time
• Follow-up
Review and Submit the Application for SPO

Review
• Are the necessary materials and documents included?
• Create IPF in Cayuse SP (may do this earlier)
  • Select ASSIST as the submission method
  • Minimal documents for assignment in SPO:
    • FOA and other sponsor guidelines
    • Overall Summary/Scope of Work (may be draft)
    • Budgets for each Component
  • Tip: Use the OR Multi-Budget Template (https://docs.or.ucdavis.edu/spo/)
  • Budget Justifications (all that you have ready)
• Upload internal documents not found in ASSIST

Submit for IPF Routing
• May submit for routing before entering in ASSIST
• Should arrive in SPO at least 5–7 days before sponsor deadline
  • Allow time for all IPF Approvals

Proposal Process Timeline

5–7 days before deadline
• Full proposal package arrives in SPO for review
  The earlier the better!

SPO Initial Review

2–3 days before deadline
• PI/Department incorporates SPO feedback
  • PI/Department finalizes proposal package

SPO Finalizes Proposal Package

1–2 days before deadline
• Submit final proposal to sponsor
  • Note: SPO submits electronic proposals

Validate and Preview the Application Package

• Working with the PI
  • Incorporate SPO feedback
• Get any additional SPO feedback/advice
• Validate the application
  • Correct any errors/warnings
Validate the Application Package

• Select the each Component and choose “Validate”

Submit the Application

Validate the Application Package

• Choose “Return to Application” and then “Validate Application”

Preview the Application Package

• Select “Preview Application”
• Select “Generate Preview”
• Select “View”
Finalize the Application Package

• Select “Update Component Status”
• Change the status to “Final”

Submit the Application

Finalize the Application Package

• Ensure all Components are in “Final” status

Submit the Application

Finalize the Application Package

• Return to the application to finalize the Overall Application
Submit the Application

Finalize the Application Package

• Select “Update Submission Status”
• Select “All Components Final”
• Select “Ready for Submission”
• SPO will submit to NIH

Resources


• OR Budget Template - Multi-Budgets: https://docs.or.ucdavis.edu/spo/

• Your Sponsored Programs Analyst: http://research.ucdavis.edu/contact-us/sponsored-programs/

• School of Medicine Grant Facilitation Service: http://www.ucdmc.ucdavis.edu/medresearch/grant_facilitation.html

• Office of Research Grant Writing Resources and Services: https://research.ucdavis.edu/resources/grantwriting/

Resources: Templates and Samples (IRS)
https://goo.gl/yY7FpX
Resources

- NIH ASSIST: https://public.era.nih.gov/assist
- NIH ASSIST Help Guides: https://era.nih.gov/erahelp/ASSIST/