

# Submitting Single-Component Applications in NIH ASSIST

Presented by the  
UC Davis Sponsored Programs Office

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**UC DAVIS**  
**OFFICE OF RESEARCH**

# Instructors



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← Sponsored Programs Office →

# Course Materials

- [Lab Scenario](#)
- You should have access to the NIH ASSIST UAT (User Acceptance Testing) “sandbox” environment.
  - Login was emailed to you on 1/6 from [commons@od.nih.gov](mailto:commons@od.nih.gov).
  - Per emailed instructions sent by Perry King on 1/6, you should have done a password reset to know your password.

## Lab Scenario: Submitting Single-Component Applications in NIH ASSIST

Professor Charlie Apple in the department of Internal Medicine – Hematology & Oncology is submitting a new proposal in response to the National Institutes of Health (NIH) PA-GI-R01. Her eRA Commons ID is: CAPPLE-PI.

- Her contact info: Lawrence J. Ellison Ambulatory Care, 4860 Y St, Sacramento, CA 95817-2307, Phone: 530-555-5555, email: [capple@ucdavis.edu](mailto:capple@ucdavis.edu)
- The project title is still under development but will focus the effects of coffee consumption on human DNA.
- The project will be 3 years in length and begin on January 1, 2024. The proposal will be submitted by the next R01 submission deadline.
  - [Information from the Program Announcement \(PA-GI-R01\)](#): The program is not covered by E.O. 12372. The deadline follows the standard R01 submission cycle (due Feb 5, June 5 and Oct 5).
- Your usual SPO analyst is Amie Admin in SPO. She is a Proposals Analyst at SPO (1850 Research Park Drive, Davis, CA 95618-6153, phone: 530-754-7958, email: [aadmin@ucdavis.edu](mailto:aadmin@ucdavis.edu)).
- The project will not use any human participants or vertebrate animal subjects. It also will not have any environmental effects. None of the proposed research in the application involves human specimens and/or data.
- The performance site of the work will be the UC Davis main campus (One Shields Ave, Davis, CA 95616-8507; Congressional District: CA-003).
- The budget for the project is below. There will be no program income.

Line Item	Year 1	Year 2	Year 3	Total Project
<b>PERSONNEL</b>				
Salary				
Charlie Apple, PI – 3% Effort, 0.36 Person Months	\$4,244	\$4,371	\$4,503	\$13,118
<b>Salary Total</b>	<b>\$4,244</b>	<b>\$4,371</b>	<b>\$4,503</b>	<b>\$13,118</b>
Benefits				
Charlie Apple, PI	\$1,672	\$1,722	\$1,774	\$5,168
<b>Benefits Total</b>	<b>\$1,672</b>	<b>\$1,722</b>	<b>\$1,774</b>	<b>\$5,168</b>
<b>Personnel Total</b>	<b>\$5,916</b>	<b>\$6,093</b>	<b>\$6,277</b>	<b>\$18,286</b>
<b>MATERIALS AND SUPPLIES</b>				
Coffee beans	\$1,000	\$1,000	\$1,000	\$3,000
Purified water	\$500	\$500	\$500	\$1,500
Glassware (i.e., petri dishes)	\$1,500	\$0	\$0	\$1,500
<b>Materials and Supplies Total</b>	<b>\$3,000</b>	<b>\$1,500</b>	<b>\$1,500</b>	<b>\$6,000</b>
<b>EQUIPMENT</b>				
Qiagen PyroMark Q24 DNA Sequencer <del>Pyrosequencer</del>	\$20,000	\$0	\$0	\$20,000
<b>Equipment Total</b>	<b>\$20,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$20,000</b>
<b>TOTAL DIRECT COSTS</b>	<b>\$28,916</b>	<b>\$7,593</b>	<b>\$7,777</b>	<b>\$44,286</b>
Indirect Cost Base	\$8,916	\$7,593	\$7,777	\$24,286
Indirect Costs (Rate 57%)	\$5,394	\$4,632	\$4,744	\$14,770
<b>TOTAL PROJECT COSTS</b>	<b>\$34,310</b>	<b>\$12,225</b>	<b>\$12,521</b>	<b>\$59,056</b>

\*All calculations are *rounded up* to the nearest dollar.



# Learning Objectives

- Know how to determine the required elements of an application
- Understand how to create a single-component (i.e. basic) application in ASSIST
- Know where to find helpful resources





# Training Outline

- Overview of NIH ASSIST
- Preparing and Submitting an Application
- Lab: Prepare an Application
- Q&A
- Resources

# NIH ASSIST Overview

## Sponsor Submission System

- As usual, first use Cayuse SP for internal approvals
- For the external submission, either use Cayuse 424 or ASSIST
  - Note: the review and submission process in ASSIST takes more time than using Cayuse 424. You need to build in extra time for SPO review and submission.
- For ASSIST, apply directly from the Funding Opportunity Announcement (FOA) or from [ASSIST](#) itself (and find the FOA)

## Requires eRA Commons IDs

- Lead Principal Investigator
- Other Senior Personnel
- Contract & Grant Administrator

## Automatic SPO Analyst Access

- Users Receive Email Notifications

## Warning and Errors

- Validate the application to avoid sponsor proposal rejection due to system warnings/errors

# Preparing the ASSIST Application

## Find and READ the Funding Opportunity Announcement (FOA)

- [Call for Proposals Checklist](#)

## Prepare the Application

- Enter known information into Cayuse SP and route for internal approvals
  - Should arrive to SPO certified and authorized 5-7 business days before sponsor deadline
- Copy the information into an application in ASSIST

## Make a Submission Plan

- Roles and responsibilities
- Checklists, production calendars and timelines

## Provide Access to Project Team

- PD/PI, Creator and SPO have automatic access
- Share (numerical) application ID # with SPO Analyst

# Minimum Documents for SPO Assignment

Completely routed and authorized Internal Processing Form (IPF) in Cayuse SP

- Lead PI Certification (and any co-PI's if allowed by the sponsor)
- Department Head Authorizations (and Dean's office if SOM or SVM)

Budget (spreadsheet)

- **Strongly encouraged** even if not required by the sponsor

Budget justification

- **Strongly encouraged** even if not required by the sponsor

Scope of Work

- May submit a draft and provide the final before submission to sponsor



# Preparing the ASSIST Application

## Continue Preparing the Application

- Documents SPO does not review
- Finalize budget, SOW, etc.
- Incorporate feedback from SPO analyst

## Finalize the Application for Submission

- 2-3 Business days before deadline
- Ensure PI is ready to submit

## Preview the Application

- Review for assembly issues
- Proofread
- Ensure all elements are final

## Submit in ASSIST

- 2 business days before deadline\*
- SPO will submit to the sponsor

\* From [NIH](#): “We recommend you submit early - at least 2 days before the due date. Submitting early provides time to track your application, correct any errors and view your application by the due date.”



# Lab: Prepare an Application in NIH ASSIST

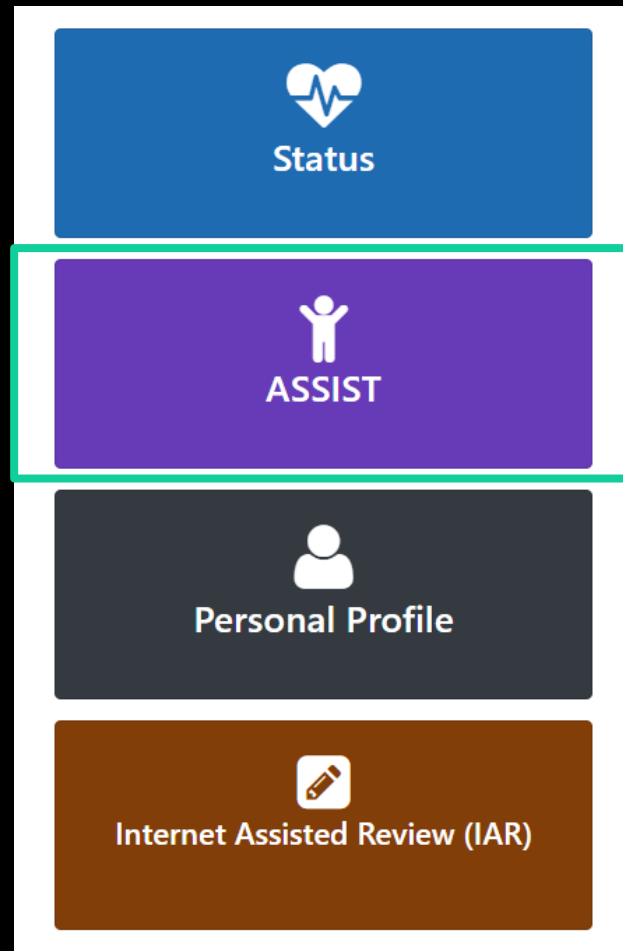
1. We will walk-thru the steps to prepare an application in ASSIST
2. You will then use the Lab Scenario to enter an application in the ASSIST “sandbox.”



# Access ASSIST

2 ways to access ASSIST:

- Go directly to ASSIST: <https://public.era.nih.gov/assist/>
- From eRA Commons (<https://public.era.nih.gov/commonsplus/>) select ASSIST in the left column



# Find the FOA

## Welcome to the Application Submission System & Interface for Submission Tracking (ASSIST)



### INITIATE APPLICATION

Funding Opportunity Announcement #  
(Example: PA-XX-XXX or LITC-ABCD-XX-000)



### SEARCH FOR APPLICATION



# Initiate the Application

## Ensure Correct FOA

## Application Project Title

- May Edit Later

## Add PD/PI


- If PI is not initiating
- Select “Clear”
- Select “Pre-fill Application from Username”
- Enter the Correct Username

## Select “Initiate Application”

FOA Number:	PA-GI-R01
Opportunity Title:	G.g. Training and NIH Ext-UAT FOA (R01-Clinical Trial Required-Infrastructure)
Offering Agency:	National Institutes of Health
CFDA Number:	93.855
CFDA Description:	Allergy and Infectious Diseases Research
Competition ID:	FORMS-G
Competition Title:	Use for due dates on or after January 25, 2022
Opportunity Open Date:	08/13/2021
Opportunity Close Date:	08/13/2025
Agency Contact:	Fernando Nunez Grantor E-mail: fernando.nunez@nih.gov Phone: 301-827-7608
Application Identifier:	
Application Project Title * (describe title in 200 characters)	<input type="text"/>
Lead Applicant Organization: *	UNIVERSITY OF CALIFORNIA AT DAVIS ▼
Lead Applicant Organization Address:	UNIVERSITY OF CALIFORNIA DAVIS OFFICE OF RESEARCH - SPONSORED PROGRAMS DAVIS, CA 956186153
Lead Organization DUNS:	0471200840000
Lead Organization UEI:	TX2DAGQPENZ5
SAM Registration Expiration Date: 05/04/2023	
An active SAM Registration is required to submit your application to the agency	<a href="#">Click for SAM Registration Details</a>
Contact Project Director/Principal Investigator	
Enter PD/PI Information below or	<a href="#">Pre-fill Application from Username</a> <a href="#">Clear</a>
First Name:	<input type="text"/>
Middle Name:	<input type="text"/>
Last Name:	<input type="text"/>
	<a href="#">Initiate Application</a> <a href="#">Cancel</a>

# Complete the R&R Cover Page

- Work through each of the tabs, starting with 'R&R Cover'


Application Information 

**Tips:**

- Complete this form first. Some information is forward populated to other forms.
- Multi-project applications - For the Overall component, complete the entire form. For other components, you will only be able to complete a subset of fields (Applicant Information, Type of Applicant - optional, Descriptive Title of Applicant's Project and Proposed Project Start/End Dates). Expand All will expose fields available for data entry.

Summary **R&R Cover** Cover Page Supplement Other Project Information Sites Sr/Key Person Profile Research Plan Human Subjects and Clinical Trials

Application for Federal Assistance OMB Number: 4040-0001  
Expiration Date: 10/31/2019

SF 424 (R&R) v2.0 

**Edit**  Expand All \* *Required field(s)*

# Action Menu

- If needed, select 'Return to Application' to navigate back to 'Summary',

Home > Search for Applications > Application Information

Hide Navigation Show Help

## Application Information ?

**Tips:**

- Complete this form first. Some information is forward populated to other forms.
- Multi-project applications - For the Overall component, complete the entire form. For other components, you will only be able to complete a subset of fields (Applicant Information, Type of Applicant - optional, Descriptive Title of Applicant's Project and Proposed Project Start/End Dates). Expand All will expose fields available for data entry.

Summary **R&R Cover** Cover Page Supplement Other Project Information Sites Sr/Key Person Profile Research Plan Human Subjects and Clinical Trials

Application for Federal Assistance  
SF 424 (R&R) v5.0 ?

OMB Number: 4040-0001  
Expiration Date: 12/31/2022

# Complete the R&R Cover Page

Required fields are indicated with \*

Select "Edit"

Save your work after completing each tab (up top)

Application for Federal Assistance

SF 424 (R&R) v5.0 ?

OMB Number: 4040-0001  
Expiration Date: 12/31/2022

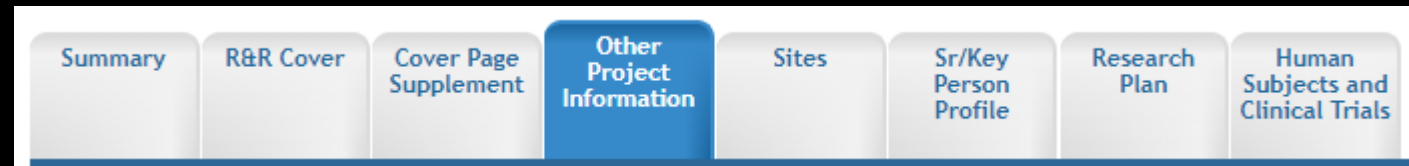
Expand All \* Required field(s)

1. \* TYPE OF SUBMISSION
2. DATE SUBMITTED
3. DATE RECEIVED BY STATE
4. A. FEDERAL IDENTIFIER / 4. B. AGENCY ROUTING IDENTIFIER / 4. C. PREVIOUS TRACKING IDENTIFIER
5. \* APPLICANT INFORMATION
6. \* EMPLOYER IDENTIFICATION (EIN) or (TIN)
7. \* TYPE OF APPLICANT
8. \* TYPE OF APPLICATION
9. \* NAME OF FEDERAL AGENCY
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER
11. \* DESCRIPTIVE TITLE OF APPLICANT'S PROJECT
12. \* PROPOSED PROJECT
13. \* CONGRESSIONAL DISTRICT OF APPLICANT
14. \* PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION
15. \* ESTIMATED PROJECT FUNDING
16. \* IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
17. By signing this application, I certify (1) to the best of my knowledge, I also provide the required information and certify that the information is true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to the penalties provided in section 10105 of title 28, United States Code.  \* I agree  
\* The list of certifications and assurances, or an Interim Agreement, is located in the instructions.
18. SFLLL (DISCLOSURE OF LOBBYING ACTIVITIES) C
19. \* AUTHORIZED REPRESENTATIVE
20. PRE-APPLICATION
21. COVER LETTER ATTACHMENT



# Upload Required Attachments

Upload the documents in each relevant tab.



Some may be required based on your project scope (and not indicated with an asterisk)

7. * Project Summary/Abstract	<input type="text" value="ProjectAbstract.pdf"/>	<a href="#">Replace Attachment</a>	<a href="#">Delete Attachment</a>	<a href="#">View Attachment</a>
8. * Project Narrative	<input type="text" value="Narrative.pdf"/>	<a href="#">Replace Attachment</a>	<a href="#">Delete Attachment</a>	<a href="#">View Attachment</a>
9. Bibliography & References Cited	<input type="text"/>	<a href="#">Add Attachment</a>	<a href="#">Delete Attachment</a>	<a href="#">View Attachment</a>
10. Facilities & Other Resources	<input type="text"/>	<a href="#">Add Attachment</a>	<a href="#">Delete Attachment</a>	<a href="#">View Attachment</a>
11. Equipment	<input type="text" value="Equipment.pdf"/>	<a href="#">Replace Attachment</a>	<a href="#">Delete Attachment</a>	<a href="#">View Attachment</a>
12. Other Attachments	<a href="#">Add Attachment</a>			

Summary R&R Cover Cover Page Supplement Other Project Information Sites **Sr/Key Person Profile** Research Plan Human Subjects and Clinical Trials

[Sr/Key Person Summary](#)

**Research & Related Senior/Key Person Profile (Expanded)** OMB Number: 4040-0001  
Expiration Date: 10/31/2019

R&R Key Person Expanded v2.0 ?

Edit \* Required field(s)

**PROFILE - Project Director/Principal Investigator**

Credential, e.g., agency login  **Populate fields from Credentials**

Enter the PI's eRA Commons ID to auto populate fields

- After populating the profile of key personnel using their commons ID, the information may need to be updated in the form fields.
  - The info is often inaccurate because eRA Commons profiles are not always updated or fields are left blank.



# Lab: Prepare an Application in NIH ASSIST

1. Read the lab scenario (handout)
2. Login to the ASSIST UAT:  
<https://public.uat.era.nih.gov/assist/>
  - If you do not have a UAT account:
    - ID: AADMIN Password: SPO!R3searchAdmin  
or
    - ID: CAPPLE-PI Password: UCDSPO!Training
    - While multiple users can simultaneously work on an application, only one user at a time can edit an individual form
3. Enter an application based on the lab scenario
  - You will not be able to submit without attachments



# Info to Help Complete the R&R Cover Page

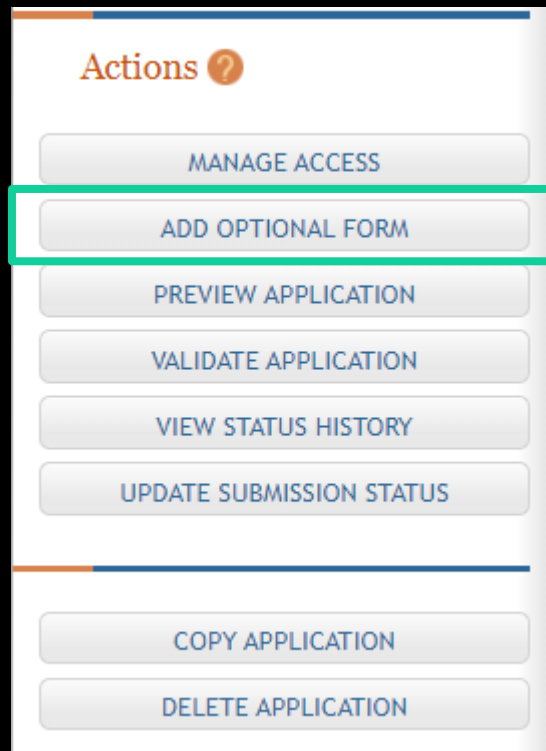
- Type of Submission: Application
- Applicant Information: This section reflects information for the applicant organization, not a specific individual.
  - 1 Shields Ave, Davis, CA 95616-8507
- Person to be contacted on matters involving this application: Your SPO Analyst, i.e., the administrative contact (e.g., AOR or business official), not the PD/PI.
  - The contact email should always be entered as [proposals@ucdavis.edu](mailto:proposals@ucdavis.edu)
- Employer ID: Can find on [Institutional Information](#) page (*good to bookmark*)
- Type of Applicant: Public/State Controlled Institution of Higher Education
- Project Director/PI Contact info: This section can be (later) revised under the Sr/Key Person Profile tab (*at top of page*)
- Authorized Representative: Your SPO Analyst (again), i.e., the individual with the organizational authority to sign for an application.
  - The SPO Analyst email in this section should be their direct email (i.e., [pking@ucdavis.edu](mailto:pking@ucdavis.edu))



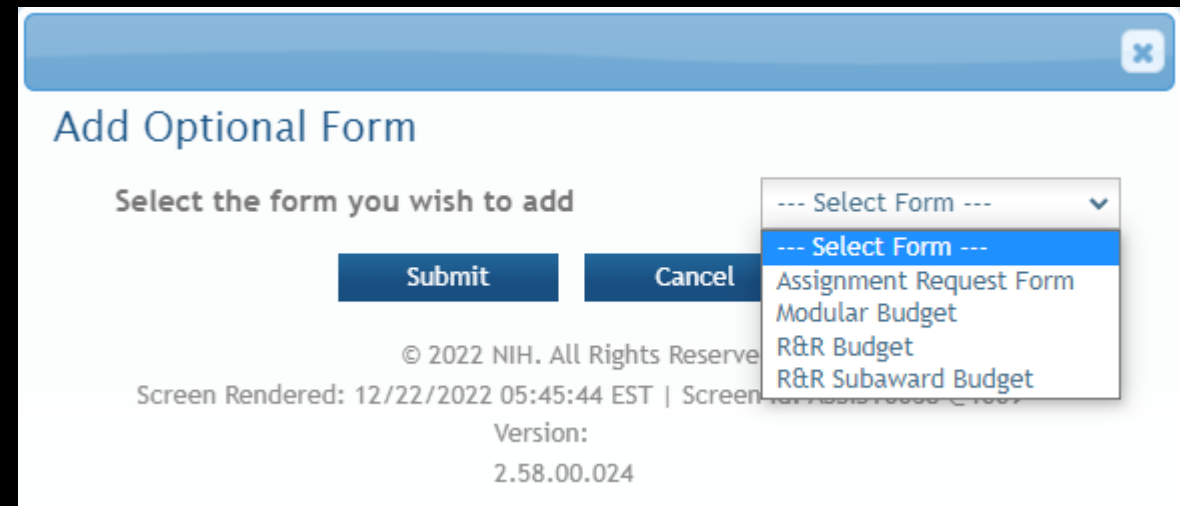
# Where to Enter Budget Information?

- This NIH program (PA-GI-R01) makes **optional** the often-required R&R (“Research & Related”) Budget form.
  - Note: SPO requires you provide a budget and budget justification via Cayuse SP for internal review
- If desired, you can still complete and attach one:

1. In left column, select ‘ADD OPTIONAL FORM’



2. Select the appropriate budget form.



- ‘Modular Budget’ – if total direct costs are <\$250,000\*
- ‘R&R Budget’ – standard budget form

\* [Add'l details](#) – scroll down to “Modular versus Detailed Budgets”

# Where to Enter Budget Information?

- This inserts a new tab:



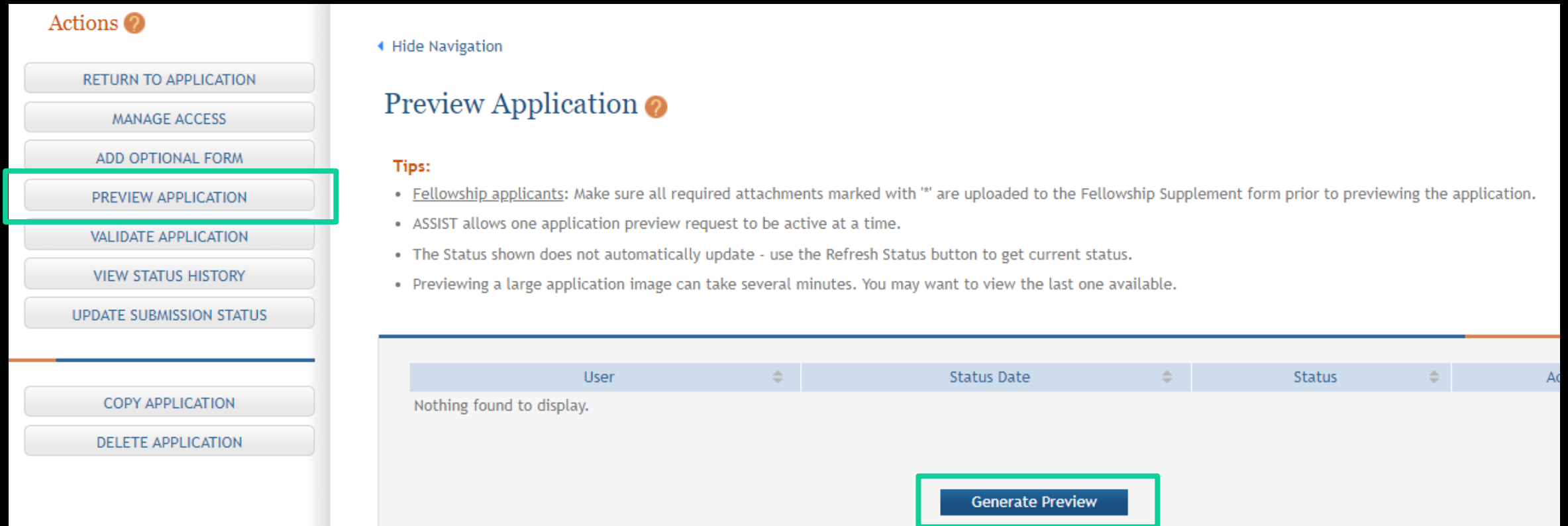
- Select 'Edit' and complete in the same way you did other tabs
- Note:
  - You are completing a budget for period 1, not the whole three years.
- Tips:
  - The budget total entered on the 'Summary' tab doesn't automatically update when you edit the budget total in the 'R&R Budget' tab. Be sure to update the summary so the totals match.
  - When you copy project year 1 for subsequent years, ASSIST doesn't automatically update the budget period at top. Be sure to update those.
    - i.e., A copy of 2023-24 still reads 2023-24 and needs to be updated to 2024-25 and on for each budget period.

# Preview Application

'PREVIEW APPLICATION' generates a preview that mirrors the final application in eRA Commons. This is good to provide to project personnel for review and approval in advance of submission.

The 'PREVIEW APPLICATION' feature is quirky.

- Select 'PREVIEW APPLICATION' then click 'Generate Preview.'
- Then keep clicking 'Refresh Status' until it states the preview is available.
  - Note: The preview is **static**. If any changes are made to the application post-preview, you have to go through the 'Generate Preview' process again.



**Actions** ?

- RETURN TO APPLICATION
- MANAGE ACCESS
- ADD OPTIONAL FORM
- PREVIEW APPLICATION**
- VALIDATE APPLICATION
- VIEW STATUS HISTORY
- UPDATE SUBMISSION STATUS

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- COPY APPLICATION
- DELETE APPLICATION

Hide Navigation

## Preview Application ?

**Tips:**

- Fellowship applicants: Make sure all required attachments marked with "\*" are uploaded to the Fellowship Supplement form prior to previewing the application.
- ASSIST allows one application preview request to be active at a time.
- The Status shown does not automatically update - use the Refresh Status button to get current status.
- Previewing a large application image can take several minutes. You may want to view the last one available.

User	Status Date	Status	Action
Nothing found to display.			

**Generate Preview**



# When Ready to Submit

1. Select 'VALIDATE APPLICATION' to avoid sponsor proposal rejection due to system warnings/errors

**Actions** ?

MANAGE ACCESS

ADD OPTIONAL FORM

PREVIEW APPLICATION

**VALIDATE APPLICATION**

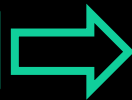
VIEW STATUS HISTORY

UPDATE SUBMISSION STATUS

---

COPY APPLICATION

DELETE APPLICATION



## Application Errors and Warnings Results

**Application Information**

Application Identifier: 497333

FOA Number: PA-GI-R01

Application Project Title: The effects of coffee consumption on human DNA

PD/PI Name: Apple, Charlie

Organization: UNIVERSITY OF CALIFORNIA AT DAVIS

**Errors**

Total Errors to be corrected before the application can be submitted: 3

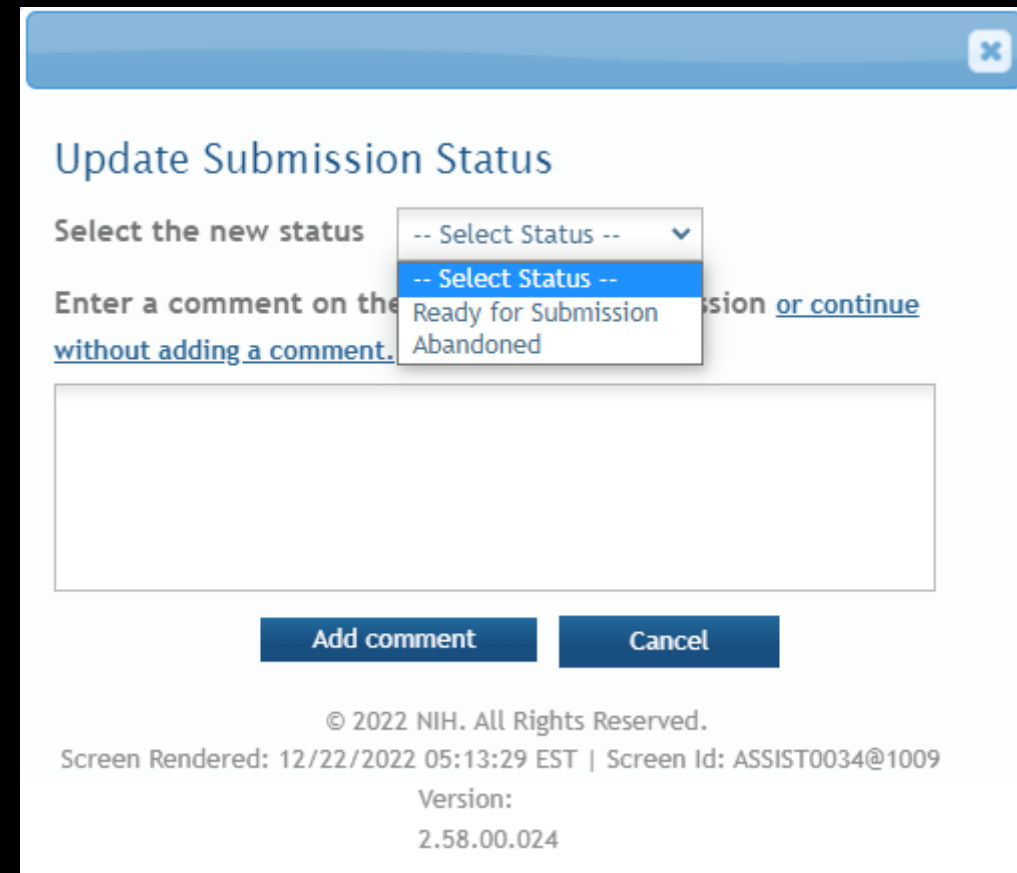
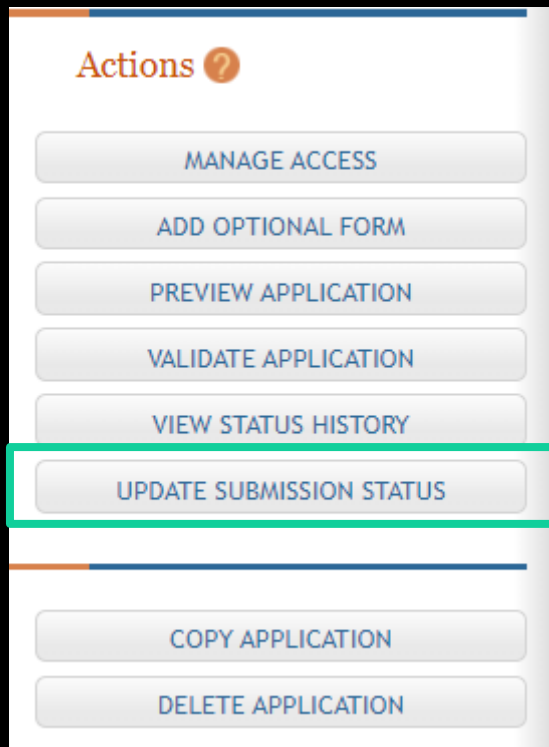
Form Name	Error Message
Other Project Information	Required form is incomplete. Please edit this form and resolve any errors so that all validations can be performed.
R&R Budget	Optional form is incomplete. Please complete or remove the optional form so that all validations can be performed.
Research Plan	Required form is incomplete. Please edit this form and resolve any errors so that all validations can be performed.

# When Ready to Submit

Note: You should not update to 'Ready for Submission' until SPO has conducted a final review.

- Updating locks the application to edits, and a series of steps are required to unlock it should any changes be needed, even minor.

2. Select 'UPDATE SUBMISSION STATUS' 3. Change status to 'Ready for Submission'



4. Notify your SPO Analyst.

- Include the **Application ID #** (at top of 'Summary' tab)

# Learning Objectives Recap

Hopefully you now:

- Know how to determine the required elements of an application
- Understand how to create a single-component (i.e. basic) application in ASSIST
- Know where to find helpful resources

**Any last questions?**



# Contact Us

Let us know how we did:

[https://ucdavis.co1.qualtrics.com/jfe/form/SV\\_4HhzAkhwupoqFTw](https://ucdavis.co1.qualtrics.com/jfe/form/SV_4HhzAkhwupoqFTw)



Alyssa Bunn  
Contracts and Grants Officer  
Email: [aabunn@ucdavis.edu](mailto:aabunn@ucdavis.edu)

Perry King  
Training Officer  
Email: [pking@ucdavis.edu](mailto:pking@ucdavis.edu)

# Resources

- [eRA Commons](#)
- [ASSIST UAT \(Demo/Training\) Site](#)
- [Preparing Your Application Using ASSIST](#)
- [Call for Proposals Checklist](#)
- [Proposal Preparation Checklist](#)
- [Proposal Preparation and Submission Toolkit](#)