Electronic Submission Systems Training

Stacey Wade, Shannon Spencer, Marie Penn
Office of Sponsored Programs

THE UNIVERSITY OF TENNESSEE KNOXVILLE
BIG ORANGE. BIG IDEAS.
All proposals start with...?
Not a handshake….or a fist bump
## Electronic Submissions Overview
### Who does What?

<table>
<thead>
<tr>
<th>Sponsor</th>
<th>Proposal Submission System</th>
<th>OSP Registers</th>
<th>PI Registers</th>
<th>PI Uploads to Proposal</th>
<th>PI Grants OSP Access to Proposal</th>
<th>OSP Submits</th>
<th>Sponsor System ¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office of Naval Research (ONR)</td>
<td><strong>Grants.gov</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>NASA</td>
<td><strong>NSPIRES</strong></td>
<td>✓</td>
<td>✓ ²</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>NSPIRES</td>
</tr>
<tr>
<td>NSF</td>
<td><strong>Fastlane</strong></td>
<td>✓</td>
<td>✓ ²</td>
<td>✓</td>
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<td>✓ ²</td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>eRA Commons (email <a href="mailto:osp@utk.edu">osp@utk.edu</a> to request account)</td>
</tr>
<tr>
<td>HRSA</td>
<td><strong>Grants.gov</strong></td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Electronic Handbook</td>
</tr>
<tr>
<td>Dept. of Education</td>
<td><strong>Grants.gov</strong></td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Dept. of Justice</td>
<td><strong>Grants.gov</strong></td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Various Foundations</td>
<td><strong>proposalCENTRAL</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓ ⁵</td>
<td></td>
</tr>
<tr>
<td>American Heart Association</td>
<td><strong>Grants@Heart</strong></td>
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<td>✓</td>
<td>✓</td>
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<td>Grants@Heart</td>
</tr>
<tr>
<td>DOE EERE Exchange</td>
<td><strong>EERE Exchange</strong></td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>EERE Exchange</td>
</tr>
<tr>
<td>DOE NEUP</td>
<td><strong>NEUP</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓ ³</td>
<td>neup.inl.gov</td>
</tr>
<tr>
<td>DOD</td>
<td><strong>Grants.gov</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓ ³</td>
<td></td>
</tr>
</tbody>
</table>
Grants.gov

• What is it?
• Where do you get the grants.gov package?
• Should the package be routed in the Cayuse SP proposal?
• OR – some packages are supported by Cayuse424 which is a system to system transmission portal
• OR OR – Use ASSIST
What is ASSIST?

The Application Submission System & Interface for Submission Tracking (ASSIST) is a web-based system used to prepare applications using the SF424 Research & Related form set and to submit electronically through Grants.gov to NIH and other participating agencies.
ASSIST allows participants to do the following:

- 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
- Print/Preview applications prior to submission in the format used by the agency
Registration-Preparing Application

• All ASSIST users must have eRA Commons credentials

• To create a eRA Commons account, contact OSP at osp@utk.edu
  • The information required depends if you have a pre-existing account from another Institution
    • If yes, provide your username and organization affiliation
  • What is your role on the project?
  • You will receive a temporary password to finish filling out your profile

• Just like with Grants.gov packages, OSP will be the ones to submit the proposal to NIH in the ASSIST portal
https://public.era.nih.gov/assist

Use your eRA Commons credentials to access ASSIST.
Using ASSIST

Click on question mark icon to access ASSIST help.

Available actions vary based on application context and access.
Data Entry Validation

ASSIST will validate the entered data and provide errors when you hit “Save”. You can continue and fix the errors later or return to immediately correct errors.
Application Errors and Warnings Results

**Application Information**
- Application Identifier: 3156
- FOA Number: PA-45-678
- Application Project Title: Emotions: Pride & Prejudice
- PDI/PI Name: BENNET, ELIZABETH
- Organization: UNIVERSITY OF PEMBERLEY

**Errors**
Total Errors to be corrected before the application can be submitted: 8

<table>
<thead>
<tr>
<th>Form Name</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>GLOBALVALIDATION</td>
<td>Only one budget form should be included with your application. (000.27)</td>
</tr>
<tr>
<td>Sr/Key Person Profile</td>
<td>The Biographical Sketch attachment is required for Senior/Key Person Elizabeth Bennet (005.26.1)</td>
</tr>
<tr>
<td>Sr/Key Person Profile</td>
<td>The organization name for Key Person Fitzwilliam Darcy must be provided (005.35.1)</td>
</tr>
<tr>
<td>Sr/Key Person Profile</td>
<td>The Biographical Sketch attachment is required for Senior/Key Person Fitzwilliam Darcy (005.53.3)</td>
</tr>
<tr>
<td>R&amp;R Budget</td>
<td>Only one budget with a budget type of Project may be submitted for the application. (020.3.1)</td>
</tr>
<tr>
<td>Modular Budget</td>
<td>For Modular Budget period 1, Total Direct and Indirect Costs must be greater than zero. (018.13.1)</td>
</tr>
<tr>
<td>Modular Budget</td>
<td>The Total Direct Costs in budget period 1 must equal the Direct Cost less Consortium F&amp;A plus (018.5.1)</td>
</tr>
<tr>
<td>Research Plan</td>
<td>The Specific Aims attachment is required. (010.2.1)</td>
</tr>
</tbody>
</table>

**Warnings**
Total Warnings to be corrected at Applicant discretion: 3

<table>
<thead>
<tr>
<th>Form Name</th>
<th>Warning Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>R&amp;R Cover</td>
<td>The e-mail address for the Person to Be Contacted was not included. The AOR email address also provided on the SF 424 RR cover page will be used instead. (001.27.1)</td>
</tr>
<tr>
<td>Other Project Information</td>
<td>In most cases, a Bibliography and References Cited attachment should be included. (004.22.1)</td>
</tr>
<tr>
<td>Modular Budget</td>
<td>In most cases, a Personnel Justification attachment should be included. (019.6.1)</td>
</tr>
</tbody>
</table>
A Final Note…

Be patient when Validating or Previewing the Application and resist the urge to click the action button again and again. It will only increase the time to complete the action.
• Getting started (New to NSPIRES):
  • Go to the NSPIRES Home page at http://nspires.nasaprs.com/external/, and click the Registration Information link in the blue "Member Login" box.
Registration Information

User Registration

Anyone can become a registered user of NSPIRES. Registration is required in order to:

- Prepare and submit NASA research NOIs/proposals
- Participate in the Peer Review process.
- Manage your organization’s proposals

However, in order to submit proposals or manage an organization, a user must be affiliated with an organization registered with NSPIRES.

OMB Approval Information:
Information collected by this website is authorized by OMB Numbers 2700-0085 and 2700-0087.
Affiliation

• **What is an Affiliation?** An affiliation is a business relationship between an NSPIRES registered member and an organization's Sponsored Research Office (SRO).

• **Why is this important?** A PI cannot submit a proposal to NASA without having a confirmed affiliation.
UT Confirming Affiliation

• How is an affiliation confirmed?

• Must be a current UT faculty member. **AND**

• Must provide a current UT email address (i.e., netID@utk.edu). **AND**

• Must provide a current UT campus phone number
Other Affiliations

• There are a few instances in NSPIRES where non-faculty members need to have affiliation confirmed (i.e., graduate students receiving certain NASA fellowships).
Expeditied Affiliation Requests

- If a PI knows that a non-faculty member will be requesting affiliation, please notify OSP by email at osp@utk.edu that such a request is going to be made in NSPIRES and provide the reason why it should be confirmed.
Proposal Submissions

• How is the Proposal submitted?
• The PI must release the proposal to their organization and the organization (AOR) completes the submission process.
• As a PI, you will see the below image in NSPIRES
Locked Proposal Status

• A locked proposal cannot be edited by the PI or team members. A proposal becomes locked when the PI releases the proposal to their Organization.

• A proposal can also be locked by the AOR, who can unlock a proposal if further editing by the PI is needed.
View Proposal Screen
Proposal Summary- 4000 characters

The proposal summary is limited to 4000 characters (including hidden ones when pasting in from a word processing program). Please avoid special characters or formatting. If you exceed the limit you will know because you will get a "Validation Error" message.
Business Data
View/Add Team Members
NSPIRES Tutorials available via:

https://nspires.nasaprs.com/tutorials/index.html
National Science Foundation (NSF) Electronic Submissions

For submissions with deadlines on or before January 29th, 2017
17-1 PAPPG https://nsf.gov/pubs/policydocs/pappg17_1/index.jsp
For submissions with deadlines on or after January 30th, 2017
National Science Foundation (NSF) Electronic Submissions

Training Opportunities Coming December 2016 & January 2017
How to get an NSF account

• Email osp@utk.edu and request an account
• Information Required:
  • First, Middle, & Last Name
  • Phone number, Fax number, & Email address
  • Department
  • Highest Degree Type
  • Year Obtained
• JFOs must use an @utk.edu email address for the contact email on their NSF account
Fastlane Account:

• No user of NSF systems (Fastlane & Research.Gov) should have more than one NSF ID
• If you currently have more than one ID contact the Fastlane Help Desk at 800-673-6188
• User Accounts must be associated with your UTK email address
FastLane

- Website: https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp
- Log in using:
  - Last Name
  - NSF ID
  - Password
Principal Investigator (PI)/Co-Principal Investigator (Co-PI) Management

What Do You Want To Work On?

- Proposal Functions
- Award And Reporting Functions
- Change PI Information
- Research.gov Functions
Proposal Functions

• Letters of Intent
  • Submitted only when required by the RFA
  • Some may be submitted by PI, others will need to be submitted by OSP (will need Cayuse proposal)

• Proposal Preparation
  • Developing a proposal up to the submission step

• Proposal Status
  • Check the status of a submitted proposal

• Proposal File Update
  • File replacement for corrections (prior to deadline)
  • At NSF’s request
Proposal Preparation:

<table>
<thead>
<tr>
<th>Required Information for Submission on Standard Proposals:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cover Sheet</td>
</tr>
<tr>
<td>Project Summary</td>
</tr>
<tr>
<td>Project Description</td>
</tr>
<tr>
<td>References Cited</td>
</tr>
<tr>
<td>Biographical Sketch(es)</td>
</tr>
<tr>
<td>Budget + Justification</td>
</tr>
<tr>
<td>Current + Pending Support</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
# Proposal Preparation:

## Form Preparation

To prepare a form, click on the appropriate button below:

<table>
<thead>
<tr>
<th>Form</th>
<th>Saved</th>
<th>Form</th>
<th>Saved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cover Sheet</td>
<td>11/01/16</td>
<td>Project Summary</td>
<td></td>
</tr>
<tr>
<td>Table of Contents</td>
<td>N/A</td>
<td>Project Description</td>
<td></td>
</tr>
<tr>
<td>References Cited</td>
<td></td>
<td>Biographical Sketches</td>
<td>10/27/16</td>
</tr>
<tr>
<td>Budgets (Including Justification)</td>
<td>10/27/16</td>
<td>Current and Pending Support</td>
<td>10/27/16</td>
</tr>
<tr>
<td>Facilities, Equipment, and Other Resources</td>
<td>10/27/16</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Supplementary Documents

- Data Management Plan
- Mentoring Plan
- Project Summary with Special Characters
- Other Supplementary Docs

## Single Copy Documents

- Collaborators and Other Affiliations
- Deviation Authorization (if applicable)
- List of Suggested Reviewers (optional)
- Additional Single Copy Documents
- Add/Delete Non Co-PI Senior Personnel
- Change PI
- Link Collaborative Proposals
- Performer/Awardee Organization Selection

N/A
## Collaborative Proposals

<table>
<thead>
<tr>
<th>Lead Organization</th>
<th>Non-Lead Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cover Sheet</td>
<td>Cover Sheet</td>
</tr>
<tr>
<td>Collaborators/Other Affiliations</td>
<td>Collaborators/Other Affiliations</td>
</tr>
<tr>
<td>Project Summary</td>
<td>Table of Contents <em>(automatically generated)</em></td>
</tr>
<tr>
<td>Table of Contents <em>(automatically generated)</em></td>
<td>Biographical Sketch(es)</td>
</tr>
<tr>
<td>Project Description</td>
<td>Budget &amp; Budget Justification</td>
</tr>
<tr>
<td>References Cited</td>
<td>Current + Pending Support</td>
</tr>
<tr>
<td>Biographical Sketch(es)</td>
<td>Facilities, Equipment, Other Resources</td>
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<tr>
<td>Budget &amp; Budget Justification</td>
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<tr>
<td>Current + Pending Support</td>
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<tr>
<td>Facilities, Equipment, Other Resources</td>
<td></td>
</tr>
<tr>
<td>Data Management Plan</td>
<td></td>
</tr>
<tr>
<td>Postdoctoral Mentoring Plan <em>(if applicable)</em></td>
<td></td>
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</tbody>
</table>
Proposal PIN

• Collaborative proposal: Each non-lead organization must assign their proposal a proposal PIN.

• Provide proposal PIN and the temporary proposal ID generated by FastLane to the lead organization before the lead organization submits its proposal to NSF. If you are the lead, request this information from the non-lead.
**Temporary Proposals in Progress**

**Temporary Proposal # - Title of the Proposal**

- 7521620 - (selected)
- 7488354 - CAREER:

**Create New Proposal**

- Create Blank Proposal
- SBIR Phase I
- SBIR Phase II
- STTR Phase I
- STTR Phase II

**Buttons:**

- Edit
- Delete
- Check
- Allow SRO Access
- Proposal PIN
- Print

**Go Back**
## Automated Proposal Compliance Checks Performed by System as of January 25th, 2016

<table>
<thead>
<tr>
<th>Compliance Check</th>
<th>Funding Opportunity Type</th>
<th>Error / Warning</th>
<th>Funding Mechanism Type</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Research</td>
</tr>
<tr>
<td>Proposal Section Exists Checks</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Project Summary is required.</td>
<td>GPG Program Description Program Announcement</td>
<td>ERROR</td>
<td>✓</td>
</tr>
<tr>
<td>2. Project Description is required.</td>
<td>GPG Program Description Program Announcement</td>
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<td>✓</td>
</tr>
<tr>
<td>3. References Cited is required.</td>
<td>GPG Program Description Program Announcement</td>
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</tr>
<tr>
<td>4. Biographical Sketch(es) is required.</td>
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</tr>
<tr>
<td>5. Primary Budget is required.</td>
<td>GPG Program Description Program Announcement</td>
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</tr>
<tr>
<td>6. Budget Justification for the Primary Organization is required.</td>
<td>GPG Program Description Program Announcement</td>
<td>ERROR</td>
<td>✓</td>
</tr>
<tr>
<td>7. Budget Justification for each Subrecipient Organization that exists is required.</td>
<td>GPG Program Description Program Announcement</td>
<td>ERROR</td>
<td>✓</td>
</tr>
</tbody>
</table>
UT-Battelle Proposals

• UT-Battelle/ORNL (UT-B)
  • A U.S. Department of Energy facility

• The University of Tennessee, Knoxville (UTK)
Proposal Process

ORNL TPO and UTPI discuss statement of work and budget

ORNL TPO enters requisition into ORNL system which triggers Darrell/Eva/Derek to send req. email to UTPI and OSP

UTPI enters proposal into Cayuse to be approved by his/her department and college

When proposal is routed and approved, it arrives in OSP for review

After review, cover page is signed by UTK authorized official then submitted to Darrell/Eva/Derek at ORNL
### UT/ORNL Proposal Budget

<table>
<thead>
<tr>
<th>Title:</th>
<th>SAP Requisition Number</th>
<th>ORNL Subcontract # (if applicable)</th>
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<tbody>
<tr>
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</table>

**Proposed Duration (Number of Months):**

**UT Principal Investigator/Project Manager:**

<table>
<thead>
<tr>
<th>Phone Number</th>
<th>FAX</th>
<th>E-mail</th>
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</thead>
</table>

**A. UT Personnel**

List each separately with name and title

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>% of Effort</th>
<th>Annual Salary</th>
<th>Total Requested from ORNL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**B. TOTAL SALARIES**

$0

**C. FRINGE BENEFITS PERCENT (list separately if different)**

**D. EQUIPMENT**

(List additional equipment on separate page)

**E. OTHER DIRECT COSTS**

1. MATERIALS AND SUPPLIES

2. PUBLICATION/DOCUMENTATION/DISSEMINATION

3. CONSULTANT SERVICES

4. COMPUTER SERVICES

5. SUBCONTRACTS

6. STUDENT FEES (Include semesters being covered)

7. OTHER

**TOTAL OTHER DIRECT COSTS (E.1. through E.7)**

$0

**F. TOTAL DIRECT COSTS (A. through F.7)**

$0

**G. F&A COSTS (SPECIFY RATE) (26% or 51%)**

<table>
<thead>
<tr>
<th>Location</th>
<th>Base</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$0</td>
</tr>
</tbody>
</table>

**H. TOTAL DIRECT AND F&A (INDIRECT) COSTS (G+H)**

$0

*For lines D. through E.7., supporting documentation is required for each of those line items except E.6.*

By submission of this Proposal Budget, The University of Tennessee confirms that there are no changes to the Representations and Certifications previously submitted on April 26, 2016.

Revised: April 26, 2016
REPRESENTATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE (July 21, 2015)

(a) This solicitation sets forth the Company’s known delivery requirements for data (as defined in the Rights in Data – General clause). Any resulting subcontract may also provide the Company the option to order additional data under the Additional Data Requirements clause, if included in the subcontract. Any data delivered under the resulting subcontract will be subject to the Rights in Data – General clause included in this subcontract. Under the latter clause, the Seller may withhold from delivery data that qualify as limited rights data or restricted computer software, and deliver form, fit, and function data instead. The Rights in Data – General clause also may be used with additional paragraphs comparable to Alternates II and/or III in FAR 52.227-14 to obtain delivery of limited rights data or restricted computer software, marked with limited rights or restricted rights notices, as appropriate. In addition, use of Alternate V in FAR 52.227-14 with the Rights in Data-General clause provides the Company the right to inspect such data at the Seller’s facility.

(b) By completing the remainder of this paragraph, the offeror represents that it has reviewed the requirements for the delivery of technical data or computer software and status (offeror check appropriate block) —

[ ] (1) None of the data proposed for fulfilling the data delivery requirements qualifies as limited rights data or restricted computer software; or

[ ] (2) Data proposed for fulfilling the data delivery requirements qualify as limited rights data or restricted computer software and are identified as follows:

________________________________________________________________________

________________________________________________________________________

☐ (a) Such data will be delivered, or

☐ (b) Such data will not be delivered, but form, fit and function data (FFFD) will be delivered.

(c) Any identification of limited rights data or restricted computer software in the offeror's response is not determinative of the status of the data should a subcontract be awarded to the offeror.

OFFEROR: The University of Tennessee

SIGNATURE: __________________________

PRINTED NAME: Jean Mercer

TITLE: Asst. Vice Chancellor for Research

DATE: __________________________
Helpful Hints:

• Proposals must be submitted by OSP before 5 p.m. on the deadline date.
• Proposals must be fully routed in Cayuse SP, approved by all units/departments, and certified by PIs and any Co-PIs on the project.
Shameless plug of the day #1:

NSF GPG 17-1 Update

January 19th- 10:30-11:30am
January 25th- 1-2pm
Questions?

Thank you for coming!

The University of Tennessee
Knoxville
Big Orange. Big Ideas.