# Instruction Guide for OTA Submissions

Use these instructions, together with the forms and information found in the funding opportunity announcement, to complete your application. The funding opportunity announcement (FOA) will include specific instruction and forms needed for your application submission. Remember that the FOA instructions always supersede these application instructions.

## Prepare to Apply

NIH typically makes awards to organizations, not individuals. At the time of submission, the Program Director/Principal Investigator (PD/PI) and their organization must be registered at <u>eRA Commons</u>. In addition to the PD/PI, an individual with the role of Signing Official (SO) is needed. If an application is awarded, additional registrations (e.g. <u>System Award Management</u>) will be required.

OTA applications must be submitted using NIH's <u>ASSIST</u> web-based application submission system. Users can access ASSIST directly or through eRA Commons. To complete the application, users must have access to a browser, a pdf generator, and Adobe Reader software.

Log into ASSIST using eRA Commons credentials (username and password)

Application Submission System & Interface for Submission Tracking (ASSIST) Sponsored by the National Institutes of Health		
1.4.5		
Login	Note: Effective March 22, 2018: If you are registering a new entity in SAM.gov, you must provide an original, signed notarized letter stating that you are the authorized Entity Administrator before your registration will be activated. Read FAOs to learn more about this process change.	
User Name	Note: When application and grant reporting submission delays occur because the applicant or recipient organization is officially closed due to a natural disaster or other emergency, the NIH will consider accepting	
Password	late applications and reports, on a case-by-case basis. Please reference notice <u>NOT-OD-17-106</u> in the NIH Guide for Grants and Contracts for additional details.	
Login Cancel Forgot Password/Unlock Account?	Submit grant applications electronically to NIH and other Public Health Service Agencies	

### **Initiating the Application**

On the ASSIST Welcome screen, enter the OTA ROA number in the Funding Opportunity Announcement # field and then click 'Go'.

Application Submission Sponsored by the National Institutes	on System & Interface for Submission Tracking (ASSIST) sof Health
	2 a Mines In Star a M
Welcome	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) The National Institutes of Health posts Funding Opportunity Announcements (FOAs) in the <u>NHI Guide for Grants &amp; Contracts</u> and in <u>Grants.gov's Search Grants</u> . Each resource has robust search functionality to identify opportunities of interest. ASSIST can only be used to prepare and submit applications when explicitly stated in the FOA.
	SEARCH FOR APPLICATION Search Applications

The Initiate Application screen contains several required elements: At a minimum the Application Project Title must be entered, and the Lead Applicant Organization must be selected from the drop-down menu.

The Contact PD/PI fields may be pre-filled from Commons Username using the button or entered manually. These fields will be available to edit in the application once it has been initiated.

Once required fields have been satisfied, press the "Initiate Application" button to create an application record.

	* Required field(s)
ROA INFORMATION:	
ROA Number:	OTA-18-005
Opportunity Title:	OT Research Opportunity Test June
Offering Agency:	National Institutes of Health
Opportunity Open Date:	
Opportunity Close Date:	
Agency Contact:	NIH Contact
Application Identifier:	
Application Project Title * (describe title in 200 characters)	
Lead Applicant Organization: *	···· Choose Organization ···· v
Lead Applicant Organization Address:	
Contact Project Director/Principal Investigator	r
Enter PD/PI Information below or	Pre-fill Application from Username Clear
First Name:	
Middle Name:	
Last Name:	

# **Navigating the Application**

Each application in ASSIST receives a unique Application Identifier at creation. This value is displayed on the Application Information Summary page and can be used as a search key on the Search for Applications screen if returning to work on the application at a later time.

	Home > Search for Applications > Application Information	
Actions 🕐	✓ Hide Navigation	
MANAGE ACCESS		
PREVIEW APPLICATION	Application Information 🔗	
VALIDATE APPLICATION	Application saved	
VIEW STATUS HISTORY	Application sares	
UPDATE SUBMISSION STATUS	Summary OTA Core	
COPY APPLICATION	Application Information	
DELETE APPLICATION		
	Application Identifier:	21111
	Application Project Title:	OTA Application for Consid
	PD/PI Name:	Abelà, Aléxändér Müller

Actions are available on the left-hand side of the screen. The Summary screen and any constituent forms in the application are loaded as tabs to the right of the action menu.

Navigate to the OTA Core form by clicking the grey tab for the form. The currently active tab will be highlighted in blue.

### **Completing the Application Form**

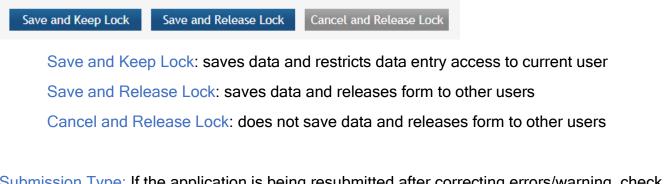
All fields marked by an asterisk (\*) are required.

All attachments should be in the format of a PDF file.

	Home > Search for Applications > Application Search Results > Application Information
Actions 🕐	<ul> <li>Hide Navigation</li> </ul>
RETURN TO APPLICATION	Application Information
MANAGE ACCESS	Application Information 🧑
PREVIEW CURRENT FORM	Summary OTA Core
VALIDATE APPLICATION	
VIEW STATUS HISTORY	
UPDATE SUBMISSION STATUS	NIH Other Transaction Application Form
	OTA Core v1.0 🥹
COPY APPLICATION	Edit
DELETE APPLICATION	Submission Type

Click on "Edit" button to begin data entry. In the "edit" mode, data entry by other users is blocked until the lock-holder either releases the lock or it expires.

At the bottom of the form there are several saving options:



Submission Type: If the application is being resubmitted after correcting errors/warning, check "Corrected Submission" and enter prior submission tracking number as it appears in the footer of the prior submission.

Submission Type	
Corrected Submission	
Prior Submission Tracking Number	

1. Applicant Information

1. Applicant Information		
* Organization Name		
Department		
Division		
* Street 1		
Street 2		
* City		
County		
State		T
Province		
* Country	Select Country	Ŧ
Zip/Postal Code		

Organization Name: This field is required. Enter the name of the organization for the SO

Contact and Address fields: Enter the field data for the Applicant Organization as each label indicates. The Organization Name, Street 1, City, and Country are required fields. The State and ZIP/Postal Code fields will become required upon Country selection of United States. Note that ZIP/Postal Code must be entered in ZIP+4 (nine-digit postal code) format. Province is enabled for all non-US countries and required for Canada.

 Employer Identification (EIN) or (TIN): Enter either the organization's Taxpayer Identification Number (TIN) or Employer Identification Number (EIN) as assigned by the Internal Revenue Service. If your organization is not in the United States, enter 44-4444444. Your EIN may be 12 digits, and if this is the case, enter all 12 digits.

2. Employer Identification (E	IN) or (TIN)
Employer Identification	
3. Descriptive Title Of Applic	ant's Project
* Descriptive Title of Applicant's Project	
4. Project Period	
Start Date	

3. **Descriptive Title of Applicant's Project**: This field is required. The descriptive title is limited to 200 characters, including spaces and punctuation.

4. Project Period: Enter the proposed start date of the project.

The Start Date is an estimate. The project period should not exceed what is allowed in the ROA.

The End Date is an estimate and must occur in the future of the Start Date.

# 5. Project Director/Principal Investigator (PD/PI) Contact Information

The PD/PI is the individual responsible for the overall scientific and technical direction of the project. In the eRA Commons profile, the person listed here must be affiliated with the applicant organization entered in "1. Applicant Information".

If submitting an application with multiple PD/PIs, the main or primary PD/PI should be entered in the first or top section as the Contact PD/PI. The "Add Additional PD/PI" button may be used to add other PD/PIs. Following data entry, the user may "Edit" or "View" the PD/PI entries; Additional PD/PI entries can also be individually removed from the application.

If the FOA requires a leadership plan for a multi-PD/PI application, provide the rationale for choosing a multiple PD/PI approach. The governance and organizational structure of the leadership team and the research project should be described, including communication plans, processes for making decisions on scientific direction, and procedures for resolving conflicts. The roles and administrative, technical, and scientific responsibilities for the project or program should be delineated for the PD/PIs and other collaborators.

If budget allocation is planned, the distribution of resources to specific components of the project or the individual PD/PIs should be delineated in the Multiple PD/PI Leadership Plan. In the event of an award, the requested allocations may be reflected in a footnote on the Notice of Award.

#### 5. Project Director/Principal Investigator Contact Information

Enter the Contact PD/PI's contact information below.

	Contact PD/PI Name	Organization Name	Action	
1.		UNIVERSITY OF CALIFORNIA SAN DIEGO	Edit View	

Additional PD/PI

Additional PD/PIs may be added using the Add Additional PD/PI button.

Add Additional PD/PI			
Entry #	Additional PD/PI Name	Organization Name	Action
lothing found to display.			
eadership Plan	Add A	ttachment Delete Attachment	View Attachment

The attachment should be attached as a PDF file.

OTA Core > Contact PD/PI Record

Edit		🗹 Exp
Credential, e.g.,		
agency login	Populate f	ields from Credentia
Prefix	Select Prefix 🔻	
* First Name		
Middle Name		
* Last Name		
Suffix	Select Suffix 🔻	
Position/Title		
Department		
* Organization Name		
Division		
* Street 1		
Street 2		
* City		
County/Parish		
State	CA: California	
Province		
* Country	USA: UNITED STATES	
Zip/Postal Code		
Phone Number		
Fax Number		
* Email		

Credential, e.g. agency login: enter the eRA Commons user name for the PD/PI. This field is not required to save the form, however the Commons user Identification is for the Contact PD/PI at the time of submission.

Complete the personal information for the PD/PI.

Contact and Address fields: Enter the field data for the PD/PI as each label indicates. The Organization Name, Street 1, City, and Country are required fields. The State and ZIP/Postal Code

fields will become required upon Country selection of United States. Note that ZIP/Postal Code must be entered in ZIP+4 (nine-digit postal code) format. Province is enabled for all non-US countries and required for Canada.

Following data entry, Save changes. To return to the main form use 'Save and Release Lock' or click the 'OTA Core' breadcrumb under the blue 'OTA Core' form tab.

Prefix Select Prefix •   First Name	6. Business Official Contact Inf	formation
Middle Name   Last Name   Suffix   Suffix   Position/Title   Department   Organization Name   Division   Street 1   Street 2   City   County   State   Province   • Country   • Select Country ····   • Country   • Select Country ····   • Country   • Country   • Select Country ····   • Country   • Country   • Select Country ····   • Country   • Select Country ····   • Country   • Select Country ····   • Middle Name   • Country   • Select Country ····   • Select Country ····   • Sumber   • Intervention   • Street 1   • Street 2   • City   • City   • City   • Country   • Select Country ····	Prefix	Select Prefix 🔻
Last Name   Suffix   Position/Title   Department   • Organization Name   Division   • Street 1   Street 2   • City   County   State   Province   • Country   • Country   • State   • Country   • State   • Province   • Country   • State   • State   • State   • Country   • State   • State   • State <t< th=""><th>* First Name</th><th></th></t<>	* First Name	
Suffix Select Suffix ▼   Position/Title	Middle Name	
Position/Title   Department   Organization Name   Division   Street 1   Street 2   • City   County   State   Province   • Country   ·· Select Country ···	* Last Name	
Department   • Organization Name   Division   • Street 1   Street 2   • City   County   State   Province   • Country   ··· Select Country ···   Zip/Postal Code   Phone Number   Fax Number	Suffix	Select Suffix 🔻
<ul> <li>Organization Name</li> <li>Division</li> <li>Street 1</li> <li>Street 2</li> <li>City</li> <li>County</li> <li>State</li> <li>Province</li> <li>Country</li> <li>Select Country</li> <li>Zip/Postal Code</li> <li>Phone Number</li> <li>Fax Number</li> </ul>	Position/Title	
Division   * Street 1   Street 2   * City   County   State   V   Province   * Country   ··· Select Country ···   Zip/Postal Code   Phone Number   Fax Number	Department	
<ul> <li>Street 1</li> <li>Street 2</li> <li>City</li> <li>County</li> <li>State</li> <li>Province</li> <li>Country</li> <li>Select Country ····</li> <li>Zip/Postal Code</li> <li>Phone Number</li> <li>Fax Number</li> </ul>	* Organization Name	
Street 2   * City   County   State   Province   * Country   * Country   Zip/Postal Code   Phone Number   Fax Number	Division	
* City   County   State   Province   * Country   ··· Select Country ···   Zip/Postal Code   Phone Number   Fax Number	* Street 1	
County   State   Province   * Country   ··· Select Country ···   Zip/Postal Code   Phone Number   Fax Number	Street 2	
State   Province   * Country   * Country   Country   Country   State   Phone Number   Fax Number	* City	
Province   * Country   * Country   Zip/Postal Code   Phone Number   Fax Number	County	
* Country ···· Select Country ··· v Zip/Postal Code Phone Number Fax Number	State	
Zip/Postal Code Phone Number Fax Number	Province	
Phone Number Fax Number	* Country	Select Country v
Fax Number	Zip/Postal Code	
	Phone Number	
* Email	Fax Number	
	* Email	

# 6. Business Official Contact Information

By signing this application, I certify (1) to the statements contained in the list of certifications\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **\*\* I agree** 

Complete the information for the Business Official Contact.

Contact and Address fields: Enter the field data for the Business Official as each label indicates. The Organization Name, Street 1, City, Country, and Email are required fields. The State and ZIP/Postal Code fields will become required upon Country selection of United States. Note that ZIP/Postal Code must be entered in ZIP+4 (nine-digit postal code) format. Province is enabled for all non-US countries and required for Canada.

Assurances: The applicant organization is responsible for verifying its eligibility and the accuracy, validity, and conformity with the most current institutional guidelines of all the administrative, fiscal, and scientific information in the application, including the Facilities and Administrative rate. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions, such as withdrawal of an application, suspension and/or termination of an award, debarment of individuals, as well as possible criminal and/or civil penalties. The signer further certifies that the applicant organization will be accountable both for the appropriate use of any funds awarded and for

Actions 🕖	the performance of the grant-supported project or activities resulting from this application. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the
ADD OPTIONAL FORM	project activity.
PREVIEW APPLICATION	Check "I agree" to provide the required certifications and assurances.
VALIDATE APPLICATION	
VIEW STATUS HISTORY	
UPDATE SUBMISSION STATUS	
COPY APPLICATION	7. Estimated Project Funding: Enter the total federal funds, including Direct Costs and F&A (Indirect Costs) requested for the entire project period.
7. Estimated Project Funding (\$)	▲ ▲
Total Funds Requested	
8. Cover Letter	•
Cover Letter	

8. Cover Letter: The cover letter is for internal use only. It should be included any special considerations or explanatory details regarding the submission of the application. The letter should include the application title.

9. Attachments: attach PDF file in accordance with the FOA and/or specific instructions using the "add attachment" button. The attachment should be in the format of a PDF file. If multiple attachments are added, each should have a unique file name. To delete an uploaded attachment, check 'Delete on Save' and the file will be removed upon next save. Individual attachments can be replaced or updated by clicking the 'Update' button of the corresponding row.

Attachments	Add Attachment			
		Delete on	Update	
	Attachment File Name	Save	Attachment	View Attachment
quipment.pdf			Update	View

### Submitting your Application

Validating your application: Select "Validate Application" from the left-hand panel to check your application for business errors and warning. Errors must be corrected prior to submission. Warnings will not stop prevent your application from being submitted.

Preview Application: presents the PDF version of the application. This is a view of the assembled image is nearly identical to that the reviewers/evaluators will assess.

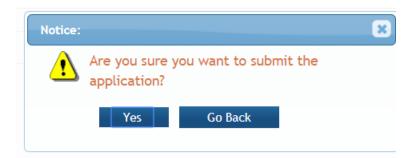
Update Submission Status: Prior to submission, the status must be updated to "Ready for Submission" which will also perform additional validations against business errors prior to changing the status. Click "Add Comment" or "continue without adding a comment" to continue.

Ipdate Submission	
elect the new status	Ready for Submission 🔻
nter a comment on the	Select Status     Ready for Submission     sion or continue
ithout adding a comment.	
Add co	omment Cancel
	omment Cancel 18 NIH. All Rights Reserved.

# Submission

Once the application has been placed in "Ready for Submission" status, the Signing Official will be able to click "Submit Application". After a confirmation that the SO does wish to submit the application, it will be sent to NIH for processing. The status can be viewed and updated by clicking the "View Submission Status Details" hyperlink next to the application status.

Application Information			
Application Identifier:	21115		
Application Project Title:	Clinical Center for All of Us NIH Program		
PD/PI Name:	AARONS, GREGORY		
Organization:			
Project Period:			
Status:	Ready for Submission		
Status Date:	2018-05-16 10:50:09.000		Submit Applica



Follow the status of your submission in eRA Commons