Overview of Electronic Submission of Administrative Supplements

eRA Communications

Benefits of Electronic Type 3 Submission

- Meet NIH and Federal-wide goals for increasing electronic grant processes.
- Simplify application process to reduce burden on grantees.
- Enable NIH to handle increasing number of administrative supplement requests
- Improve data collected for programs promoting diversity and reentry in the biomedical workforce

Implementation Notes

Grantees are not required to use eSubmission options during pilot. Current paper process and existing IC submission systems remain available.

- To allow grantees the submission option during pilot ICs must allow submissions to come in electronically. Only applies to requests submitted in accordance with IC requirements.
- ICs may refuse requests submitted outside their deadlines, outside stated areas of interest, or lacking information required by IC.

Make sure to check with the IC before submitting regardless of mechanism to ensure you have the most recent and up-to-date information with regards to an Administrative Supplement Request.

Implementation Notes

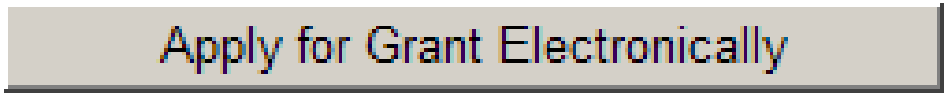
Grantees have two options for submitting administrative supplement requests:

1. Through Grants.gov, allows users to leverage the same process used for competing grant application submissions – an especially nice feature for system-to-system users.

2. Through eRA Commons, a streamlined process where much of the application is pre-populated with information from the parent grant data and you are guided step by step through the rest of the application.

Applicant View: Grants.gov Supplement Request

- As usual, click on

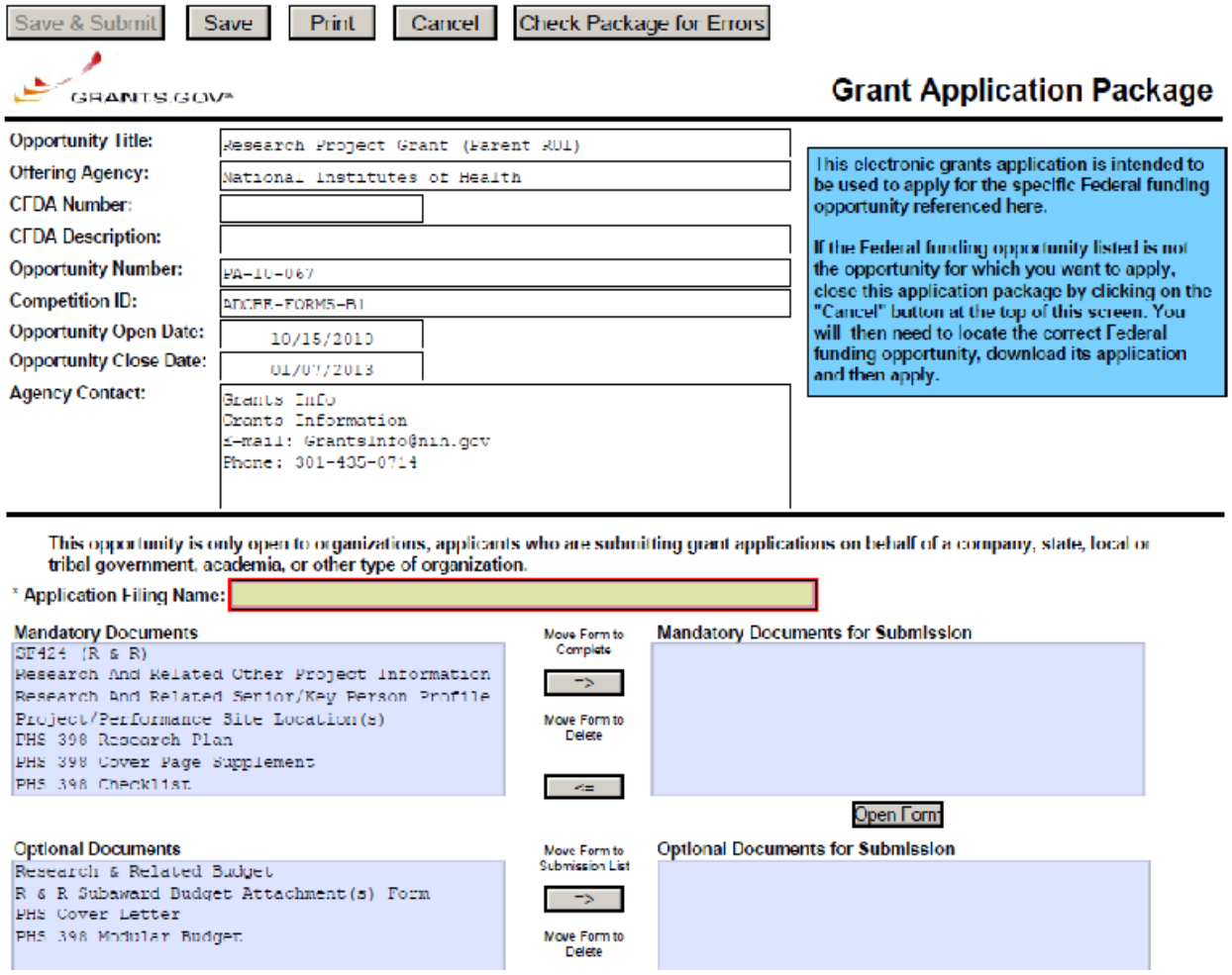


- Download application package based on the parent award's Activity Code.

CFDA	Opportunity Number	Competition ID	Competition Title	Agency	Instructions & Application
93.389	PA-08-333	SUPPLEMENT-TYPE3-FELLOWSHIP-B1	For all F's	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-TRAINING-T-BUDGET-B1	For T15, T32, T34, T35, T36	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-TRAINING-RR-BUD-ONLY-B1	For K12, T37, KM1	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-TRAINING-DUAL-BUDGET-B1	For D71, D43, T01, T02, T03, T14, T42, T90, U2R, TU2	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-INSTRUMENTATION-B1	For S10	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-DIR-PIONEER-B1	For DP1, DP2	National Institutes of Health	download
93.389	PA-08-333	TYPE3-ADOBE-FORM-B1B2	For R01R03(NIH)R15R21R34G08R13/U13 R18/U18R21/R33 S11SC1SC2SC3R41R42R43R44	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-ENDOWMENT-B1	For S21, S22	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-CONSTRUCTION-B2	For C06, G20, UC6	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-CAREER-DEV-K-B1	For K02, K05, K24, K26, K01, K07, K08, K18, K22, K23, K25, K99	National Institutes of Health	download
93.389	PA-08-333	SUPPLEMENT-TYPE3-TARGET-RESEARCH-B1	For DP3	National Institutes of Health	download

Applicant View: Grants.gov Supplement Request

- Complete following FOA and Application Guide instructions.



Streamlined System for “Simple Supplements” via Commons

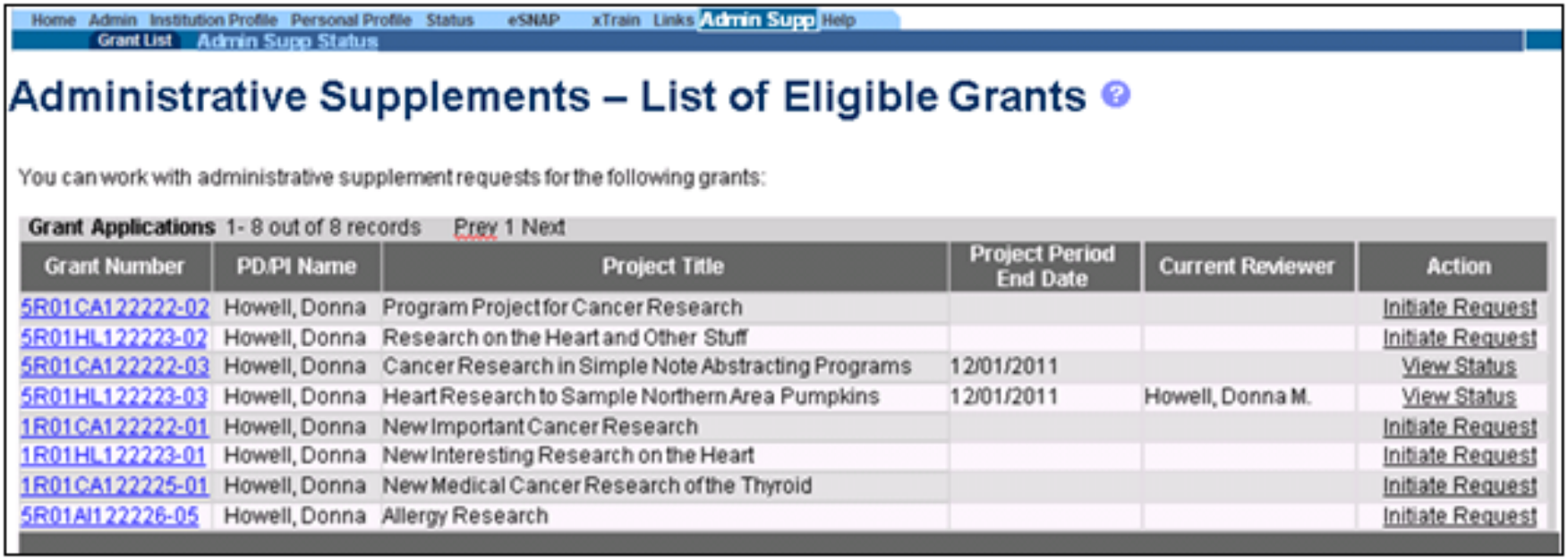
- Available for use in all programs currently accepting electronic submissions.
- Optimized for the majority of administrative supplements requesting only small amounts of money for simple additions, such as:
  - Adding personnel, particularly candidates for the diversity and re-entry programs.
  - Replacing or upgrading equipment
  - Purchasing additional supplies

Streamlined System for “Simple Supplements” via Commons

- PD/PIs, ASSTs or SOs will access an existing grant on the Commons and see a link to the Supplement Request module
- Module will include web-based system for data entry.
- PD/PI and ASST can fill out but only SO can submit
- NIH will route the application directly to the awarding IC (and notify the proper NIH staff) who will consider the request.

Applicant View: Streamlined Supp Requests via Commons

- PI, Delegate, or SO accesses parent award in Commons and clicks on “Admin Supp” to see list of grants eligible for supplements.



Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links Admin Supp Help

Grant List Admin Supp Status

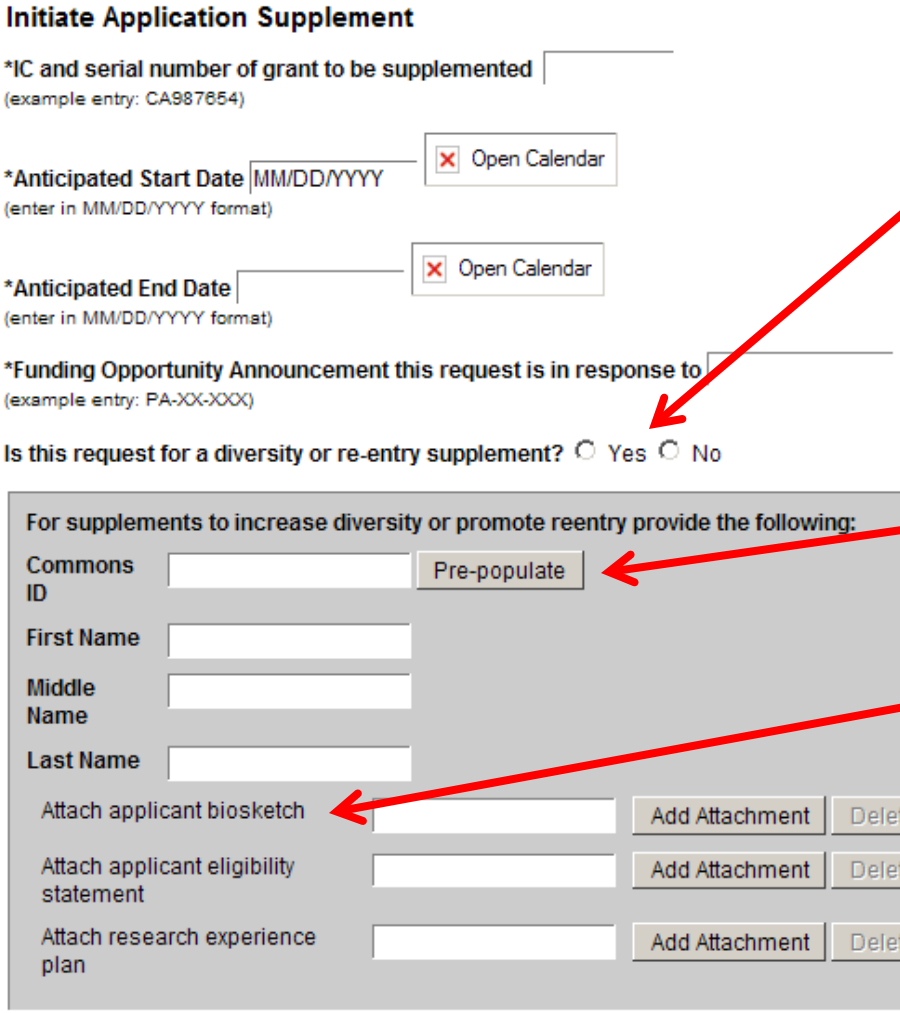
Administrative Supplements – List of Eligible Grants

You can work with administrative supplement requests for the following grants:

Grant Applications 1- 8 out of 8 records Prev 1 Next

Grant Number	PD/PI Name	Project Title	Project Period End Date	Current Reviewer	Action
5R01CA122222-02	Howell, Donna	Program Project for Cancer Research			Initiate Request
5R01HL122223-02	Howell, Donna	Research on the Heart and Other Stuff			Initiate Request
5R01CA122222-03	Howell, Donna	Cancer Research in Simple Note Abstracting Programs	12/01/2011		View Status
5R01HL122223-03	Howell, Donna	Heart Research to Sample Northern Area Pumpkins	12/01/2011	Howell, Donna M.	View Status
1R01CA122222-01	Howell, Donna	New Important Cancer Research			Initiate Request
1R01HL122223-01	Howell, Donna	New Interesting Research on the Heart			Initiate Request
1R01CA122225-01	Howell, Donna	New Medical Cancer Research of the Thyroid			Initiate Request
5R01AI122226-05	Howell, Donna	Allergy Research			Initiate Request

Applicant View: Streamlined Supp Requests via Commons

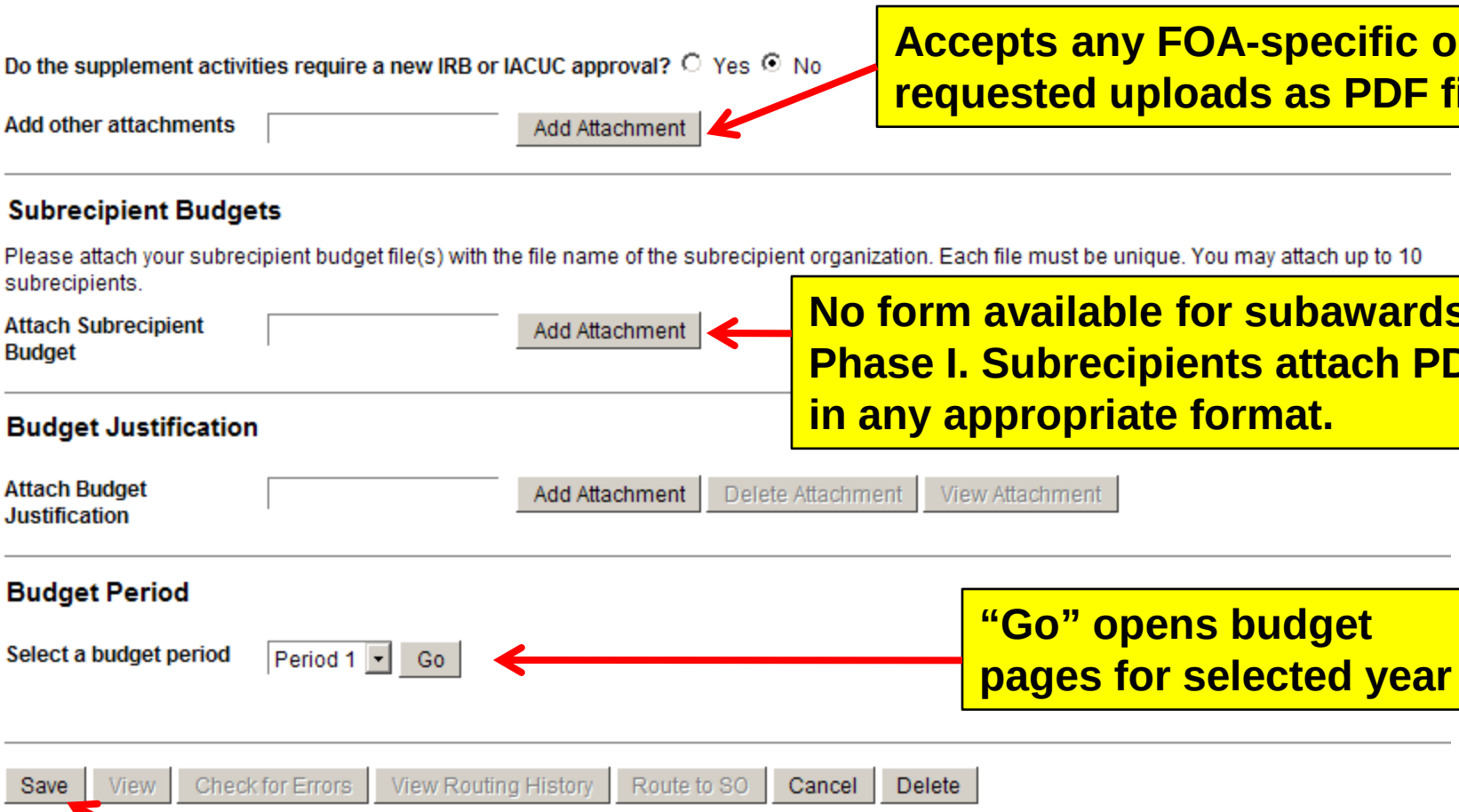


Clicking "Yes" makes Diversity/Reentry fields available.

Commons Username required both to allow pre-population AND to collect for future reporting.

Corresponds to data elements in existing FOAs.

Applicant View: Streamlined Supp Requests via Commons



Accepts any FOA-specific or IC-requested uploads as PDF files

No form available for subawards in Phase I. Subrecipients attach PDF file in any appropriate format.

"Go" opens budget pages for selected year

If the page has a "Save" button, be sure to click it before moving on to the next item

Applicant View: Streamlined Supp Requests via Commons

Budget Forms

You selected this request for the ◉ Recipient or ○ Subrecipient Edit

Cumulative Administrative Supplement Funds Requested		
Cost	**Totals ($)**	**Action**
Personnel	$ 0	Edit
Equipment Purchases	$ 0	Edit
Other Direct Costs	$ 0	Edit
Total Direct Costs	**$ 0**	
Total F&A (Indirect) Costs	**$ 0**	Edit
Total Costs	**$ 0**	
Additional Recipient F&A Costs (only when activities will occur at a subrecipient organization)		
Recipient Indirect Cost Base	$ 0	
Recipient F&A Cost Rate	0%	Edit
Additional Recipient F&A Costs	**$ 0**	Edit
Total Administrative Supplement Funds Requested	**$ 0**	

Attach Budget Justification

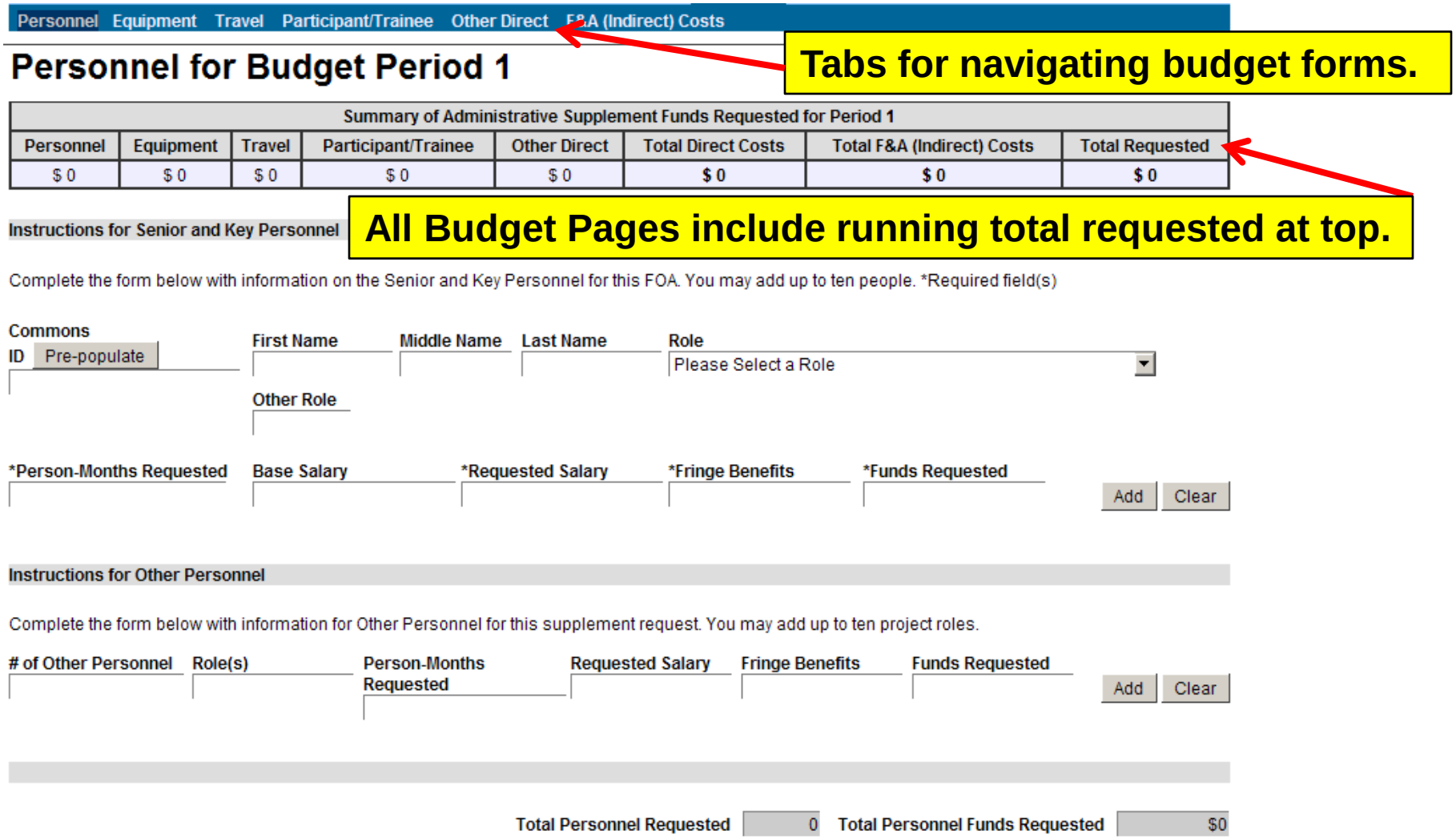
Main Budget Forms screen shows overall line-item request. Edit navigates to the data-entry screen for that line-item.

Navigation bar (at top and bottom of screen) navigates between main summary screen and the data-entry screens for each line item.

Save | View | Check for Errors | View Routing History | Route to SO | Cancel | Delete

Supplement Summary | Personnel | Equipment Purchases | Other Direct Costs | F&A (Indirect) Costs | Additional Recipient F&A Costs

Applicant View: Streamlined Supp Requests via Commons



Personnel

Step 3: See running total increase each time.

This administrative supplement has been requested for activities at the ◉ Recipient ○ Subrecipient Edit

Administrative Supplement Funds Requested Summary						
Personnel	Equipment Purchases	Other Direct Costs	Total Direct Costs	Total F&A (Indirect) Costs	Additional Recipient F&A Costs	Total Requested
$ 50,000	$ 0	$ 0	$ 50,000	$ 0	$ 0	$ 50,000

Complete the form below with information on the Senior and Key Pers

Step 1: Add Sr./Key Person or Other Personnel Role.

Enter Senior and Key Personnel

*Required field(s)

Commons ID [Pre-populate] | First Name | Middle Name | Last Name | Role [Please Select a Role] | Other Role

*Person-Months Requested | Base Salary | *Requested Salary | *Fringe Benefits | *Funds Requested

Add Clear

Senior and Key Personnel Requested 1 Senior and Key Personnel Funds Requested $ 27,000

Senior/Key Personnel											
#	Commons ID	First Name	Middle Name	Last Name	Role	Person-Months Requested	Base Salary	Requested Salary	Fringe Benefits	Funds Requested	Action
1	SmithJ001	John		Smith	Co-Investigator	06	20,000	25,000	2,000	27,000	Edit Delete

Complete the form below with informatio

Step 2: Click Add to see each item and allow next entry.

Enter Other Personnel

# of Other Personnel | Role(s) | Person-Months Requested | Requested Salary | Fringe Benefits | Funds Requested

Add Clear

Other Personnel Requested 2 Other Personnel Funds Requested $ 23,000

Other Personnel						
# of Other Personnel	Role(s)	Person-Months Requested	Requested Salary	Fringe Benefits	Funds Requested	Action
2	Research Assistants	06	20,000	3,000	23,000	Edit Delete

Total Personnel Requested 3 Total Personnel Funds Requested $ 50,000

Step 4: Click on next budget line item.

Save Cancel Supplement Summary | Personnel | Equipment Purchases | Other Direct Costs | F&A (Indirect) Costs | Additional Recipient F&A Costs

Applicant View: Streamlined Supp Requests via Commons

Personnel | Equipment | Travel | Participant/Trainee | Other Direct | F&A (Indirect) Costs

Equipment for Budget Period 1

Summary of Administrative Supplement Funds Requested for Period 1							
Personnel	Equipment	Travel	Participant/Trainee	Other Direct	Total Direct Costs	Total F&A (Indirect) Costs	Total Requested
$ 50,000	$ 1,000	$ 0	$ 0	$ 0	$ 51,000	$ 0	$ 51,000

Instructions for Equipment

List each request for equipment item and dollar amount for each item exceeding $5000. Equipment is defined as an item of property that has an acquisition cost of $5000 or more (unless the organization has an established lower level) and an expected service life of more than one year. List each item of equipment sold separately and justify each in the budget justification section. Allowable items will ordinarily be limited to research equipment and apparatus not already available for the conduct of work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. You may add up to 10 equipment items.

Equipment Item | Funds Requested | Add | Clear

#	Equipment Item	Funds Requested	Action
1	Microscope	1,000	Edit Delete

Total Equipment Requested $0

Save | Cancel | Clear Budget Period | Return to Main Page

List each equipment item and funds requested separately, and click Add. Screen updates with requested funds and clears fields for next entry.

Applicant View: Streamlined Supp Requests via Commons

Personnel | Equipment | Travel | Participant/Trainee | Other Direct | F&A (Indirect) Costs

Travel for Budget Period 1

Summary of Administrative Supplement Funds Requested for Period 1							
Personnel	Equipment	Travel	Participant/Trainee	Other Direct	Total Direct Costs	Total F&A (Indirect) Costs	Total Requested
$ 50,000	$ 1,000	$ 1,000	$ 0	$ 0	**$ 51,000**	**$ 0**	**$**

Instructions for Travel

List total funds requested for domestic and foreign travel. In the budget justification, include the purpose, destination, dates of travel (if known) or estimated length of trip, and number of individuals for each trip.

Domestic Travel Costs $ 1,000
(Incl. Canada, Mexico and U.S. Possessions)

Foreign Travel Costs

Total Travel Requested $ 1,000

Save | Cancel | Clear Budget Period | Return to Main Page

Foreign and Domestic travel are listed separately as done in the R&R Budget.

Applicant View: Streamlined Supp Requests via Commons

Personnel | Equipment | Travel | Participant/Trainee | Other Direct | F&A (Indirect) Costs

Participant/Trainee Support Costs for Budget Period 1

Summary of Administrative Supplement Funds Requested for Period 1							
Personnel	Equipment	Travel	Participant/Trainee	Other Direct	Total Direct Costs	Total F&A (Indirect) Costs	Total Requested
$ 50,000	$ 1,000	$ 1,000	$ 600	$ 0	$ 52,600	$ 0	$ 52,600

Instructions for Participant/Trainee Support Costs

Participant/Trainee Support Costs may only be added when requested in the FOA

Tuition/Fees/Health Insurance	Stipends	Travel	Subsistence
$ 500			$ 100

Other Explain (enter explanation below)	Other Costs	# of Participants

Total Participants/Trainee Support Costs: $ 600

Save | Cancel | Clear Budget Period | Return to Main Page

This section included for consistency with R&R budget forms but will rarely be used.

Applicant View: Streamlined Supp Requests via Commons

Personnel | Equipment | Travel | Participant/Trainee | Other Direct | F&A (Indirect) Costs

Other Direct Costs for Budget Period 1

Summary of Administrative Supplement Funds Requested for Period 1							
Personnel	Equipment	Travel	Participant/Trainee	Other Direct	Total Direct Costs	Total F&A (Indirect) Costs	Total Requested
$ 50,000	$ 1,000	$ 1,000	$ 600	$ 9,000	**$ 61,600**	**$ 0**	**$ 61,600**

Instructions for Other Direct Costs

Materials and Supplies: List total funds requested for materials and supplies. In the budget justification, indicate general categories such as glassware, chemicals, animal costs, including an amount for each category. Categories less than $1000 are not required to be itemized.

Fee: Only those grants that are R41, R42, R43, R44, U43, or U44 may enter fees.

Materials and Supplies	Subawards/Consortium/Contractual Costs	Consultant Services	ADP/Computer Services
$ 3,000	$ 1,500		

Publication Costs	Equipment or Facility Rental/User Fees	Alterations and Renovations	Fee
$ 500	$ 4,000		

Total Other Direct Costs Requested: $ 9,000

Save | Cancel | Clear Budget Period | Return to Main Page

Subaward costs not calculated from subaward budgets

Fee only available for R41, R42, R43, R44, U43, and U44 Parent awards

Applicant View: Streamlined Supp Requests via Commons

Personnel | Equipment | Travel | Participant/Trainee | Other Direct | F&A (Indirect) Costs

F&A Indirect Costs for Budget Period 1

Summary of Administrative Supplement Funds Requested for Period 1							
Personnel	Equipment	Travel	Participant/Trainee	Other Direct	Total Direct Costs	Total F&A (Indirect) Costs	Total Requested
$ 50,000	$ 1,000	$ 1,000	$ 600	$ 9,000	**$ 61,600**	**$ 10,000**	**$ 71,6000**

Instructions for Indirect (F&A) Costs

You may add up to 4 Indirect (F&A) Costs.

Indirect Cost Type	Indirect Cost Base $	Indirect Cost Rate %	Indirect Cost
			$

Add Rates | Clear

Indirect Costs					
#	Indirect Cost Type	Indirect Cost Base	Indirect Cost Rate	Indirect Cost	Action
1	Type 1	12,000	50%	6,000	Edit Delete
2	Type 2	10,000	30%	3,000	Edit Delete
3	Type 3	4,000	25%	1,000	Edit Delete

Indirect Cost Subtotal $0

Save | Cancel | Clear Budget Period | Return to Main Page

Indirect Costs auto-calculated from base and rate provided.

Completing the Streamlined Request

- Return to “Home” tab to view summary of all budget and administrative data.
  - “Save” stores request information in Commons
  - “View” displays a printable PDF of the draft request
  - “Check for Errors” identifies errors and warnings that need to be addressed
  - PD/PI may “Route to SO” for review and submission
  - SO may “Route to PD/PI” with comments
  - “Cancel” clears the screen without saving data
  - “Delete” removes draft request from Commons
  - “Submit” routes official submission to NIH (SO only)

Completing the Streamlined Request

Budget Justification

Attach Budget Justification | Add Attachment | Delete Attachment | View Attachment

Budget Period

Select a budget period: Period 1 | Go

Complete each budget period, return to this main menu, and add any additional budget periods (up to the current project period end date)

Cumulative Administrative Supplement Funds Requested

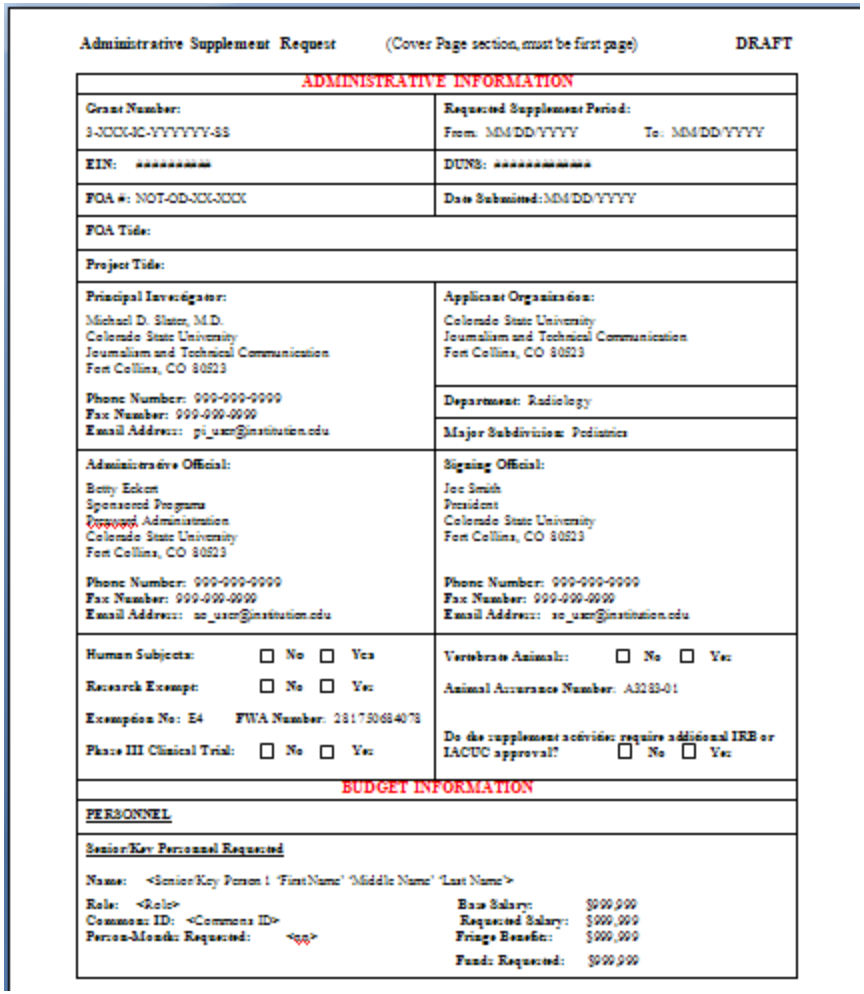
Cost	Totals ($)
Personnel	$ 50,000
Equipment	$ 1,000
Travel	$ 1,000
Participant/Trainee Support Costs	$ 600
Other Direct Costs	$ 9,000
Total Direct Costs	**$ 61,600**
Total F&A (Indirect) Costs	**$ 10,000**
Total Administrative Supplement Funds Requested	**$ 71,600**

Total budget request appears on main screen as entered in budget tabs.

Save | View | Check for Errors | View Routing History | Route to SO | Cancel | Delete

Options Menu

Image of Streamlined Request



Administrative Supplement Request (Cover Page section, must be first page) DRAFT

ADMINISTRATIVE INFORMATION

Grant Number: 3-JCXX-JC-YYYYYY-SS	**Requested Supplement Period:** From: MM/DD/YYYY To: MM/DD/YYYY
EIN: *********	**DUNS:** **********
FOA #: NOT-OD-XX-XXX	**Date Submitted:** MM/DD/YYYY
FOA Title:	
Project Title:	
Principal Investigator: Michael D. Slater, M.D. Colorado State University Journalism and Technical Communication Fort Collins, CO 80523 **Phone Number:** 999-999-9999 **Fax Number:** 999-999-9999 **Email Address:** pi_user@institution.edu	**Applicant Organization:** Colorado State University Journalism and Technical Communication Fort Collins, CO 80523 **Department:** Radiology **Major Subdivision:** Pediatrics
Administrative Official: Betty Eckert Sponsored Programs Research Administration Colorado State University Fort Collins, CO 80523 **Phone Number:** 999-999-9999 **Fax Number:** 999-999-9999 **Email Address:** so_user@institution.edu	**Signing Official:** Joe Smith President Colorado State University Fort Collins, CO 80523 **Phone Number:** 999-999-9999 **Fax Number:** 999-999-9999 **Email Address:** so_user@institution.edu
Human Subjects: ☐ No ☐ Yes **Research Exempt:** ☐ No ☐ Yes **Exemption No:** E4 **FWA Number:** 2817506840T8 **Phase III Clinical Trial:** ☐ No ☐ Yes	**Vertebrate Animals:** ☐ No ☐ Yes **Animal Assurance Number:** A3283-01 **Do the supplement activities require additional IRB or IACUC approval?** ☐ No ☐ Yes

BUDGET INFORMATION

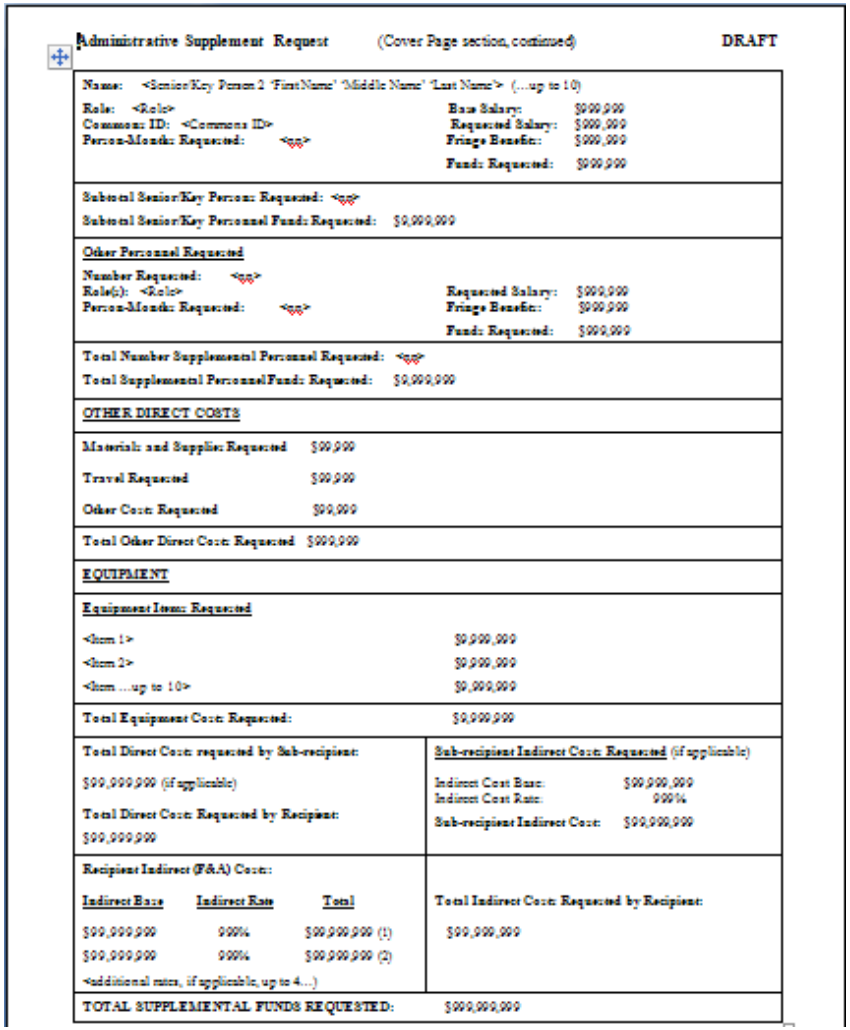
PERSONNEL

Senior/Key Personnel Requested

Name: <Senior/Key Person 1 'FirstName' 'Middle Name' 'Last Name'>

Role: <Role> **Common: ID:** <Commons ID> **Person-Months: Requested:** <##>

Base Salary: $###,### **Requested Salary:** $###,### **Fringe Benefit:** $###,### **Funds: Requested:** $###,###



Administrative Supplement Request (Cover Page section, continued) DRAFT

Name: <Senior/Key Person 2 'FirstName' 'Middle Name' 'Last Name'> (…up to 10)

Role: <Role> **Common: ID:** <Commons ID> **Person-Months: Requested:** <##>

Base Salary: $###,### **Requested Salary:** $###,### **Fringe Benefit:** $###,### **Funds: Requested:** $###,###

Subtotal Senior/Key Person: Requested: <##>

Subtotal Senior/Key Personnel Funds: Requested: $#,###,###

Other Personnel Requested

Number Requested: <##>

Role(s): <Role> **Person-Months: Requested:** <##>

Requested Salary: $###,### **Fringe Benefit:** $###,### **Funds: Requested:** $###,###

Total Number Supplemental Personnel Requested: <##>

Total Supplemental Personnel Funds: Requested: $#,###,###

OTHER DIRECT COSTS

Materials and Supplies Requested	$##,###
Travel Requested	$##,###
Other Costs Requested	$##,###
Total Other Direct Costs Requested	$###,###

EQUIPMENT

Equipment Items: Requested

<Item 1>	$#,###,###
<Item 2>	$#,###,###
<Item …up to 10>	$#,###,###
Total Equipment Costs Requested:	$#,###,###

Total Direct Costs requested by Sub-recipient: $##,###,### (if applicable) **Total Direct Costs Requested by Recipient:** $##,###,###	**Sub-recipient Indirect Costs Requested** (if applicable) **Indirect Cost Base:** $##,###,### **Indirect Cost Rate:** ##% **Sub-recipient Indirect Costs:** $##,###,###

Recipient Indirect (F&A) Costs:

Indirect Base	Indirect Rate	Total	Total Indirect Costs Requested by Recipient:
$##,###,###	##%	$##,###,### (1)	$##,###,###
$##,###,###	##%	$##,###,### (2)	
<additional rates, if applicable, up to 4…)			

TOTAL SUPPLEMENTAL FUNDS REQUESTED: $###,###,###

Image of Streamlined Request

Administrative Supplement Request (Personnel detail section, continued) **DRAFT**

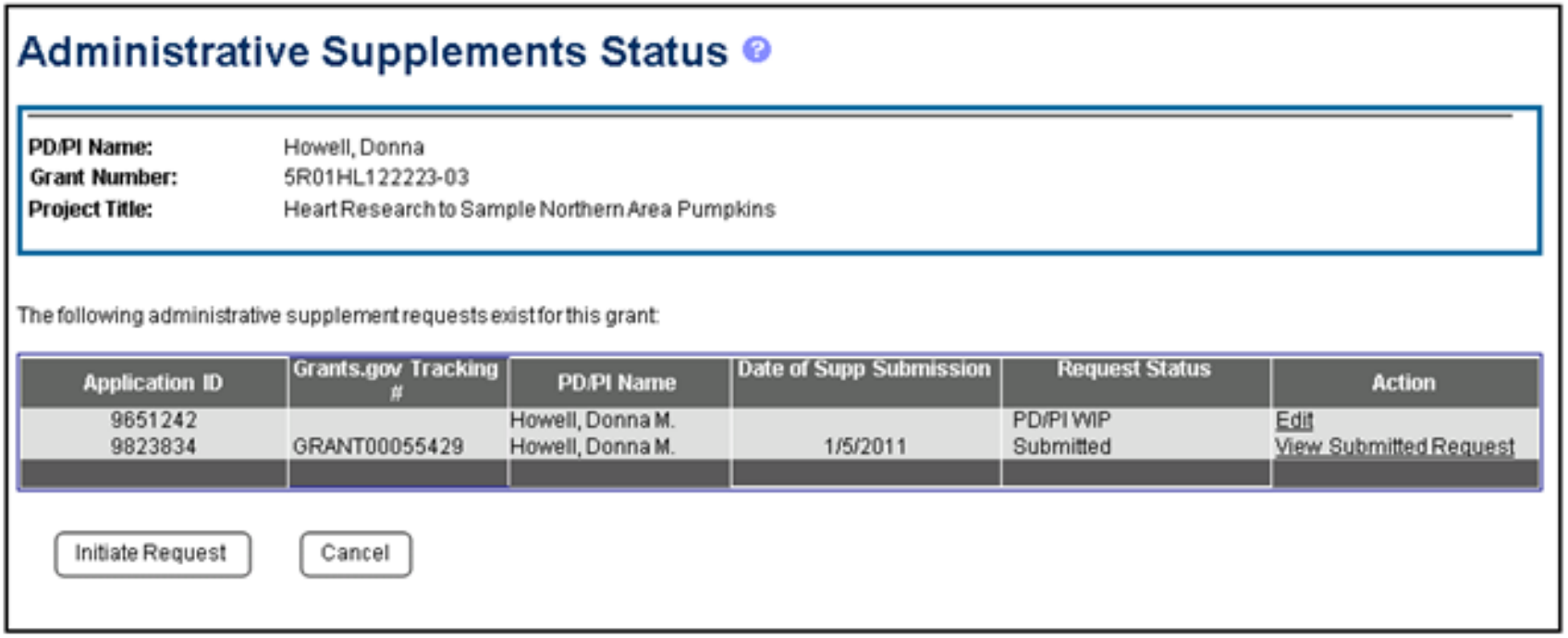
PERSONNEL REQUESTED:
<Senior/Key Person (xx...up to 10) Name> <Senior/Key Person (xx...up to 10) Role>
Applicant Biosketch for supplement to increase diversity or promote reentry: <Insert parsed text that corresponds to the applicable person from the Applicant Biosketch file attachment>
Eligibility Statement for supplement to increase diversity or promote reentry: <Insert text from Applicant Eligibility Statement file attachment, if applicable>
Research Experience Plan for supplement to increase diversity or promote reentry: <Insert text from Research Experience Plan file attachment, if applicable>

Administrative Supplement Request (Other Attachments section, at end of report) **DRAFT**

OTHER ATTACHMENTS:
<Attachment 1 File Name> <Insert text from Other Attachment 1>

Applicant View: Streamlined Supp Requests via Commons

- Once submitted, status viewable in Commons by SO, PD/PI, and delegate.
- Awarded type 3s visible but those awarded as Type 5s will not update in Commons in Phase I.



Administrative Supplements Status

PD/PI Name: Howell, Donna
Grant Number: 5R01HL122223-03
Project Title: Heart Research to Sample Northern Area Pumpkins

The following administrative supplement requests exist for this grant:

Application ID	Grants.gov Tracking #	PD/PI Name	Date of Supp Submission	Request Status	Action
9651242		Howell, Donna M.		PD/PI WIP	Edit
9823834	GRANT00055429	Howell, Donna M.	1/5/2011	Submitted	View Submitted Request

Initiate Request Cancel

Overview of Electronic Submission of Administrative Supplements

Thank you

eRA Communications