



## Principal Investigator and Signing Official Review of SF424 Application Errors

### Department Policy/Procedure

**Campus:** All

**Approved:** February 12, 2007

**Department:** All

**Next Review:** February 2009

#### Purpose

To provide the steps necessary for Principle Investigator and Swedish Research Center (SRC) to review and correct application errors reported by Grants.gov and eRA Commons as required prior to final submittal to granting agency.

#### Population Covered

All Principal Investigators who have just submitted a grant through SRC to Grants.gov.

#### Responsible Persons

Principal Investigator, Swedish Research Center Grants and Contracts Analyst

#### Definitions

SRC: Swedish Research Center

PI: Principle Investigator

GCA: Grants and Contracts Analyst

AOR: Authorized Organizational Representative

Types of Applications:

New: New grant application submitted under new announcement.

Changed/Corrected: A response to errors found on the above.

Resubmission: Any kind of modification other than a correcting error of a new grant application.

Revision: Updating a previously rejected application with a change in science or scope.

Renewal: Application for continued funding of a multi year project.

Error: Characterizes any condition which causes the application to be deemed unacceptable for further consideration. Generally, errors will indicate significant inaccuracies, inconsistencies, omissions, or incorrect formatting that have been identified in the body of the application and require correction by the PI and/or Authorized Organizational Representative (AOR).

Warning: Characterizes any condition that is acceptable, but worthy of bringing to the applicant's attention. It is at the applicant's discretion whether a warning condition requires any action.

#### Supplemental Information

N/A

## Content

Once Grants.gov receives the application submission from SRC, the system sends two emails to SRC within 24-48 hours. The first email confirms receipt of the application by the Grants.gov system. The second email will give a status report, indicating that the application has been successfully validated by the system and forwarded to the granting agency, or that it has been rejected due to errors. If rejected, the SRC GCA will work with the PI to correct errors, and SRC will resubmit the application to Grants.gov.

A second level of error checking is done on the application by eRA Commons to confirm that all agency-specific guidelines have been followed. The results of that check are found in Commons under application status. The PI and SRC AOR will also receive a series of notifications from eRA Commons indicating the status of the application. The PI and SRC GCA will correct errors following the steps noted below, "Correcting Errors."

Failure to comply with stated NIH policies can also result in a submitted application being returned to the applicant without review. For this reason, applicants are strongly encouraged to review all warnings, to ensure that they require no further attention and that they are satisfied with the validation results.

In addition to the validations performed by the eRA Commons system, further administrative review will be conducted by Institute staff. The PI and/or SRC may be contacted for further corrections or clarifications.

## Steps

### CORRECTING ERRORS AT THE NIH LEVEL

1. If validation errors or warnings result from the validation process, the PI and SRC will receive an email instructing them to log on to the eRA Commons to review the list of warnings/errors that were encountered during the validation process. **The eRA system will make every effort to send an email to the PI and SRC indicating whether errors or warnings were detected. Applicants are strongly encouraged to periodically check on their application status in the eRA Commons so that any errors or warnings can be resolved in the fastest manner possible.**
2. The SRC Signing Official will reject the original application in eRA Commons.
3. The GCA will work with the PI to correct noted errors on "final" SF424 application saved on t: drive, and then SRC will again submit as a changed/corrected application to Grants.gov.

### WARNINGS

1. If validation has identified *warnings only*, then the PI and SRC will be allowed to view the application.
2. Warnings do not require any action or submission of a changed/corrected application at this time.
3. Some warnings may need to be addressed later in the process or review stages.
4. If desired, warnings can be corrected in the same manner as errors.

### Reviewing Errors and warnings in the eRA Commons:

#### **Department Policy/Procedure: PI AND SIGNING OFFICIAL REVIEW OF SF424 APPLICATION ERRORS**

1. After the application has been downloaded from Grants.gov and validated by the system, access the eRA Commons (<https://commons.era.nih.gov/commons/>) using your Principal Investigator **Username** and **Password**.
2. Click the **Status** tab on the Commons menu bar.
3. A hitlist of application numbers is displayed. If the application was validated with warnings only, or without encountering any problems whatsoever, then it is identified in the hitlist by its NIH accession number (e.g., “AN:2911064”), otherwise it will be identified by its Grants.gov tracking number.  
  
If any *errors* were identified during validation, then the application still appears in the hitlist, but in this case it is identified by its Grants.gov tracking number (e.g., “TN:21236”). This is the number that Grants.gov assigned to your application at the time of submission.
4. When you find the appropriate application in the hitlist, click its application link.
5. The error/warning page appears, and you are then able to review all conditions that were identified during validation. If only *warnings* were identified, you may elect to take action and resubmit; however you may accept the warnings and proceed to view the application, as described earlier.

**Correcting errors on SF424 application and resubmitting (Corrections are made to the actual SF424 application saved at Swedish, not the application visible in eRA Commons):**

1. When you open your original grant, check the “Changed/Corrected Application” box in block 1 of the SF424 (R&R) Cover component.
  - When you check the Changed/Corrected Application box, Item 4. ‘**Federal Identifier**’ becomes a required field.
  - When submitting a Changed/Corrected Application for a “New” Type of Application (Item 8 = New), in the **Federal Identifier** field (Item 4) enter the Grants.gov tracking number for the previous application that you are correcting.
  - When submitting a Changed/Corrected Application for a “Resubmission,” “Renewal,” or “Revision” Type of Application (Item 8 = Resubmission, Renewal, or Revision), in the Federal Identifier field (Item 4) enter the previously assigned grant number (e.g., CA123456).
  - Do not use the Changed/Corrected Application box to denote a submission of a revised or amended application. That will be indicated in item 8, Type of Application.
2. PI will notify the SRC GCA via email of corrections made to SF424 application and attach the revised application.
3. SRC will submit the revised SF424 application to Grants.gov.

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## Expert Consultant

N/A

## Author

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## Regulatory Requirement

Grants.gov

## Department Policy/Procedure: PI AND SIGNING OFFICIAL REVIEW OF SF424 APPLICATION ERRORS

NIH

## **References**

Grants.gov Application Guide SF424 (R&R) Version 2, November 13, 2006

2.12 Correcting Errors

[http://grants1.nih.gov/grants/funding/424/SF424\\_RR\\_Guide\\_General\\_Ver2.doc#\\_Toc144091233](http://grants1.nih.gov/grants/funding/424/SF424_RR_Guide_General_Ver2.doc#_Toc144091233)

## **Manual**

SRC Internal Policy and Procedure Manual

## **Additional Computer Search Words/Terms**

N/A

## **Addendum (Addenda, if plural)**

N/A