

# 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 research opportunity announcement (ROA) will include specific instruction and forms needed for your application submission. Remember that the ROA 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 [eRA Commons](#). 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. [System Award Management](#)) will be required.

OTA applications must be submitted using NIH's [ASSIST](#) 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

**Login**

User Name

Password

Login Cancel

[Forgot Password/Unlock Account?](#)

**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 [FAQs](#) to learn more about this process change.

**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 late applications and reports, on a case-by-case basis. Please reference notice [NOT-OD-17-106](#) in the NIH Guide for Grants and Contracts for additional details.

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'.

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 [NIH Guide for Grants & Contracts](#) and in [Grants.gov's Search Grants](#). 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**

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.

[Home](#) > [Search for Applications](#) > [Initiate Application](#)

Initiate Application for ROA #: OTA-18-005

**ROA INFORMATION:** \* Required field(s)

ROA Number:

Opportunity Title:

Offering Agency:

Opportunity Open Date:

Opportunity Close Date:

Agency Contact:

Application Identifier:

Application Project Title \*  
 (describe title in 200 characters)

Lead Applicant Organization: \*

Lead Applicant Organization Address:

**Contact Project Director/Principal Investigator**

Enter PD/PI Information below or

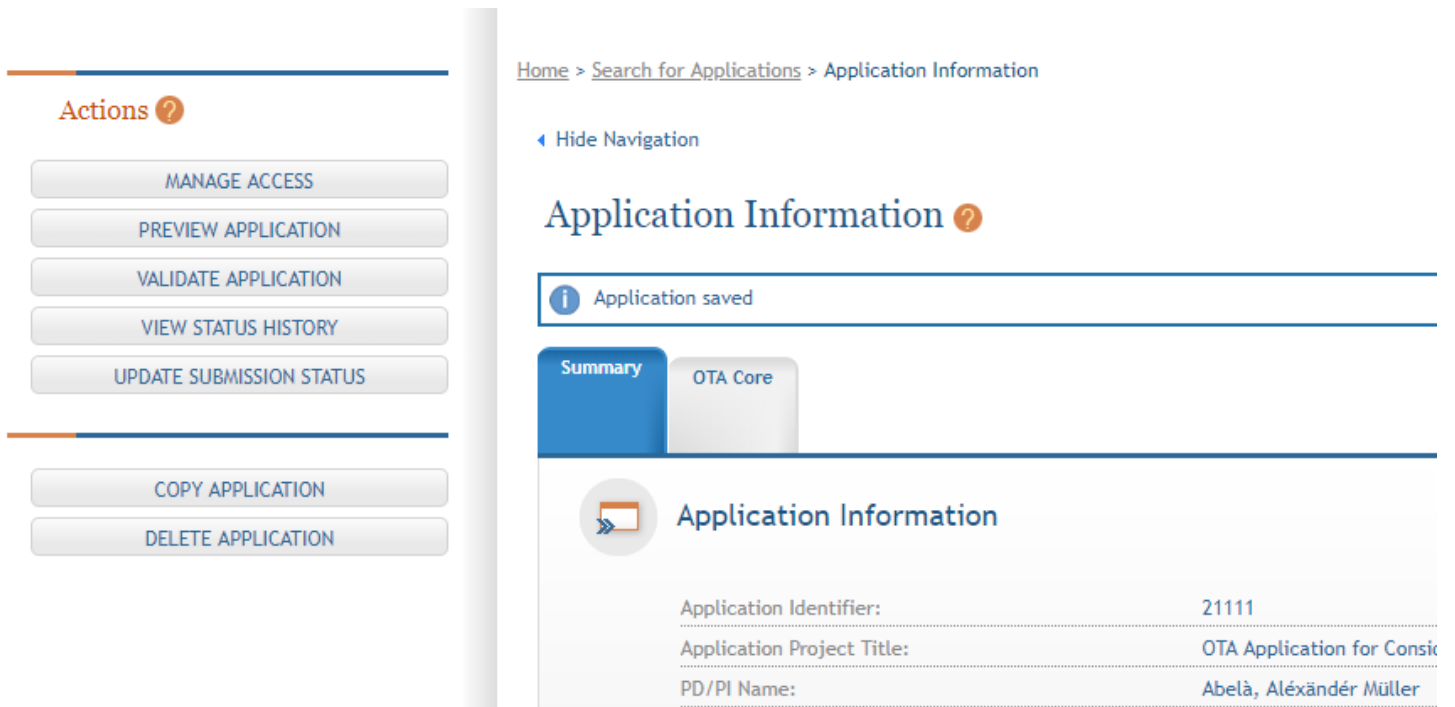
First Name:

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

← Hide Navigation

### Application Information ?

Application saved

Summary | OTA Core

#### Application Information

Application Identifier:	21111
Application Project Title:	OTA Application for Consi
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

Hide Navigation

## Application Information ?

Summary **OTA Core**

**NIH Other Transaction Application Form**  
OTA Core v1.0 ?

**Edit**

Submission Type

**Actions ?**

- RETURN TO APPLICATION
- MANAGE ACCESS
- PREVIEW CURRENT FORM
- VALIDATE APPLICATION
- VIEW STATUS HISTORY
- UPDATE SUBMISSION STATUS
- COPY APPLICATION
- DELETE APPLICATION

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:

**Save and Keep Lock:** saves data and restricts data entry access to current user

**Save and Release Lock:** saves data and releases form to other users

**Cancel and Release Lock:** does not save data and releases form to other users

**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	<input type="text"/>
Department	<input type="text"/>
Division	<input type="text"/>
* Street 1	<input type="text"/>
Street 2	<input type="text"/>
* City	<input type="text"/>
County	<input type="text"/>
State	<input type="text"/>
Province	<input type="text"/>
* Country	<input type="text" value="--- Select Country ---"/>
Zip/Postal Code	<input type="text"/>

**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 (EIN) or (TIN)

Employer Identification

## 3. Descriptive Title Of Applicant's Project

\* Descriptive Title of Applicant's Project

## 4. Project Period

Start Date

End 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 ROA 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
!	UNIVERSITY OF CALIFORNIA SAN DIEGO	<a href="#">Edit</a> <a href="#">View</a>

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
Nothing found to display.			

Leadership Plan


[Add Attachment](#)

[Delete Attachment](#)

[View Attachment](#)

The attachment should be attached as a PDF file.

## OTA Core - Contact PD/PI Record

OTA Core v1.0 

Edit

 ExpandCredential, e.g.,  
agency login

Populate fields from Credential

Prefix

\* First Name

Middle Name

\* Last Name

Suffix

Position/Title

Department

\* Organization Name

Division

\* Street 1

Street 2

\* City

County/Parish

State

Province

\* Country

Zip/Postal Code

Phone Number

Fax Number

\* Email

Save and Keep Lock

Save and Release Lock

Cancel and Release Lock

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.

## 6. Business Official Contact Information

6. Business Official Contact Information

Prefix	<input type="text" value="--- Select Prefix ---"/>
* First Name	<input type="text"/>
Middle Name	<input type="text"/>
* Last Name	<input type="text"/>
Suffix	<input type="text" value="--- Select Suffix ---"/>
Position/Title	<input type="text"/>
Department	<input type="text"/>
* Organization Name	<input type="text"/>
Division	<input type="text"/>
* Street 1	<input type="text"/>
Street 2	<input type="text"/>
* City	<input type="text"/>
County	<input type="text"/>
State	<input type="text"/>
Province	<input type="text"/>
* Country	<input type="text" value="--- Select Country ---"/>
Zip/Postal Code	<input type="text"/>
Phone Number	<input type="text"/>
Fax Number	<input type="text"/>
* Email	<input type="text"/>

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)

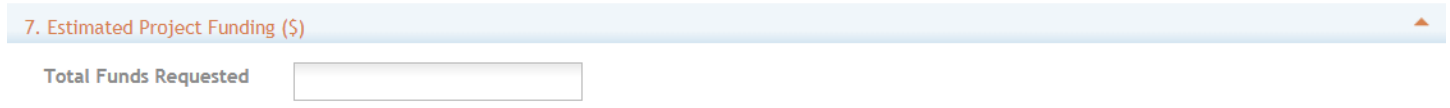
\*\* I agree

### Complete the information for the Business Official Contact.

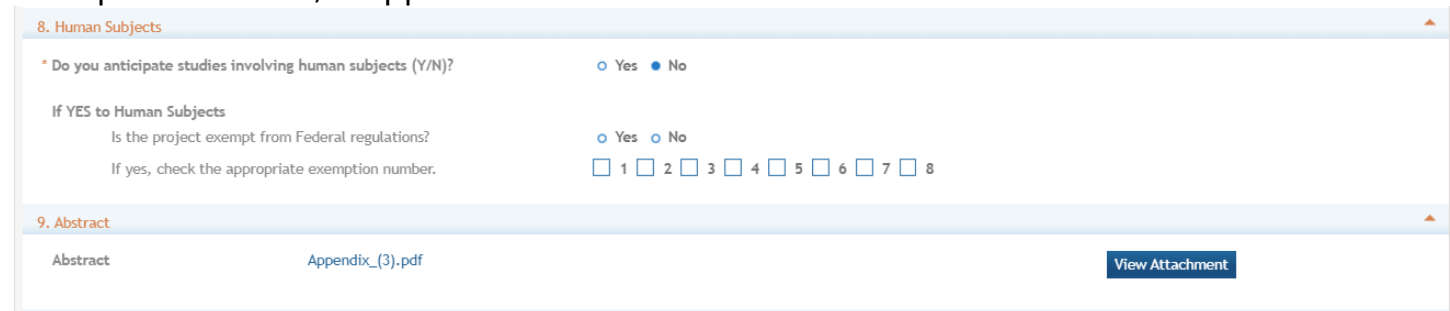
**Contact and Address fields:** Enter the field data for the Business Official as each label indicates. The Organization Name, Street 1, City, Country, and Email are required fields. The State and ZIP/Postal Code fields will become required upon Country selection of United States. Note that ZIP/Postal 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 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 project activity. Check “I agree” to provide the required certifications and assurances.

7. **Estimated Project Funding:** Enter the total federal funds, including Direct Costs and F&A (Indirect Costs) requested for the entire project period.



8. **Human Subjects:** Enter whether studies involving human subjects are anticipated. If yes, indicate if the project is exempt from federal regulations and check the appropriate exemption number, if applicable.



9. **Abstract:** Attach PDF file in accordance with the ROA and/or specific instructions using the “add attachment” button. The attachment should be in the format of a PDF file. 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.

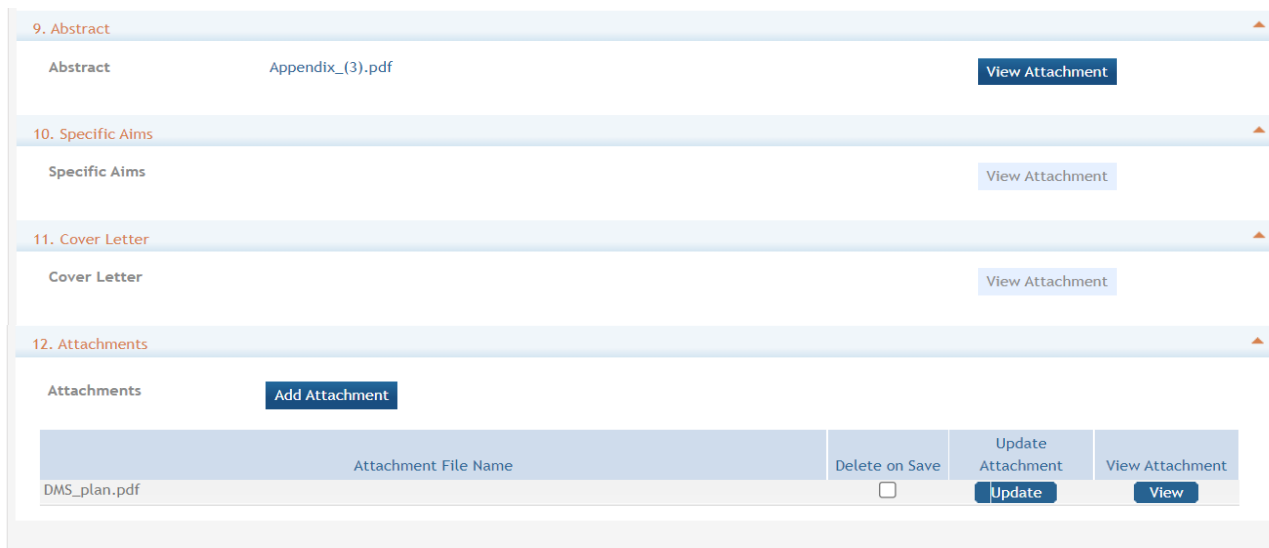
10. **Specific Aims:** Attach PDF file in accordance with the ROA and/or specific instructions using the “add attachment” button. The attachment should be in the format of a PDF file. To delete an uploaded attachment, check ‘Delete on Save’ and the file will be removed upon next save. Individual attachments can be replaced or updated by clicking the ‘Update’ button of the corresponding row.

11. **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.

- ADD OPTIONAL FORM
  - PREVIEW APPLICATION
  - VALIDATE APPLICATION
  - VIEW STATUS HISTORY
  - UPDATE SUBMISSION STATUS
- 
- COPY APPLICATION

The letter should include the application title. The attachment should be in the format of a PDF file. 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.

12. **Attachments:** Attach PDF file in accordance with the ROA 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.



### 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.

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### Update Submission Status

Select the new status Ready for Submission ▾

Enter a comment on the -- Select Status -- [Submission or continue](#)  
without adding a comment. Ready for Submission  
Abandoned

Add comment

Cancel


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 Screen Rendered: 05/16/2018 10:45:16 EDT | Screen Id: ASSIST0034@1092  
 Version: 2.29.00


## 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:	<span style="color: #e67e22;">Ready for Submission</span> <div style="margin-left: 10px;"> <div style="background-color: #4f81bd; color: white; padding: 5px 15px; border-radius: 5px; display: inline-block;">Submit Application</div> </div>
Status Date:	2018-05-16 10:50:09.000 PM EDT <div style="float: right; margin-top: -20px;"> <div style="border: 1px solid #ccc; padding: 2px 10px; border-radius: 5px; display: inline-block;">Submit Application</div> </div>

Notice: 

 Are you sure you want to submit the application?

[Follow the status of your submission in eRA Commons](#)

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