



Electronic Research Administration  
A program of the National Institutes of Health



National Institutes of Health  
Office of Extramural Research

# Instructions for Accessing the Inclusion Management System (IMS) via Commons Status

Document Version 2.1.0

July 17, 2015



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## DOCUMENT HISTORY

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<b>Date</b>	<b>IMS Version</b>	<b>Document Version</b>	<b>Description of Change</b>	<b>Author</b>
10/17/2014	1.0	1.0.0	Initial release of user guide	eRA Communications
2/04/2015	1.7	2.0.0	Updated for Last Budget Period IDRs	eRA Communications
7/17/2015	1.9.2	2.1.0	Updated Manage IDR topic and figures	eRA Communications

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## 1 Inclusion Management System (IMS)

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The purpose of this guide is to provide instruction for navigating the Inclusion Management System (IMS) for viewing and maintaining inclusion enrollment data associated with your applications and award(s).

IMS is used to view and maintain inclusion data associated with your grant(s) and can be accessed in one of two ways, both through the eRA Commons system: via the Status module – or– via the RPPR *Section G. Special Reporting Requirements*. In these instructions, you will find information on accessing IMS via the eRA Commons (Commons), managing Inclusion Data Records (IDRs), including editing planned inclusion data, editing cumulative inclusion data, viewing IDR details and action history, and routing/submitting inclusion data.

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**IMPORTANT:** This guide covers how to access IMS via the eRA Commons Status module. It does not cover information regarding submitting your inclusion data with your Research Performance Progress Report (RPPR). The *NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide* provides additional information on filling out Section G as well as all other sections of the progress report. Refer to [Chapter 5.2.4](#) and [Chapter 6.7](#) of the RPPR instruction guide for more information.

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### 1.1 When to Use the Status Module

There are a number of reasons why you might need to access inclusion data through Commons Status rather than through your progress report. For example:

- Before award of a competitive application, changes may be necessary to the inclusion data submitted with the application via Grants.gov.
- Post-award, there may be a requirement to provide more frequent updates to inclusion enrollment in addition to any reporting associated with the RPPR.

Inclusion data cannot always be updated using Status. When application is undergoing peer review, the inclusion data is not accessible in the Inclusion Management System. Also, after a grant is awarded, only the **View** links will be available for the IDRs associated with fiscal year award. The data for a given fiscal year is locked when the award is issued and no further updates can be made. At that point, you can make updates via Status for the record associated with the next fiscal year.

You will also be blocked from using Status to update inclusion data once the progress report for a given fiscal year has been initiated, and IMS has been accessed by clicking the **Inclusion** link within the progress report. This is discussed in the [NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#).

## 1.2 Access via Status Module

Commons Status module looks and behaves differently for users, depending on their system role (e.g., PI, SO). Therefore access to IMS via Status also differs depending on whether you are a PI (or delegate) or an SO. Please refer to the directions specific to your Commons role.

**TIP:** This topic covers how to access IMS via Status. It does not cover additional information regarding the Status module. For more information on the Status module, refer to the topics titled [Status for Program Directors/Principal Investigators \(PI Role\)](#) or [Status for Signing Officials \(SO role\)](#) in the *Commons Online Help*.

### 1.2.1 Access IMS as a PI

As a PI (or delegate), you use the *Status Result – List of Applications/Grants* screen to access IMS.

To access IMS via the Status Result:

1. Locate the correct application in the results table.
2. Select the **Inclusion** link from the **Action** column for the specific application.

**Status Result - List of Applications/Grants** ?

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

Application ID	Grants.gov Tracking #	Proposal Title	PI/PI Name	eSubmission Status	Current Application Status	Status Date	Action
<a href="#">1DP20D001234-01</a>	GRANT12300001P	Measure for Measure & Other Scientific Methodologies	SHAKESPEARE, WILLIAM	Submission Complete	Administratively Withdrawn by IC	11/10/2011	<a href="#">Transmittal Sheet</a>
<a href="#">3K234054321-05S2</a>		All's Well That Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM		Awarded. Non-fellowships only	05/30/2008	
<a href="#">5R01CA176543-03 (MPI)</a>		Much Ado About Childhood Obesity in the United States	SHAKESPEARE, WILLIAM		Pending	07/15/2014	<a href="#">RPPR   Inclusion</a>
<a href="#">5R01CA176543-02 (MPI)</a>		Much Ado About Childhood Obesity in the United States	SHAKESPEARE, WILLIAM		Pending	07/25/2013	<a href="#">RPPR   Inclusion</a>
<a href="#">5R01CA165432-02</a>		The Taming of the Flu	SHAKESPEARE, WILLIAM		Pending	06/08/2011	<a href="#">Inclusion</a>
<a href="#">5K234054321-02</a>		A Winter's Tale: A Comprehensive Study of the Common Cold	SHAKESPEARE, WILLIAM		Awarded. Non-fellowships only	01/15/2004	
<a href="#">5R01CA165432-03</a>		The Taming of the Flu	SHAKESPEARE, WILLIAM		Pending	06/25/2012	<a href="#">Inclusion</a>

Figure 1: Inclusion Link in eRA Commons Status Results

The *Inclusion–Manage Inclusion Data Records (IDRs)* screen displays any existing IDRs for the application. You will use this screen to access the features for submitting new records, viewing existing records, editing planned data, editing cumulative data, routing IDRs, and submitting IDRs (SO or authorized PIs).

**IMPORTANT:** IMS blocks the ability to manage IDRs accessed via the Status screens if the IDRs have already been accessed by yourself or another permitted grantee via the progress report (i.e., RPPR). In this event, when accessing the IDRs via Commons Status screens, you will only be able to view the information.

For more information on the *Inclusion–Manage Inclusion Data Records (IDRs)* screen and available actions within, refer to the topic titled [Inclusion - Manage Inclusion Data Records](#).

### 1.2.2 Access IMS as an SO

As an SO, you can retrieve and view a list of applications having Inclusion Data Records (IDRs) that require updates or another action. Selecting the **Pending Inclusion Action** link from the main Status page prompts Commons to display grants for which the IDR(s) are in a status of *Grantee Updates in Progress* or *Pending SO*.

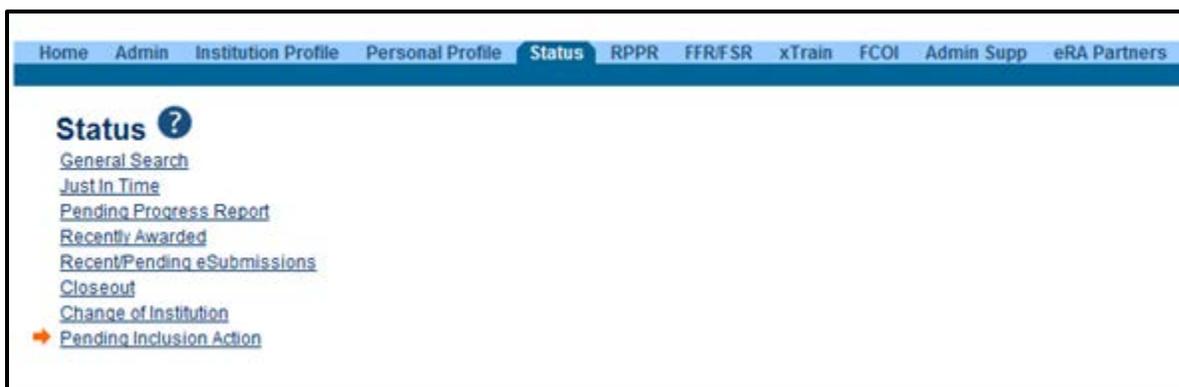


Figure 2: Pending Inclusion Action Link on SO’s Status Screen

To view or manage these IDRs, select the **Inclusion** link from the records on the screen. After selecting the link, you will be taken to the *Inclusion–Manage Inclusion Data Records (IDRs)* screen on which IDRs for the application are displayed.

The screenshot shows the 'Pending Inclusion Action ?' screen. It features a search result table with the following data:

Grant Number	Accession Number	Grants.gov Tracking #	Proposal Title	PI Name	Application Status	Budget Start Date	Budget End Date	FFATA Flag	Sandy Eligible	Action
5R01CA123456-03			The Red Badge of Courage and Other Cancers of the Skin	CRANE, STEPHEN	Pending	01/01/2015	12/31/2015	Yes		Inclusion
1U54CA654321-01	12345678		All's Well That Ends Well with Advances in Medicine	SHAKESPEARE, WILLIAM	Pending	08/01/2014	07/31/2015	Yes		Inclusion

Figure 3: Pending Inclusion Action Screen in Status

This *Pending Inclusion Action* feature in Status provides a quick means viewing only grants with inclusion needs. However, if you perform a specific search using the *Status Results–General Search* screen will find the **Inclusion** link there, in the **Action** column, if inclusion monitoring is required for the grant.

## 2 Manage Inclusion Data Records

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Grantees use the *Inclusion–Manage Inclusion Data Records (IDRs)* screen to begin the process of submitting new planned enrollment reports or to view a list of all IDRs for a given grant application and to manage those individual records where applicable.

The top portion of the screen displays the Grant number, the PI Name, and the SO selected for inclusion-related email notification (if selected). Refer to the topic titled [Select SO for Inclusion Emails](#).

When inclusion data records exist, they display in the hitlist, which displays inclusion record details and links for viewing or editing IDRs as appropriate. The information is displayed by project number in a table. IDRs on the subproject level submitted through the Application Submission System and Interface for Submission Tracking (ASSIST) are displayed on the parent level though they may be associated with a particular subproject.

Some IDRs represent studies in the current funding period for which existing datasets or resources were used to conduct the study (with no planned enrollment) or are from the progress report provided with the most recent competing renewal submission. If IDRs exist matching these criteria, they will display with only the View action link and a message on the top of the screen will indicate the reason (e.g., *The application has been awarded, and IDRs cannot be created or edit for that fiscal year.*)

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**NOTE:** The **Submit New Planned Inclusion Record** link is the only option you will see when inclusion monitoring is required and no IDRs exist. Select the link to open the *Edit Planned Inclusion Data* screen to submit a new report. Refer to the topic titled [Edit Planned Inclusion Data](#) for more information.

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The information provided in the hitlist(s) will vary depending on whether the viewed records are for a single project (or parent) or multi-year funded award.

- Single-project awards and parent applications to multi-project awards: The hitlist displays all IDRs for the application. These IDRs are editable in Commons Status before award, until accessed via RPPR. After submission of the progress report, these IDRs are available for editing via Commons Status again until the award is issued.

Multi-year funded award: The hitlist displays all IDRs for the award, grouped by fiscal year with the current fiscal year displayed at the top of the list. The IDRs for previous fiscal years display below the current year and can only be viewed. Only IDRs for the current fiscal year are editable. These IDRs are locked once the each budget start date anniversary is passed.

**Inclusion- Manage Inclusion Data Records (IDRs) ?**

Grant #: 1U54CA123456-01  
 PI Name: SHAKESPEARE, WILLIAM  
 Selected SO for Inclusion emails: Macbeth, Lord [Select SO](#)

[Submit New Planned Inclusion Record ?](#)

IDR # ?	IDR Status ?	Study Title	Last Updated Date	Action ?
1026033	Grantee Updates in Progress	This is the Study Title for this Sample IDR	09/19/2014 09:12 AM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a> <a href="#">Delete</a> <a href="#">Route To SO</a>

Figure 4: Manage IDRs for Single- and Multi-projects

**Inclusion- Manage Inclusion Data Records (IDRs) ?**

Grant #: 1R01CA654321-01  
 PI Name: Shakespeare, William  
 Please select SO for Inclusion emails: [Select SO](#)

IDR # ?	IDR Status ?	Study Title	Last Updated Date	Action ?
<b>FY: 2015</b> <a href="#">Submit New Planned Inclusion Record ?</a>				
1010414	Previous FY Data	The Sample Study Title of This IDR	09/12/2015 01:17 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>
1010477	Previous FY Data	Another Study Title to Another Sample IDR	09/12/2015 01:17 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>
1026222	Received by Agency	Here is an Example of a Study Title Too Long to Disp... <a href="#">More</a>	09/23/2015 02:57 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>
<b>FY: 2014</b>				
1010414	Accepted (Original Submission)	The Sample Study Title of This IDR	09/12/2014 01:11 PM	<a href="#">View</a>
1010477	Accepted (Original Submission)	Another Study Title to Another Sample IDR	09/12/2014 01:11 PM	<a href="#">View</a>

Figure 5: Manage IDRs for Multi-Year Funded Awards

**Inclusion- Manage Inclusion Data Records (IDRs) ?**

Grant #: 1R01CA001111-01  
 PI Name: SHAKESPEARE, WILLIAM  
 Please select SO for Inclusion emails: [Select SO](#)

**The application has been awarded, and IDRs cannot be created or edited for that fiscal year.**

IDR # ?	IDR Status ?	Study Title	Last Updated Date	Action ?
155607	Accepted (Original Submission)	Sample Study Title for an IDR That Can Only Be Viewed	10/26/2012 03:23:18 PM	<a href="#">View</a>
155608	Accepted (Original Submission)	Another Sample Study Title for an IDR That Can Only Be Viewed	10/26/2012 03:26:18 PM	<a href="#">View</a>

Figure 6: Example of Manage IDRs Screen for View-Only IDRs

The information provided in the hitlist is as follows:

- **IDR#**

The words (*Last Budget Period*) appear after the IDR number to indicate that the IDR was created in the [Last Budget Period and is designated as a “Last Budget Period” IDR](#).

- **IDR Status**

Refer to the topic titled [Inclusion Data Record Statuses](#) for a list and definition of all available statuses.

- **Study Title**

- **Last Updated Date**

- **Action**

Use the links in the **Action** column to perform specific actions against the IDR. Depending on the award type, IDR status, and/or IMS system user's role, the following action links may be available from the *Inclusion–Manage Inclusion Data Records (IDRs) Action* column. Not all links are available to all users or for all inclusion records.

Possible actions include the following:

- **View**

Select the **View** link to open a read-only view of the *Inclusion Data Record (IDR) Details* screen. For more information on this screen, refer to the topic titled [Inclusion Data Record Details](#).

The **View** link is available for all IDRs, but is the only available option for the following IDRs:

- IDRs for a single-project and multi-project for which inclusion data was accessed via the RPPR
- IDRs for awarded single-project and multi-project
- IDRs for past years of a multi-year funded award
- IDRs with only cumulative enrollment data (see the section below titled [Existing Studies](#))

- **Edit Planned Enrollment**

Select the **Edit Planned Enrollment** link to access the *Edit Planned Inclusion Data* screen for editing existing enrollment data. Refer to the topic titled [Edit Planned Inclusion Data for more information](#).

The **Edit Planned Enrollment** link appears for single- and multi-project awards at all times before award. For multi-year awards, the link is available only for the current year of the IDR.

This link may also appear for Last Budget Period IDRs. Refer to the topic titled [Last Budget Period IDRs](#) for more details.

- **Edit Cumulative Inclusion Enrollment**

Select the **Edit Cumulative Inclusion Enrollment** link to access the *Edit Cumulative Inclusion Data* screen for editing cumulative enrollment data. Refer to the topic titled [Edit Cumulative Inclusion Data for more information](#).

The **Edit Cumulative Inclusion Enrollment** link appears for single- and multi-project awards at all times before award. For multi-year awards, the link is available only for the current year of the IDR.

- **Edit in Last Budget Period**

The **Edit in Last Budget Period** link displays next to an IDR to report enrollment data for research performed during the period of time between the award of the last non-competing support year and the end of the project period. Selecting the link creates a Last Budget Period IDR for this information. The link is removed once a Last Budget Period IDR is created. Refer to the topic titled [Last Budget Period IDRs](#) for more details.

- **Delete**

IDRs that were created by a Grantee via Commons Status or RPPR and never submitted to the Agency can be deleted. Use the **Delete** link to delete these inclusion records. When the link is selected, a confirmation message displays: *Are you sure you want to delete this Inclusion Data Record? You will lose all related enrollment data. Do you want to Continue?*

From this confirmation, select the **Continue** button to complete the process or the **Cancel** button to abort the deletion. Once confirmed, this action cannot be undone.

- **Route to SO**

PIs, PI delegates, and AOs use the **Route to SO** link to send the IDR to a Signing Official for review or submission. Refer to the topic titled [Route to SO](#) for more information.

- **Return to PI**

SOs use the **Return to PI** link to send a routed IDR back to the PI. Refer to the topic titled [Return to PI](#) for more information.

- **Route to Agency**

SOs and PIs delegated with submit authority by the SO use the **Route to Agency** link to submit the IDR to the awarding agency. Refer to the topic titled [Route to Agency](#) for more information.

### 2.1.1 Submit New Planned Inclusion Form

PIs can create new IDRs for single- and multi-project awards and for the current year of multi-year awards until the progress report has been submitted and the award issued (or the budget start date anniversary has passed for a multi-year funded award). It may be necessary to submit a new Planned Inclusion Record if a grantee has studies that were not designed prior to competing submission and now are ready to start.

PIs can also submit new planned data for study commencing during the period of time between award of the last non-competing support year and the end of the project period. These IDRs are

called Last Budget Period IDRs. Refer to the topic titled [Last Budget Period IDRs](#) for more information.

To submit new planned inclusion records, select the **Submit New Planned Inclusion Record** link on the *Inclusion-Manage Inclusion Data Records (IDRs)* screen.

**Inclusion- Manage Inclusion Data Records (IDRs)** ⓘ

Grant #: 1U54CA123456-01  
 PI Name: SHAKESPEARE, WILLIAM  
 Selected SO for Inclusion emails: Macbeth, Lord [Select SO](#)

[Submit New Planned Inclusion Record](#) ⓘ

IDR # ⓘ	IDR Status ⓘ	Study Title	Last Updated Date	Action ⓘ
1026033	Grantee Updates in Progress	This is the Study Title for this Sample IDR	09/19/2014 09:12 AM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a> <a href="#">Delete</a> <a href="#">Route To SO</a>

Figure 7: Submit New Planned Inclusion Record Link for Single- and Multi-Projects

**Inclusion- Manage Inclusion Data Records (IDRs)** ⓘ

Grant #: 1R01CA654321-01  
 PI Name: Shakespeare, William  
 Please select SO for Inclusion emails: [Select SO](#)

IDR # ⓘ	IDR Status ⓘ	Study Title	Last Updated Date	Action ⓘ
<b>FY: 2015</b>				
<a href="#">Submit New Planned Inclusion Record</a> ⓘ				
1010414	Previous FY Data	The Sample Study Title of This IDR	09/12/2015 01:17 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>
1010477	Previous FY Data	Another Study Title to Another Sample IDR	09/12/2015 01:17 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>
1026222	Received by Agency	Here is an Example of a Study Title Too Long to Disp. <a href="#">More</a>	09/23/2015 02:57 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>
<b>FY: 2014</b>				
1010414	Accepted (Original Submission)	The Sample Study Title of This IDR	09/12/2014 01:11 PM	<a href="#">View</a>
1010477	Accepted (Original Submission)	Another Study Title to Another Sample IDR	09/12/2014 01:11 PM	<a href="#">View</a>

Figure 8: Submit New Planned Inclusion Record for Multi-Year

This link opens the *Edit Planned Inclusion Data* screen, on which all planned enrollment count information can be entered. For details on this screen, refer to the topic titled [Edit Planned Inclusion Data](#).

### Edit Planned Inclusion Data ?

Grant #: 1P20NR123456-01A1  
 PI Name: SHAKESPEARE, WILLIAM

---

**Planned Enrollment Report** \*Required field(s)

\*Study Title:

\*Foreign/Domestic:

Comments:

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/ Alaska Native	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Asian	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Native Hawaiian or Other Pacific Islander	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Black or African American	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
White	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
More Than One Race	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
<b>Total</b>	0	0	0	0	0

Figure 9: Blank Edit Planned Inclusion Data Screen

### 2.1.2 Edit Planned Inclusion Data

The *Edit Planned Inclusion Data* screen is used to enter or update planned inclusion enrollment data for an IDR. The screen is accessed in one of two manners:

- Selecting the **Submit New Planned Inclusion Record** link from the *Inclusion-Manage Inclusion Data Records (IDRs)* screen to create a new record
- Selecting the **Edit Planned Enrollment** link from the *Inclusion-Manage Inclusion Data Records (IDRs)* screen for editable prospective studies.

Refer to the topic titled [Inclusion-Manage Inclusion Data Records](#) for more information.

**Edit Planned Inclusion Data**

Grant #: 1P20NR123456-01A1  
 PI Name: SHAKESPEARE, WILLIAM

---

**Planned Enrollment Report** \*Required field(s)

\*Study Title:

\*Foreign/Domestic:

Comments:

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/ Alaska Native	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Asian	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Native Hawaiian or Other Pacific Islander	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Black or African American	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
White	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
More Than One Race	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Figure 10: Edit Planned Inclusion Data Form (New IDR)

**Edit Planned Inclusion Data**

Grant #: 1P20NR123456-01A1  
 PI Name: SHAKESPEARE, WILLIAM  
 Inclusion Data Record (IDR) #: 1026033  
 IDR Status: Grantee Updates in Progress  
 Study Title: Sample Study Title for this Sample IDR

---

**Planned Enrollment Report** \*Required field(s)

\*Study Title:

\*Foreign/Domestic:

Comments:

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/ Alaska Native	<input type="text" value="35"/>	<input type="text" value="58"/>	<input type="text" value="25"/>	<input type="text" value="5"/>	123
Asian	<input type="text" value="20"/>	<input type="text" value="20"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	40
Native Hawaiian or Other Pacific Islander	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Black or African American	<input type="text" value="10"/>	<input type="text" value="18"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	28
White	<input type="text" value="30"/>	<input type="text" value="38"/>	<input type="text" value="4"/>	<input type="text" value="6"/>	78
More Than One Race	<input type="text" value="2"/>	<input type="text" value="4"/>	<input type="text" value="10"/>	<input type="text" value="10"/>	26
<b>Total</b>	<b>97</b>	<b>138</b>	<b>39</b>	<b>21</b>	<b>295</b>

Figure 11: Edit Planned Inclusion Data Form (Existing IDR)

The *Edit Planned Inclusion Data* screen contains the following information:

### **Header Fields**

- **Grant #**
- **PI Name**  
The name of the contact PI on the application record.
- **Inclusion Data Record (IDR) #**  
Displays the system-generated identification number of the inclusion data record. The words (*Last Budget Period*) appear after the IDR number to indicate that the IDR is a [Last Budget Period IDR](#).  
*This field is displayed only when editing an existing IDR.*
- **IDR Status**  
Shows the status of the record.  
*This field is displayed only when editing an existing IDR.*
- **Study Title**  
The study title of the IDR, pre-populated with the existing title and editable when editing an IDR.  
*This field is displayed only when editing an existing IDR.*

### **Planned Inclusion Enrollment Report Fields**

- **Study Title**  
The study title of the IDR, pre-populated with the existing title and editable when editing an IDR.  
For a new IDR, this field displays blank. Enter the new IDR's study title into the field. This is required.
- **Foreign/Domestic**  
This field indicates whether the IDR involves participants from a non-US site (i.e., foreign) or a US site (i.e., domestic). This field is pre-populated when editing an existing IDR.  
When creating a new IDR, select the value from the drop-down list. This is a required field.
- **Comments**  
An optional text field for entering comments. This field is pre-populated when editing an existing IDR and blank when creating a new IDR. If editing existing Planned Enrollment, you should first discuss with the Program Officer and may want to consider adding a comment here to explain the change.

The planned enrollment form includes racial categories along the left side the of the table and ethnic categories, divided by sex/gender, along the top of the table. The individual enrollment count cells are editable and set to zero by default, when populating a new IDR. When editing an existing form, these values are pre-populated with any other value previously entered. The total fields are calculated by IMS and sum up as rows and columns accordingly. The total values are not editable fields.

**POLICY:** For additional information on racial and ethnic categories or inclusion policy, refer to the [PHS Supplemental Instructions for Human Subjects](#) or the [OER inclusion web page](#).

Update the values in the individual enrollment count cells as necessary, and select the **Save** button. To leave the form without saving any changes, select the **Cancel** button instead. Saving and cancelling both return you to the *Inclusion–Manage Inclusion Data Records* screen.

IMS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

- If you enter and save 0s on the form when enrollment data previously was migrated from the previous NIH inclusion data system, you will receive a warning message before the data can be saved:

*Warning: You are about to submit zeroes for your planned enrollment when data in the previous OMB-approved format exists. Would you like to proceed?*

Select **Proceed** to continue or **Cancel** to abort the action.

Upon a successful save of a new IDR, attributes (Study Title, Foreign/domestic indicator/planned comments), Planned Inclusion Data (as entered), and Cumulative Inclusion Data (as zeroes) are also created; the new IDR is assigned a unique IDR #; and the IDR status is set to *Grantee Updates in Progress* (when accessing through Status in Commons).

### 2.1.3 Edit Cumulative Inclusion Data

Use the *Edit Cumulative Inclusion Data* screen to enter or edit existing cumulative inclusion enrollment data for an IDR. The screen is accessed by selecting the **Edit Cumulative Inclusion Enrollment** link from the *Inclusion–Manage Inclusion Data Records (IDRs)* screen. Refer to the topic titled [Inclusion–Manage Inclusion Data Records](#) for more information.

### Edit Cumulative Inclusion Data ?

Grant #: 1P20NR123456-01A1  
 PI Name: SHAKESPEARE, WILLIAM  
 Inclusion Data Record (IDR) #: ? 1026033  
 IDR Status: ? Grantee Updates in Progress  
 Study Title: Sample Study Title for this Sample IDR

---

#### Cumulative Inclusion Enrollment Report \*Required field(s)

\*Study Title: ?

Comments:

Racial Categories	Ethnic Categories									Total
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			
	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/ Alaska Native	<input type="text" value="0"/>	0								
Asian	<input type="text" value="0"/>	0								
Native Hawaiian or Other Pacific Islander	<input type="text" value="0"/>	0								
Black or African American	<input type="text" value="0"/>	0								
White	<input type="text" value="0"/>	0								
More Than One Race	<input type="text" value="0"/>	0								
Unknown or Not Reported	<input type="text" value="0"/>	0								
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

Figure 12: New Cumulative Planned Inclusion Data Form

The *Edit Cumulative Inclusion Data* screen contains the following information:

**Header Fields**

- **Grant #**
- **PI Name**  
The name of the contact PI on the application record.
- **Inclusion Data Record (IDR) #**  
Displays the system-generated identification number of the inclusion data record. The words (*Last Budget Period*) appear after the IDR number to indicate that the IDR is a [Last Budget Period IDR](#).
- **IDR Status**  
Shows the status of the record.
- **Study Title**  
The study title of the IDR, pre-populated with the existing title and editable.

**Cumulative Inclusion Enrollment Report Fields**

- **Study Title**

Displays the study title for the IDR, pre-populated from the Planned Enrollment Form.

- **Comments**

An optional text field for entering cumulative enrollment comments. If any comments were entered before, this field is pre-populated when editing an existing IDR.

The cumulative enrollment form includes racial categories along the left side the of the table and ethnic categories, divided by sex/gender, along the top of the table. The individual enrollment count cells are editable and set to zero by default, when populating a new IDR. When editing an existing form, these values are pre-populated with any other value previously entered. The total fields are calculated by IMS and sum up as rows and columns accordingly. The total values are not editable fields.

**NOTE:** The cumulative inclusion form includes fields for entering Unknown/Not Reported race, ethnicity, and sex/gender data.

Update the values in the individual enrollment count cells as necessary, and select the **Save** button. To leave the form without saving any changes, select the **Cancel** button instead. Saving and canceling both return you to the *Manage Inclusion Data Records* screen.

**POLICY:** For additional information on racial and ethnic categories or inclusion policy, refer to the [PHS Supplemental Instructions for Human Subjects](#) or the [OER inclusion web page](#).

### Edit Cumulative Inclusion Data ?

Grant #: 1P20NR123456-01A1  
 PI Name: SHAKESPEARE, WILLIAM  
 Inclusion Data Record (IDR) #: 1026033  
 IDR Status: Grantee Updates in Progress  
 Study Title: Sample Study Title for this Sample IDR

---

**Cumulative Inclusion Enrollment Report** \*Required field(s)

\*Study Title:

Comments:

Racial Categories	Ethnic Categories									Total
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			
	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/ Alaska Native	33	60	0	25	5	0	2	1	0	126
Asian	21	20	0	0	0	2	0	0	0	43
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	12	15	1	2	1	0	0	0	0	31
White	27	40	2	5	10	0	1	2	0	87
More Than One Race	3	4	0	10	10	0	0	0	0	27
Unknown or Not Reported	1	0	0	0	2	0	0	0	0	3
<b>Total</b>	<b>97</b>	<b>139</b>	<b>3</b>	<b>42</b>	<b>28</b>	<b>2</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>317</b>

Figure 13: Entering Cumulative Inclusion Data

IMS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

- If you enter and save 0s on the form when enrollment data previously was migrated from the previous NIH inclusion data system, you will receive a warning message before the data can be saved:

*Warning: You are about to submit zeroes for your cumulative inclusion enrollment data when data in the previous OMB-approved format exists. Would you like to proceed?*

Select **Proceed** to continue or **Cancel** to abort the action.

- Planned enrollment count overall total must be greater than 0 before cumulative enrollment data can be entered. If planned enrollment counts equal 0, you will receive the following error:

*Planned Enrollment count must exist before entering Cumulative enrollment Data*

- If an overall total value is less than the prior year total, you will receive a warning message before data can be saved:

*Warning: Some (or all) enrollment counts are less than previous FY. Do you want to continue?*

When data is saved, the Last Updated Date and Last Updated ID are updated.

### 2.1.4 Last Budget Period IDRs

Upon award of an application, the status of a regular IDR is changed to *Accepted*, and the data are frozen and unable to be edited for that fiscal year. Grantees who need to report changes in the enrollment data for the research performed during the period of time between award of the last non-competing support year and the end of the project period cannot do so in these *Accepted* IDRs. Instead, Grantees can report this information by creating a Last Budget Period IDR, which is assigned to the last support year of the grant, along with the regular IDR.

To create the Last Budget Period IDR, associated with regular IDR for the same study, select the **Edit in Last Budget Period** link in **Action** column of the *Inclusion-Manage IDRs* screen for the regular IDR. This link will be removed once the Last Budget Period IDR is created.

IDR #	IDR Status	Study Title	Last Updated Date	Action
143756	Accepted (Original Submission)	A Study in Scarlet Fever	01/28/2015 01:06:43	View <b>Edit in Last Budget Period</b>

Figure 14: Edit in Last Budget Period

When the Last Budget period IDR is created, all enrollment data (Planned and Actual) are copied from the regular IDR for this study. The Last Budget Period IDR is displayed on the hitlist below the associated regular IDR. The **Edit in Last Budget Period** link is removed from **Action**

column for regular IDR. Editing links (**Edit Planned Enrollment**, **Edit Cumulative Enrollment**, and routing links) are displayed for the Last Budget Period IDR.

As with regular IDRs, Last Budget Period IDRs must be routed from the PI to the SO and submitted to the Agency by the SO. Agency staff will not see these IDRs until they are submitted to the Agency.

The Last Budget Period IDR and regular IDR – associated with the same study – share the same unique IDR number. The Last Budget Period IDR is distinguished by the label (*Last Budget Period*) located next to IDR number wherever the IDR number is displayed.

IDR #	IDR Status	Study Title	Last Updated Date	Action
143756	Previous FY Data	A Study in Scarlet Fever	01/28/2015 01:06:43 PM	<a href="#">View</a>
143756 (Last Budget Period)	Received by Agency	A Study in Scarlet Fever	01/28/2015 01:10:43 PM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a>

Figure 15: Sample of IDR# Field for a Last Budget Period IDR

**NOTE:** Grantees can edit both planned and cumulative data for the last budget period using the **Edit Planned Enrollment** and **Edit Cumulative Enrollment** links on the *Inclusion–Manage Inclusion Data Records (IDRs)* screen for the Last Budget Period IDR.

Grantees can create a new IDR during the Last Budget Period should a new study commence during that time period by selecting the **Submit New Planned Inclusion Record** link. Grantees then will be provided with blank *Planned Inclusion Data* screen where the data for a new study can be entered. After the Last Budget Period IDR for a new study is created, it should be edited and routed to the Agency in the same manner as the regular IDR. On the hitlist such IDRs would not have associated regular IDRs, since the study just started in Last Budget Period.

### 3 Inclusion Data Record Details

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Access the *Inclusion Data Record (IDR) Details* screen by selecting the **View** action option from the *Inclusion–Manage Inclusion Data Records (IDRs)* screen.

You can use this screen to view details of a selected IDR, including planned and cumulative enrollment reports and history of actions performed on the IDR. The information displayed on the screen is read-only.

The screen provides the ability to switch between all fiscal years and between all existing versions of the requested IDR. Each time edits to an IDR are sent to the agency a version is created so as not to overwrite existing information. It allows you to view the *Work in Progress* IDR (for IDRs in *Grantee Updates in Progress*, *Pending SO*, *Requires Updates*, or *Inclusion Updated* status).

Close

**Inclusion Data Record (IDR) Details**

View Reported FY: 2015

Grant #: 1U54CA123456-01  
 PI Name: SHAKESPEARE, WILLIAM  
 Current Inclusion Data  
 Inclusion Data Record (IDR) #: 1026033  
 Study Title: Sample Study Title for this Inclusion Data Record  
 Foreign/Domestic: Domestic

Inclusion Data Record (IDR)
Action History

**Enrollment Report - Simple View**

**Planned Enrollment Report**

Comments: These are my comments...

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/ Alaska Native	35	58	25	5	123
Asian	20	20	0	0	40
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	10	18	0	0	28
White	30	38	4	6	78
More Than One Race	2	4	10	10	26
<b>Total</b>	<b>97</b>	<b>138</b>	<b>39</b>	<b>21</b>	<b>295</b>

**Cumulative Enrollment Report**

Comments: These are my sample comments...

Racial Categories	Ethnic Categories									Total
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			
	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/ Alaska Native	33	60	0	25	5	0	2	1	0	126
Asian	21	20	0	0	0	2	0	0	0	43
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	12	15	1	2	1	0	0	0	0	31
White	27	40	2	5	10	0	1	2	0	87
More Than One Race	3	4	0	10	10	0	0	0	0	27
Unknown or Not Reported	1	0	0	0	2	0	0	0	0	3
<b>Total</b>	<b>97</b>	<b>139</b>	<b>3</b>	<b>42</b>	<b>28</b>	<b>2</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>317</b>

Previous Year Total Enrollment: 0

Figure 16: Sample IDR Details for Single-Year Award

The header section of the screen displays general project and IDR information. Additional IDR data is displayed on tabs within the screen.

- **Inclusion Data Record (IDR)** tab
- **Action History** tab

## Header Section

The header section of *Inclusion Data Record (IDR) Details* displays the appropriate information for the grant application record to which the selected IDR belongs. The following information is included in the header section of the screen:

- **View Reported FY**

IMS allows switching between fiscal years of an application/award (or fiscal year of an IDR for multi-year award) by selecting the appropriate year's link. The screen's default view depends on which record was chosen to view when you accessed the screen. When a fiscal year's IDR is in the current view, the link becomes disabled and is displayed as bold text instead.

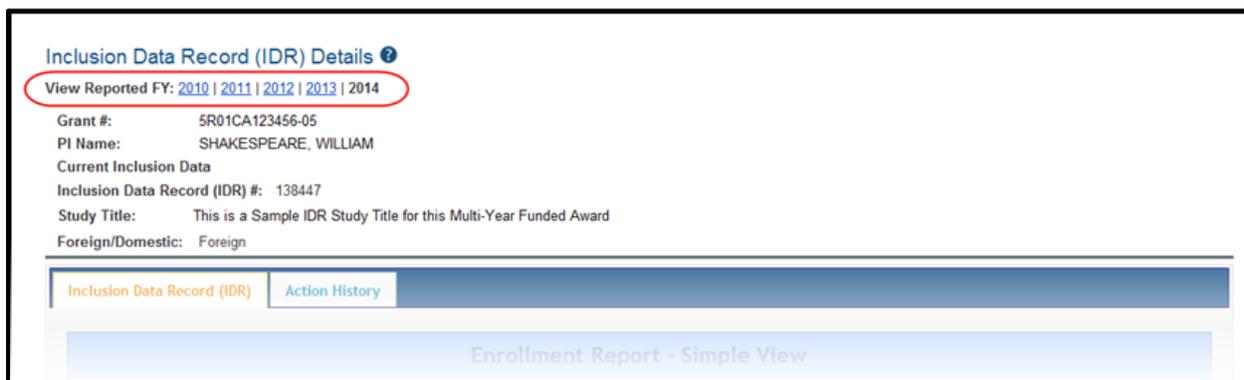


Figure 17: Switching Between Fiscal Years on IDR Details

- **Grant #**
- **PI Name**
- **Current Inclusion Data|Prior Versions**

To view prior versions of the IDR, select the date link of the prior version you wish to view. To return to the current version, select the **Current Inclusion Data** link. The corresponding link –either the current version or a selected prior version – displays in bold font as a visual indication of the view.

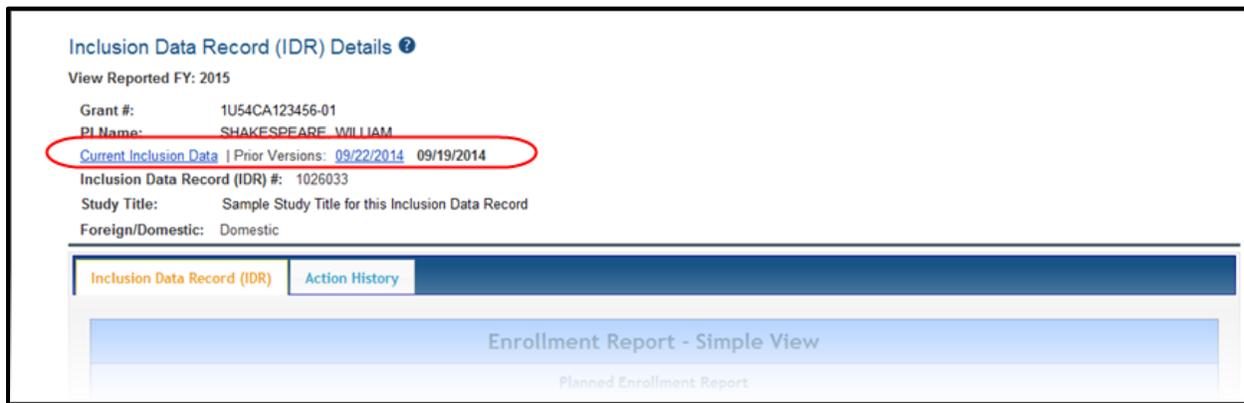


Figure 18: Switching Between Current and Prior Versions

When viewing *Inclusion Data Record (IDR) Details* for a [Last Budget Period IDR](#), the words (*Last Budget Period*) display next to the **Current Inclusion Data** label. On the same line, links to the prior version of the Last Budget Period IDR (if applicable) display next to the title **Prior Versions of Last Budget Period**. Links to the prior version(s) of the corresponding *regular* IDR display beneath this information, next to the label **Prior Versions**; these links do not exist for Last Budget Period IDRs not associated with a regular IDR (i.e., new study).



Figure 19: Header Info for Last Budget Period IDR

- **Inclusion Data Record (IDR) #**  
The words (*Last Budget Period*) appear next to the IDR number to indicate a Last Budget Period IDR.
- **Study Title**
- **Foreign/Domestic** indicator

### 3.1.1 Enrollment Report–Simple View

The **Enrollment Report – Simple View** section of the *Inclusion Data Record (IDR) Details* screen shows simple tables of enrollment information for planned enrollment and cumulative enrollment for the selected version, where available.

**Inclusion Data Record (IDR) Details** ⓘ

View Reported FY: 2015

Grant #: 1U54CA123456-01  
 PI Name: SHAKESPEARE, WILLIAM  
 Current Inclusion Data  
 Inclusion Data Record (IDR) #: 1026033  
 Study Title: Sample Study Title for this Inclusion Data Record

~~Foreign/Domestic: Domestic~~

**Inclusion Data Record (IDR)** | Action History

---

**Enrollment Report - Simple View**

Planned Enrollment Report

Comments: These are my comments...

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/ Alaska Native	35	58	25	5	123
Asian	20	20	0	0	40
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	10	18	0	0	28
White	30	38	4	6	78
More Than One Race	2	4	10	10	26
<b>Total</b>	<b>97</b>	<b>138</b>	<b>39</b>	<b>21</b>	<b>295</b>

---

**Cumulative Enrollment Report**

Comments: These are my sample comments...

Racial Categories	Ethnic Categories									Total
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			
	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/ Alaska Native	33	60	0	25	5	0	2	1	0	126
Asian	21	20	0	0	0	2	0	0	0	43
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	12	15	1	2	1	0	0	0	0	31
White	27	40	2	5	10	0	1	2	0	87
More Than One Race	3	4	0	10	10	0	0	0	0	27
Unknown or Not Reported	1	0	0	0	2	0	0	0	0	3
<b>Total</b>	<b>97</b>	<b>139</b>	<b>3</b>	<b>42</b>	<b>28</b>	<b>2</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>317</b>

Previous Year Total Enrollment: 0

Figure 20: Enrollment Report—Simple View

In some instances, the data is not available or is available in the previous OMB-approved format. These cases are outlined below.

Data last saved in the previous NIH inclusion data system and migrated to IMS will display in the previous OMB-approved format. In this case, the following notes will appear on the screen:

- Planned Enrollment Report: *NOTE: Planned enrollment comments (if any) will be viewed in the previous OMB-approved layout until a competing submission is received in FY15 or beyond.*
- Cumulative Enrollment Report: *NOTE: Cumulative enrollment and comments (if any) will be viewed in the previous OMB-approved layout for data reported in FY14 and prior years.*
- Migrated data with no planned enrollment: *No Planned Enrollment has been provided for this fiscal year.*
- Migrated data with no cumulative enrollment data: *No cumulative data has been provided for this fiscal year.*

For data received from eSubmission where no planned enrollment data exists, the following message will display: *Cumulative enrollment data was provided with competing application; planned enrollment was not required.*

**Inclusion Data Record (IDR) Details**

View Reported FY: [2010](#) | [2011](#) | [2012](#) | [2013](#) | 2014

Grant #: 5R01CA654321-05  
 PI Name: SHAKESPEARE, WILLIAM  
 Current Inclusion Data  
 Inclusion Data Record (IDR) #: 1026033  
 Study Title: Sample Study Title for this Inclusion Data Record  
 Foreign/Domestic: Domestic

**Inclusion Data Record (IDR)** | **Action History**

### Enrollment Report - Simple View

Planned Enrollment Report

NOTE: Planned enrollment and comments (if any) will be viewed in the previous OMB-approved layout until a competing submission is received in FY15 or beyond.

Ethnic Category	Sex/Gender		
	Females	Males	Total
Hispanic or Latino	0	0	0
Not Hispanic or Latino	175	175	350
<b>Ethnic Category: Total of All Subjects*</b>	175	175	350
<b>Racial Categories</b>			
American Indian/Alaska Native	0	0	0
Asian	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0
Black or African American	175	175	350
White	0	0	0
<b>Racial Categories: Total of All Subjects*</b>	175	175	350

\*The 'Ethnic Category Total of All Subjects' must be equal to the 'Racial Category Total of All Subjects'

### Cumulative Enrollment Report

NOTE: Cumulative enrollment and comments (if any) will be viewed in the previous OMB-approved layout for data reported in FY14 and prior years.

Part A: Total Enrollment Report: Number of Subjects Enrolled to Date (Cumulative) by Ethnicity and Race

Ethnic Category	Sex/Gender			
	Females	Males	Unknown or Not Reported	Total
Hispanic or Latino**	0	0	0	0
Not Hispanic or Latino	280	137	0	417
Unknown (Individuals not reporting ethnicity)	0	0	0	0
<b>Ethnic Category: Total of All Subjects*</b>	280	137	0	417
<b>Racial Categories</b>				
American Indian/Alaska Native	0	0	0	0

Figure 21: Enrollment Report for Data Entered in Previous OMB-Approved Format

### 3.1.2 Action History

The **Action History** tab of the *Inclusion Data Record (IDR) Details* screen provides a list of actions performed against the IDR, including the person who performed the action.

The screenshot shows the 'Inclusion Data Record (IDR) Details' page. At the top, there is a 'Close' button. Below it, the page title is 'Inclusion Data Record (IDR) Details' with a help icon. The 'View Reported FY: 2015' is displayed. The 'Grant #' is 1U54CA123456-01 and the 'PI Name' is SHAKESPEARE, WILLIAM. The 'Current Inclusion Data' is highlighted with a red circle, showing 'Prior Versions: 10/19/2014'. The 'Inclusion Data Record (IDR) #' is 1026033. The 'Study Title' is 'Sample Study Title for this Inclusion Data Record' and the 'Foreign/Domestic' status is 'Domestic'. Below this information, there are two tabs: 'Inclusion Data Record (IDR)' and 'Action History'. The 'Action History' tab is active, showing a table with the following data:

Action Date/Time	Action Performed By	Action
10/19/2014 09:12 AM	SHAKESPEARE, WILLIAM	Created
10/19/2014 09:21 AM	SHAKESPEARE, WILLIAM	Grantee Updates in Progress
10/19/2014 09:22 AM	SHAKESPEARE, WILLIAM	Sent to SO
10/22/2014 09:25 AM	Macbeth, Lord	Sent to Agency

Figure 22: Action History on IDR Details

The information is displayed in a table with the following fields:

- **Action Date/Time**  
Displays the date and time on which the action was performed in the system.
- **Action Performed By**  
Provides the name of the individual who performed the action. The name is displayed as a link, which opens the *PI Details* pop up screen.
- **Action**  
Displays the type of action performed against the IDR. Below is a list of possible actions and their definitions.
  - *Accepted by Agency*: A system-generated status update upon rollover of a multi-year funded award. The user in this event will display as System.
  - *Created*: The IDR form (Planned or Cumulative) was received as part of the electronic application submission process, was created in the Inclusion Management System, or was migrated from POP Tracking.
  - *Copied from prior year*: The IDR was created when the next budget period began.
  - *Created Via RPPR*: The Grantee user has created the IDR by selecting the Submit New Planned Inclusion Form link after accessing the IDR via RPPR.
  - *Cumulative Enrollment is Updated for Progress Report*: The Grantee user has updated the cumulative enrollment counts after accessing the IDR via RPPR.

- *Grant is Awarded*: A system-generated status update upon release of the award. The user in this event will display as System.
- *Grantee Updates in Progress*: The Grantee user initiated updates for the IDR by editing the planned or cumulative data.
- *Inclusion Data Accessed Via RPPR*: Indicates that a Grantee user has accessed the IDR by selecting the Inclusion link from the RPPR Section G. Special Requirements.
- *Planned Enrollment is Updated for Progress Report*: The Grantee user has updated the planned enrollment counts after accessing the IDR via RPPR.
- *Returned to PI*: The SO returned a routed IDR back to the PI.
- *Sent to Agency*: The SO (or delegate) routed the IDR to Agency.
- *Sent to Agency as Part of the Progress Report*: The IDR is submitted within a submitted RPPR.
- *Sent to SO*: The PI (or delegate) routed the IDR to the SO.

## 4 Routing & Submitting IDRs

The routing feature exists in the IMS to allow grantee users (e.g., PIs, PI delegates, SOs) to send IDRs to others for review or submission. Routing refers to the processes of sending an IDR to an SO for review; sending an IDR back to the PI for editing; and submitting the IDR to the Agency.

Routing is performed by selecting the appropriate action link from the *Inclusion–Manage Inclusion Data Records (IDRs)* screen:

- **Route to SO**
- **Return to PI**
- **Route to Agency**

Refer to the individual routing topics for more information.

### 4.1.1 Route to SO

As the PI, you will need to route IDRs (in status of *Grantee Updates in Progress*) – including [Last Budget Period IDRs](#) – to an SO who is responsible for submitting the IDR to the Agency. This function is performed on the *Inclusion–Manage Inclusion Data Records (IDRs)* screen.

**NOTE:** PIs who are granted authority in eRA Commons to submit progress reports directly may not need to perform this *Route to SO* function.

To route the IDR to an SO:

1. Navigate to the *Inclusion–Manage Inclusion Data Records (IDRs)* screen
2. Verify that an SO name appears in the **Select SO for Inclusion Emails** field. *You must first choose an SO before routing the IDR.* For information on selecting an SO, refer to the topic titled [Select SO for Inclusion Emails](#).
3. Locate the IDR to route from the **Prospective Studies** hitlist.
4. Select the **Route to SO** link. The link will only display for IDRs in a status of *Grantee Updates in Progress*.

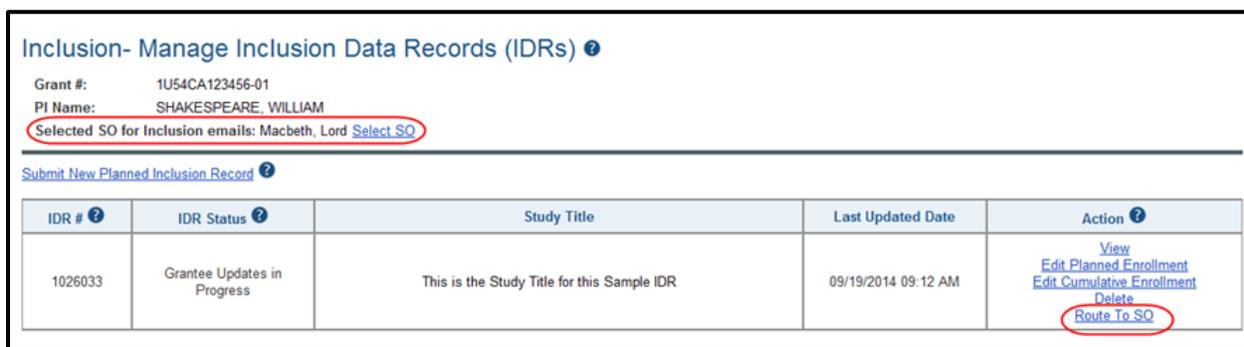


Figure 23: Route to SO Link

When routed to the SO, the following actions occur:

- Email notification is sent to the selected SO
- IDR status updates to *Pending SO*
- The action is recorded in the *Action History*

#### 4.1.1.1 Select SO for Inclusion Emails

Principal Investigators (PI) (and delegates) must select a specific Signing Official (SO) to receive email notifications concerning the inclusion record(s). Follow the steps below to select an SO for inclusion emails.

1. From the *Inclusion – Manage Inclusion Data Records (IDRs)* screen, click the **Select SO** link. This link is located near the top of the screen under the grant and PI information.

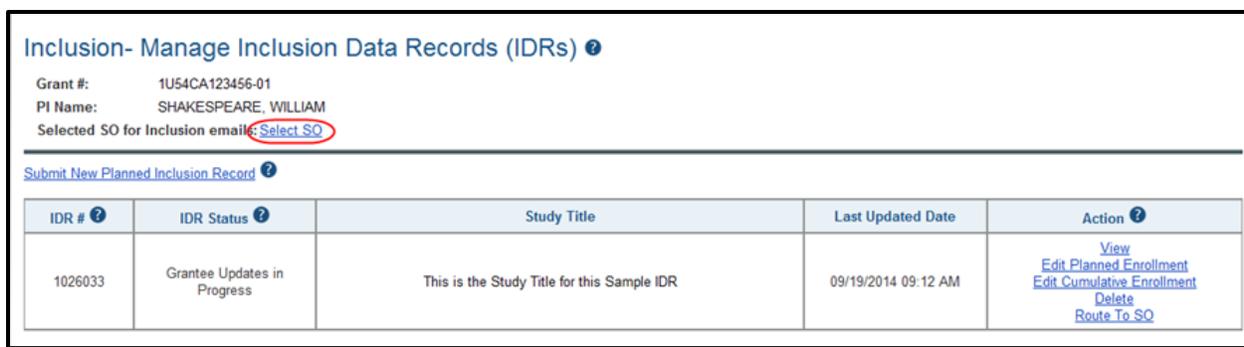


Figure 24: Select SO Link

2. From the drop-down list presented on the screen, select the appropriate SO name.
3. With the name displayed in the box, click the **Select** button.

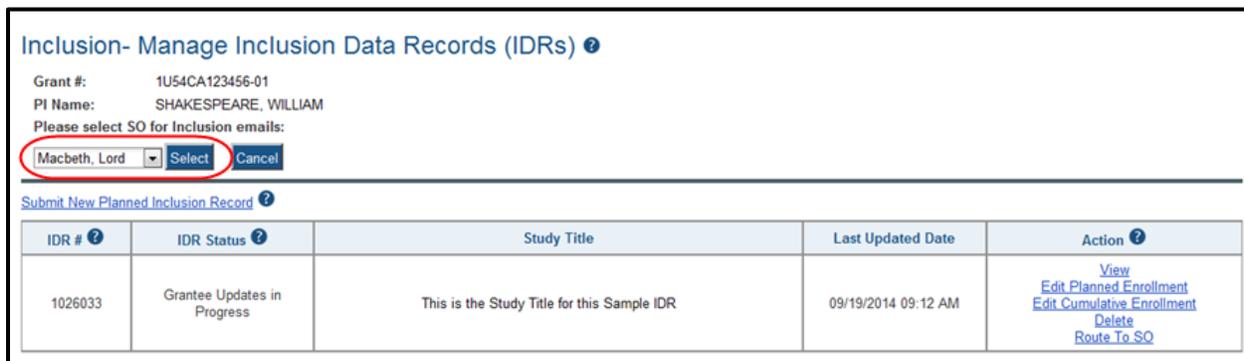


Figure 25: Select SO from Drop-Down List

The screen updates to display the name of the SO next to the title **Selected SO for Inclusion emails**. The **Select SO** button remains available on the screen and can be used to choose a different SO.

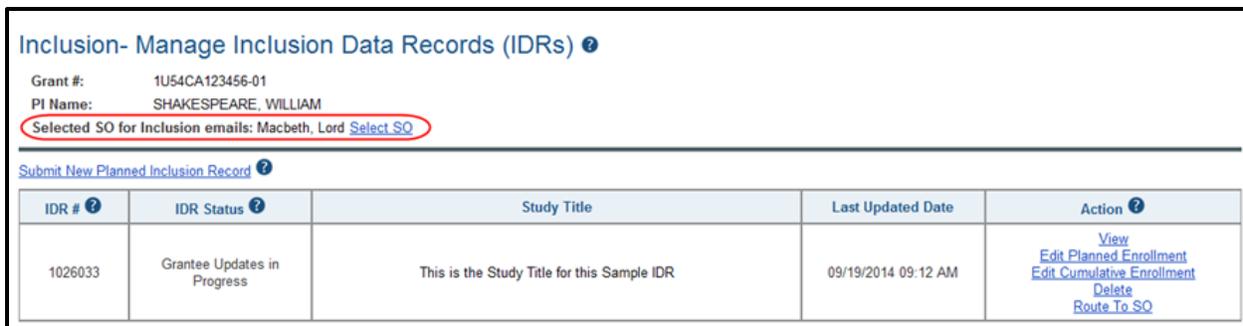


Figure 26: SO Selected for Inclusion Emails

### 4.1.2 Return to PI

As the SO, after reviewing the inclusion data routed to you by the PI, you may find it necessary to return the IDR to the PI for further updates. This function is performed on the *Inclusion–Manage Inclusion Data Records (IDRs)* screen and is available to SO users when the IDR is in a status of *Pending SO*.

This function is only necessary if the IDR needs to be returned to the PI for purposes specific to your business process. If you need to submit the IDR to Agency, you are not required systemically to return the IDR to the PI. Instead, use the [Route to Agency](#) link.

To return the IDR to the PI:

1. Navigate to the *Inclusion–Manage Inclusion Data Records (IDRs)* screen.
2. Locate the IDR to route from the **Prospective Studies** hitlist.
3. Select the **Return to PI** link. The link will only display for IDRs in a status of *Pending SO*.

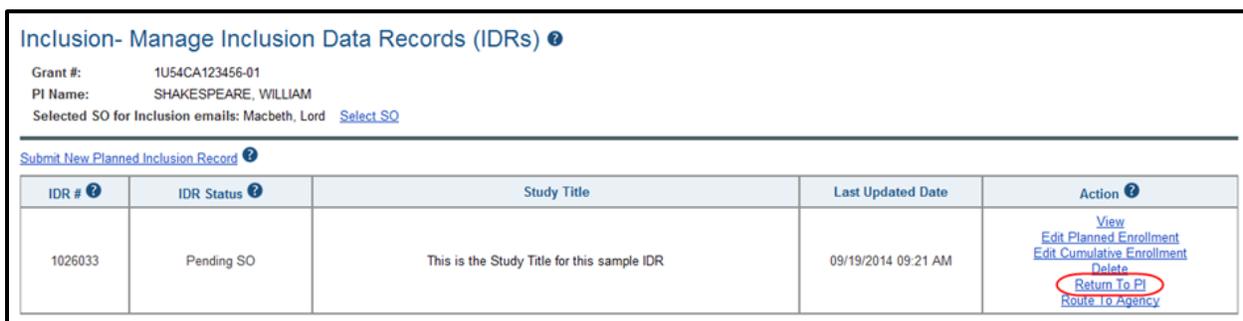


Figure 27: Return to PI Link

When returned to the PI, the following actions occur:

- Email notification is sent to the PI
- IDR status updates to *Grantee Updates in Progress*
- The action is recorded in the *Action History*

### 4.1.3 Route to Agency

SOs and PIs delegated with submit authority in eRA Commons can submit IDRs to the Agency from the *Inclusion–Manage Inclusion Data Records (IDRs)* screen.

**NOTE:** The process of delegating authority to a PI to submit progress reports on behalf of an institution is performed in eRA Commons Admin module. For information on delegating *Progress Report* authority to a PI user, please refer to the *Commons Online Help* topic titled [Delegating Progress Report Authority on Behalf of Another User](#).

To route the IDR to Agency:

1. Navigate to the *Inclusion–Manage Inclusion Data Records (IDRs)* screen. Refer to the topic titled [Access IMS as an SO](#) for details.
2. *Only Applicable to PIs Submitting the IDRs:* Verify that an SO name appears in the **Select SO for Inclusion Emails** field.

You must first choose an SO before submitting the IDR; IMS will send an email notification to the selected SO informing him/her that you have submitted the IDR. If an SO is not selected prior to submitting the IDR to Agency, you will see the following error: *Please select SO. Routing cannot be completed without selecting SO.*

For help with selecting an SO, refer to the topic titled [Select SO for Inclusion Emails](#).

3. Locate the IDR to route from the **Prospective Studies** hitlist.
4. Select the **Route to Agency** link. The link will only display for IDRs in a status of *Grantee Updates in Progress* or *Pending SO*.

IDR #	IDR Status	Study Title	Last Updated Date	Action
1026033	Pending SO	This is the Study Title for this sample IDR	09/19/2014 09:21 AM	<a href="#">View</a> <a href="#">Edit Planned Enrollment</a> <a href="#">Edit Cumulative Enrollment</a> <a href="#">Delete</a> <a href="#">Return To PI</a> <a href="#">Route To Agency</a>

Figure 28: Return to Agency Link (SO View)

When routed to the Agency, the following actions occur:

- Email notification is sent to the Program Official (PO) assigned to the award
- *Only When Submitted by the authorized PI:* Email notification is sent to the SO
- IDR status updates to *Received by Agency*
- The action is recorded in the *Action History*
- New version of IDR is created.

#### 4.1.4 Sample Notifications

Below are sample email notifications generated from IMS when routing occurs.

##### 4.1.4.1 *PI Has Routed an IDR to an SO*

The following email notification is sent to the selected Signing Official when a PI (or delegate) has routed an IDR to that SO. PIs must select the appropriate SO from a list before routing can take place.

For information on routing IDRs to an SO, refer to the topic titled [Route to SO](#).

From: eraNotifications@mail.nih.gov

Sent: <Date Time>

To: <SO email>

CC: <>

Subject Line: PI routed Inclusion Data for grant [parent Grant Number], Inclusion Data Record# [IDR#]

PI routed Inclusion Data for:

- [parent Grant Number] - [parent Project Title].
- Inclusion Data Record (IDR) # - [IDR#]
- Study Title – [Study Title]

If you have any questions about this email, please contact <parent contact PI Name> at < parent contact pi email>, who initiated this action.

If you incur any problem while using the eRA Commons, please contact the eRA Help Desk at 1-866-504-9552 or commons@od.nih.gov.

##### 4.1.4.2 *SO Has Returned an IDR to the PI*

The following email notification is sent to the Contact PI when an SO returns previously routed IDR.

For information on returning routed IDRs to PI, refer to the topic titled [Return to PI](#).

From: eraNotifications@mail.nih.gov

Sent: <Date Time>

To: <parent contact pi email>

CC: <pi delegate(s) email>

Subject Line: SO returned Inclusion Data for grant [parent Grant Number]

Dr. [parent Contact PD/PI Name],

SO returned Inclusion Data for:

- [parent Grant Number] - [parent Project Title].
- Inclusion Data Record (IDR) # - [IDR#]
- Study Title – [Study Title]

If you have any questions about this email, please contact your Program Officer, [PO Name] at [PO Email] or by phone at [PO Phone].

If you incur any problem while using the eRA Commons, please contact the eRA Help Desk at 1-866-504-9552 or commons@od.nih.gov.

#### ***4.1.4.3 A Delegated PI Has Submitted the IDR to Agency***

Some PIs are delegated authority in eRA Commons to submit progress reports to the Agency on behalf of the SO and institution. These same delegated eRA Commons users have the ability to submit IDRs to Agency.

The following email is sent to the Signing Official when a delegated PI submits an IDR to Agency.

For information on routing IDRs to Agency, refer to the topic titled [Route to Agency](#).

From: eraNotifications@mail.nih.gov

Sent: <Date Time>

To: < SO email>

CC: <>

Subject Line: PI routed Inclusion Data to Agency for grant [parent Grant Number], Inclusion Data Record# [IDR#]

PI routed Inclusion Data to Agency for:

- [parent Grant Number] - [parent Project Title].
- Inclusion Data Record (IDR) # - [IDR#]
- Study Title – [Study Title]

If you have any questions about this email, please contact <PI Name> at <pi email>, who initiated this action.

If you incur any problem while using the eRA Commons, please contact the eRA Help Desk at 1-866-504-9552 or [commons@od.nih.gov](mailto:commons@od.nih.gov).

## 5 Inclusion Data Record Statuses

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Throughout the process from creation to submission to Agency, an inclusion data record will take on various statuses depending on the action completed against it. These different statuses aid in determining the current point in the work flow, pending needs and requirements, and past actions taken. An IDR's status also determines what action(s) can be performed against it. IDRs requiring updates can be edited, while IDRs accepted by the Agency can only be viewed.

The following list gives an explanation of each status.

**Accepted (PI Revisions):** Grantee has modified the IDR after original submission, but before release of the award

**Accepted (Original Submission):** The IDR has been accepted at award issuance based on what was originally submitted. (Data migrated from the previous data system may also have this status when awarded.)

**Grantee Updates in Progress:** Grantee user has created the IDR; Grantee user has initiated updates on an IDR (Edit Planned or Edit Cumulative); and/or SO has routed an IDR back to the PI

**Inclusion Updated:** Grantee has updated cumulative (actual) enrollment counts via the RPPR module in Commons

**Previous FY Data:** Data from previous fiscal year has been rolled forward into the next project record

**Pending SO:** IDR has been routed to the SO

**Received by Agency:** IDR Form (Planned or Cumulative) has been received as part of the electronic application submission (i.e., Grants.gov/eSub or ASSIST); Grantee user (SO) has routed the IDR via IMS in the Commons Status module to the Agency; Agency user has created a new IDR in IMS

**Received by Agency – RPPR:** Grantee user submitted IDR to Agency as part of the Research Performance Progress Report (RPPR)

**Requires Updates:** Grantee user accessed the inclusion data via the RPPR module in Commons; Grantee user has created a new Planned Inclusion Form via the RPPR module in Commons

## 6 Inclusion Enrollment via the Progress Report

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When the progress report is due, you must access IMS using the RPPR module of Commons and submit the inclusion data with your RPPR. Access to IMS within RPPR is found in **Section G - Special Reporting Requirements. Question G.4** addresses Human Subjects in the progress report, with question **G.4.b** specific to inclusion enrollment data. Navigate to question **G.4.b** to find the **Inclusion** link to IMS.

The *NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide* provides additional information on filling out Section G as well as all other sections of the progress report. Refer to [Chapter 5.2.4](#) and [Chapter 6.7](#) of the RPPR instruction guide for more information.