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eRA Commons User Guide

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Document History (previous two calendar years)

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The most current version of this document will be available on the eRA website: <http://era.nih.gov>.

IMPORTANT: Did you know the information in this user guide is available as online help, too? Access the Commons Online Help directly at <http://era.nih.gov/erahelp/commons> or click the "?" icon anywhere within Commons for help specific to that screen.

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1 About eRA Commons

eRA Commons (Commons) is an online interface where grant applicants, grantees, and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants.

NIH extramural grantee organizations, Operating Divisions (OpDivs), grantees, and the public are the primary users of Commons, and each type of user is assigned a specific role (or roles).

Depending on your role, you may perform a variety of functions in Commons, including:

- Track the status of your grant application through the submission process, while viewing errors and/or warnings and checking the assembled grant image.
- View summary statements and score letters following the initial review of your application
- View the notice of award (NoA) and other key documents.
- Submit Just-in-Time (JIT) information required by the grantor agency prior to a final award decision.
- Submit the required documentation, including the Financial Status Report/Federal Financial Report and Final Research Performance Progress Report (Final RPPR) to close out your grant.
- Submit a No-Cost Extension notification that the grantee has exercised its one-time authority to extend without funds the final budget period of a grant.
- Submit an annual progress report electronically.
- Manage personal and institutional profiles.

NOTE: All attachments should be submitted in PDF format with a maximum size of 6MB.

1 Start Latest Updates

1.0.1 September 6, 2018

Updated [Institution Profile Module \(IPF\) topic](#) to show and describe the *Opportunity Type Eligibility* section of the [About the Institution](#) section.

Added clarification language to [Closeout Status](#) and [Submitting Your Final RPPR](#) topics regarding the Interim and Final RPPRs.

1.0.2 August 22, 2018

Correction made to [Delegations](#) topic and table.

1.0.3 August 10, 2018

[Status Information](#) and [How Does a PI See the Review Outcome?](#) sections updated.

1.0.4 July 24, 2018

Added [note in FCOI Initiation](#) to avoid any non-numeric characters for SFI >\$600K.

1.0.5 June 11, 2018

Updates to have been made to Status and RPPR related to the new Human Subjects System (HSS) which replaces the Inclusion Monitoring System (IMS).

Go to the [HSS online help](#) for more information.

1.0.6 January 4, 2018

[ORCID](#) may now be created or associated directly from the [Personal Profile](#) module.

1.0.7 December 28, 2017

Numerous screens in the [Federal Financial Report \(FFR\)](#) module have been updated to a more secure GUI.

1.0.8 November 8, 2017

[Interim Requests for Additional Materials \(IRAM\)](#) may now be made to request revised Outcomes statements if the initial statements do not meet the purpose and definition of this section of the Interim or Final RPPR report. Links to additional guidance and policies have been added.

Project Outcomes will begin to be made public via RePORTER for the purpose of transparency to the public.

1.0.9 September 20, 2017

Awarding agencies will be able to request additional materials for an Interim RPPR from the principal investigator (PI) and signing official (SO) via eRA Commons. In turn, the SO will be able to submit the additional materials via eRA Commons, in a process that is similar to the Final Progress Report Additional Materials (FRAM) process.

See the section on [Interim Report Additional Materials](#).

1.0.10 August 22, 2017

Personal Profile Module - Education

- The *Residency* information in the [Education](#) section of the Personal Profile has been replaced by *Post-doctoral Clinical Training Information*.

1.0.11 June 8, 2017

[Carryover](#) requests have been added to the *Prior Approval* module. The steps to electronically request a Carryover request mirror the *No Cost Extension* request process.

1.0.12 June 1, 2017

- Eligible SBIR/STTR grants will now have links to *Interim* and *Final RPPRs*. Review the [Interim RPPR](#) and [Final RPPR](#) sections for details.
- Format of Interim RPPR pop-up updated to contrasting color.
- Updated enforcement of SO restrictions on closeout links, main search page, JIT, FRAM, and FIS pages.

1.0.13 April 10, 2017

Security and validation updates.

URLs for "http://grants.gov..." sites updated to secure HTTP (i.e. https://grants.gov...).

1.0.14 February 23, 2017

Prior Approval - Users may now request a [change of the PD/PI](#) on a grant.

1.0.15 February 21, 2017

Prior Approval - Users may now request a [No Cost Extension](#) (NCE) via Prior Approval.

1.0.16 February 1, 2017

New instructions issued for [Submitting Your Final Research Performance Progress Report](#).

1.0.17 January 19, 2017

SAMHSA grantees will now use [ASSIST](#) for non-competing continuation applications (non-research only). They will initiate the application in eRA Commons and prepare and submit it in ASSIST. Grantees will be able to track the application in eRA Commons through *Status*; they will also be able to manage their entire non-competing continuation process for their grant using a new *Manage Continuations* sub-tab in eRA Commons. Requisite changes will also be made to the Grant Folder.

1.0.18 January 17, 2017

The [Status Information](#) screen has been reworked to incorporate an updated look and feel and to consolidate information on applications into one consolidated landing page. This is part of a burden reduction effort and should alleviate a great deal of searching and the need to access multiple screens for the bulk of the application-related information.

1.0.19 January 1, 2017

Use of Final RPPR: eRA made changes to eRA Commons, RPPR, Inclusion Management System, and the Grant Folder to accommodate the Final Research Performance Progress Report (Final RPPR) replacing the Final Progress Report in eRA Commons effective Jan. 1, 2017 (for all grantees, except small businesses). See the [Dec. 20 News](#) and [Nov. 23 News](#).

1.0.20 December 2016

The *Final Research Performance Progress Report* ([Final RPPR](#)) will replace the Final Progress Report (FPR) for grants closeout, effective January 1, 2017. The Final RPPR will be available for use in eRA Commons on January 1, 2017.

The format of the Final RPPR is very similar to that of the annual RPPR. The notable differences are that the Final RPPR only uses section D.1 for "Participants" and does not use sections F (Changes), and H (Budget). Additionally, the Final RPPR does have a new section: Section I (Outcomes).

Project Outcomes (Section I) will be made publicly available, allowing recipients the opportunity to provide the general public with a concise summary of the public significance of the research.

The deadlines for submitting a Final RPPR remain the same – no later than 120 days from the project end date.

NIH will maintain the business rule that allows the Signing Official (SO) to delegate the submission of the Final RPPR or Interim-RPPR to a Program Director/Principal Investigator (PD/PI).

1.0.21 October 2016

- **SAMHSA will now use *Commons* to initiate, track, and manage the progress of non-research amendment applications.**
 - This functionality will now be found in the "[Manage Post Award Amendments](#)" module under the "Non-Research" tab for eligible users.
 - When a user initiates a non-research amendment in Commons, the system will open up the application in ASSIST, with the appropriate forms, and the completion and submission of the application will happen there.
 - Subsequent to submission, the user will continue to:
 - Track the application process
 - Submit, view, and edit "Requests for Additional Materials" (RAM)
 - View amendments in Commons.

- **New Non-Research Tab Has Been Added to the Top Navigation**
 - As part of the expansion of eRA services to other federal agencies, the Non-Research tab has been added for recipients of SAMHSA (Substance Abuse and Mental Health Services Administration) non-research grants.
 - The new tab is located after eRA Partners.
 - Only those who receive SAMHSA non-research grants will need to access this tab to manage post award amendments.

2 Welcome to Commons!

Access Commons by entering the following address into your web browser:

<https://commons.era.nih.gov/commons/>

The *Welcome to the Commons* screen displays important and potentially new information to users. Take a moment to review the information provided on the screen. This information includes:

- **Commons Login**

Enter your Username and Password to access the Commons system and modules.

- **eRA Service Desk**

The hours, website address, and phone number of the eRA Service Desk is provided in this area.

- **System Notification Message**

Read the messages displayed here to find out if system outages exist or to access the eRA Scheduled Maintenance Calendar.

- **Supported Related Resources**

Useful links for avoiding Commons errors, self-help resources, electronic and application submission as well as the link for the eRA Home Page can be found in this area.

- **Commons Related Resources**

Links for submitting a reference letter and for accessing the Commons Demo are located in this area.

- **Register Grantee Organization**

Click this link to register your organization. [Refer to the section of this document titled *Registering Institutions and Organizations* on Page 39.](#)

- **About the Commons**

Check this area for links to Commons Frequently Asked Questions, training, the latest Release Notes, etc.

• Additional Links

Useful links such as to Grants.gov, iEdison, NIH, Loan Repayment, and others can be found in this area.

The screenshot shows the eRA Commons homepage. At the top left is the eRA Commons logo, and at the top right are the NIH and eRA logos. The main heading is "Welcome to the Commons". On the left, there is a "Commons Login" section with fields for "Username" and "Password", and "Login" and "Reset" buttons. Below this are links for external users and federated institutions. The central area contains a "System Notification Message" box, "Support Related Resources" with links to "Avoiding Common Errors", "Submitting Electronically", and "eRA Home Page", and "Commons Related Resources" with links to "Submit Reference Letter" and "Demo Facility". A "Privacy Act Statement" is at the bottom. The right sidebar has "Register Grantee Organization", "About the Commons" with links to "Frequently Asked Questions" and "Latest Release Notes", and "Additional Links" with links to "RePORT", "Grants.gov", "iEdison", "National Institutes of Health", "Public Access Policy Page", "Loan Repayment Program", and "Commons Quick Queries".

2.1 Logging into Commons

Commons requires users to enter a unique user ID (from 6 to 20 characters) and password for authentication. Refer to the section of this document titled [Password Policy](#) on Page 19 for additional password-related information.

The Commons Login area of the screen allows for two types of user to log into Commons: the external Commons user and the internal NIH or Agency user. For steps related to external users, please refer to the section of this document titled [Accessing Commons with a Commons User ID](#). For steps related to internal users (such as NIH, SRO, agency users, etc.) please refer to the section of this document titled [Accessing Commons with a Network ID \(NIH or Agency\)](#).

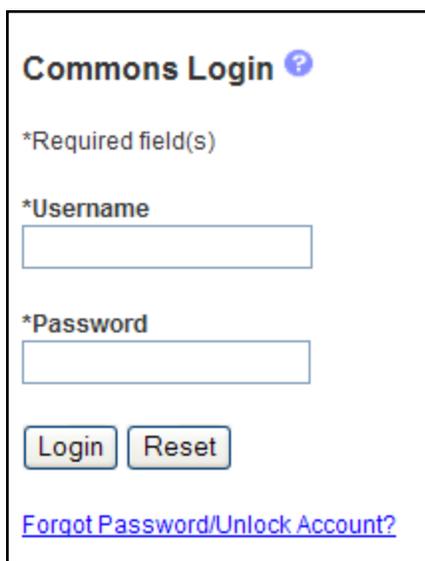
Accessing Commons with a Commons User ID

2.1.1 Accessing Commons with a Commons User ID

If you have been provided with a Commons User ID, you may log into Commons using the **Commons Login** section of the log-in page.

To log into Commons:

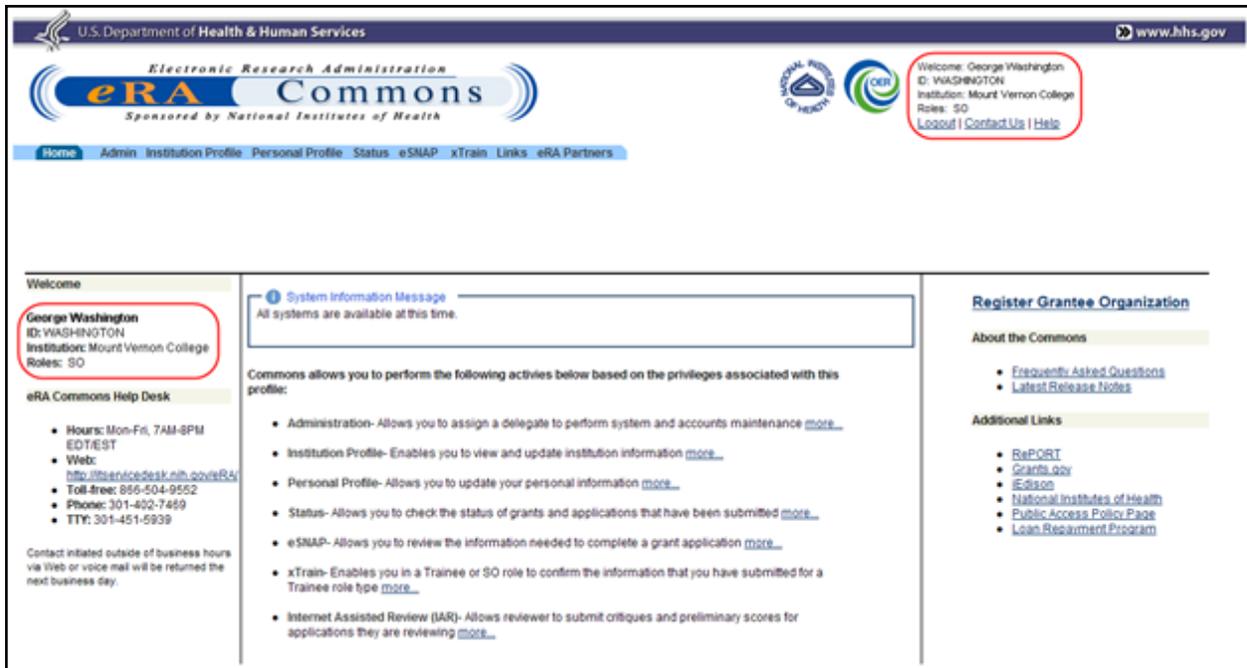
1. Navigate to the Commons system on the internet.
2. Under **Commons Login**, enter your username in the **Username** field.
3. Enter your password in the **Password** field
4. Click the **Login** button.



The screenshot shows a login form titled "Commons Login" with a help icon. It includes a note that asterisks indicate required fields. There are two input fields: one for the username and one for the password. Below the fields are "Login" and "Reset" buttons, and a link for "Forgot Password/Unlock Account?".

NOTE: For security purposes, all passwords will display as asterisks (*) as they are entered. The Commons system will lock users out after three (3) unsuccessful login attempts.

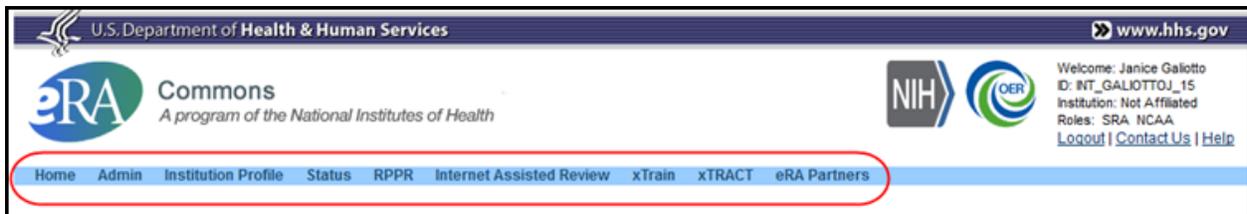
A successful login will show the username, institution, and your user roles in the **Welcome** section of the screen as well as in the upper right corner of every Commons screen.



IMPORTANT: Are you affiliated with multiple institutions? Make sure that the correct institution is displayed after you log in. This will affect the information you can access in Commons. Refer to the topic called *Changing the Displayed Affiliated Institution on Page 13* for more information.

After you have signed into Commons, you may access the various tabs, links, and help screens, as well as other available links.

NOTE: The modules accessible to a user depend on that user's role and privileges. The image below is only a sample of possible options.



Accessing Commons with a Network ID (NIH or Agency)

If you are an internal NIH or Agency user accessing Commons, you will use your Network ID to log into the system. Your Network ID is that which you use to sign onto your computer.

NOTE: Your Network ID is not your IMPAC II User Name.

IMPORTANT: Some examples of federal users who may need to access Commons include Office of Financial Management (OFM) staff who review grantees' Federal Financial Reports (FFRs); administrators who manage/review appointments in xTRAIN; and Scientific Review Officers (SROs).

All Commons users – including federal staff – must have a Commons role in order to log in to Commons.

To log into Commons using your Network ID:

1. Navigate to the Commons system on the internet.
2. Find the section marked **Federal User Login Here**. Click the word **Here**, which is displayed as a hyperlink.

Commons Login ?

*Required field(s)

*Username

*Password

Login Reset

[Forgot Password/Unlock Account?](#)

Federated Institutions/Organizations ?

N/A ▾

Federal User Login [Here](#)

The network login screen displays. If this is the first time accessing the system using the network log in, you are directed to synchronize your network account with your IMPAC II account. For

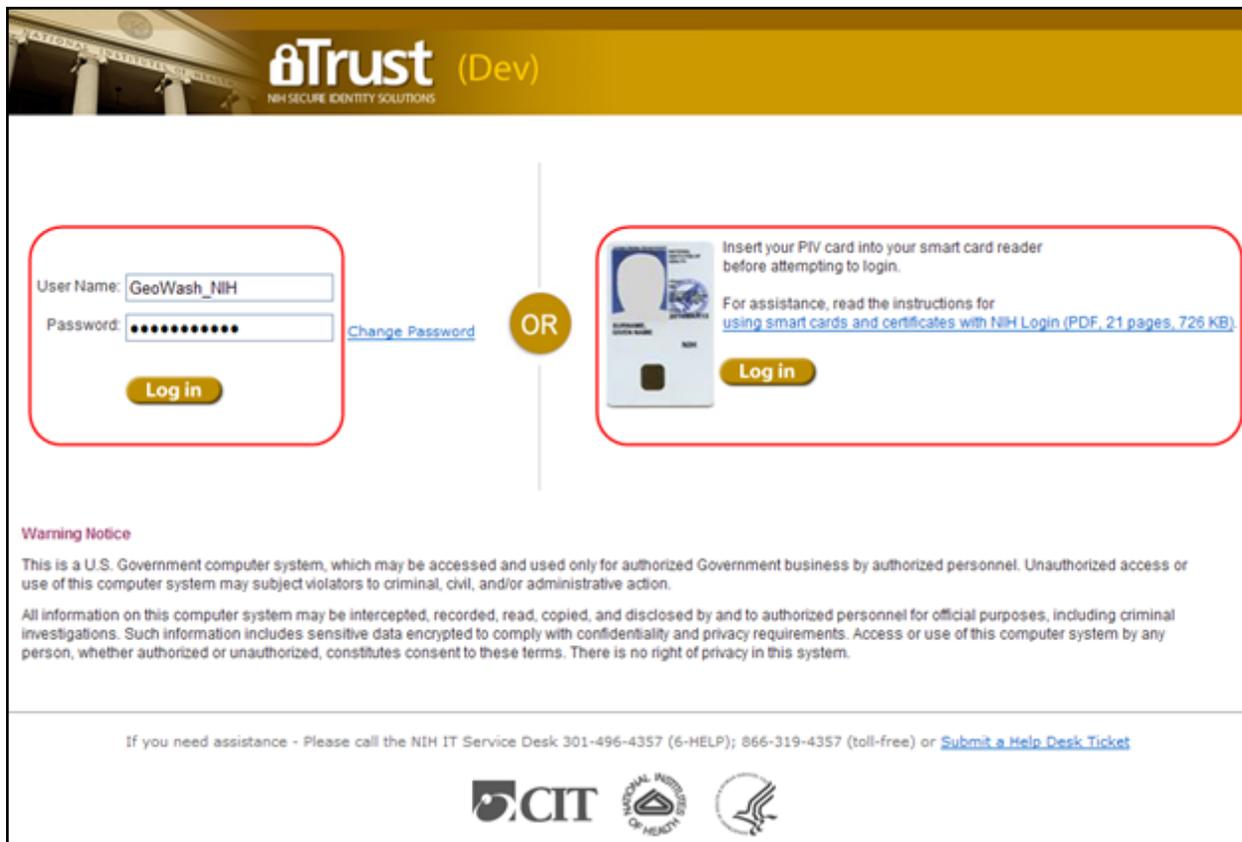
more information on synchronizing accounts, please refer to the instructions located at http://inside.era.nih.gov/single_network/single_login.cfm.

3. From the Network ID login page, insert your PIV card into your card reader.

–OR–

Enter your Network User Name and Password fields and press the Log in button.

Alternatively, you may select Login. Do not enter your IMPAC II credentials on this screen.



NOTE: For security purposes, all passwords display as asterisks (*) when entered.

A successful login will show the username, institution, and your user roles in the **Welcome** section of the screen as well as in the upper right corner of every Commons screen.

The screenshot displays the eRA Commons user interface. At the top, it features the U.S. Department of Health & Human Services logo and the eRA Commons logo, which is sponsored by the National Institutes of Health. A navigation bar includes links for Home, Internet Assisted Review, Links, and eRA Partners. A user profile box in the top right corner identifies the user as George Washington, ID: WASHINGTON, from Mount Vernon College, with the role of SRA. The main content area is titled "Welcome to the Commons" and is divided into three columns. The left column contains a "Welcome" message with the user's name and ID, and an "eRA Commons Help Desk" section with contact information. The middle column displays a "System Information Message" and a list of activities available to the user, such as Administration, Institution Profile, Personal Profile, Status, eSNAP, xTrain, and Internet Assisted Review (IAR). The right column includes a "Register Grantee Organization" section and "Additional Links" for various resources like RePORT, Grants.gov, and the National Institutes of Health.

After you have signed into Commons, you may access the various tabs, links, and help screens, as well as other available links.

NOTE: The modules accessible to a user depend on that user's role and privileges. The image below is only a sample of possible options.

This screenshot shows a portion of the eRA Commons interface, specifically the navigation bar. It features the eRA Commons logo and the text "Sponsored by National Institutes of Health". Below the logo, there is a navigation menu with links for Home, Internet Assisted Review, Links, and eRA Partners. The "Home" link is highlighted with a red box.

2.1.2 Session Expiration

If you are going to be away from your computer for an extended period, save any changes and log out of the system. Work sessions expire after 45 minutes of inactivity. At that time, the system returns to the Commons Login screen.

2.2 Switching Institutions

Are you a PI who has switched institutions?

PIs moving from one institution to another do not need to establish a new Commons account. In fact, if you are a PI, you should maintain a single Commons account throughout your career. You'll just need to affiliate your new institution to your existing Commons account.

There are many benefits to maintaining a single Commons account including:

- Your grant record history will be kept together instead of being split across multiple accounts
- If you have served as a Reviewer, your service on study sections will be recorded properly and will be accounted for in determining eligibility for continuous submission (**Policy:** https://grants.nih.gov/grants/peer/continuous_submission.htm)
- Records maintained by NIH will be more accurate
- With one account, your degree information will be kept in one place and is more likely to be reviewed in consideration for Early Stage Investigator eligibility

Follow these steps if you switch institutions:

1. Request that the SO at your new institution/organization affiliate your existing Commons account with your new university/organization. You will need to provide the SO with your Commons ID.

The SO can follow the steps listed in the [Create Affiliation](#) topic of the Accounts Management System Online Help.

2. If you have left the other institution/organization, request that the SO at your old institution/organization disaffiliate you from that institution.

NOTE: It is possible to have multiple affiliations tied to one Commons account. You do not need to disaffiliate your account from the first institution if you still remain there.

3. Contact the [eRA Service Desk](#) if you realize that you have more than one Commons account. They can help you merge the accounts together.
4. Keep your [Commons Personal Profile](#) updated. This includes the address fields and the end dates of your employment.

IMPORTANT: While a PI can keep the same Commons account when switching institutions, system users with the SO role must create a new account within the new institution/organization.

2.3 Changing the Displayed Affiliated Institution

If you are a PI affiliated with more than one institution, it is important to check which institution is currently selected when you log into Commons. You will only be able to access the information pertaining to the selected institution. Your selected institution is displayed under your user ID information in the upper right corner of the Commons screens.

To select a specific institution to work with in Commons:

1. Log into Commons.

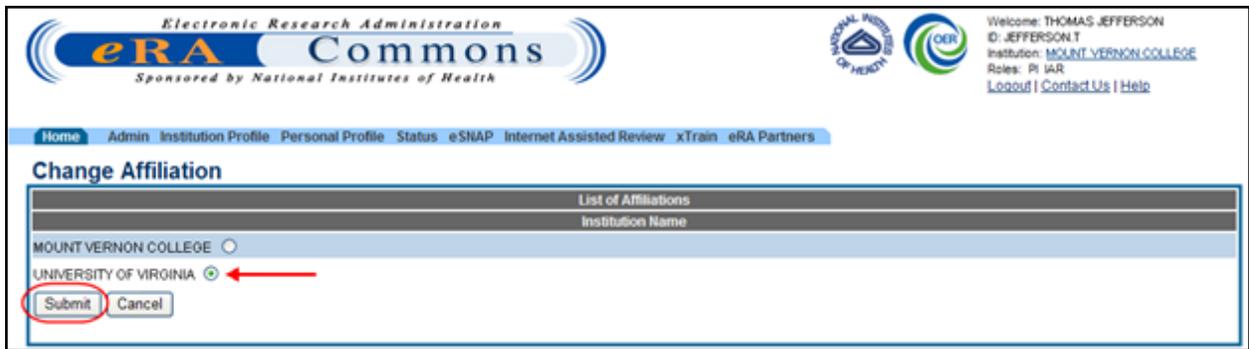
If affiliated with multiple institutions, the name of the default institution displays as a link within the upper right corner of each Commons page.

2. Click on the link displaying the name of the institution.

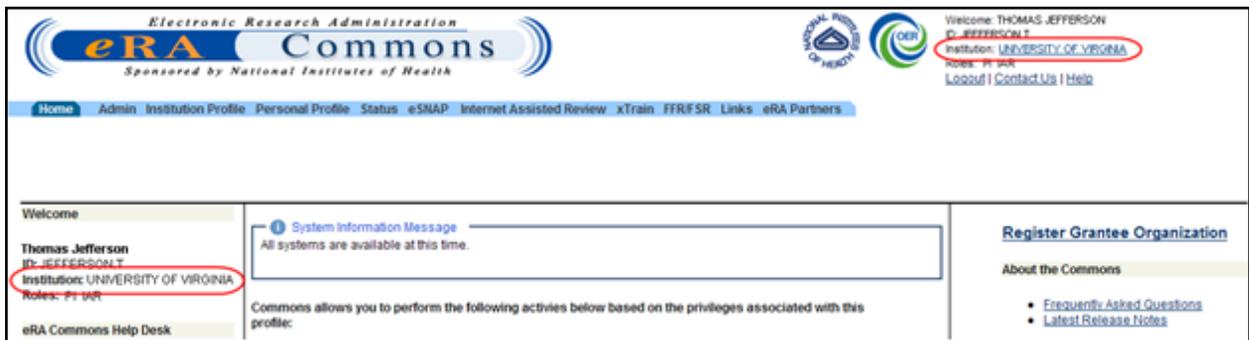


The *Change Affiliation* screen opens. This screen lists the names of all institutions with which you are affiliated.

3. Select the radio button of the institution.
4. Click the **Submit** button.



The Commons home page displays, with the **Institution** fields updated to the selected affiliated institution.



The grant and institution information displayed on the Commons screens is for the selected institution only. To switch to another institution, repeat the steps above.

NOTE: Changing the institution is accomplished from any screen in Commons; the Welcome area in the upper right displays the Institution name as a link on all screens, not just on the Commons' home page.

2.4 Logging out of Commons

Upon completion of any work, edits, updates, submissions or administrative changes, it is best to log off/sign out from the Commons system before closing the browser. The **Logout** link is located in the upper right corner of each screen.



3 Federated Institutions/Organizations Sign In

eRA Commons is piloting Institution/Organization Log In functionality. This pilot is limited to those organizations currently registered with the Center for Information Technology (CIT). This piloted feature allows limited users at these registered institutions/organizations (herein referred to as organizations) participating in the Commons Federation to use their organization's credentials to log into the Commons system.

This topic provides information on the following:

- Federated log in with a linked Commons account
- Linking your Commons account
- Trouble-shooting issues linking your accounts

IMPORTANT: This is a pilot program. Not all Commons users will be able to use this feature. Currently, only users with a scientific role at participating Institutions or Centers can use the Federated login

3.1 Accessing Commons with Your Organization Credentials

1. Navigate to the *Welcome to the Commons* page.
2. In the *Federated Institutions/Organizations* section of the log-in panel, select the appropriate organization from the drop-down list.
3. Select the **Sign In** button.
4. Your organization's sign in page displays.
5. Enter your credential information (e.g., username and password) as appropriate to your organization.

This information - and screen - is managed by your own organization and not by eRA Commons. If you do not know your credentials at your institution or you are having trouble with your institution's log in screen, you will need to contact your institution. eRA cannot help you with this screen.

Validations will occur with your organization to authenticate your credentials. Any failure to authenticate your organization credentials must be addressed with your organization.

If Commons determines that your organization credentials are associated with a your Commons ID, you will be successfully logged into Commons and can start using the system. If your accounts are not linked, you will be prompted to do so.

If your organization credentials are not linked to your Commons ID:

If Commons determines that your organization credentials are not linked to a Commons user account, you will be prompted to do so via the *Link Institution/Organization Credentials with eRA User ID* screen.

1. Enter your Commons User ID and password.
2. Select the **Continue** button.

If successful, your Commons User ID will be linked to your organization's credentials, and you will be able to log into Commons using the *Federated Institutions/Organizations* section and by entering your organization credentials.

If Commons cannot authenticate the Commons user ID or password you provided, the following message will display:

Either the information entered is invalid or you are not enrolled in the eRA Commons. To keep your information secure, we may lock your account if you continue to enter incorrect login information. Please see your organization's account administrator for assistance (ID: 200523).

Other issues may prevent Commons from linking your accounts. Please read all messages and tips that appear on the screen during this process. You may also refer to the section below titled [Why Can't I Link My Commons Account? on Page 17](#) for help.

IMPORTANT: During this pilot, some of the features within eRA Commons system will be limited to users logging in with their Institution/Organization credentials. If you encounter difficulties accessing features within eRA Commons system, please log in using your eRA User ID and password.

3.2 Why Can't I Link My Commons Account?

If you are with an organization participating in the Commons Federation, but you are having trouble linking your Commons account to your organization credentials, one of the following may be the issue:

Are you trying to use a temporary password? If you have not yet created a your own password and are attempting to link your accounts using the system-assigned, temporary password, you will receive an error. You must change your password to one of your choosing before you can link your accounts.

To do so, navigate to the Commons home page. Use the Commons Login fields to log into Commons with your Commons ID and temporary password. You should be prompted to change the password.

After successfully changing your password, log back in following the steps described in [Federated Institutions/Organizations Sign In on Page 16](#).

Is your current Commons password expired? You will not be able to link your accounts if your Commons password is expired. Navigate to the Commons home page. Use the Commons Login fields to log into Commons with your expired password. Commons will present the [Change Password](#) screen on which you can update your password.

After successfully changing your password, log back in following the steps described in [Federated Institutions/Organizations Sign In on Page 16](#).

Is your Commons account locked due to multiple unsuccessful logins? You can reset the account by clicking the [Forgot Password/Unlock Account](#) link on eRA Commons home page. Commons will generate a new, temporary password for you.

Once you follow the steps for changing the temporary password to one of your choosing, you can log back in following the steps described in [Federated Institutions/Organizations Sign In on Page 16](#).

In all other cases, please contact the [eRA Service Desk](#) to resolve this issue.

4 Password Policy

As shared information becomes more prevalent, so does the need for IT security programs, policies, and procedures. The eRA Password Policy (PASS) reduces the risk of unauthorized access to the production servers and databases. Please review the eRA Password Policy.

Policy: http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf.

4.1 First-Time Login

If you are a first time user logging in with the temporary password provided to you in the email, Commons will prompt you to change your password when you first log in successfully.

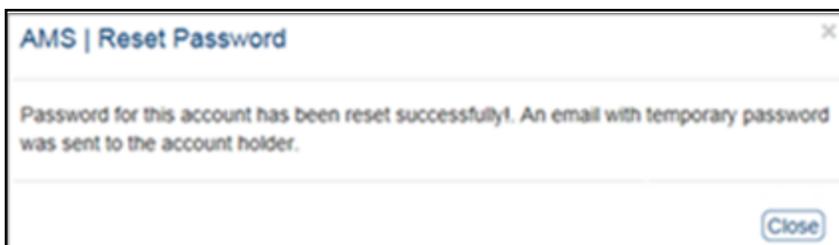
Standards for creating passwords are displayed on the *Change Password* screen and must be followed when creating a new password.

1. Enter the temporary password into the **Current Password** field.
2. Enter the new password into the **New Password** and **Confirm New Password** fields.
3. Click **Submit** to update the new password information.



The screenshot shows the 'Reset Password' form on the eRA website. The header includes the U.S. Department of Health & Human Services and National Institutes of Health logos. The form title is 'Reset Password' with an information icon. It contains two input fields: 'User ID:' and 'Email:'. Below the fields are 'Submit' and 'Cancel' buttons.

A confirmation message displays if the password is valid and meets the NIH password standards. If the new password does not meet the standards, an error message displays.



The screenshot shows a confirmation message box titled 'AMS | Reset Password'. The message text reads: 'Password for this account has been reset successfully! An email with temporary password was sent to the account holder.' There is a 'Close' button in the bottom right corner.

4.2 Password Requirements

The following list highlights the password requirements for eRA users:

- Must be at least eight (8) characters long (no blank spaces) and is case sensitive
- Must contain a combination of at least three (3) of the following types of characters:
 - Uppercase letters
 - Lowercase letters
 - Numeric characters
 - Special characters (! # \$ % - _ = + < > *)

The following special characters are NOT allowed: @, &, or a “period”

- May NOT contain your Username
- May NOT start or end with a number
- Cannot be reused within one year
- Must be changed every 90 days
- Passwords created or changed by the Institute and/or Center (IC) Account Administrators must be changed at first login.
- Accounts are locked after six (6) consecutive unsuccessful login attempts. Users can click the Forgot Password/Unlock Account? link under the login fields of the Commons homepage (<https://commons.era.nih.gov/commons/index.jsp>) to unlock their account(s). Be advised that a temporary password will be forwarded to the account owner's email address and is active for only 48 hours.
- Contact the [eRA Service Desk](#) if you are still experiencing the issue.

Read more information on the eRA Password Policy.

Policy: http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf.

NOTE: Temporary passwords, sent to the user via email, are only valid for 48-hours and must be changed to a permanent password of the user's choosing within that time period.

4.3 Reset Password

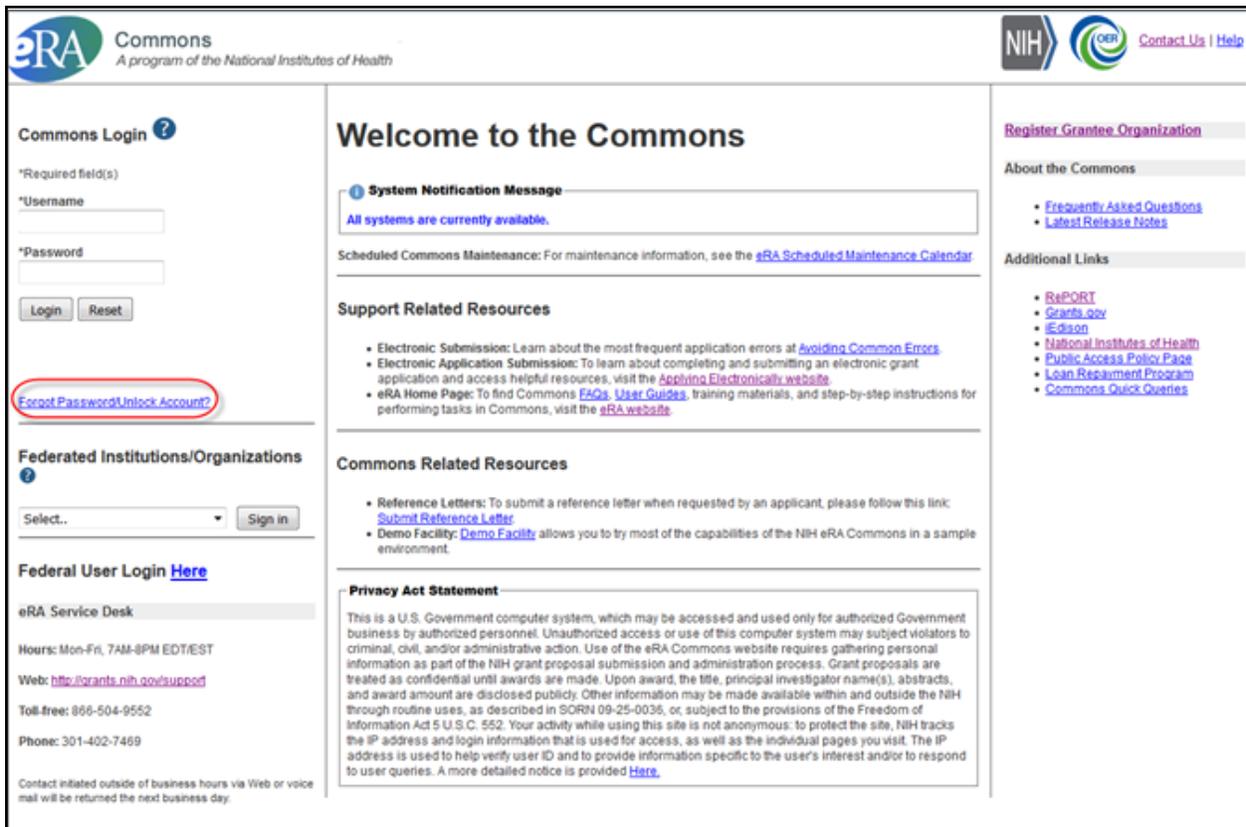
Have you forgotten your password? Users who have forgotten their password have the option of requesting to reset their password. Submitting this request generates a new, temporary password, which is sent to the e-mail address contained in your user profile. This temporary password will get you into Commons, where you can reset a new password of your choosing.

Since your new password will be sent to the email address you used to create your Commons account, you must be able to access that email account in order to get your new password.

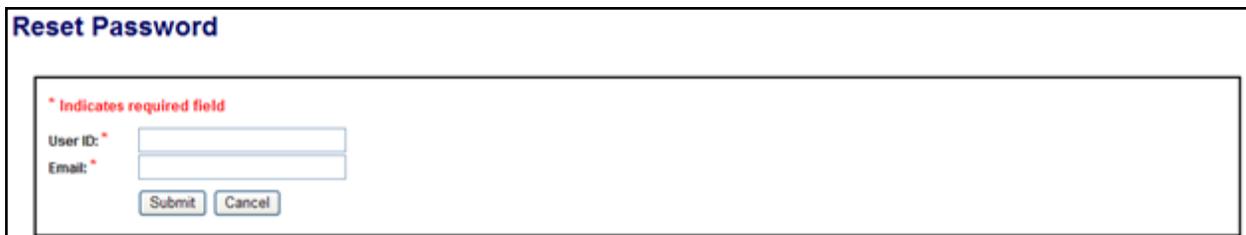
NOTE: If you know your password and just want to change it, use the change password feature instead. [Refer to the section of this document titled *Changing Your Password on Page 22.*](#)

To reset your password:

1. Select the **Forgot Password/Unlock Account?** link on the Commons home page.



2. Enter your **User ID** and **Email** address in the required fields of the *Reset Password* screen.



3. Click the **Submit** button. The system returns to the Commons home page. Commons generates a new, temporary password and sends it to the email address contained within the user profile.
4. Log into Commons using the temporary password provided in the email.
5. After logging into Commons with the temporary password, create and enter a new password as prompted by Commons.

NOTE: All passwords are validated against the Password Policy requirements.

IMPORTANT: Your old password may re-appear in the **Password** field if you have not cleared your browser's cache/history, especially if you had previously opted to save the password in the field. Make sure you are entering the new password before you attempt to log in. If unsure, clear the cache/history and log in again with the new password.

For security purposes and to maintain the integrity of your account, you should never use the save password option and should always re-enter your password whenever you log in to Commons.

4.4 Changing Your Password

When logged into the system, a user's account password can be changed using the *Change Password* screen. This may be performed at any time to enhance security as necessary or for any other personal reason you would like to change your password.

1. Select the **Admin** tab, then the **Accounts** tab, and then the **Change Password** tab.

The *Change Password* screen opens in a separate window. The screen lists the password creation standards that must be followed when choosing a new password.

2. Enter your current password in the **Current Password** field.
3. Enter the new password into the **New Password** and **Confirm New Password** fields.

NOTE: Passwords display as dots for security purposes. Make sure to enter your password carefully.

4. Select the **Submit** button.

Change Password ⓘ

INFORMATION! ⓘ

- At least eight (8) non-blank characters in length
- Must Contain a mixture of letters, numbers and Special characters: `~!@#\$%^&*()-_+=[]{}|\'\":;<>.,?/
- First and last characters cannot be numbers
- Cannot contain username
- Cannot be reused within one (1) year

Current Password:

New Password:

Confirm New Password:

The password change takes effect immediately and must be used when logging into Commons again.

IMPORTANT: Your old password may re-appear in the **Password** field if you have not cleared your browser's cache/history, especially if you had previously opted to save the password in the field. Make sure you are entering the new password before you attempt to log in. If unsure, clear the cache/history and log in again with the new password.

For security purposes and to maintain the integrity of your account, you should never use the save password option and should always re-enter your password whenever you log in to Commons.

4.5 *Reset Your Expired Password*

For security purposes, passwords will expire after a set amount of time and must be reset. When your password has expired, you will be directed to select a new password when you try to log in.

Your new password must conform to the standards listed on the screen.

1. Enter your **Current Password**.
2. Enter a **New Password**.
3. Re-enter the new password in the **Confirm New Password** field.
4. Select **Submit**.

Your new password is effective immediately.

Change Password ?

Your password is expired. You must change the password now in order to log into the system.

New password must meet the following standards:

- At least eight (8) non-blank characters in length
- Passwords must contain a combination of at least three of the following types of characters:
 - Capital letters
 - Lower case letters
 - Numeric characters
 - Special characters: ! # \$ % * _ = + < >
- First and last characters cannot be numbers
- Cannot contain username
- Previous 24 passwords cannot be reused

Your password will be changed immediately in eRA production (IMPP) applications. For IRDB applications - such as QVR - password changes will take effect within one hour.

For additional guidance, please review the [eRA Password Policy](#).

* Indicates required field

User ID:

Current Password:

New Password:

Confirm New Password:

[Privacy Notice](#) | [Accessibility](#) | [Disclaimer](#)

 National Institutes of Health (NIH)
9000 Rodoville Pike
Bethesda, Maryland 20892

 Department of Health
and Human Services

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Screen Id: AMS0011
Version: 1.01.01

 **GRANTS.GOV**
FIND. APPLY. SUCCEED.™

IMPORTANT: Your old password may re-appear in the **Password** field if you have not cleared your browser's cache/history, especially if you had previously opted to save the password in the field. Make sure you are entering the new password before you attempt to log in. If unsure, clear the cache/history and log in again with the new password.

For security purposes and to maintain the integrity of your account, you should never use the save password option and should always re-enter your password whenever you log in to Commons.

4.6 Resetting a Locked Account

If you have attempted to log into Commons multiple times using an invalid password, your account will lock. When this occurs, it is necessary for the Signing Official (SO) at your organization to unlock your account and reset your password.

SOs can reset locked accounts with the *Manage Accounts* feature.

The Accounts Management module has its own online help feature. Refer to the following for information on unlocking accounts and resetting passwords on locked accounts:

[Reactivating/Unlocking an Account](#)

[Resetting a Password](#)

IMPORTANT: If your account is not locked, but you've forgotten your password, you can reset the password yourself. [Refer to the section of this document titled *Reset Password* on Page 20.](#)

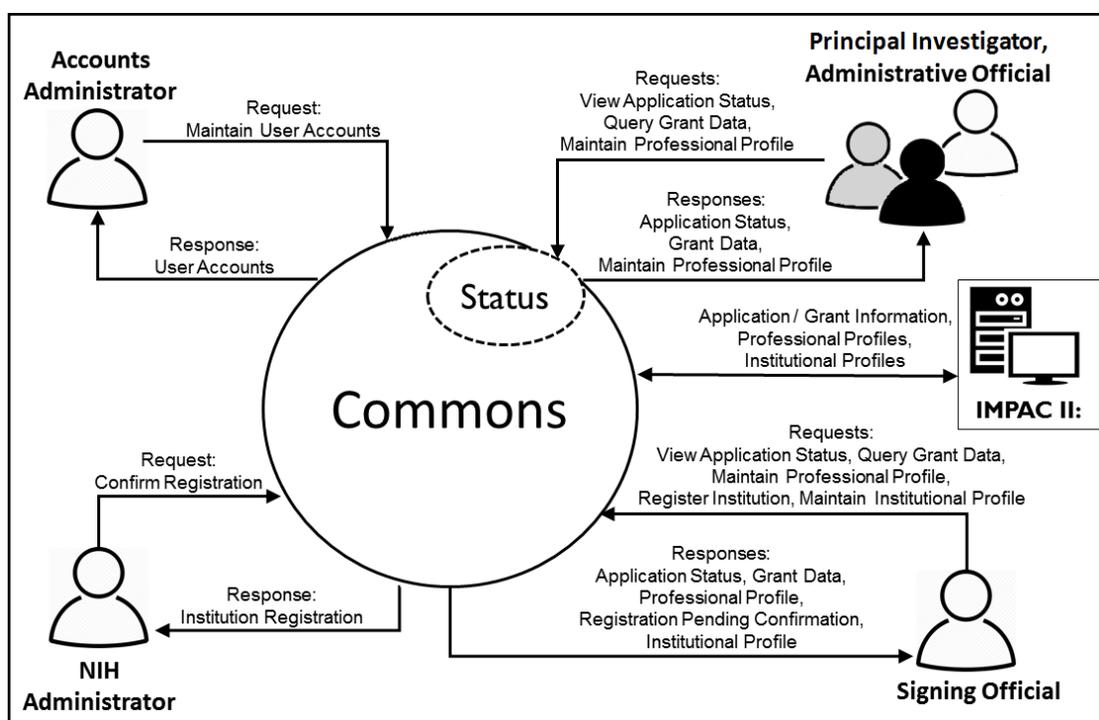
5 User Roles

To log in to Commons and access its features, you must have a Commons account with assigned user role(s). User roles determine which features you can employ, the tasks you can perform, and the level of access you have to information. Commons roles range from trainee roles to scientific roles to administrative roles.

The following is a list of user roles which may be associated to your account. Refer to the section on that role for more information.

- **AA:** Account Administrator at an organization, who facilitates the administration of Commons accounts.
- **AO:** Administrative Official of an organization.
- **ASST:** An assistant who may be delegated to perform tasks on behalf of the PD/PI.
- **BO:** Business Official at an organization who manages trainee grants and uses the xTrain module.
- **FCOI:** Those at an organization who manage the Financial Conflict of Interest module and report submission.
- **FSR:** A person in an organization responsible for completing and submitting Federal Financial Reports (FFR).
- **Graduate:** Role assigned to an individual who is a graduate student and is participating in an NIH-funded project for at least one person month. Refer to the following guide notice for more information: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.
- **IAR:** A Reviewer selected by Scientific Review Officer (SRO*) assigned to critique and score applications in a review meeting. These Reviewers use the Internet Assisted Review (IAR) module.
- **PACR:** Having this role provides access to the Public Access Compliance Report system via the Commons home page.
- **PI:** Program Director/Principal Investigator (also called PD/PI), who directs a research project or program supported by the NIH.
- **POSTDOC:** POSTDOC role exists in Commons for those at an institution serving in a postdoctoral role. This could be someone who is being mentored and not yet in a permanent position.
- **Project Personnel:** Role assigned to an individual performing other project roles on a project. Refer to the following guide notice for more information: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.

- **SO:** Organization's Signing Official, who has the institutional authority to legally bind the institution in grant-administration matters.
- **SPONSOR:** Sponsors supervise the research training experience of individual fellows supported by fellowship awards in the xTrain module.
- **TRAINEE:** TRAINEE user manages the electronic appointments of their own awarded training grants.
- **Undergraduate:** Role assigned to an individual who is in an undergraduate program and is participating in an NIH-funded project for at least one person month. Refer to the following guide notice for more information: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.



Tip: *Other Transaction Authority (OTA) - Some screens and terminology may be different in order to accommodate review of OTA, a type of award that is neither a grant nor a contract but a different way of funding that is being used across NIH. These changes will typically not be visible to NIH or agency reviewers.

5.1 Account Administrator (AA)

Designated by the SO, the AA facilitates the administration of eRA Commons accounts. The AA typically is located in the Central Research Administration Office at the grantee organization.

If you hold an AA role, you have privileges to perform the following tasks:

- Create accounts and modify all Commons roles except IAR and FCOI roles
- Create affiliation between an existing PI or IAR Commons account and the institution

5.2 Administrative Official (AO)

An AO is an official within an extramural organization and may be located within the Central Research Administration Office and/or an academic department. Depending on an institution's workflow process, it is possible for the SO and AO to be the same person. In this case, only SO authority is necessary (as SO authority supersedes AO authority).

SO and AO authorities should not be combined.

NOTE: An AO is not authorized to submit reports to the NIH.

If you hold an AO role, you have privileges to perform the following tasks:

- Create all accounts other than IAR, TRAINEE, and FCOI
- Update Commons accounts created by the AO
- View status and award information for all institution grants

NOTE: The AO cannot view summary statements or priority scores.

- Create affiliation between an existing PD/PI or IAR Commons account and the institution

NOTE: An AO cannot modify the Institution Profile.

5.3 Assistant (ASST)

An ASST user can perform tasks on behalf of a PD/PI depending on the authority granted to the ASST user.

If you hold an ASST role, you may have privileges to perform the following tasks:

- Edit your own personal profile (PPF) data
- Edit the PD/PI's PPF if delegated by a PI user
- Edit the PD/PI's progress report data if delegated by the PI user
- View the PD/PI Grant Status if delegated by the PI user
- Perform PD/PI xTrain functions (except submit to agency) if delegated by the PI user

5.4 Business Official (BO)

A BO has signature or other authority related to administering grantee institution training grants. Users with the BO role perform their tasks in the xTrain module of Commons.

If you hold a BO role, you have privileges to perform the following tasks:

- View the following Training Grant related items:
 - Trainee Roster
 - List of Grants
 - Grant Summary
 - Routing History
 - PDF-formatted Appointments/Amendments/Terminations
- Initiate, update, route, and submit Termination Notices (TN), if authorized

5.5 Financial Conflict of Interest (FCOI)

FCOI is the user(s) in the institution who manages the Financial Conflict of Interest reporting process. The FCOI role can only be assigned by the SO to someone within his or her institution and that person must have a Commons account.

If you hold an FCOI role, you have privileges to perform the following tasks:

- Initiate FCOI
- View and Edit FCOI
- Delete FCOI
- Submit FCOI

FCOI responsibilities can be shared with other by assigning either the FCOI_ASST or FCOI_View roles.

5.5.1 FCOI Assistant (FCOI_ASST) Role

Commons users with the SO role can assign the FCOI_ASST role to those users in the institution who will assist in working on the FCOI reporting process.

Commons users assigned the FCOI_ASST role, have privileges to perform the following tasks:

- Initiate FCOI
- Search FCOI
- View FCOI
- Edit FCOI
- Delete FCOI

NOTE: Assign the FCOI_View role instead to any system users who need authority to search for and view FCOI information entered by the institution in the FCOI module, but who will not perform any data entry or make changes to the information.

5.5.2 FCOI Read-Only (FCOI_View) Role

Commons users with the SO role can assign the FCOI_View role to those users in the institution need authority to search for and view FCOI information entered by the institution in the FCOI module, but who will not perform any data entry or make changes to the information. These users have read-only access to FCOI report data.

Commons users assigned the FCOI_View role, have privileges to perform the following tasks:

- Search FCOI
- View FCOI

NOTE: Assign the FCOI_ASST role instead to any system users who need the authority to do more than view the FCOI report. FCOI_ASST users can initiate, edit, and delete FCOI reports.

5.6 Federal Financial Report (FSR Role)

The Federal Financial Report (FFR) is a statement of expenditures for a grant. The Commons role assigned for completing FFR responsibilities is the FSR role. Depending on the institution's workflow process, it is possible for the SO or BO/AO to have FSR person responsibilities. As such, these two authorities may be combined on the same account.

If you hold an FSR role, you have privileges to submit FFRs on behalf of your institution.

NOTE: An account with only the FSR role assigned can only perform FSR tasks.

5.7 Internet Assisted Review (IAR)

Specially selected by Scientific Review Officers (SRO*) of the NIH, an IAR user can critique and score submitted grant applications. Many PD/PIs are selected for this role and IAR authority is automatically added to their account once an SRO enables them for a meeting. All other reviewers who have never served as PD/PIs have IAR authority solely.

If you hold an IAR role, you have privileges to perform the following tasks:

- Edit your own personal profile (PPF) and Reviewer address data
- Use the IAR module to submit critiques and preliminary scores for applications to be reviewed at a meeting for which you are enabled

NOTE: If affiliated with an institution, you can take advantage of other Commons features with the IAR role.

Tip: *Other Transaction Authority (OTA) - Some screens and terminology may be different in order to accommodate review of OTA, a type of award that is neither a grant nor a contract but a different way of funding that is being used across NIH. These changes will typically not be visible to NIH or agency reviewers.

If you are a Reviewer with an IAR role and are seeking help with the IAR module, check out the IAR for Reviewers online help system: http://era.nih.gov/erahelp/IAR_Rev/.

5.8 Program Director/Principal Investigator (PI)

A PI (also called a PD/PI, although the role in Commons displays as *PI*) directs a research project or program supported by the NIH. The role of the PI within Commons is to complete the grant administration process or to delegate this responsibility to another individual. A PI may only access information pertaining to the grant(s) on which he/she is the designated PD/PI.

NIH has adopted a Multiple-PI (MPI) model—as directed by the Office of Science and Technology Policy—permitting more than one PI to be associated with an NIH-funded grant, contract, or cooperative agreement. Additional PIs assist with the responsibilities currently accorded to a single PI. The multiple-PI model is intended to supplement—not replace—the traditional single-PI model.

If you hold a PI role, you have privileges to perform the following tasks:

- Edit your personal profile (PPF)
- Delegate edit authority of your own PPF to others
- View the status of all grant applications for which you are the designated PI, including any errors or warnings that may have been triggered
- View the assembled image of submitted grant applications before those grants move on for further processing
- View Study Section/Meeting Roster of the Review Group that will be reviewing your application
- View Review outcome information and summary statements
- View Notice of Award (NoA) for all grants for which you are the designated PI
- Delegate authority to someone with an ASST role to perform the same actions and receive the same notifications as a you do as the PI

NOTE: PI users cannot delegate authority to submit appointments to the Agency.

- View the following Training Grant related items using xTrain:
 - Trainee Roster
 - List of Grants
 - Grant Summary
 - Routing History
 - PDF-formatted Appointments/Amendments/Terminations
- Initiate, update, route, and submit Appointments, Re-Appointments, and Amendments in xTrain
- Initiate, update, and route Termination Notices in xTrain
- Initiate a progress report
- Delegate progress report authority
- Submit a progress report when given the authority by an SO
- Delegate Status authority to others within the institution so that they can see PI grant information (except Review outcome information and Summary Statement)

NOTE: The PI role should not be combined with the SO role, but can be combined with the IAR role.

5.9 Signing Official (SO)

An SO has institutional authority to legally bind the institution in grant-administration matters by providing signature approval on grant application submissions. The SO monitors grant related activities within the extramural organization and may have a number of titles.

If you hold an SO role, you have privileges to perform the following tasks:

- Register the applicant institution in Commons
- Create and update the Institutional Profile (IPF)
- Create/delete/update all Commons accounts (except IAR and TRAINEE accounts)

NOTE: An SO cannot modify another user's personal profile (PPF) unless designated to do so by that user

- Create affiliation between an existing Program Director/Principal Investigator (PD/PI) and/or IAR Commons account and the institution
- Submit electronic grant application(s) on behalf of the institution via Grants.gov (outside of eRA Commons), if also registered with Grants.gov as the Authorized Organization Representative (AOR)

- View status of all grant applications originating from their institution and any errors or warnings that may have been triggered
- View assembled image of submitted grant applications before they move on for further processing
- Reject grant applications to address submission warnings
- View award information for all grants awarded to the institution

NOTE: An SO cannot view summary statements or priority scores.

- Submit JIT information for a PD/PI
- View the following Training Grant related items:
 - Trainee Roster
 - List of Grants
 - Grant Summary
 - Routing History
 - PDF-formatted Appointments/Amendments/Terminations
- Delegate progress report authority to someone on behalf of the PD/PI
- Delegate submit authority for progress reports to a PD/PI
- Submit a progress report to the Agency (NIH)
- Submit Final Research Performance Progress Report (Final RPPR)
- Submit a one-time No-Cost Extension on behalf of the PD/PI
- Assign the FCOI role for those using the Financial Conflict of Interest (FCOI) module

NOTE: An SO role should never be combined with a PI role.

5.10 Sponsor (SPONSOR)

A sponsor supervises the research training experience of individual fellows supported by fellowship awards in the xTrain module. Your institution's SO (or another institutional official with Commons account management privileges, such as an AO) can add the Sponsor role to your account, which in turn will associate the Sponsor role with all of the fellowships with which you are a Sponsor.

If you hold a Sponsor role, you have privileges to perform the following tasks:

- View the following Training Grant related items:
 - Trainee Roster
 - List of Grants

- Review Termination Notices and route to BO before submission to Agency
- Initiate Termination Notices on behalf of fellows who have left the institution
- Delegate Sponsor authority to another individual

5.11 Trainee (TRAINEE)

The Commons xTrain TRAINEE role is used to manage electronic appointments for awarded Training Grants.

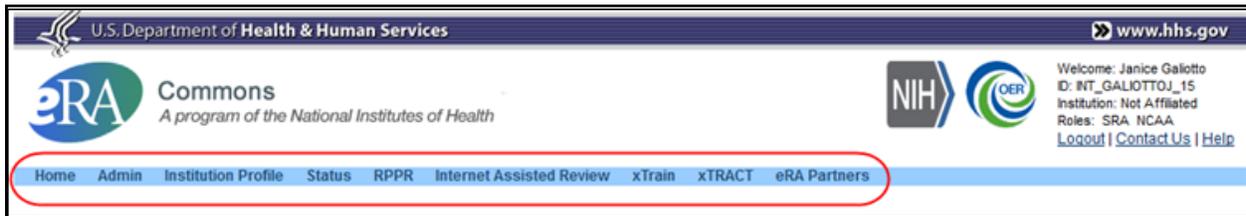
If you hold a TRAINEE role, you have privileges to perform the following tasks:

- View your PDF-formatted Appointments/Amendments/Terminations
- Update and route your Appointments/Amendments/Terminations
- View Appointments/Amendments/Terminations routing history

6 Modules

Commons is organized by modules, each providing access to the information and tasks pertaining to a specific area or function. Your access to each module - and to the features therein - is dependent on your assigned user role(s). These roles are largely assigned by the Signing Official, except for the IAR role, which is enabled by a Scientific Review Officer.

If you have access, a module is visible to you on the navigational menu bar near the top of every Commons screen.



NOTE: The figure of the user interface above is for display purposes only and does not represent the available modules associated with the displayed role.

7 Commons Demonstration Site

The Commons Demonstration Site is a fully functioning site for all users. Once an account is created, the user has access to an environment containing data that is mostly identical to the Commons production environment.

Use the training/demo facility to familiarize yourself with the eRA Commons application and to practice creating sample institutions and accounts and/or manipulating grant applications. The site provides access to the major functions of the system in a training/demonstration mode that mirrors the production version, the difference being that only sample data is altered in the Commons Demonstration Site.

7.1 Accessing Commons Demonstration Facility

To access the Commons Demonstration Site, select the **Demo Facility** hyperlink from the **Commons Related Resources** section of the login page.

The screenshot shows the eRA Commons login page. The header includes the eRA Commons logo and navigation links. The main content area is divided into three columns. The left column contains the 'Commons Login' form with fields for username and password, and a 'Login' button. The middle column is titled 'Welcome to the Commons' and includes a 'System Notification Message' box, a 'Scheduled Commons Maintenance' link, 'Support Related Resources' (with links to 'Avoiding Common Errors', 'Self Help Resources', 'Applying Electronically website', and 'eRA website'), 'Commons Related Resources' (with links to 'Submit Reference Letter' and 'Demo Facility'), and a 'Warning Notice' section. The 'Demo Facility' link in the 'Commons Related Resources' section is circled in red. The right column contains a 'Register Grantee Organization' link, 'About the Commons' (with links to 'Frequently Asked Questions' and 'Latest Release Notes'), and 'Additional Links' (with links to 'RePORT', 'Grants.gov', 'eGloss', 'National Institutes of Health', 'Public Access Policy Page', and 'Loan Repayment Program').

Users with a demo account should log in using the username and password created for this purpose; users without a demo account should create one. [Refer to the section of this document titled *Creating a New Demo Account on Page 37*.](#)

7.2 Creating a New Demo Account

The *Create a New Demo Account* screen facilitates creation of a sample institution and user account. Creation of an SO and a PI account is required, with grant applications assigned to the created institution.

A number of sample grant applications are assigned to the PI account. Once the institution and initial accounts are assigned, the training/demonstration module can be used to perform all functions on the sample data linked to these accounts (such as creating new accounts, submitting an RPPR or FFR, reviewing application status, and affiliating other demo users to the demo institution).

To create a new demo account:

1. Select the **Demo Facility** link on the *Welcome to the Commons* page.

The *Create a New Demo Account* screen displays.

2. Fill in the appropriate information for creating the account, including all required fields.

NOTE: All fields followed by an asterisk (*) are required. The user name must have a minimum of six (6) characters (numbers and letters may be combined) and a maximum of twenty (20) characters. The account names must be unique.

3. Select the **Submit** button.

The screenshot shows the 'Create a New Demo Account' page on the eRA Commons website. The page header includes the eRA Commons logo and navigation links. The form is titled 'Create a New Demo Account' and is divided into sections for account creation. It includes fields for First Name (George), Last Name (Washington), SO Account (checked), PI Account (checked), BO Account (unchecked), Trainee Account (unchecked), E-mail Address (GWashington@email.com), and Institution (Mount Vernon College). The User Name field is populated with 'GWash_SO' and 'GWash_PI'. A red circle highlights the 'Submit' button at the bottom of the form.

Account Information	
First Name*	George
Last Name*	Washington
User Name must be a minimum of 6 characters and must not already be in use	
Possible Roles	User Name
SO Account <input checked="" type="checkbox"/>	GWash_SO
PI Account <input checked="" type="checkbox"/>	GWash_PI
Optional Roles for SO and PI	
<input type="checkbox"/> FSR <input type="checkbox"/> IAR	
BO Account <input type="checkbox"/>	
Trainee Account <input type="checkbox"/>	GWash_Train
E-mail Address*	GWashington@email.com
Institution*	Mount Vernon College
<input type="button" value="Submit"/> <input type="button" value="Reset"/>	

A verification message displays the information entered.

4. Review all entered information and select the **Save** button to create the demo account.

Create a New Demo Account ?

Please verify the data you entered for the new account.

First Name : George
Last Name : Washington

SO User Name : GWash_SO SO User Roles : SO
PI User Name : GWash_PI PI User Roles : PI

Email Address : GWashington@email
Institution : Mount Vernon College

The Save Action will create test institution accounts and a number of sample applications for your personal use. Please be patient, this may take up to a minute.

A confirmation page lists the user name information and passwords. Make sure to copy the information.

5. Select the **Continue** link.

Create a New Demo Account ?

Your Sample Institution has been created with the Accounts and Passwords listed below. Please write down this information and login to the NIH Commons Training/Demo Facility using this information. Like NIH Commons, you will be asked to change your password the first time you login. Once you have successfully authenticated, you will be able to use the NIH Commons in the same way as you would the production version.

SO User Name : GWash_SO SO Password : trainso1\$
PI User Name : GWash_PI PI Password : trainpi1\$

[Continue](#)

The system returns to the Commons Demonstration Site for login and start of the training/demo session.

8 Registering Institutions and Organizations

Policy: https://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch2.htm

Policy: https://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch2.htm#determining_applicant_org_eligibility

To access eRA Commons, there is a one-time registration process for institutions and research facilities. Once an institution registers, accounts for the Signing Official (SO) and Account Administrator (AA) created during the registration process become active. The authorized personnel may create new user accounts within the hierarchy and structure of an extramural institution and access Institution Profile information.

You can access the eRA Commons Online Registration system at the following location:
<https://public.era.nih.gov/commons/public/registration/registrationInstructions.jsp>

8.1 Institution Registration Request

The initial registration request sets up a mandatory account for the institution's SO and an optional account for the institution's AA. Only authorized organization officials may be deemed as SOs for their institutions. Examples of NIH accepted organization officials include:

- Corporation - President, CEO
- Institute - Executive Director
- University - President, Dean, or Chancellor

You must have a valid and verifiable Dunn and Bradstreet (DUNS) number before proceeding with the registration process.

NOTE: If your organization intends to only apply for OTA awards, a DUNS number is not required for initial registration but will be required to submit applications.

If your institution does not have a valid DUNS number, you can obtain one at the following website:

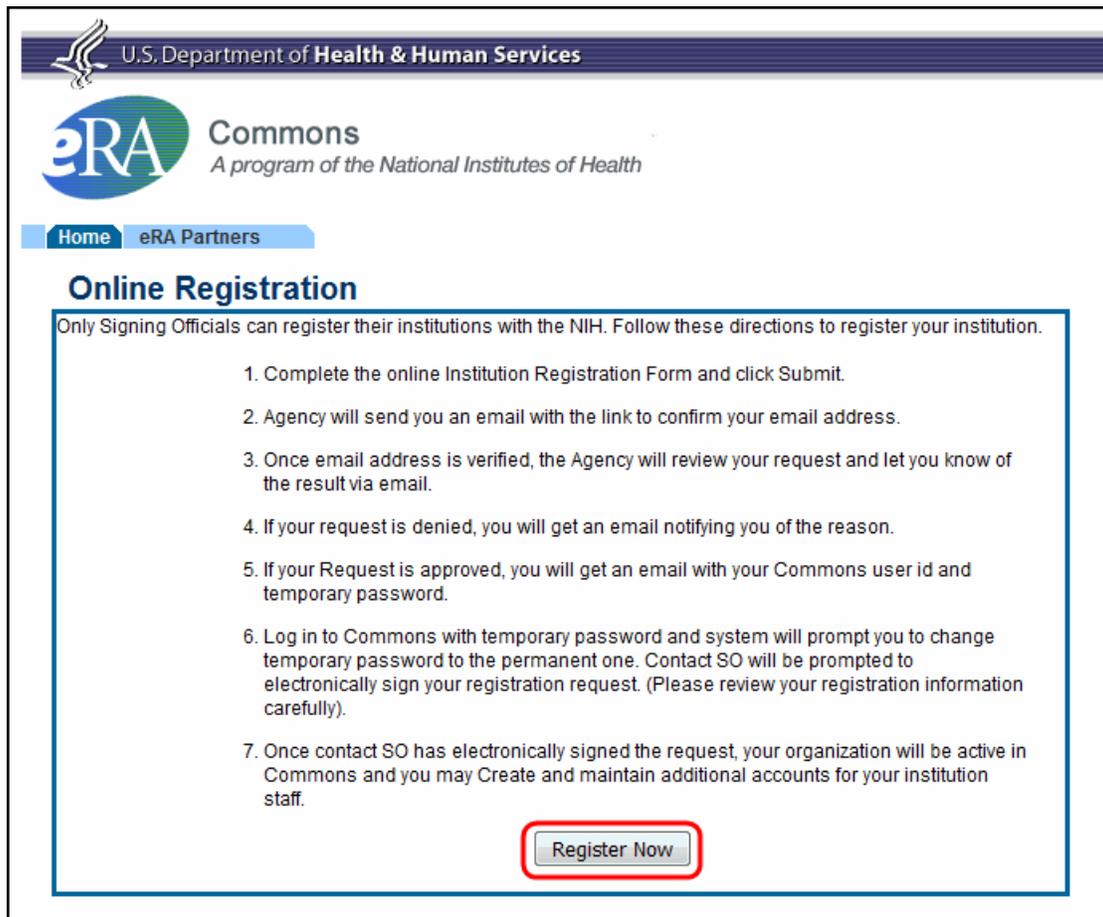
<http://fedgov.dnb.com/webform>

To register an institution within eRA Commons:

1. On the [Commons home page](#), select the **Register Grantee Organization** link.



2. The *Online Registration* screen displays. Read the instructional steps and click the **Register Now** button.



3. The *Register Institution* screen displays. (view below)

Complete the required fields for the **Registration Purpose**, **Institution Information** and **Accounts Information** sections noting the following:

- All fields followed by a red asterisk (*) are required
- You will see three new checkboxes to indicate for which opportunity you plan to apply:
 - NIH Grants/Contracts - This is the most common type of registration and is required for any application that is funded by NIH.
 - Non-NIH Grants/Contracts - This type of registration will allow you to submit applications for other agencies that use NIH eRA systems (i.e. SAMHSA).
 - Other Transaction Authority (OTA) opportunities - This type of opportunity is for a type of funding that is neither grants nor contracts and is being used across NIH.
- You can check more than one box. If your organization is applying only for OTA, check that box and enter nine zeros (000000000) as your DUNS number, if your organization does not have a DUNS number at the time of registration. You must still click the 'Verify DUNS' link even if you entered nine zeroes.
- If registering as both an NIH and OTA applicant, you must enter a valid DUNS number. If you do not provide a valid DUNS number and enter nine zeros, you will only be allowed to apply for OTA opportunities and you will not be able to apply for NIH grants/contracts.
- A minimum of one address line (Street 1) is required
- The *Institution Name* may contain a maximum of 100 characters
- An *Official's Title* may contain a maximum of 240 characters
- The *User Name* must have a minimum of six (6) characters (numbers and letters can be combined but no spaces can be used). Usernames may not exceed the maximum of twenty (20) characters.

NOTE: The phone number entered for the Signing Official (SO) will be used as the initial contact number for the institution. This may be changed later.

- The AA position and information is optional. When completing information for the AA, fill in the required account information fields and submit.
- The *DUNS Number* is a unique nine-digit identification for single business entities. After entering the DUNS number, click on the **Verify DUNS** button. This will

validate the number and, if already in the system, will pre-populate some of the remaining fields.

NOTE: More information about DUNS is located online at <http://www.dnb.com/us/>. Institutions that are only intending to apply for OTA awards may use nine zeros (000000000) to register but will need to provide a valid DUNS number at the time of award. Remember, you must still click the Verify DUNS link even if you entered nine zeros.

Register Institution ?

Online Registration

Welcome to the ERA Commons On-Line Registration Process.
 Completing this process will register your institution into the ERA Commons and establish up to two accounts for your institution. Selected staff at your institution can then create additional accounts appropriate to the needs of your institution.
Before registering your institution please read through the registration material provided here. It is recommended that you print a copy of this page to use as a reference when completing the form. To print a copy select the "Print" button on your browser button bar or select "File/Print" from the menu bar.

* indicates required field

Registration Purpose

Select the type(s) of opportunities to which your organization will apply (check one or more options below): ?

My organization wishes to apply for NIH Grants/Contracts
 My organization wishes to apply for Non-NIH Grants/Contracts
 My organization wishes to apply for NIH other transaction authority (OTA) opportunities

Institution Information

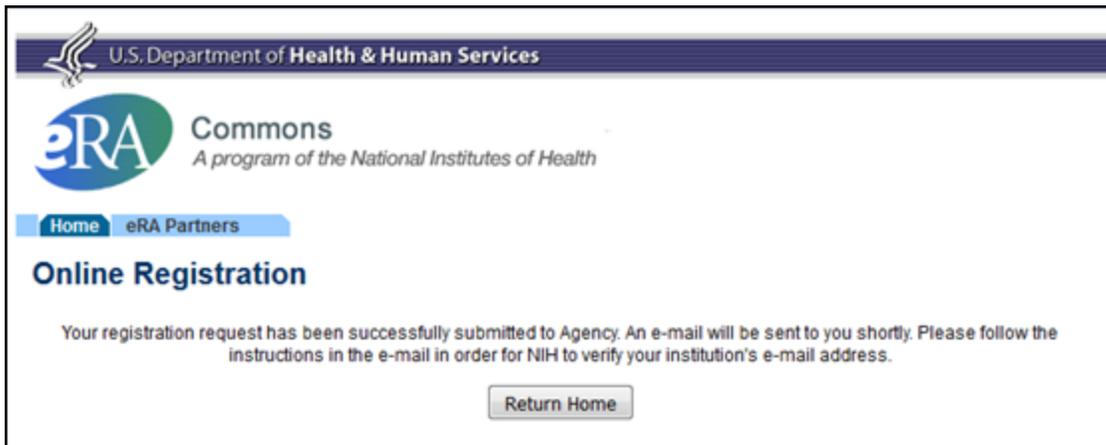
DUNS Number:* <input type="text"/> <input type="text"/> <input type="button" value="Verify DUNS"/>	Closeout E-mail:* <input type="text"/>
Institution Name:* <input type="text"/>	NoA E-mail:* <input type="text"/>
Street 1:* <input type="text"/>	City:* <input type="text"/>
Street 2: <input type="text"/>	State* <input type="text"/>
Street 3: <input type="text"/>	Zip Code:* <input type="text"/>
Street 4: <input type="text"/>	Country: <input type="text" value="UNITED STATES"/>

Accounts Information

Principal Signing Official	Accounts Administrator
This entire section is optional; however if any information is entered then all required fields must be entered	
Name Prefix: <input type="text"/>	Name Prefix: <input type="text"/>
First Name:* <input type="text"/>	First Name:* <input type="text"/>
Middle Name: <input type="text"/>	Middle Name: <input type="text"/>
Last Name:* <input type="text"/>	Last Name:* <input type="text"/>
Title:* <input type="text"/>	Title:* <input type="text"/>
User Name:* <input type="text"/>	User Name:* <input type="text"/>
Phone:* <input type="text"/>	Phone:* <input type="text"/>
Fax: <input type="text"/>	Fax: <input type="text"/>
E-mail:* <input type="text"/>	E-mail:* <input type="text"/>

4. Verify that all entered information is correct before selecting **Save**.
 The *Online Registration* screen displays.
 NIH displays a notice stating the submission was successful.

5. Click **Return Home**



NIH sends an address confirmation e-mail to the designated SO.

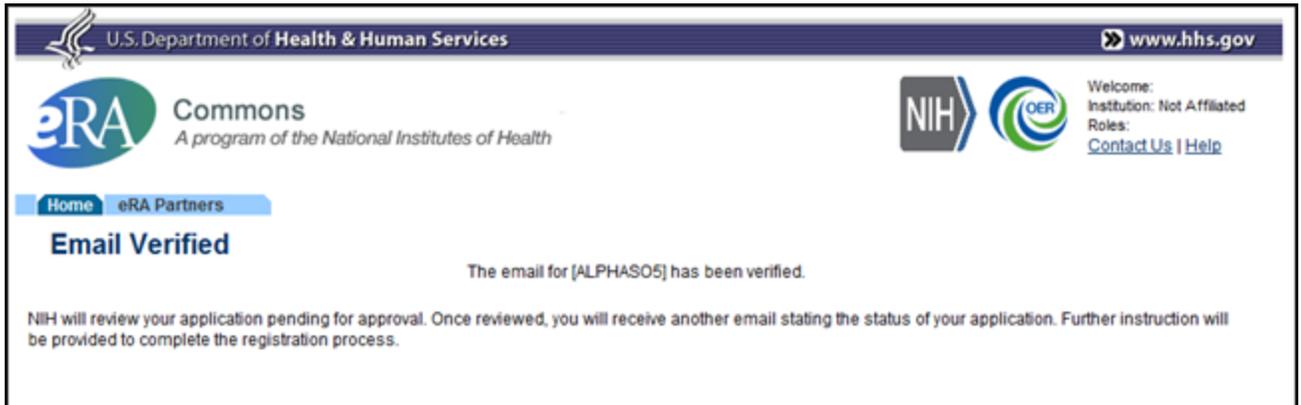
6. Click the e-mail hyperlink to verify the SO e-mail address.

The Email Verified screen displays when the SO clicks the link in the email that they receive and confirms that the SO email address is valid.

NOTE: If an Account Administrator (AA) account is created at the same time as the SO account, a separate email is sent to the email address of the AA account containing the AA account user name. A second email is sent to the email address of the AA containing the AA account temporary password. Emails sent to the SO do not include the AA user name or password.

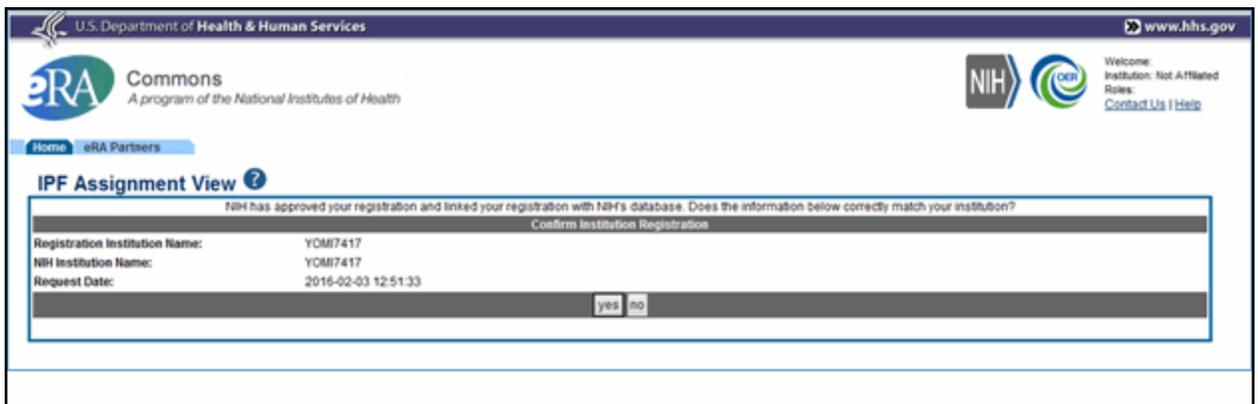
NIH reviews the registration, which is now pending approval, and displays the Email

Verified screen.



Once the NIH has reviewed the registration request, a second email is sent stating the status of the application (either approved or rejected). If the request is rejected, an email is sent notifying you of the reason.

7. If approved, select the hyperlink in the e-mail message to confirm the registration process and open the *IPF Assignment View*.



8. Click **Yes** on the *IPF Assignment View* screen.

After the SO confirms the Registration request, an email is sent containing the User ID and temporary password.

Once the SO has re-logged in to Commons and changed the password, the Registration

Information screen is displayed.

U.S. Department of Health & Human Services www.hhs.gov

eRA Commons
A program of the National Institutes of Health

Registration Information

In order to protect the confidentiality of certain information, access to the secure eRA Commons server is limited to authorized users. The registration of authorized eRA Commons users will be administered by the Principal Signing Official, or their designee, serving as the grantee organization Commons Accounts Administrator.

The grantee organization Principal Signing Official serving as administrator of the Commons accounts, and signatory of this form, should be the Official with institutional authority in so far as legally binding grants administration actions with the NIH are concerned, including serving as the grantee organization authority responsible for submission of grant applications to the NIH. As Commons Accounts Administrator, this Official will have the authority to create, modify and delete Commons accounts for additional Signing Officials, Administrative Officials, Principal Investigators, Program Directors, and other scientific and/or administrative staff for the grantee organization.

Solely for the purpose of facilitating administration of Commons accounts, and distinct from submitting grant applications to the NIH, the Principal Signing Official can extend authority to a Primary Commons Accounts Administrator. Designation of such a Primary Commons Accounts Administrator can be acknowledged herein, as detailed below, so long as both Principal Signing Official and Primary Commons Accounts Administrator are signatories of this form.

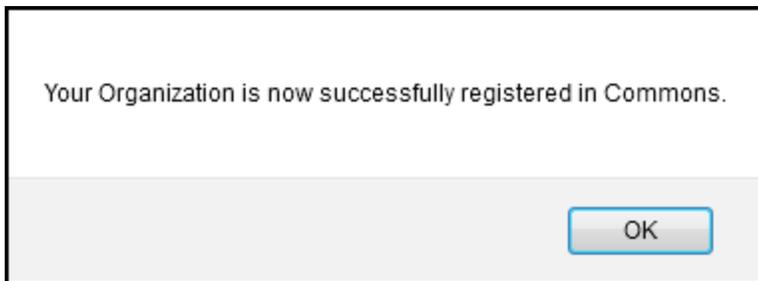
Institution Information	
Institution Name:	YOMI7417
FAX Received:	No
Duns Number:	963214780
Street 1:	TEST
Street 2:	
Street 3:	
Street 4:	
IPF Code:	
Closeout E-mail:	eRATest@mail.nih.gov
NoA E-mail:	eRATest@mail.nih.gov
City:	BETHESDA
State:	MD
Zip Code:	20817
Country:	

Principal Signing Official		Accounts Administrator	
Name Prefix:		Name Prefix:	
First Name:	TestSO	First Name:	TestAA
Middle Name:		Middle Name:	TestAA
Last Name:	AcctSO	Last Name:	TestAA
Suffix:		Suffix:	
Title:	CEO	Title:	Executive
User Name:	ALPHASO5	User Name:	BETAA45
Phone:	000-000-0000	Phone:	000-000-0000
Fax:		Fax:	
E-mail:	eRATest@mail.nih.gov	E-mail:	eRATest@mail.nih.gov

By clicking the "Accept" button, you acknowledge responsibility for maintaining the security and confidentiality of the grantee organization's information through the administration of all Commons accounts established for the grantee organization.

9. Click **Accept**.

Once the SO has electronically signed the registration request, the organization will be active in Commons.



9 Admin Module

The Admin module houses the features used to perform:

- **Account Management**
- **Delegations**

All Commons users have access to the Admin module, however, your role determines what you can and cannot do within the module.

9.1 Accounts

The **Accounts** tab of the Admin module contains the options for creating, searching, and updating user accounts. From Account Administration, the following can be performed:

- **Manage Accounts**
- **Advanced Search**
- **Change Password**

To access Accounts:

1. Select the **Admin** tab.
2. Select the **Accounts** tab.

Refer to the topic [Advanced Search on Page 46](#) for help with this feature.

For more information on creating and managing user accounts, refer to the Account Management System's Online Help System (https://era.nih.gov/erahelp/ams_new/).

9.1.1 Advanced Search

If you hold an administrator role (e.g., SO), you can perform a search on existing Commons accounts to locate PIs eligible for continuous submission. You can search for accounts within your institution or include those outside of your institution.

To perform an advanced search:

1. Select the **Accounts** tab from within the Admin module.
2. From within *Accounts*, select the **Advanced Search** tab to display the *Account List* screen.
3. Enter the search criteria. The percent sign (%) may be used as a wildcard (e.g., Sm%).

The **Search within your institution** field is checked as a default and means that Commons will only search for matching records within your institution. To include accounts outside of your institution, uncheck this field before performing the search.

NOTE: When searching outside of your organization, you must include the **Last Name** or **Commons ID** in your search criteria.

4. Select the **Search** button.

The results display in the **Account Search Results** table and, depending on the number of returned records, may be listed over multiple pages. Use the pagination, **Prev**, **Next**, and **All** links to access all returned account records.

Account List ?

Search Criteria

Commons ID <input type="text" value="jausten1775"/>	Last Name <input type="text"/>	First Name <input type="text"/>	Middle Name <input type="text"/>
--	-----------------------------------	------------------------------------	-------------------------------------

Search within your institution

Account Search Results 1- 1 out of 1 records [Prev](#) [Next](#) [All](#)

User Name	User ID	Email Address	Account Status	Role	CS Eligibility Details	Address	Institution
Austen, Jane	JAUSTEN1775	JAusten@email.com	Active	IAR, PI, SPONSOR	No	University of Literature 1234 Pemberley Drive Building 100 Mail Code 1234 Mansfield Park, NJ 07834	UNIVERSITY OF LITERATURE

The search results include the following information:

- **User Name**
- **User ID**
- **Email Address**
- **Account Status**
- **Role**
- **CS Eligibility Details**
- **Address**
- **Institution**

The **CS Eligibility Details** column displays a **No** or **Yes** link to indicate the Continuous Submission Eligibility status of the PI. Select this link to open the *Continuous Submission Eligibility* screen for that PI.

The *Continuous Submission Eligibility for <PI Name>* displays the same information the PI can view from the Personal Profile. For more information on this screen, refer to the Personal Profile *Reviewer Information* topic, specifically [Continuous Submission Eligibility Status](#).

Continuous Submission Eligibility ?

for Austen, Jane

Continuous Submission Eligibility Status:
Not Eligible

To help recognize outstanding service in the NIH peer review process and on NIH Advisory Groups, NIH has implemented policy and procedures to allow appointed members of NIH review and Advisory Groups, and peer reviewers with recent substantial service (six times in the NIH specified 18 months period), to submit their research grant applications (R01, R21, or R34) on a continuous basis and to have those applications undergo initial peer review in a timely manner.

[What is Continuous Submission?](#) »
[Continuous Submission FAQs](#) »

Eligibility for Continuous Submission based on current appointed membership [Show Eligibility Status](#)

Eligibility for Continuous Submission based on recent substantial service [Show Eligibility Status](#)

9.1.2 Create a New Commons Account for an Individual (e.g., PD/PI)

If you are a Commons user with an SO, AA, or BO role, you have the ability to create new Commons user accounts (such as for a PD/PI) using the **Manage Accounts** feature.

IMPORTANT: Users cannot create their own accounts. Commons accounts are created by users with the roles mentioned above or via invitation, appointment, or institutional registration ([see additional links below](#)).

To create a new account:

1. Select the **Accounts** tab from within the **Admin** module.
2. Select the **Account Management** option.

The screenshot shows the top navigation bar of the eRA Commons system. At the top, it displays the U.S. Department of Health & Human Services logo and the eRA Commons logo, which is a program of the National Institutes of Health. Below the logos is a horizontal menu with several tabs: Home, Admin, Institution Profile, Status, RPPR, Internet Assisted Review, xTrain, xTRACT, and eRA Partners. The Admin tab is currently selected, and within it, the Accounts sub-tab is active. Under the Accounts sub-tab, the Account Management option is highlighted with a red rectangular box. Below the navigation bar, the page title 'Account Administration' is visible.

The Search Accounts screen opens in a separate window. You'll notice that there is no **Create New Account** button displayed at this time. You cannot create a new account until you perform a search for the account first. This measure is in place to help avoid the creation of duplicate accounts.

AMS

Manage Accounts AMS User Reports

Search Accounts ?

Search Criteria

Search only within my organization ⓘ

NOTE! You must enter at least one search field, besides User Type and Account Status.

User Type: Commons (dropdown)

Account Status: All (dropdown)

User ID: [text input]

Last Name: [text input]

First Name: [text input]

Middle Name: [text input]

Email: [text input]

Roles ⓘ: [text input]

Search Clear

[Back to top](#)

NOTE: By default, the "Search only within my organization" checkbox is *not* checked so that existing accounts for investigators and other scientific roles may be located and affiliated instead of creating new accounts. PI roles, for example, are intended to be used throughout the investigator's career regardless of their current affiliation(s).

3. Search for the person (**Last Name, First Name**) whose account you are creating. After performing the search, if no existing account is found, the **Create New Account** button becomes enabled.

4. Select the Create New Account button.

The screenshot shows the AMS interface for searching accounts. At the top, there are navigation links for 'Manage Accounts' and 'AMS User Reports'. The main heading is 'Search Accounts' with a help icon. A prominent red error box states: 'ERROR! We searched for accounts but **No Records were Found**. Here are several error resolution suggestions. • Try to broaden your search by **adding more search parameters**. • **Create an account**.' Below the error is a 'Search Criteria' section with a checkbox for 'Search only within my organization'. A note indicates that at least one search field must be entered. The search criteria include: 'User Type' (dropdown menu set to 'Commons'), 'Account Status' (dropdown menu set to 'All'), 'User ID' (text input), 'Last Name' (text input with 'Crabtree'), 'First Name' (text input with 'Budge'), 'Middle Name' (text input), 'Email' (text input), and 'Roles' (text input with a help icon). At the bottom of the search criteria are 'Search' and 'Clear' buttons. Below the search criteria, the 'Create New Account' button is highlighted with a red box. A 'Back to top' link is located at the bottom right of the page.

The *Create Account* screen displays. The **User Type** should default to **Commons** and the **Primary Organization** should default to that of your own. The **User Type** field can be changed if necessary.

AMS

Manage Accounts AMS User Reports

Create Account ?

All fields are required unless they're marked (Optional)

[Go Back](#)

User Information

User Type

Commons

User ID

[Empty text box]

Primary Organization

[Your institution name]

Contact Information

Last Name [Empty text box] **First Name** [Empty text box] **Middle Name (Optional)** [Empty text box]

Email [Empty text box] **Confirm Email** [Empty text box]

Roles ?

+ Add Roles

Create **Clear**

5. On the *Create Account* screen, enter the **Personal Information** fields. Note that all fields except **Middle Name** are required.
- **User Type:** Select **Commons** from the drop-down list if it is not already displayed.
 - **User ID:** Enter a unique name as the system username.
 - **Organization:** This field defaults to your organization and cannot be changed. If an individual needs to be affiliated with your organization and already has a non-administrative account with another institution (primarily Primary Investigators - PI), search for them outside of your organization and affiliate their existing account with your institution.
 - **First Name**
 - **Middle Name**
 - **Last Name**
 - **E-mail**
 - **Confirm e-mail**

6. After entering **Personal Information**, you can assign a role to the account. Click on the **+** **Add Roles** button to open the *AMS | Add Roles* tool. A separate window will open. The organization will default to the current user's institution and cannot be changed. Below the *Organization* field is the list of roles available to the type of user selected.

AMS | Add Roles ✕

Organization

[Your institution name]

Role(s) (to multi-select, please use ctrl or shift keys)

- FSR - Financial Reporting users
- GRADUATE_STUDENT - Graduate Student
- PACR - Public Access Compliance Role
- PI - Principal Investigator**
- POSTDOC - POSTDOC
- PROJECT_PERSONNEL - Project Personnel
- SCIENTIST - Scientist
- SO - Signing Official
- Sponsor Users
- SPONSOR - Sponsor Users
- GRADUATE - Undergraduate

Close **Add Role(s)**

7. Select the role or roles required for the new account. You may use multi-select in order to choose multiple roles to add at one time.
8. Click on the **Add Role(s)** button when all roles have been selected. You will be taken back to the *Create Account* screen and the new roles will be listed.

Contact Information

Last Name	First Name	Middle Name (Optional)
<input type="text" value="Crabtree"/>	<input type="text" value="Budge"/>	<input type="text"/>
Email	Confirm Email	
<input type="text" value="CB@mcmanus.lit"/>	<input type="text" value="CB@mcmanus.lit"/>	

Roles ?

Showing 1 - 1 of total 1

Role(s) ▲	Organization(s) ▼	Action
PI	[Your institution name]	<input type="button" value="x Remove"/>

9. If it is necessary to add additional roles (now or later), repeat the same steps.
10. When all necessary roles are displayed, click on the **Create** button and the new account will be created. Clicking on the **Clear** button will reset the page to blanks except for the default institution.
11. *Optional:* If a role is either no longer required or if it was added in error, use the **x Remove** button to eliminate that role for that account.

9.1.2.1 Additional information:

- [eRA Commons Registration & Accounts](#)
- [eRA Commons Accounts: Who and How and Where](#) [click here for one-page PDF version](#)
- [Institution Registration and Account Creation](#) (Training Videos)

9.2 Delegations

Organizational institutions and users of the Commons system may grant other institutional Commons users the authority to enter and process grant information, update PPF information, submit RPPR information, work with specific modules, and ensure that NIH has associated (i.e., linked) the proper NIH support. This method of assigning (and revoking) authority to other Commons users to perform specific functions is called Delegation.

Commons users may delegate specific authorities to other Commons users for their own accounts such as when a PI delegates the Progress Report authority to another PI or a Sponsor delegates to an assistant. Additionally, administrative users such as SO may delegate certain authorities on behalf of another Commons user. For example, an SO may grant an ASST user the Sponsor authority on behalf of a Commons Sponsor user.

Listed below is a table of the types of delegation authorities in Commons, along with who may grant that authority and whom may receive it.

Table 1: Delegation Authorities

Authority Type	Delegated By	Delegated To	Description
Progress Report	SO, AA, AO (on behalf of PI)	PI	Enables the PI to work on progress reports for another PI - Includes Interim and Final RPPR
Progress Report	PI	Active user within the Institution	Enables the authorized user to work on progress reports for the PI - Includes Interim and Final RPPR
Sponsor	SO, AA (on behalf of SPONSOR)	ASST	Allows the ASST to access the xTrain module
Status	PI	ASST	Allows the ASST to work with the Status module
PPF	All users	Active user within the Institution	Enables another user in the same institution to edit someone else's personal profile
Submit	SO	PI	Enables the PI to submit RPPR and MYPR reports -- now needed for PI if they are to submit Interim and Final RPPR
xTrain	PI, SPONSOR	ASST	Enables the ASST to work with the xTrain module

NOTE: Delegations are not permanent and can be revoked at any time.

9.2.1 Delegate on Behalf of Another User

Administrative users such as Signing Officials (SO), Account Administrators (AA), and Account Officials (AO) may delegate authority to specific users on behalf of someone else. The information within this section refers to this process.

9.2.1.1 Delegating Progress Report Authority on Behalf of Another User

NOTE: This topic discusses delegating authority for another user's account. [Refer to the section of this document titled *Direct Delegations* on Page 72](#) if you would like information for delegating authority to your own account.

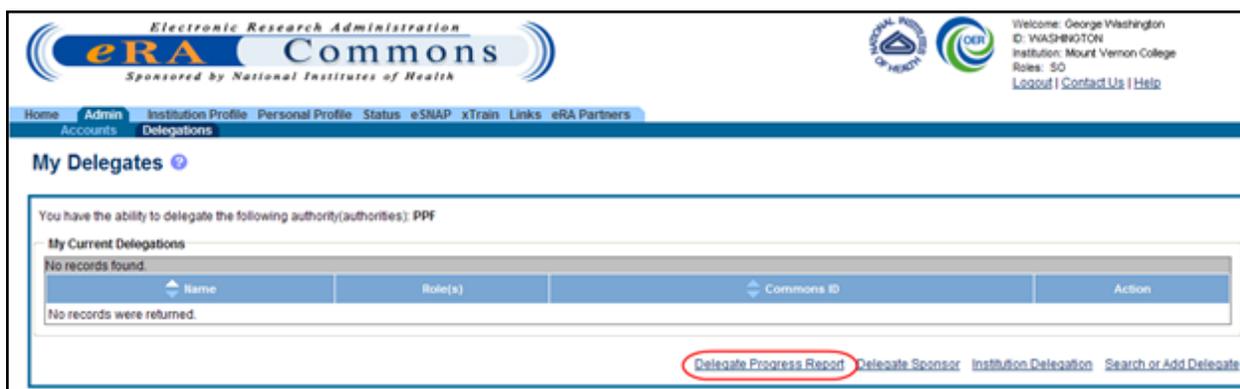
The SO, AA, or AO may delegate Progress Report authority to a PI on behalf of another PI.

To delegate Progress Report authority on behalf of a PI:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

3. Select the link called **Delegate Progress Report**.



The *Delegate Progress Report* screen opens with search criteria displayed for locating and selecting a specific Principal Investigator on whose behalf the Progress Report authority is being granted. The parameters include **Commons ID**, **Last Name**, **First Name**, and **Middle Name**. The screen includes a **Search** button and **Cancel** button as well as a **Return to My Current Delegates** link for leaving the search screen and returning to the previous Commons screen.

The search parameter fields can be used with the percent sign (%) wild card.

4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.

The screenshot shows the 'Delegate Progress Report' page in the eRA Commons system. At the top, there is a navigation bar with links for Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. Below this is a search form with the following fields: Commons ID, Last Name (containing 'Jefferson'), First Name (containing 'Tho%'), and Middle Name. A red circle highlights the 'Search' button. Below the search form, there are 'Clear' and 'Cancel' buttons. A link 'Return to My Current Delegations' is visible at the bottom right of the form area.

The matching records display within the **Search Results** on the page.

6. Choose the **Select** link to indicate the PI on whose behalf you are designating authority.

The screenshot shows the 'Delegate Progress Report' page with search results. The search criteria are the same as in the previous screenshot. Below the search form, there is a 'Search Results' section with the message 'One third party delegator record found.' Below this is a table with the following data:

Name	Role(s)	Commons ID	Action
Jefferson, Thomas	PROGRESS REPORT	JEFFERSOILT	Select

A red circle highlights the 'Select' link in the Action column. A link 'Return to My Current Delegations' is visible at the bottom right of the page.

A message displays at the top of the screen as follows: *You have selected to delegate Progress Report Authority on behalf of: <Name>.*

Additionally, search parameters display for searching and selecting the user to whom to delegate the authority.

7. Enter the search parameters necessary for locating the PI to whom you are giving authority and select the **Search** button.

The matching records display in the **Search Results** table.

- Click the link called **Select** to select the appropriate person from the list.

The screenshot shows the 'Delegate Progress Report' interface. At the top, it says 'You have selected to delegate Progress Report Authority on behalf of: Jefferson, Thomas'. Below this is a search criteria form with fields for Commons ID (ADAMS.J), Last Name, First Name, and Middle Name. A red arrow points from the 'Search' button to the search results table. The table has one entry: 'ADAMS, JOHN' with role 'ADAMS.J'. The 'Action' column for this entry has a 'Select' button circled in red.

The *Delegate Progress Report* screen shows the selected PI name with the Progress Report authority and checkbox.

- Check the **Progress Report** box.
- Select the **Save** button.

NOTE: Selecting the **Cancel** button will cancel the action without delegating any authority to the user.

The screenshot shows the 'Delegate Progress Report' interface with the delegation configuration. It says 'On behalf of Jefferson, Thomas, you have selected to delegate access to: ADAMS, JOHN; ADAMS.J; PI'. Below this, it says 'You may assign the following delegation:' followed by a checked checkbox for 'Progress Report' circled in red. At the bottom, the 'Save' button is circled in red.

The **Search Results** area updates to show the **Progress Report** authority marked with a check. Commons grants the Progress Report authority for the delegated user, who receives an email informing of the change. The delegated PI is now able to submit progress reports for the selected PI.

The screenshot displays the 'Delegate Progress Report' page. At the top, there is a navigation bar with tabs: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. Below this, the page title is 'Delegate Progress Report'. A message states: 'You have selected to delegate Progress Report Authority on behalf of Jefferson, Thomas'. The search criteria section includes input fields for Commons ID (containing 'ADAMS.J'), Last Name, First Name, and Middle Name. A note below the fields says: 'You can perform a wildcard search by using the "%" character, for example: lastname% OR last%name%'. There are 'Search', 'Clear', and 'Cancel' buttons. The search results section shows 'One third party delegatee record found.' and a table with the following data:

Name	Role(s)	Commons ID	Progress Report	Action
ADAMS, JOHN	PROGRESS REPORT	ADAMS.J	✓	Select

A red circle highlights the 'Progress Report' column in the table. At the bottom right of the table area, there is a link: 'Return to My Current Delegates'.

The PI, on whose behalf delegation was granted, can see the delegated user by accessing the **My Current Delegations** information.

9.2.1.2 Delegate Sponsor Authority on Behalf of Another User

NOTE: This topic discusses delegating authority for another user's account. [Refer to the section of this document titled *Direct Delegations* on Page 72](#) if you would like information for delegating authority to your own account.

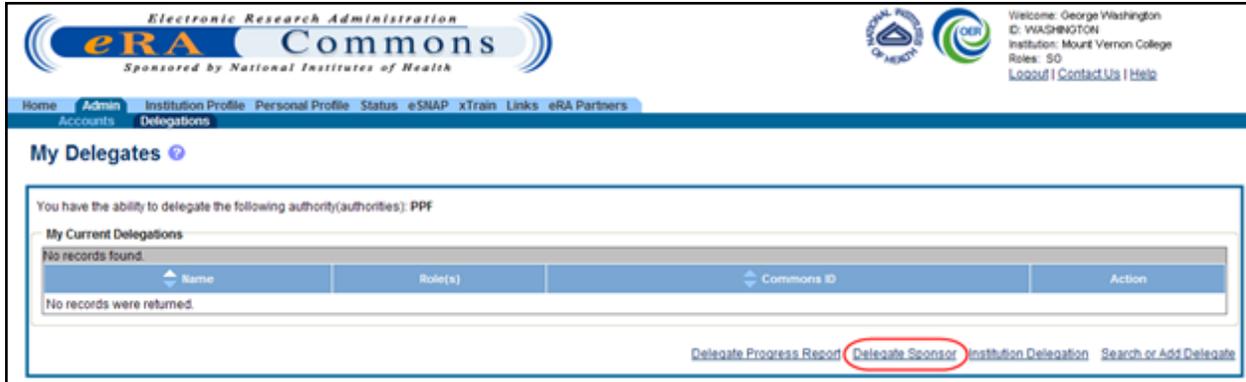
The SO and AA may delegate Sponsor authority to someone with an ASST role on behalf of a Sponsor. When delegating Sponsor authority, the SO authorizes a selected user with an ASST role to perform functions in xTrain for a particular user with a Sponsor role. The SO is delegating this authority to the ASST on behalf of the Sponsor.

To delegate Sponsor authority on behalf of a Sponsor:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** section displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

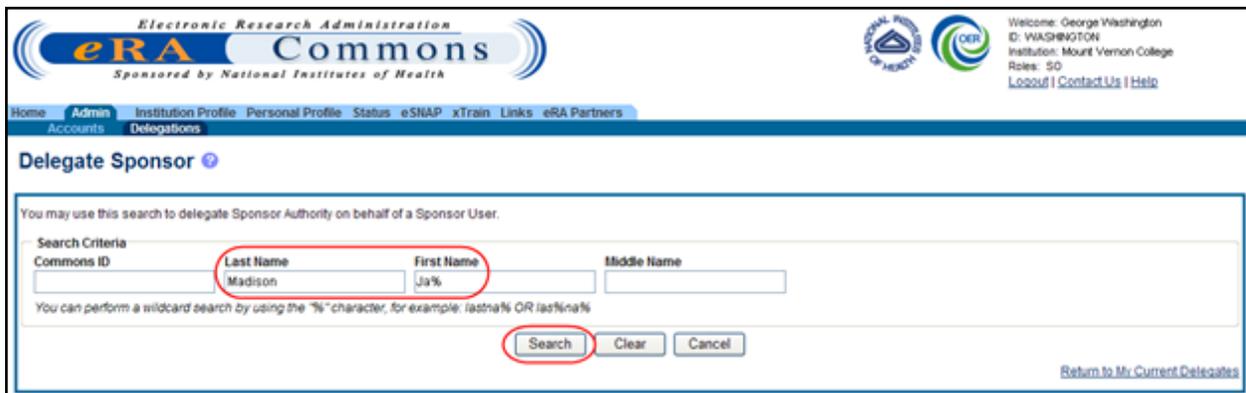
3. Select the link called **Delegate Sponsor**.



The *Delegate Sponsor* screen opens with search parameters displayed for locating and selecting a specific Sponsor on whose behalf the Sponsor Authority is being granted. The parameters include **Commons ID**, **Last Name**, **First Name**, and **Middle Name**. The screen includes a **Search** button and **Cancel** button as well as a **Return to My Current Delegates** link for leaving the search screen and returning to the previous Commons screen.

NOTE: The search parameter fields can be used with the percent sign (%) wild card.

4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.



The matching records display within the **Search Results** on the page.

6. Choose the **Select** link to indicate the Sponsor on whose behalf you are designating authority.



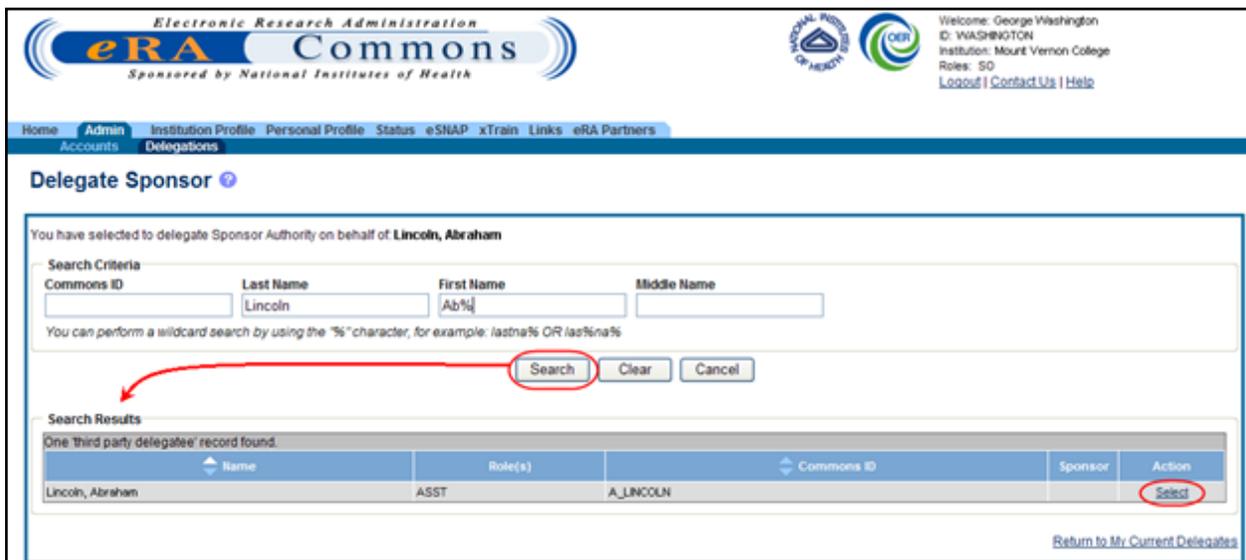
A message displays at the top of the screen as follows: *You have selected to delegate Sponsor Authority on behalf of: <Name>.*

Additionally, search parameters display for searching and selecting the user to whom to delegate the authority.

7. Enter the search parameters necessary for locating the ASST user being given authority and select the **Search** button.

The matching records display in the **Search Results** table.

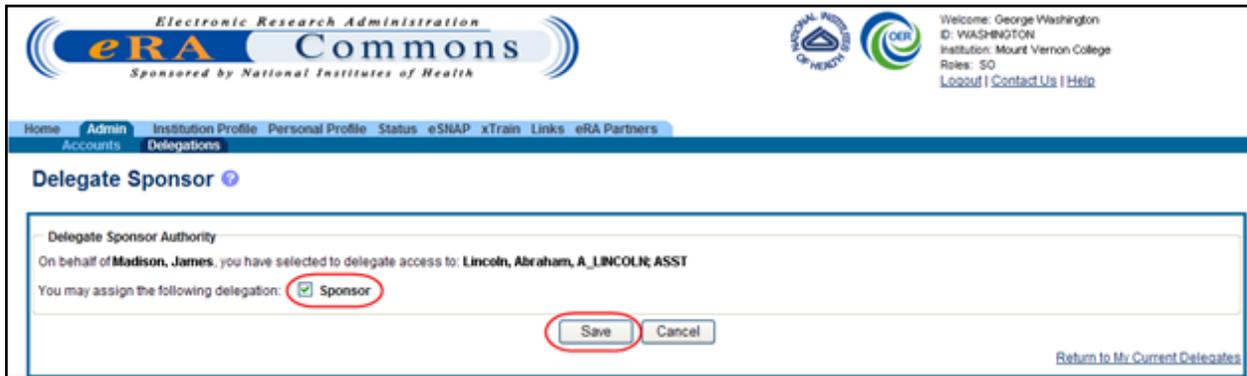
8. Click the link called **Select** to select the appropriate person from the list.



The *Delegate Sponsor* screen shows the selected ASST user’s name with the Sponsor authority and checkbox.

9. Mark the **Sponsor** checkbox.
10. Select the **Save** button.

NOTE: Selecting the **Cancel** button cancels the action without delegating any authority to the user.



The **Search Results** area updates to show the Sponsor authority marked with a check. Commons grants the Sponsor authority for the delegated user, who receives an email informing of the change. The delegated ASST user is now able to perform xTrain functions for the selected Sponsor.



The Sponsor, on whose behalf delegation was granted, can see the delegated user by accessing the **My Current Delegations** information.

9.2.1.3 Revoke Authority on Behalf of Another User

NOTE: This topic discusses revoking authority for another user's account. [Refer to the section of this document titled *Direct Delegations on Page 72*](#) if you would like information for delegating authority to your own account.

Administrative users can revoke delegated authority from a user on behalf of someone else. The steps for revoking Progress Report and Sponsor Authority are very similar. The steps below walk through the process of revoking either, depending on which one is selected from the start.

To revoke authority on behalf of another user:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

3. Select the link called **Delegate Progress Report** to revoke Progress Report authority.

–OR–

Select the link called **Delegate Sponsor** to revoke Sponsor authority.

The screenshot shows the 'My Delegates' page in the eRA Commons system. The page header includes the eRA Commons logo and navigation tabs. The main content area shows 'My Current Delegations' with a table that is empty, displaying 'No records found'. At the bottom of the table area, there are two links: 'Delegate Progress Report' and 'Delegate Sponsor', both of which are circled in red.

Depending on the link selected, either the *Delegate Progress Report* or *Delegate Sponsor* screen opens with search parameters displayed for locating and selecting a specific user on whose behalf the authority is being revoked. The parameters include **Commons ID**, **Last Name**, **First Name**, and **Middle Name**. The screen includes a **Search** button and **Cancel** button as well as a **Return**

to **My Current Delegates** link for leaving the search screen and returning to the previous Commons screen.

NOTE: The search parameter fields can be used with the percent sign (%) wild card.

4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.

The screenshot shows the 'Delegate Progress Report' search interface. At the top, there is a navigation bar with links for Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. Below this is a search form with the following fields: Commons ID, Last Name (containing 'Jefferson'), First Name (containing 'Tho%'), and Middle Name. A 'Search' button is highlighted with a red circle. Below the search form, there is a 'Return to My Current Delegates' link.

The matching records display within the **Search Results** on the page.

6. Choose the **Select** link to indicate the user on whose behalf you are revoking authority.

The screenshot shows the 'Delegate Progress Report' search results page. The search criteria are the same as in the previous screenshot. Below the search form, there is a 'Search Results' section with the following table:

One 'third party delegator' record found.				
Name	Role(s)	Commons ID	Action	
Jefferson, Thomas	PROGRESS REPORT	JEFFERSON.T	Select	

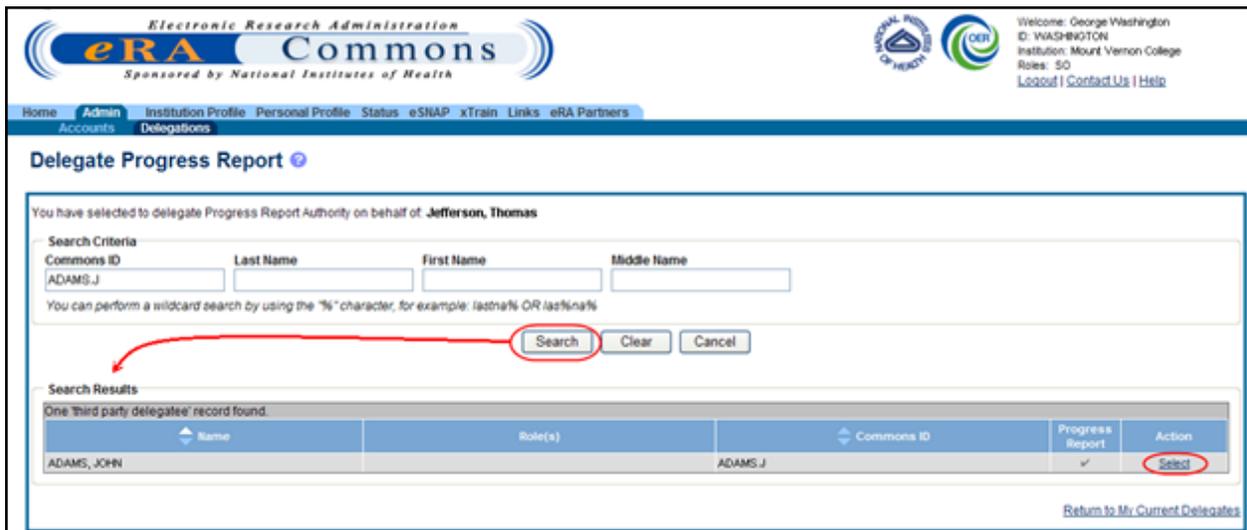
The 'Select' link in the 'Action' column is highlighted with a red circle. Below the table, there is a 'Return to My Current Delegates' link.

Search parameters display for searching and selecting the user for whom to revoke the authority.

7. Enter the search parameters necessary for locating the appropriate user and select the **Search** button.

The matching records display in the **Search Results** table.

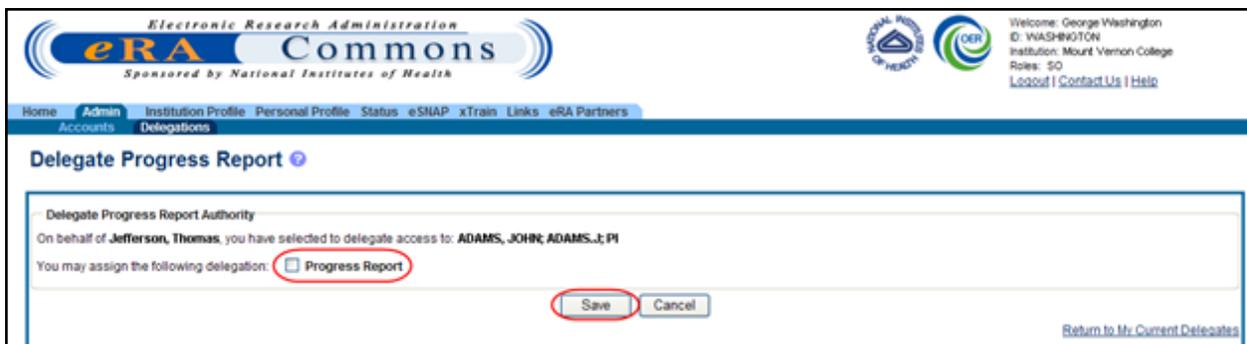
8. Click the link called **Select** to select the appropriate person from the list.



The screen shows the selected user's name with the authority and a marked checkbox.

9. Unmark the checkbox for the authority being revoked.
10. Select the **Save** button.

NOTE: Selecting the **Cancel** button will cancel the action without delegating any authority to the user.



The **Search Results** area updates to show the authority field (Progress Report or Sponsor) unmarked for specified the user. This indicates that the selected user no longer has that authority for the chosen PI/Sponsor. The user receives an email informing of the change and no longer appears in the **My Current Delegations** section for the PI/Sponsor.

9.2.2 Institutional Delegation

Signing Officials and Business Officials may delegate authority to PIs within their institutions to allow those PIs to submit Research Performance Progress Reports (RPPR) and Final Research Performance Progress Report (Final RPPR) electronically to NIH. This same authority may be revoked at any time.

Granting and revoking Submit authority is managed through the *My Delegations* screen in Commons.

9.2.2.1 Delegating Institutional Submit Progress Report Authority

To delegate Institutional Submit Progress Report authority to one or more users within the same institution:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens.

3. Select the link called **Institution Delegation**.

The *Institution Delegations* screen displays. This screen shows **Current Submit Progress Report Delegations** in a table at the top and **Candidates for Submit Progress Report Delegation** in a table at the bottom.

The **Candidates for Submit Progress Report Delegation** table is used for delegating the authority while the **Current Submit Progress Report Delegations** is used for viewing or revoking the authority of those who already possess it.

NOTE: This section walks through the steps for granting the authority. [Refer to the section of this document titled *Revoking Institutional Submit Progress Report Authority* on Page 69](#) for the steps on revoking the authority.

The screenshot displays the 'Institution Delegations' page in the eRA Commons system. The page header includes the eRA Commons logo and user information for George Washington (ID: WASHINGTON, Institution: Mount Vernon College, Role: SO). The main content area is titled 'Institution Delegations' and contains two tables. The first table, 'Current Submit Progress Report Delegations', lists one user: Jefferson, Thomas (Commons ID: JEFFERSON.T) with a 'Submit Progress Report' checkbox. The second table, 'Candidates for Submit Progress Report Delegation', lists seven users with their names, Commons IDs, and 'Submit Progress Report' checkboxes. The 'Candidates' table is highlighted with a red box. Below each table are buttons for 'Revoke Delegation(s)' and 'Grant Delegation(s)', along with 'Select All' and 'Clear All' buttons. A 'Return to My Current Delegates' link is located at the bottom right of the page.

Name	Commons ID	Submit Progress Report
Jefferson, Thomas	JEFFERSON.T	<input type="checkbox"/>

Name	Commons ID	Submit Progress Report
Buchanan, James	BUCHANAN.J	<input type="checkbox"/>
Cleveland, Grover	CLEVELAND	<input type="checkbox"/>
Fillmore, Millard	FILLMORE.M	<input type="checkbox"/>
Garfield, James	GARFIELD	<input type="checkbox"/>
Grant, Ulysses S.	USGRANT	<input type="checkbox"/>
Harrison, William Henry	HARRISON.WH	<input type="checkbox"/>
Hoover, Herbert	H_HOOVER	<input type="checkbox"/>

The **Candidates for Submit Progress Report Delegation** table includes all users in the institution who are eligible for Submit Progress Report authority. The table includes the **Name** and **Commons ID** of each user along with a **Submit Progress Report** checkbox for selecting that user. The **Select All** and **Clear All** buttons also exist for selecting all users in the table or clearing any current selections made.

NOTE: Each table has its own set of buttons to control either granting or revoking the authority.

The **Return to My Current Delegates** link exists at the bottom of the screen for cancelling any action and returning to the previous Commons screen.

- From the **Candidates for Submit Progress Report Delegation** table, mark the individual **Submit Progress Report** checkbox(es) to indicate the appropriate user(s) for Submit Progress Report delegation.

–OR–

Click the **Select All** button to grant Submit Progress Report authority to all listed users.

Tip: If granting Submit Progress Report authority to more users than not, click the **Select All** button to select all users in the table. When all users are selected, uncheck the individual **Submit Progress Report** checkboxes for any user not being granted authority.

- With the appropriate names checked, select the **Grant Delegation(s)** button.

The screenshot displays the 'Institution Delegations' page in the eRA Commons system. At the top, there is a navigation bar with links for Home, Admin, Accounts, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. The main content area is titled 'Institution Delegations' and includes a message: 'You have the authority to delegate Submit Progress Report for your Institution.'

There are two main sections:

- Current Submit Progress Report Delegations:** A table with columns for Name, Commons ID, and Submit Progress Report. It lists 'Jefferson, Thomas' with Commons ID 'JEFFERSON.T' and an unchecked checkbox. Below this table is a 'Revoke Delegation(s)' button and 'Select All' and 'Clear All' buttons.
- Candidates for Submit Progress Report Delegation:** A table with columns for Name, Commons ID, and Submit Progress Report. It lists several users: Buchanan, James (BUCHANAN.J, checked checkbox), Cleveland, Grover (CLEVELAND, unchecked), Fillmore, Milard (FILLMORE.M, unchecked), Garfield, James (GARFIELD, unchecked), Grant, Ulysses S. (USGRANT, unchecked), Harrison, William Henry (HARRISON.WH, unchecked), and Hoover, Herbert (H_HOOVER, unchecked). Below this table is a 'Grant Delegation(s)' button (highlighted with a red circle in the original image) and 'Select All' and 'Clear All' buttons.

At the bottom right, there is a link: 'Return to My Current Delegates'.

The *Institution Delegations* screen updates to display a certification and acceptance agreement. From this screen, certify acceptance that by delegating the selected users to submit RPPR and MYPR reports, you are granting them the ability to answer the following statement on your behalf:

I certify that the statements herein are true, complete, and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

6. Select the **I Agree** button to certify and confirm delegation.

NOTE: The **Cancel** button cancels the action and returns the *Institution Delegations* screen without saving the changes.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health

Welcome: George Washington
 ID: WASHINGTON
 Institution: Mount Vernon College
 Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home | Admin | Institution Profile | Personal Profile | Status | eSNAP | xTrain | Links | eRA Partners

Institution Delegations

DELEGATION OF AUTHORITY FOR APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:

By delegating the authority to submit eSTUAP/MPYPR Progress Reports to the NIH, you agree to allow these individuals to answer the following statement for you:

I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

Delegate Name: Buchanan, James
Title: Assistant Professor
Address: MOUNT VERNON COLLEGE
 SCHOOL OF SCIENCES
 123 MAIN STREET
 MOUNT VERNON, VA 12345

Commons grants the Submit Progress Report authority for the selected users, who receive an email informing them of the change. The *Institution Delegations* screen displays the selected names in the **Current Submit Progress Report Delegations** table at the top of the screen. These names no longer appear in the **Candidates for Submit Progress Report Delegation** table.

Institution Delegations

You have the authority to delegate **Submit Progress Report** for your Institution.

Current Submit Progress Report Delegations

Name	Commons ID	Submit Progress Report
Buchanan, James	BUCHANAN, J	<input type="checkbox"/>
Jefferson, Thomas	JEFFERSON, T	<input type="checkbox"/>

Candidates for Submit Progress Report Delegation

Name	Commons ID	Submit Progress Report
Cleveland, Grover	CLEVELAND	<input type="checkbox"/>
Fillmore, Milard	FILLMORE, M	<input type="checkbox"/>
Garfield, James	GARFIELD	<input type="checkbox"/>
Grant, Ulysses S.	USGRANT	<input type="checkbox"/>
Harrison, William Henry	HARRISON, W H	<input type="checkbox"/>
Hoover, Herbert	H, HOOVER	<input type="checkbox"/>
McKinley, William	WMCKINLEY	<input type="checkbox"/>

[Return to My Current Delegates](#)

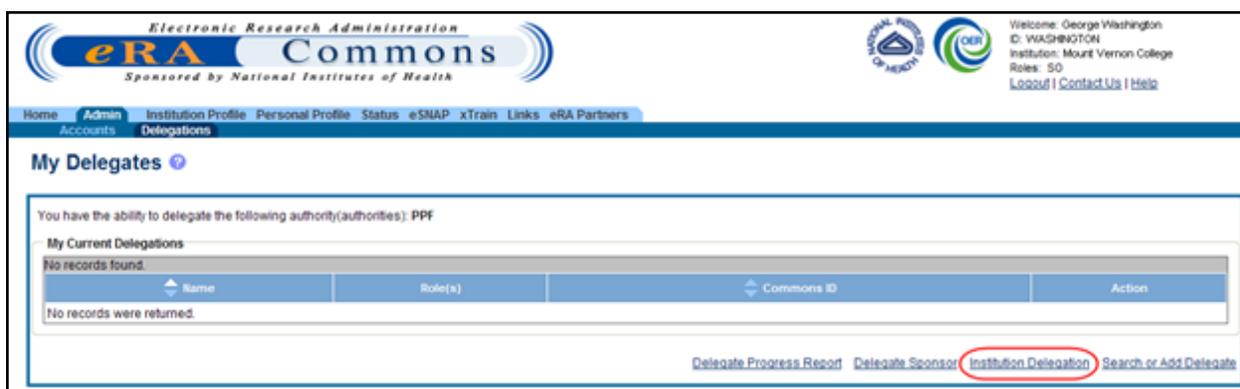
9.2.2.2 Revoking Institutional Submit Progress Report Authority

To revoke Institutional Submit Progress Report authority from one or more users within the same institution:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens.

3. Select the link called **Institution Delegation**.



The *Institution Delegations* screen displays. This screen shows **Current Submit Progress Report Delegations** in a table at the top and **Candidates for Submit Progress Report Delegations** in a table at the bottom.

The **Current Submit Progress Report Delegations** is used for revoking the authority while the **Candidates for Submit Progress Report Delegation** table is used for delegating the authority to those who do not possess it already.

NOTE: This section walks through the steps for revoking the authority. [Refer to the section of this document titled *Delegating Institutional Submit Progress Report Authority on Page 65* for the steps on granting the authority.](#)

The **Current Submit Progress Report Delegations** table includes all users in the institution who possess the Submit Progress Report authority. The table includes the **Name** and **Commons ID** of each user along with a **Submit Progress Report** checkbox for selecting that user. The **Select All** and **Clear All** buttons also exist for selecting all users in the table or clearing any current selections made.

NOTE: Each table has its own set of buttons to control either granting or revoking the delegation.

The screenshot displays the 'Institution Delegations' interface. At the top, there is a navigation bar with links like Home, Admin, Accounts, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. The main heading is 'Institution Delegations'. Below this, a message states: 'You have the authority to delegate Submit Progress Report for your Institution.'

There are two main sections:

- Current Submit Progress Report Delegations:** A table with columns for Name, Commons ID, and Submit Progress Report. It lists Buchanan, James (BUCHANAN_J) and Jefferson, Thomas (JEFFERSON.T). Below the table are buttons for 'Revoke Delegation(s)', 'Select All', and 'Clear All'.
- Candidates for Submit Progress Report Delegation:** A table with columns for Name, Commons ID, and Submit Progress Report. It lists Cleveland, Grover (CLEVELAND), Fillmore, Millard (FILLMORE.M), Garfield, James (GARFIELD), Grant, Ulysses S. (USGRANT), Harrison, William Henry (HARRISON.WH), Hoover, Herbert (H.HOOVER), and McKinley, William (WMCKINLEY). Below the table are buttons for 'Grant Delegation(s)', 'Select All', and 'Clear All'.

A link 'Return to My Current Delegates' is located at the bottom right of the page.

The **Return to My Current Delegates** link exists at the bottom of the screen for cancelling any action and returning to the previous Commons screen.

4. From the **Current Submit Progress Report Delegations** table, use the **Submit Progress Report** checkbox(es) to mark the appropriate user(s) whose authority is being revoked.

–OR–

Click the **Select All** button to revoke the authority from all listed users.

5. With the appropriate names checked, select the **Revoke Delegation(s)** button.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home **Admin** Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts **Delegations**

Institution Delegations

You have the authority to delegate **Submit Progress Report** for your Institution.

Current Submit Progress Report Delegations

Name	Commons ID	Submit Progress Report
Buchanan, James	BUCHANAN_J	<input type="checkbox"/>
Jefferson, Thomas	JEFFERSON_T	<input checked="" type="checkbox"/>

Revoke Delegation(s) **Select All** **Clear All**

Candidates for Submit Progress Report Delegation

Name	Commons ID	Submit Progress Report
Cleveland, Grover	CLEVELAND	<input type="checkbox"/>
Fillmore, Milard	FILLMORE_M	<input type="checkbox"/>
Garfield, James	JOARFIELD	<input type="checkbox"/>
Grant, Ulysses S.	USORANT	<input type="checkbox"/>
Harrison, William Henry	HARRISONWH	<input type="checkbox"/>
Hoover, Herbert	H_HOOVER	<input type="checkbox"/>
McKinley, William	WMCKINLEY	<input type="checkbox"/>

Grant Delegation(s) **Select All** **Clear All**

[Return to My Current Delegates](#)

The *Institution Delegations* screen displays a confirmation message. The screen prompts for confirmation that the selected users should have their authority revoked. The screen lists the **Name**, **Title**, and **Address** information (if available) for each selected user from the previous screen.

6. Select the **I Agree** button to confirm.

NOTE: The **Cancel** button cancels the action and returns the Institution Delegations screen without saving the changes.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home **Admin** Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts **Delegations**

Institution Delegations

Please confirm that you want to REVOKE the following delegations:

Delegate Name: Jefferson, Thomas
Title: Assistant Professor
Address: MOUNT VERNON COLLEGE
SCHOOL OF SCIENCES
123 MAIN STREET
MOUNT VERNON, VA 12345

I Agree **Cancel**

Commons revokes the Submit Progress Report authority for the selected users, who receive an email informing them of the change. The *Institution Delegations* screen displays the selected names in the **Candidates for Submit Progress Report Delegation** table at the bottom of the screen. These names no longer appear in the **Current Submit Progress Report Delegations** table.

The screenshot shows the 'Institution Delegations' interface. At the top, it states 'You have the authority to delegate Submit Progress Report for your Institution.' Below this, there are two main sections:

Current Submit Progress Report Delegations

Name	Commons ID	Submit Progress Report
Buchanan, James	BUCHANAN_J	<input type="checkbox"/>

Buttons: Revoke Delegation(s), Select All, Clear All

Candidates for Submit Progress Report Delegation

Name	Commons ID	Submit Progress Report
Cleveland, Grover	CLEVELAND	<input type="checkbox"/>
Filmore, Milard	FILMORE M	<input type="checkbox"/>
Garfield, James	JGARFIELD	<input type="checkbox"/>
Grant, Ulysses S.	USGRANT	<input type="checkbox"/>
Harrison, William Henry	HARRISONWH	<input type="checkbox"/>
Hoover, Herbert	H_HOOVER	<input type="checkbox"/>
Jefferson, Thomas	JEFFERSON T	<input type="checkbox"/>

Buttons: Grant Delegation(s), Select All, Clear All

[Return to My Current Delegates](#)

9.2.3 Direct Delegations

Some Commons users can delegate authority directly to another Commons user so that user can access features in Commons (e.g., FCOI). Some users can also grant authority to another Commons user to access features of their own account (e.g., Personal Profile). Depending on the type of Commons user granting the authority and the type of user being granted, delegation could occur for the following:

- **Delegate Progress Report authority**

A PI may delegate his Progress Report authority to any active user within his same institution.

- **Delegate Status authority**

A PI may grant someone with an ASST role the authority to work with the Commons Status feature by delegating Status authority.

- **Delegate PPF authority**

Any active Commons user can grant another active user the ability to enter his Personal Profile by delegating PPF authority.

- **Delegate xTrain authority**

A PI or a Sponsor may grant an ASST the ability to work with xTrain by delegating xTrain authority.

9.2.3.1 Delegate Authority to Someone

NOTE: This topic discusses delegating authority directly to another user or to someone who needs to access your own account information. [Refer to the section of this document titled *Delegate on Behalf of Another User on Page 55*](#) if you would like information for delegating authority to a user on behalf of someone else.

To delegate authority against your account or directly to another Commons user:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist. [Refer to the section of this document titled *Edit Delegations on Page 78*](#) for steps on editing existing delegations.

Depending on your Commons role, you may not be able to delegate all types of authority. The screen lists the authority available for delegation.

3. Select the link called **Search or Add Delegate**.

The screenshot shows the 'My Delegates' page in the eRA Commons system. At the top, there is a navigation bar with tabs for Home, Admin, Accounts, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. The 'Admin' tab is selected. Below the navigation bar, the page title is 'My Delegates'. A message states: 'You have the ability to delegate the following authority(authorities): PPF, Progress Report, xTRAIN, Status'. Underneath, there is a section titled 'My Current Delegations' which shows 'No records found.' Below this is a table with the following columns: Name, Role(s), Commons ID, and Action. The table is currently empty, with the message 'No records were returned.' at the bottom. In the bottom right corner of the table area, there is a link labeled 'Search or Add Delegate' which is circled in red.

The *Search for Delegates* search parameters display on the screen. These parameters include **Commons ID**, **Last Name**, **First Name**, **Middle Name**, and **Role(s)**. The roles display in a drop-down list where one or more may be selected.

4. Enter the appropriate search criteria for conducting the search. If necessary, the percent sign (%) may be used as a wildcard character. Hold down the CTRL key when selecting roles to select more than one.
5. Select the **Search** button.

NOTE: Selecting the **Cancel** button cancels the search and returns the previous screen.

The screenshot shows the 'Search for Delegates' page in the eRA Commons system. The search criteria are as follows:

Search Criteria	Last Name	First Name	Middle Name	Role(s)
Commons ID	Wilson	Woodr%		AA AO

Buttons: Search, Clear, Cancel

Return to My Current Delegates

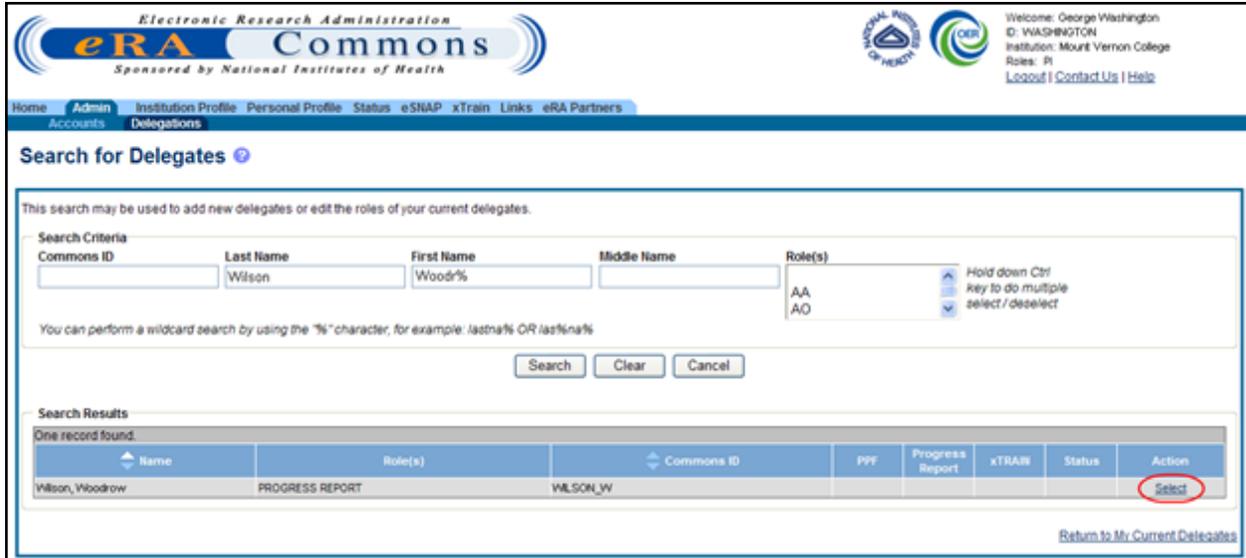
Matching users display in the **Search Results** area. The results include the user's name, role(s), Commons ID, and delegated authorities. Any marked checkboxes under the Progress Report, Sponsor, Submit, PPF, Status, and xTrain authorities indicate that the user already has the specific authority.

NOTE: Only the available authority for delegation displays in the table.

If multiple users match the entered search parameters, they may display over several pages. To navigate through the search results, use the next and previous page arrows to move back and forth one page or use the first page and last page arrows to navigate to the beginning or end of the search result list.

NOTE: The **Clear** button can be used to clear search parameters and the related search results.

6. Find the appropriate user to whom to delegate authority. Click the **Select** link for that user.



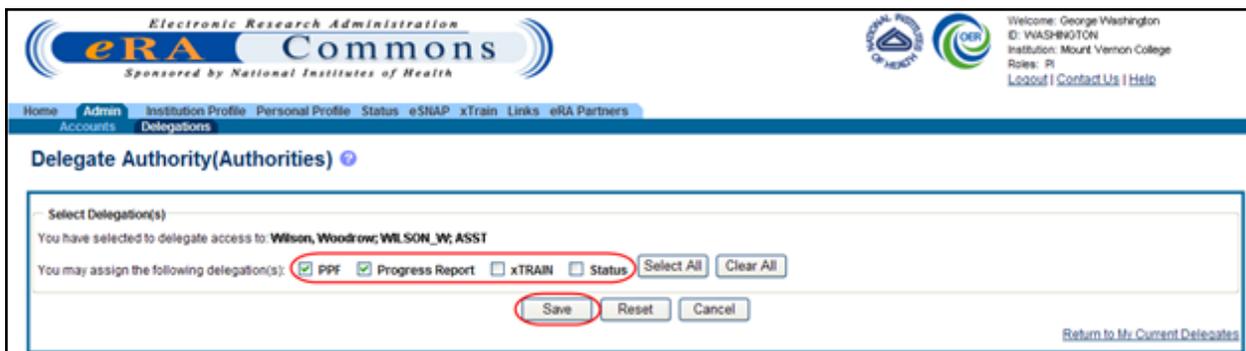
The Delegate Authority (Authorities) screen displays with a confirmation as follows: *You have selected to delegate access to: [Name, Commons ID, Role].*

The available authorities for delegation display with checkboxes. The authority available for delegation differs depending on your Commons role and the role of the selected user. For information on delegating specific authority, refer to the [Delegation Authorities table](#).

7. Mark the checkbox of the specific authority being delegating (e.g., PPF) for the user being delegated. Multiple authorities may be selected if available.

NOTE: Clicking the **Select All** button selects all available authorities.

8. Select the **Save** button.



Commons grants the specified authority for the selected users, who receive an email informing them of the change. The **Search Results** area updates with the assigned authorities marked.

Search for Delegates

This search may be used to add new delegates or edit the roles of your current delegates.

Search Criteria

Commons ID: Last Name: First Name: Middle Name: Role(s): Hold down Ctrl key to do multiple select / deselect

You can perform a wildcard search by using the "%" character, for example: /astna% OR /ast%na%

Search Results

One record found.

Name	Role(s)	Commons ID	PPF	Progress Report	xTRAIN	Status	Action
Wilson, Woodrow	ASST	WILSON_WV	✓	✓			Select

[Return to My Current Delegates](#)

9. *Optional*: Repeat the steps as necessary to delegate other users.
10. Select the **Return to My Current Delegations** link to return the *My Delegates* screen.

My Current Delegates shows the delegated user with a checkmark in the associated column for each authority granted.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: PI
[Logout](#) | [Contact Us](#) | [Help](#)

Home | **Admin** | Institution Profile | Personal Profile | Status | eSNAP | xTrain | Links | eRA Partners

Accounts | **Delegations**

My Delegates

You have the ability to delegate the following authority(authorities): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

Name	Role(s)	Commons ID	PPF	Progress Report	xTRAIN	Status	Action
Wilson, Woodrow	ASST	WILSON_WV	✓	✓			Select

[Search or Add Delegate](#)

9.2.3.2 Search Delegations

To search for users to view their delegations:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

3. Select the link called **Search or Add Delegate**.

The screenshot shows the 'My Delegates' page in the eRA Commons system. At the top, there is a navigation bar with links for Home, Admin, Accounts, Delegations, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. A user welcome message is displayed on the right side. The main content area is titled 'My Delegates' and includes a message: 'You have the ability to delegate the following authority(authorities): PPF, Progress Report, xTRAIN, Status'. Below this, there is a section for 'My Current Delegations' which shows 'One record found'. A table lists the delegation details for Wilson, Woodrow, with the role ASST and Commons ID WILSON_WJ. Checkmarks are present under the PPF and Progress Report columns. An 'Action' column contains a 'Select' link. A red circle highlights the 'Search or Add Delegate' button at the bottom right of the table area.

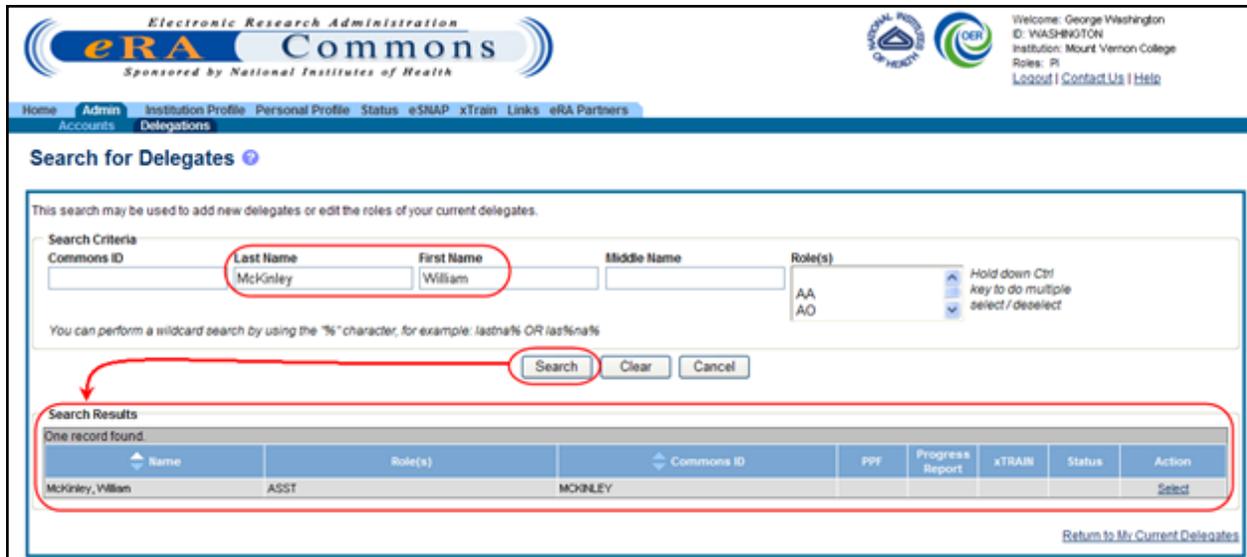
The *Search for Delegates* search parameters display on the screen. These parameters include **Commons ID**, **Last Name**, **First Name**, **Middle Name**, and **Role(s)**. The roles display in a drop-down list where one or more may be selected.

4. Enter the appropriate search criteria for conducting the search. If necessary, the percent sign (%) may be used as a wildcard character. Hold down the CTRL key when selecting roles to select more than one.
5. Select the **Search** button.

NOTE: Selecting the **Cancel** button cancels the search and returns the previous screen.

Matching users display in the **Search Results** area. The results include the name, role(s), Commons ID, and delegated authorities. Any marked checkboxes under the Progress Report, Sponsor, Submit, PPF, Status, and xTrain authorities indicate that the user already has the specific authority.

If multiple users match the search entered search parameters, they may display over several pages. To navigate through the search results, use the next and previous page arrows to move back and forth one page or use the first page and last page arrows to navigate to the beginning or end of the search result list. The Clear button clears the search parameters and the related search results.



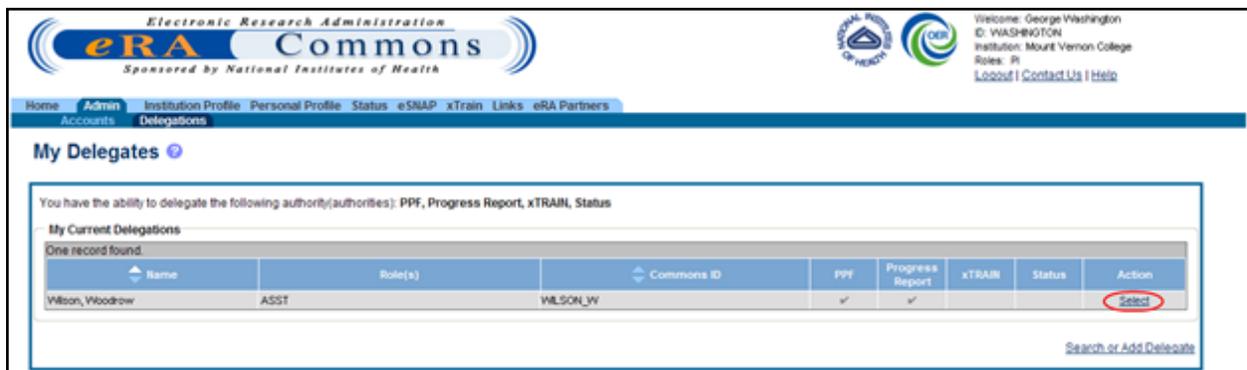
9.2.3.3 Edit Delegations

To edit the delegations already assigned to users for your own account:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. The **My Current Delegations** area of the screen displays a table of all existing delegations.

3. Click **Select** link associated with the user whose delegations are being edited.



The *Delegate Authority (Authorities)* screen shows the selected user and the authorities available for delegation to that user. Marked checkbox(es) next to authority indicate that the authority has been granted.

4. Edit the user's delegations by marking or unmarking the checkboxes. Authorities can be marked to add or unmarked to revoke.
5. Select the **Save** button to save the changes.

NOTE: Selecting the **Cancel** button cancels the action and returns the *My Delegates* screen.

Commons grants and/or revokes the specified authority for the selected users, who receive an email informing them of the change. **My Current Delegates** shows the delegated user with a checkmark in the associated column for each authority granted. If all authorities are revoked, that user no longer displays in the table.

Name	Role(s)	Commons ID	PPF	Progress Report	xTRAIN	Status	Action
Wilson, Woodrow	ASST	WILSON_WJ			✓	✓	Select

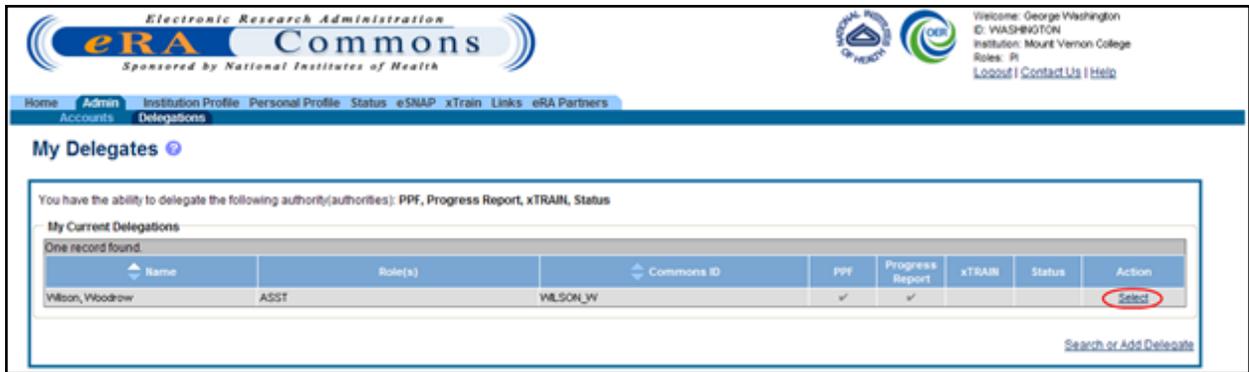
9.2.3.4 Remove Delegations

To remove the delegations already assigned to users for your own account:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. The **My Current Delegations** area of the screen displays a table of all existing delegations.

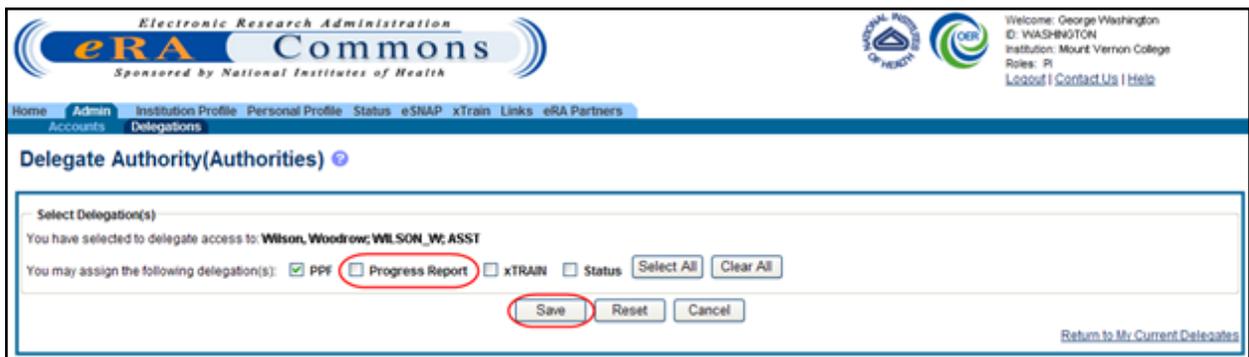
3. Click the **Select** link associated with the user whose delegations are being revoked.



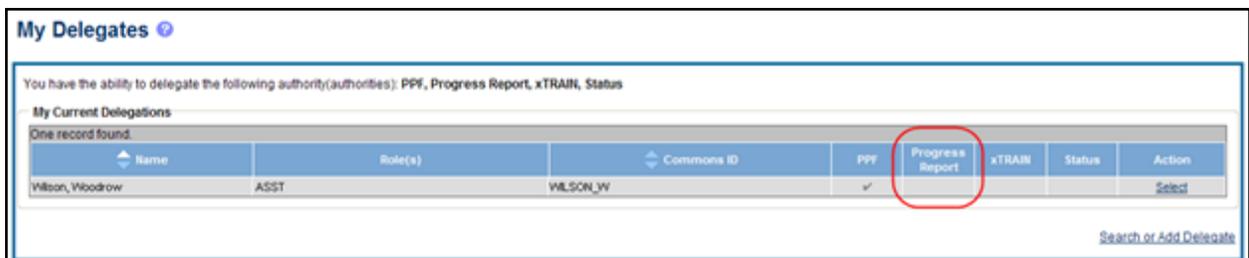
The *Delegate Authority (Authorities)* screen shows the selected user and the associated authorities. A marked checkbox next to an authority indicates that the authority has been granted.

4. Remove the delegation by unchecking the appropriate authority checkbox(es).
5. Select the **Save** button to save the changes.

NOTE: Selecting the **Cancel** button cancels the action and returns the *My Delegates* screen.



Commons revokes the specified authority for the selected user, who receives an email informing of the change. **My Current Delegates** shows the delegated user with checkmarks removed from the associated columns for each authority revoked. If all authorities are revoked, that user no longer displays in the table.



10 Institution Profile Module (IPF)

Institutions must be registered in Commons in order to use its features. The Institution Profile (IPF) module is a central repository of information for all Commons registered applicant organizations. It is designed so that each applicant organization establishes and maintains the profile data concerning their institution. The IPF module allows the institutional SO to electronically maintain external organization profile information necessary for all grant applications from their institution.

Following the creation of an Institutional account in eRA Commons, the IPF is populated with the organizational information from registration and assigned a unique IPF number. The IPF number is an official code that uniquely identifies and associates institutional information within the NIH enterprise database.

The IPF includes information such as:

- Preferred institution name and contact information
- Name, email, and phone number for the SO(s)
- Institutional DUNS number(s)
- Institutional Assurances
- Email addresses for electronic distribution of NoA and other communications notifications

IMPORTANT: Access to the IPF module is limited by role. Not every Commons user will have access to the Institution Profile, and only users with the SO role can edit it.

10.1 Navigating the Institution Profile

If you hold one of the following Commons roles, you have access to the *Institution Profile*: AA, AO, ASST, BO, FSR, PI, POSTDOC, SCIENTIST, SPONSOR, or SO.

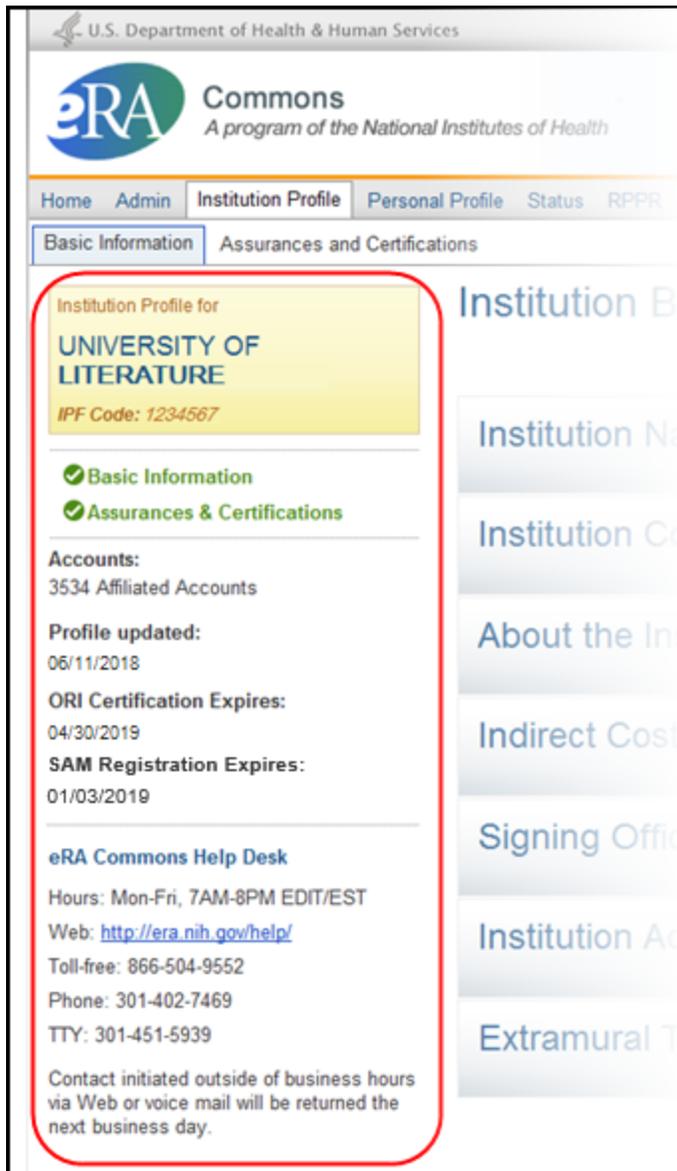
NOTE: The iEdison module employs parts of the Institution Profile, therefore some iEdison users can access it for their organizations. iEdison TTO users and admin can view the profile, but only TTO admin can edit the information.

The *Institution Profile* consists of two main sections – **Institution Basic Information** and **Institutional Assurances and Certifications** – which are viewable for all who have access to it and editable to those with an SO role. This topic discusses how to navigate around these sections of the *Institution Profile*. Details of each section are discussed in separate topics. See the related topic list at the bottom of this screen for links to those topics.

A third section of the *Institution Profile* is the dashboard, which remains on all views of the profile providing general information about the profile.

10.1.1 IPF Dashboard

The left side of the *Institution Profile* contains the dashboard of information including institution name, IPF code, update and access information for the profile; and eRA Service Desk contact information.



The screenshot displays the eRA Commons interface for an institution profile. The header includes the U.S. Department of Health & Human Services logo and the eRA Commons logo. The navigation menu includes Home, Admin, Institution Profile (selected), Personal Profile, Status, and RPPR. The main content area is divided into two tabs: Basic Information (selected) and Assurances and Certifications. The Basic Information tab is highlighted with a red rounded rectangle and contains the following information:

- Institution Profile for UNIVERSITY OF LITERATURE
- IPF Code: 1234567
- Basic Information (checked)
- Assurances & Certifications (checked)
- Accounts: 3534 Affiliated Accounts
- Profile updated: 06/11/2018
- ORI Certification Expires: 04/30/2019
- SAM Registration Expires: 01/03/2019
- eRA Commons Help Desk
- Hours: Mon-Fri, 7AM-8PM EDIT/EST
- Web: <http://era.nih.gov/help/>
- Toll-free: 866-504-9552
- Phone: 301-402-7469
- TTY: 301-451-5939
- Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Profile Information:

- Name of the institution
- IPF Code

Institution Profile Navigation Links

Navigation links are available in the center of the dashboard for accessing the different sections of the Institution Profile.

- **Basic Information**
- **Assurances & Certifications**

Next to each link is a status indicator, providing a visual indication of whether all required fields for that component are complete. A green checkmark indicates that the information is complete, while a red X informs that information is missing. Selecting a link opens the corresponding component of the profile in a read-only view mode.

For **Assurances & Certifications**, the green check indicates that the ORI Certification is valid and not expired.

General Information:

- **Accounts:** Number of affiliated accounts within the organization
- **Profile Updated:** System-updated date when the user last performed a save on the Institution Profile
- **ORI Certification Expires:** Date on which ORI certification expires
- **SAM Registration Expires:** Date on which ORI certification expires

eRA Service Desk Information

Includes the hours, phone numbers, and web address for contacting and creating a ticket for system support as well as a link to the eRA Service Desk website.

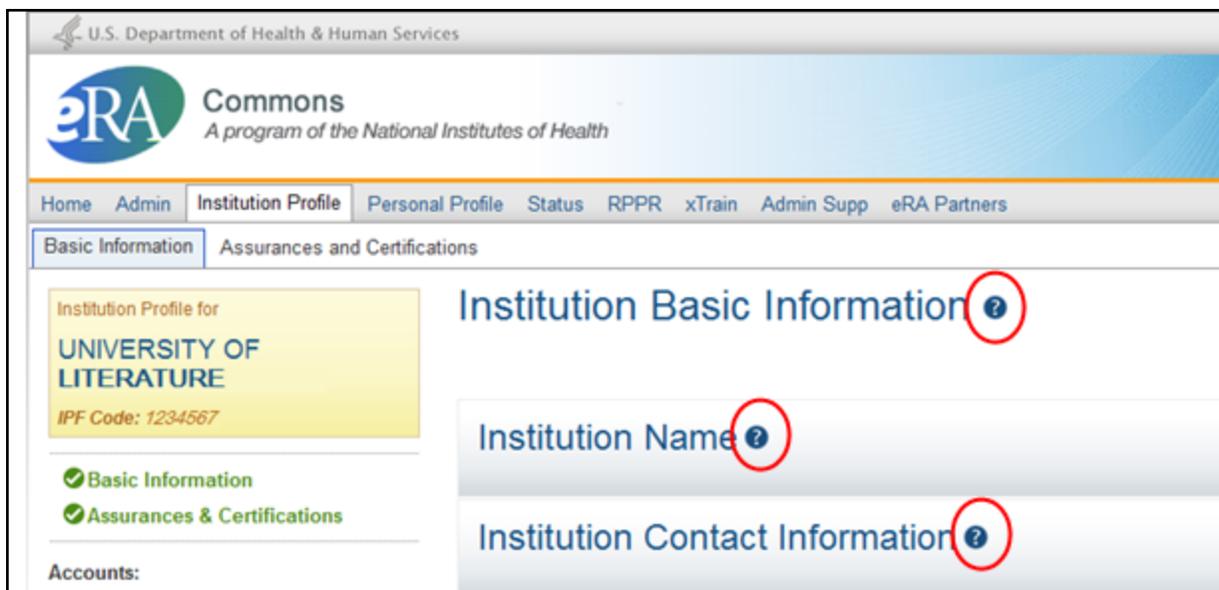
10.1.2 Main Sections

The main section of the profile displays the **Institution Basic Information** or the **Institutional Assurances and Certifications**, depending on which link or tab you selected. You can navigate between the two by selecting the links on the dashboard or the tabs from the Commons menu structure.

For most users, available information displays as read-only. However, Commons users holding the SO role also have the option to edit these sections. Refer to the appropriate related topic listed at the bottom of this screen for more information.

10.1.3 Institution Profile Online Help Topics

Select any of the question mark icons (?) within the Institution Profile to access content specific help. The help icons are located on each Institution Profile page heading as well as within each component's heading within the **Basic Information** section. The icons will lead you to a help topic specific to the icon you selected (e.g., the icon on the **Institution Name** component heading opens the help topic pertaining to the **Institution Name** component of the Institution Profile).



The *Institution Profile* topics are part of the overall Commons Online Help and are also accessible by entering the following URL into your browser: <http://era.nih.gov/erahelp/commons>

10.2 What's the Difference Between View and Edit?

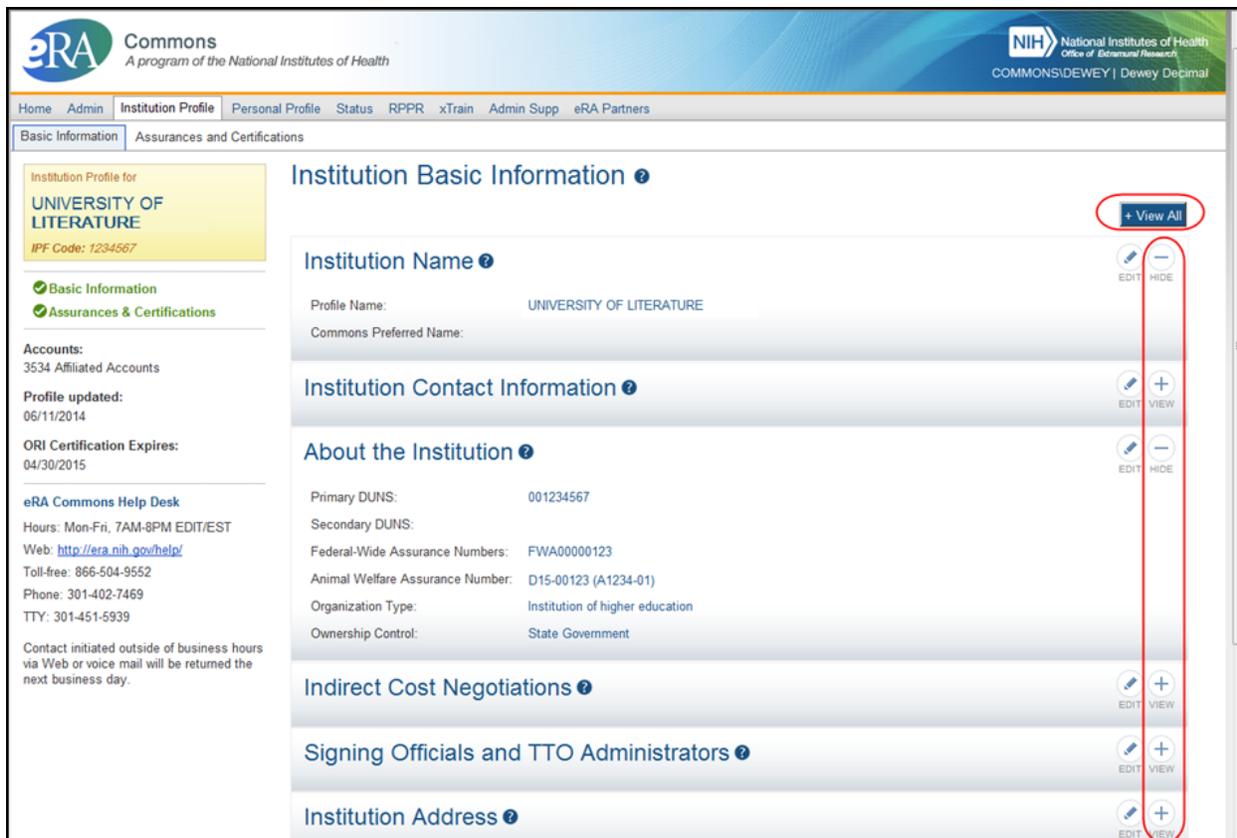
While most Commons users are only able to view the information provided in the Institution Profile, SO users have the two options: view mode and edit mode.

10.2.1 Viewing the Information in the Institution Profile

View mode provides a read-only summary of the information within a specific component of the profile. In view mode, not all maintained fields are displayed. Click the **Assurances and Certifications** tab from the Commons menu or the link of the same name from dashboard to display the *Institutional Assurances and Certifications* page. To access the *Institution Basic Information* select the **Basic Information** tab within in the Commons menu or the link in the dashboard.

There are several methods for viewing the different components within the *Institution Basic Information* of your profile:

- Click on the heading of the individual component
- Select the **View** button from the header of an individual component to view that component's summary (select **Hide** to collapse the component).
- Select the **View** button for multiple components to display more than one at a time.
- Select the **View All** button to display the summaries of all components of your profile (select **Hide All** to hide them)



10.2.2 Editing the Information in the Institution Profile

If you hold the SO role, you can edit any available component of your institution's profile by selecting the **Edit** button on the section's header. This expands the tile and displays the fields for editing. You can then update the information as necessary.

The screenshot displays the 'Institution Basic Information' page for the University of Literature. The page is organized into several sections, each with an 'EDIT' button. A red circle highlights the 'EDIT' buttons for the following sections: Institution Name, Institution Contact Information, About the Institution, Indirect Cost Negotiations, Signing Officials and TTO Administrators, and Institution Address. A '+ View All' button is located at the top right of the main content area. The left sidebar contains a profile summary for the University of Literature, including its IPF Code (1234567), account information (3534 Affiliated Accounts), profile update date (06/11/2014), and ORI Certification expiration date (04/30/2015). The eRA Commons Help Desk contact information is also provided.

Keep in mind that when you select the **Edit** button for a component within the **Basic Information** section, it places you in edit mode for all components, although it may only open the specific component you selected. While in edit mode, you can continue updating the other components of the **Basic Information** by selecting the **View** button for each one.

As in the view mode, if you'd like to expand all tiles for editing at the same time, use the **View All** button at the top of the profile. Select the **Hide** (individual components) or **Hide All** to collapse the tiles.

When you are done editing the Institution Profile, select the **Save All** button. This is the only method of saving the changes you've made. Selecting **Save All** keeps you in edit mode, so you can keep saving your work along the way.

NOTE: Hiding or closing individual components of the **Basic Information** section is not the same thing as saving the information. If you navigate away from the personal profile, your changes will be lost. You must select the **Save All** button to save your changes!

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDIT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information

+ View All | Save All | Discard Changes

Institution Name + VIEW / - HIDE

Institution Contact Information

* Required Field(s)

* Notice of Award Email:
NIH will use this address to send all notices when a grant is awarded.

* Announcements and Notifications Email:
NIH will use this address for grant reminders, system notifications, and other messages.

* Closeout Correspondence Email:
NIH will use this email address to send any Closeout related communications.

* Contact Name:
NIH will use this name as the primary contact for this institution.

* Contact Phone:

* Contact Email:

About the Institution + VIEW

Indirect Cost Negotiations + VIEW

Institution Address + VIEW

Extramural Technology Transfer Administration + VIEW

+ View All | Save All | Discard Changes

If you wish to discard your changes, select the **Discard Changes** button, then select **Yes** from the confirmation pop-up message. Keep in mind that any information you've added since the last time you hit **Save All** will be discarded when you hit the **Discard Changes** button!

Refer to the help topics for each individual profile component to see what fields are available for editing.

10.3 Institution Basic Information

As its name implies, the **Institution Basic Information** page of the *Institution Profile* provides a means for viewing and managing fundamental information about the institution such as name, contact persons, etc. This information is divided into expandable and collapsible sections, or tiles.

The screenshot displays the 'Institution Basic Information' page for the University of Literature. The page is part of the eRA Commons interface, which is a program of the National Institutes of Health. The header includes the U.S. Department of Health & Human Services logo, the eRA Commons logo, and the NIH logo. The navigation menu includes Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, and eRA Partners. The main content area is titled 'Institution Basic Information' and features a sidebar on the left with a yellow box for the institution name and IPF code, and a list of sections: Basic Information (checked) and Assurances & Certifications. The main content area lists several sections, each with an 'EDIT' and 'VIEW' button: Institution Name, Institution Contact Information, About the Institution, Indirect Cost Negotiations, Signing Officials and TTO Administrators, Institution Address, and Extramural Technology Transfer Administration. A '+ View All' button is located at the bottom right of the main content area.

The **Institution Basic Information** component of the *Institution Profile* is viewable by selecting the **Basic Information** link from the dashboard or the **Basic Information** tab from the Commons menu structure. For most users, the information is read-only, however, if you hold a Commons SO role, you have the ability to edit the information. Regardless of your role, the default view of the **Institution Basic Information** is read-only.

Each component contains certain required information. If any of this information is missing from a section, a message displays across the top of the screen, the **Basic Information** link in the dashboard displays in red font, and the header of the component in error displays in red.

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COMMONSIDEWAY | Dewey Decimal

Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for UNIVERSITY OF LITERATURE
IPF Code: 1234567

- Basic Information
- Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information

The DUNS ID is too long: it cannot be longer than 9 characters.

[+ View All](#)

- Institution Name** [EDIT VIEW]
- Institution Contact Information** [EDIT VIEW]
- About the Institution** [EDIT VIEW]
- Indirect Cost Negotiations** [EDIT VIEW]
- Signing Officials and TTO Administrators** [EDIT VIEW]
- Institution Address** [EDIT VIEW]
- Extramural Technology Transfer Administration** [EDIT VIEW]

[+ View All](#)

Additionally, within the component itself, another error message (red text) displays the error at the field level.

About the Institution

[EDIT HIDE]

Primary DUNS: 123456789

Secondary DUNS: ✖ The DUNS ID is too long: it cannot be longer than 9 characters.
45678910112
123456111
123456222
123456333

Federal-Wide Assurance Numbers: FWA00001234
FWA00005678

Animal Welfare Assurance Number: D15-00123 (A1234-01)

Organization Type: Institution of higher education

Ownership Control: State Government

You can expand the component tiles partially for viewing (read-only) or entirely for editing. Tiles can be expanded:

- By clicking on the heading of an individual component
- By selecting the **View All** button to expand all components
- By selecting the **View** button in a specific header to expand that individual component
- By selecting the **Edit** button to update the component (SO role only)



IMPORTANT: Only those users holding an SO role can perform the edit function.

Refer to the specific related topic listed below for information on that individual component of the profile.

NOTE: To the left of the **Institution Basic Information**, you find the Institution Profile dashboard. This dashboard provides quick access information to items such as number of accounts, last updated date, status of required fields, etc. The dashboard is discussed in greater detail inside the topic titled [Navigating the Institution Profile on Page 82](#).

10.3.1 Institution Name

The **Institution Name** component of the *Institution Profile* allows you to view your organization's **Profile Name** and **Commons Preferred Name**. The profile name is the NIH designated name of the institution. The preferred name is a name specified by the institution for use in Commons.

If you hold the SO role within your organization, you can edit the **Commons Preferred Name**.

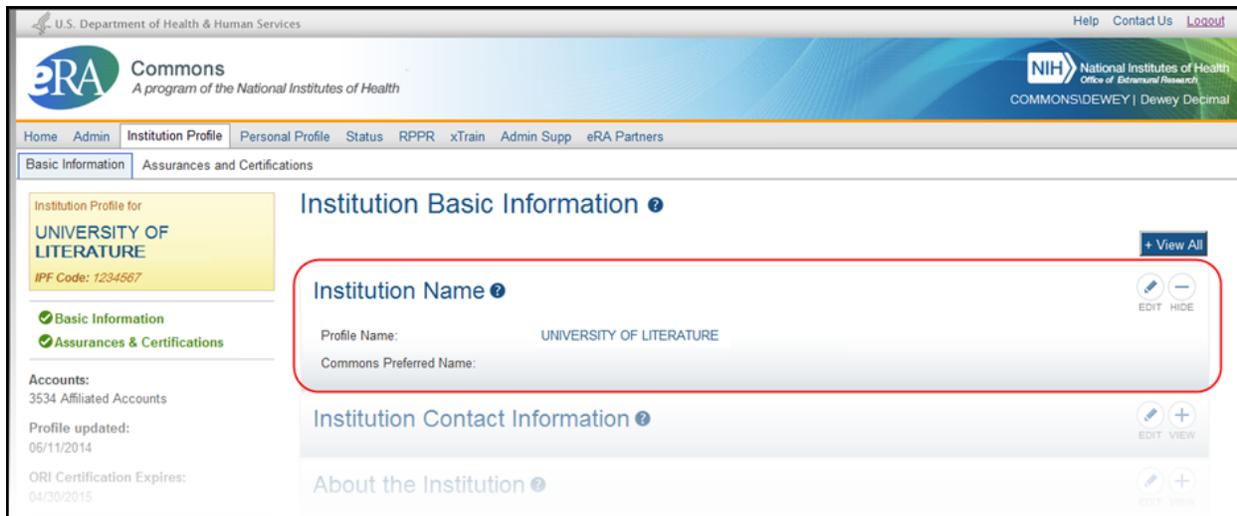
10.3.1.1 Viewing Institution Name

Anyone with access to the Institution Profile can view the information in the **Institution Name** component of the profile in one of the following ways:

- Clicking the component tile header
- Selecting the **View** button from the **Institution Name** component tile header

The information displays as read-only:

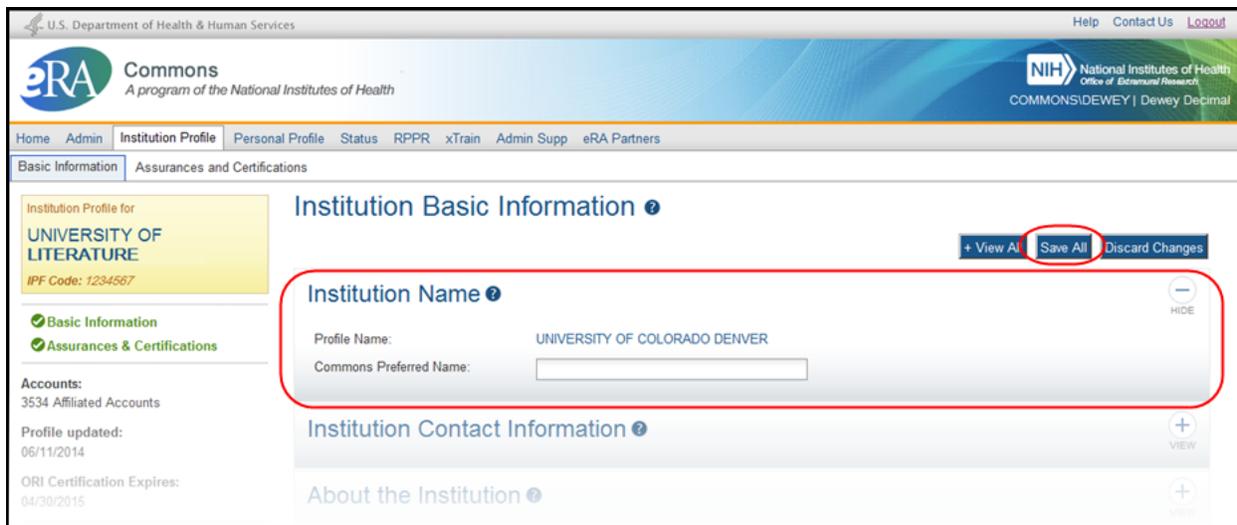
- **Profile Name**
- **Commons Preferred Name** (if existing)



10.3.1.2 Editing Institution Name

If you hold the SO role within an organization, you can edit its **Commons Preferred Name** in the Institution Profile.

Select the **Edit** button on the **Institution Name** panel header to display the **Commons Preferred Name** field for editing and as necessary. The **Preferred Name** is not a required field.



When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.2 Institution Contact Information

The **Institution Contact Information** component of the *Institution Profile* allows you to view your organization's contact information, such as name, phone number, and email address.

10.3.2.1 Viewing Institution Contact Information

You can view the information in the **Institution Contact Information** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Institution Contact Information** component tile header

The information displays as read-only:

- **Notice of Award Email**
- **Announcements and Notifications Email**
- **Closeout Correspondence EMail**
- **Contact Name**
- **Contact Phone**
- **Contact Email**

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Office of Extramural Research
COMMONSIDEWEY | Dewey Decimal

Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | FFR/FSR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for UNIVERSITY OF LITERATURE
IPF Code: 1234567

- Basic Information
- Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/08/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Institution Basic Information

[View All](#)

Institution Name

[EDIT](#) [+](#)

Institution Contact Information

[EDIT](#) [-](#)

Notice of Award Email:	ContactSO@universitymail.edu	NIH will use this address to send all notices when a grant is awarded.
Announcements and Notifications Email:	ContactSO@universitymail.e	NIH will use this address for grant reminders, system notifications, and other messages.
Closeout Correspondence Email:	SampleCloseoutEmail@university.edu	NIH will use this email address to send any Closeout related communications.
Contact Name:	Dewey Decimal	NIH will use this name as the primary contact for this institution.
Contact Phone:	2015551212	
Contact Email:	DDecimal@universitymail	

[About the Institution](#) [+](#)

10.3.2.2 Editing Institution Contact Information

If you hold the SO role within an organization, you can edit the information in the **Institution Contact Information** component of the Institution Profile.

Select the **Edit** button on the **Institution Contact Information** panel header to display all editable fields available in this component. The following fields are available for editing and are required fields:

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National Institutes of Health
Office of Extramural Research
COMMONS|DEWEY | Dewey Decimal

Home | Admin | Institution Profile | Personal Profile | Status | RPPR | FFR/FSR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/08/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information

+ View All | Save All | Discard Changes

Institution Name

+ VIEW

Institution Contact Information

- HIDE

* Required Field(s)

*Notice of Award Email:
NIH will use this address to send all notices when a grant is awarded.

*Announcements and Notifications Email:
NIH will use this address for grant reminders, system notifications, and other messages.

* Closeout Correspondence Email:
NIH will use this email address to send any Closeout related communications.

*Contact Name:
NIH will use this name as the primary contact for this institution.

*Contact Phone:

*Contact Email:

About the Institution

+ VIEW

Indirect Cost Negotiations

+ VIEW

- **Notice of Award Email**

NIH uses this email address to send all notices of award for a grant.

- **Announcements & Notifications Email**

NIH uses this email address to send grant reminders, system notifications, and other types of general correspondence.

- **Closeout Correspondence Email**

NIH uses this email address to send any Closeout related communications.

- **Contact Name**

NIH considers the person named here as the primary contact for this institution.

- **Contact Phone**

Enter the phone number for the contact person listed in Contact Name.

- **Contact Email**

Enter the email number for the contact person listed in Contact Name.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.3 About the Institution

The **About the Institution** component of the *Institution Profile* allows you to view information about your organization, such as DUNS and assurances numbers. If you hold the SO role within your organization, you can also edit this information.

10.3.3.1 Viewing About the Institution Information

You can view the information in the **About the Institution** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **About the Institution** component tile header

The information displays as read-only:

- **Primary DUNS**
- **Secondary DUNS**
- **Federal-Wide Assurance Numbers**
- **Animal Welfare Assurance Number**

- **Organization Type**
- **Ownership Control**

The screenshot displays the 'Institution Basic Information' page in the eRA Commons system. The page is for the 'UNIVERSITY OF LITERATURE' with IPF Code 1234567. It features a navigation menu at the top and a sidebar on the left with account and profile information. The main content area is divided into sections: 'Institution Name', 'Institution Contact Information', and 'About the Institution'. The 'About the Institution' section is highlighted with a red border and contains the following fields:

- Primary DUNS: 012346678
- Secondary DUNS:
- Opportunity Type Eligibility:
 - Your organization is eligible to apply for NIH Grants/Contracts [Information](#)
 - Your organization is eligible to apply for Non-NIH Grants/Contracts [Information](#)
 - Your organization is eligible to apply for NIH other transaction authority (OTA) opportunities [Information](#)
- Federal-Wide Assurance Numbers: FWA00001234
- Animal Welfare Assurance Number:
- Organization Type: Institution of higher education
- Ownership Control: State Government

10.3.3.2 Editing About the Institution Information

If you hold the SO role within an organization, you can edit the fields in the **About the Institution** component of the Institution Profile.

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2018

ORI Certification Expires:
04/30/2019

SAM Registration Expires:
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eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDIT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information

+ View All | Save All | Discard Changes

Institution Name [VIEW]

Institution Contact Information [VIEW]

About the Institution [HIDE]

Primary DUNS: 012345678

Secondary DUNS: [Add]

Opportunity Type Eligibility

Your organization is eligible to apply for NIH Grants/Contracts [Information]

Your organization is eligible to apply for Non-NIH Grants/Contracts [Information]

Your organization is eligible to apply for NIH other transaction authority (OTA) opportunities [Information]

Federal-Wide Assurance Numbers: FWA00001234 [Remove] [Add]

Animal Welfare Assurance Number:

Organization Type: Institution of higher education

Ownership Control: State Government

Indirect Cost Negotiations [VIEW]

Select the **Edit** button on the **About Institution Information** panel header to display all editable fields available in this component. The following fields are available for editing, but are not required:

Secondary DUNS

The **Secondary DUNS** field allows SOs to edit, add, and remove additional DUNS numbers for the institution as necessary.

- To add a secondary DUNS number to the profile, select the **Add** button to display text fields. Enter the required 9 digits into the first text field and the optional 4 digits (for 13-digit DUNS only) into the second text field.

About the Institution ?

Primary DUNS: 001234567

Secondary DUNS: - [Remove](#)

[Add](#)

Opportunity Type Eligibility

Your organization is eligible to apply for NIH Grants/Contracts [Information](#)

Your organization is eligible to apply for Non-NIH Grants/Contracts [Information](#)

Your organization is eligible to apply for NIH other transaction authority (OTA) opportunities [Information](#)

Federal-Wide Assurance Numbers: [Remove](#)

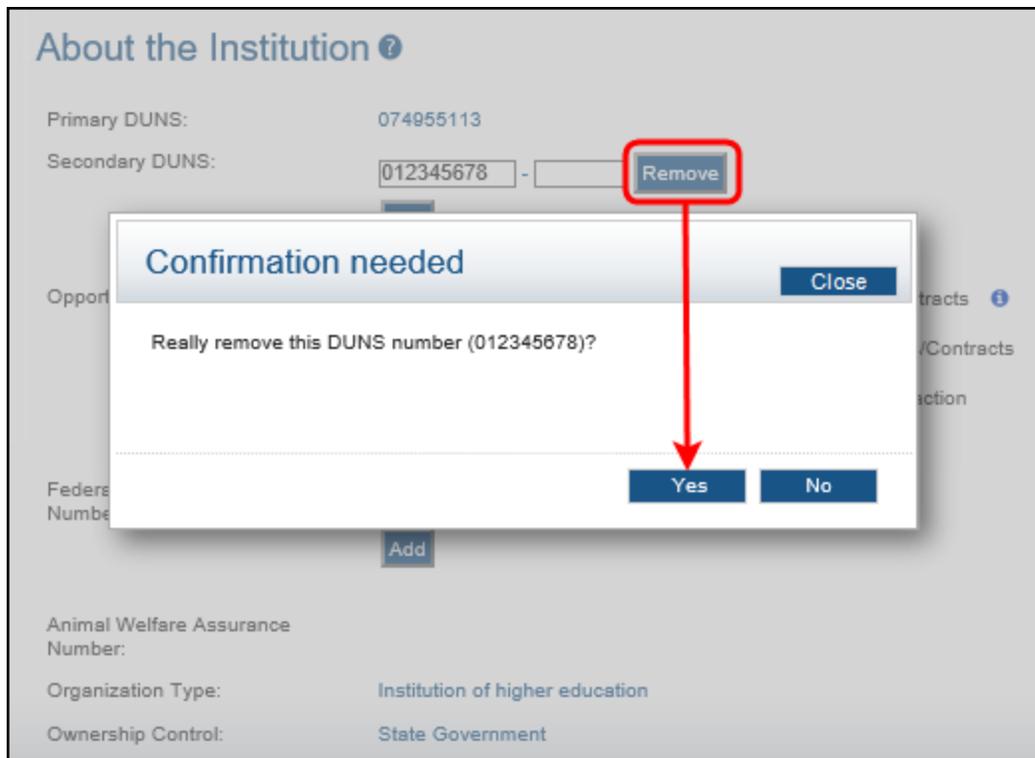
[Add](#)

Animal Welfare Assurance Number:

Organization Type: Institution of higher education

Ownership Control: State Government

- To edit a secondary DUNS number, simply update the value in the editable text fields.
- To remove a secondary DUNS, select the **Remove** button next to the appropriate DUNS number. At the confirmation, select **Yes** to complete the action.



Opportunity Type Eligibility

There are three eligibility options. At least one of these options must be selected for the Institution to be eligible to submit grant applications. Information links for each type of opportunity provide additional information. The three types are:

- NIH Grants/Contracts - This is the most common type of registration and is required for any application that is funded by NIH.
- Non-NIH Grants/Contracts - This type of registration will allow you to submit applications for other agencies that use NIH eRA systems (i.e. SAMHSA).
- Other Transaction Authority (OTA) opportunities - This type of opportunity is for a type of funding that is neither grants nor contracts and is being used across NIH.

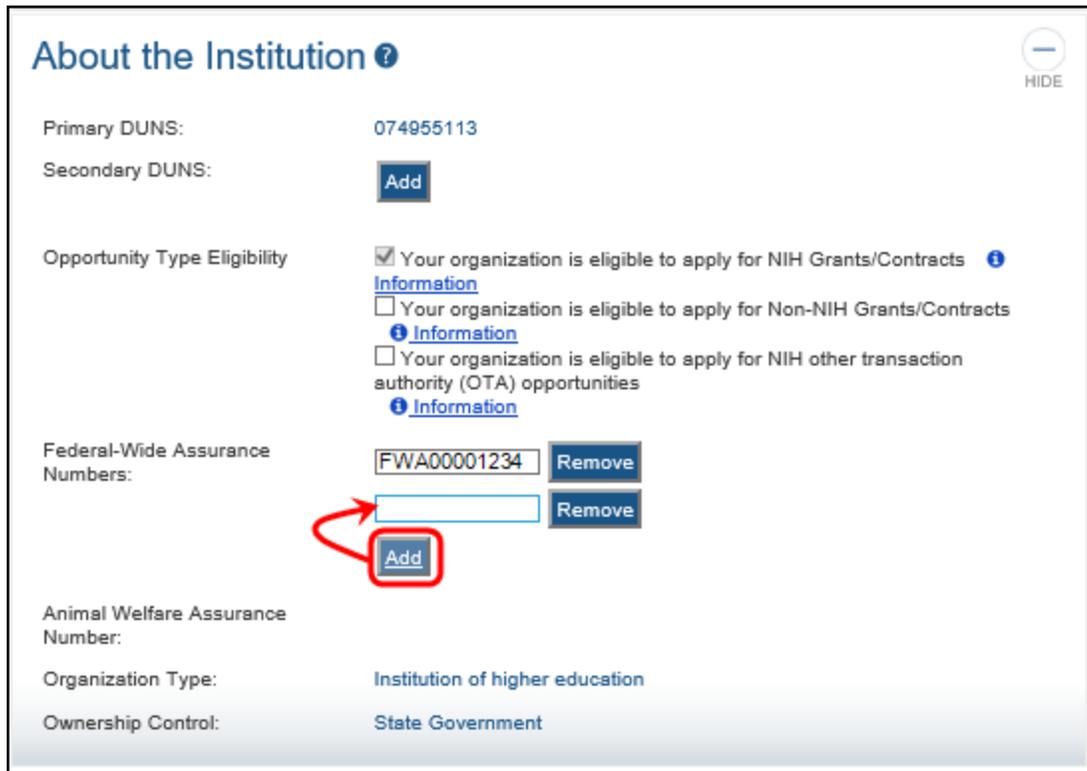
NIH Grants/Contracts - The Institution certifies that it is eligible to apply for grants or contracts that are

Federal-Wide Assurance Numbers

The Federal-Wide Assurance (FWA) is the only type of new assurance of compliance accepted and approved by the Office of Human Research Protections (OHRP) for institutions engaged in non-exempt human subjects research conducted or supported by HHS.

The **Federal-Wide Assurance Numbers** field allows SOs to edit, add, and remove FWA numbers for the institution as necessary.

- To add an FWA number to the profile, select the **Add** button to display the editable text field. Enter the FWA number into this field.



The screenshot shows the 'About the Institution' page with the following details:

- Primary DUNS:** 074955113
- Secondary DUNS:** Add button
- Opportunity Type Eligibility:**
 - Your organization is eligible to apply for NIH Grants/Contracts [Information](#)
 - Your organization is eligible to apply for Non-NIH Grants/Contracts [Information](#)
 - Your organization is eligible to apply for NIH other transaction authority (OTA) opportunities [Information](#)
- Federal-Wide Assurance Numbers:**
 - FWA00001234 [Remove](#)
 - [Remove](#)
 - [Add](#) (highlighted with a red box and arrow)
- Animal Welfare Assurance Number:**
- Organization Type:** Institution of higher education
- Ownership Control:** State Government

- To edit an FWA number, simply update the value in the editable text fields.
- To remove an FWA number, select the **Remove** button next to the appropriate number. At the confirmation, select **Yes** to complete the action.

About the Institution ?

Primary DUNS: 074955113

Secondary DUNS: [Add](#)

Opportunity Type Eligibility

- Your organization is eligible to apply for NIH Grants/Contracts [Information](#)
- Your organization is eligible to apply for Non-NIH Grants/Contracts [Information](#)
- Your organization is eligible to apply for NIH other transaction authority (OTA) opportunities [Information](#)

Federal-Wide Assurance Numbers: [Remove](#)

Animal Welfare Assurance Number:

Organizational Ownership

Confirmation needed [Close](#)

Really remove this Federal-Wide Assurance Number (FWA00006788)?

[Yes](#) [No](#)

Indirect Cost Negotiations ?

Animal Welfare Assurance Number

The Animal Welfare Assurance is a document an institution and all performance sites involving animal research must have on file with the Office of Laboratory Animal Welfare (OLAW) before being awarded a grant or contract.

The **Animal Welfare Assurance Number** field displays the number passed to Commons from OLAW. If existing, numbers in parentheses () represents the old format number corresponding to the new format. This field is not editable.

NOTE: The **Primary DUNS**, **Organization Type**, and **Ownership Control** are read-only fields populated with organizational information on file. The **Primary DUNS** field reflects the primary DUNS number provided during the original institution registration. This number is not editable through Commons. To make changes to the primary DUNS, please contact the [eRA Service Desk](#) for assistance.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.4 Indirect Cost Negotiations

The **indirect Cost Negotiations** component of the *Institution Profile* allows you to view your organization's Negotiator and Last Negotiation Date. If you hold the SO role within your organization, you can also edit this information.

10.3.4.1 Viewing Indirect Cost Negotiations

You can view the information in the **Indirect Cost Negotiations** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Indirect Cost Negotiations** component tile header

The information displays as read-only:

- **Negotiator Name**
- **Last Negotiation Date**

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Institution Basic Information

Institution Name [EDIT VIEW]

Institution Contact Information [EDIT VIEW]

About the Institution [EDIT VIEW]

Indirect Cost Negotiations [EDIT HIDE]

Negotiator Name: [] The name of the agent who negotiated the most recent indirect cost agreement, and the date of that negotiation.

Last Negotiation Date: November 16, 2011

Signing Officials and TTO Administrators [EDIT VIEW]

10.3.4.2 Editing Indirect Cost Negotiations

If you hold the SO role within an organization, you can edit the fields in the **Indirect Cost Negotiations** component of the Institution Profile.

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
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eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Institution Basic Information

[+ View All] [Save All] [Discard Changes]

Institution Name [VIEW]

Institution Contact Information [VIEW]

About the Institution [VIEW]

Indirect Cost Negotiations [HIDE]

Negotiator Name: []

Last Negotiation Date: [] MM/DD/YYYY

The name of the agent who negotiated the most recent indirect cost agreement, and the date of that negotiation.

Institution Address [VIEW]

Select the **Edit** button on the **Indirect Cost Negotiations** panel header to display all editable fields available in this component. The following fields are available for editing, but are not required:

- **Negotiator Name**

Enter the name of the agent who negotiated the most recent indirect cost agreement.

- **Last Negotiation**

Enter the date of the most recent indirect cost agreement negotiation (format must be MM/DD/YYYY).

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.5 Signing Officials and TTO Administrators

The **Signing Officials and TTO Administrators** component of the *Institution Profile* allows you to view a list of all Commons system users in your organization who are assigned the SO and/or TTO Administrator roles.

You can view the information in the **Signing Officials and TTO Administrators** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Signing Officials and TTO Administrators** component tile header

The information for each person displays as read-only.

- **Name**
- **Phone Number**

- **Email Address**

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

About the Institution

Indirect Cost Negotiations

Signing Officials and TTO Administrators

Jane Austen (SO)
201-555-0001
JAusten@universitymail.edu

Stephen Crane (SO)
201-555-0002
SCrane@universitymail.edu

Thomas Hardy
201-555-0003
THardy@universitymail.edu

James Joyce (SO)
phone unknown
JJoyce@universitymail.edu

Harper Lee (SO)
201-555-0005
HLee@universitymail.edu

Edgar A. Poe (EXTRAMURAL_TTO_ADMIN)
201-555-0006
EAPoe@universitymail.edu

William Shakespeare (SO)
201-555-0007
WShakes@universitymail.edu

Institution Address

Extramural Technology Transfer Administration

[+ View All](#)

10.3.6 Institution Address

The **Institution Address** component of the *Institution Profile* allows you to view address information for your organization including phone and fax numbers. If you hold the SO role within your organization, you can also edit this information.

10.3.6.1 Viewing Institution Address

You can view the information in the **Institution Address** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Institution Address** component tile header

The information displays as read-only:

- **Address**
- **Phone**

- Fax

The screenshot shows the eRA Commons interface for the University of Literature. The page is titled 'Institution Basic Information' and includes a sidebar with navigation options like 'Basic Information' and 'Assurances & Certifications'. The main content area lists various institution details, with the 'Institution Address' section highlighted by a red border. This section contains the following information:

Address:	UNIVERSITY OF LITERATURE GRANTS AND CONTRACTS THISTOWN, NJ 07834 UNITED STATES
Phone:	2015551234
Fax:	2015554567

Below the address section, there is a link for 'Extramural Technology Transfer Administration'.

10.3.6.2 Editing Institution Address

If you hold the SO role within an organization, you can edit the fields in the **Institution Address** component of the Institution Profile.

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information

+ View All | Save All | Discard Changes

Institution Name [VIEW]

Institution Contact Information [VIEW]

About the Institution [VIEW]

Indirect Cost Negotiations [VIEW]

Institution Address [HIDE] * Required Field(s)

*Street Address: UNIVERSITY OF LITERATURE
GRANTS AND CONTRACTS

*City: THISTOWN

*Country: UNITED STATES

*State/Province: NEW JERSEY

*Zip/Postal Code: 07834

*Phone: 2015551234

Fax: 2015554567

Extramural Technology Transfer Administration [VIEW]

Select the **Edit** button on the **Institution Address** panel header to display all editable fields available in this component. The following fields are available for editing:

- **Street Address**

Enter the street address for the organization. This is a required field.

- **City**

Enter the city for the address. This is a required field.

- **Country**

Select a country value from the drop-down box. This is a required field.

- **State**

Select a country value from the drop-down box. This is a required field.

- **Zip Code**

Enter the zip code for the address. This is a required field.

- **Phone**

Enter the phone number associated with the address above. This is a required field.

- **Fax**

Enter the fax number associated with the address above. This is an optional field.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.7 Extramural Technology Transfer Administration

The Extramural Technology Transfer Administration component of the Institution Profile allows users with access to the Institution Profile to view the contact and other relevant information for the technology transfer administration department of the institution.

This component of the profile is maintained by iEdison users holding Extramural TTO administrator role. An organization's Signing Official(s) may also edit this component.

For information on iEdison, please refer to the [iEdison pages](#) of the eRA website.

10.3.7.1 Viewing Extramural Technology Transfer Administration

You can view the information in the **Extramural Technology Transfer Administrations** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Extramural Technology Transfer Administrations** component tile header

The information displays as read-only:

- **Address**
- **Contact Name**
- **Phone**
- **Email**
- **Are batch uploads allowed by this organization?**
- **The month that begins the utilization period**
- **Are the inventions submitted by the organization assigned for administration and reporting by the user?**

The screenshot displays the 'Institution Profile for UNIVERSITY OF LITERATURE' with IPF Code: 1234567. The profile includes sections for 'About the Institution', 'Indirect Cost Negotiations', 'Signing Officials and TTO Administrators', and 'Institution Address'. The 'Extramural Technology Transfer Administration' section is highlighted with a red box and contains the following information:

Address:	123 Main Street University Plaza Thistown, NEW JERSEY 07834 UNITED STATES
Contact Name:	Albert Einstein
Phone:	2015551234
Email:	greatideas@universitymail.edu
Are batch uploads allowed by this organization?	No
The month that begins the utilization period:	August
Are the inventions submitted by the organization assigned for administration and reporting by the user?	Yes

Additional profile details include: Accounts: 3534 Affiliated Accounts; Profile updated: 07/09/2014; ORI Certification Expires: 04/30/2015; eRA Commons Help Desk (Hours: Mon-Fri, 7AM-8PM EDT/EST; Web: <http://era.nih.gov/help/>; Toll-free: 866-504-9552; Phone: 301-402-7469; TTY: 301-451-5939); and a note: Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

10.3.7.2 Editing Extramural Technology Transfer Administration

If you hold the TTO_Admin or SO role within an organization, you can edit the fields in the **Extramural Technology Transfer Administration** component of the Institution Profile.

The screenshot displays the 'Institution Basic Information' page for the University of Literature. The page is divided into several sections. On the left, there is a sidebar with 'Institution Profile for UNIVERSITY OF LITERATURE' and 'IPF Code: 1234567'. Below this, there are sections for 'Accounts' (3534 Affiliated Accounts), 'Profile updated: 06/11/2014', 'ORI Certification Expires: 04/30/2015', and 'eRA Commons Help Desk' with contact information. The main content area is titled 'Institution Basic Information' and contains several expandable sections: 'Institution Name', 'Institution Contact Information', 'About the Institution', 'Indirect Cost Negotiations', and 'Institution Address'. The 'Extramural Technology Transfer Administration' section is expanded and highlighted with a red border. It contains the following fields and options:

- Street Address: (Two input fields)
- City: (Input field)
- Country: (Input field)
- State/Province: (Input field)
- Zip/Postal Code: (Input field)
- Contact Name: (Input field)
- Phone: (Input field)
- Email: (Input field)
- Are batch uploads allowed by this organization?: No (checkbox)
- The month that begins the utilization period: Select Month (dropdown menu)
- Are the inventions submitted by the organization assigned for administration and reporting by the user?: No (checkbox)

At the bottom right of the 'Extramural Technology Transfer Administration' section, there is a red asterisk and the text '* Required Field(s)'. At the bottom of the main content area, there are buttons for '+ View All', 'Save All', and 'Discard Changes'.

Select the **Edit** button on the **Extramural Technology Transfer Administrations** tile header to display all editable fields available in this component. The following fields are available for editing:

- **Street Address**
- **City**
- **Country**
- **State/Province**
- **Zip/Postal Code**
- **Contact Name**
- **Phone**

- **Email**
- **Are batch uploads allowed by this organization?**

Select a value from the drop-down list: Yes or No.

- **The month that begins the utilization period**

Select a value from the drop-down list.

- **Are the inventions submitted by the organization assigned for administration and reporting by the user?**

Select a value from the drop-down list: Yes or No.

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.4 Institutional Assurances and Certifications

The **Institutional Assurances and Certifications** component of the *Institution Profile* contains data elements that compose assurance/certification information about an institution (e.g., Human Subjects Assurance Number, Institutional Review Board [IRB] Approval Date, IRB Type, Animal Welfare Assurance Number, and Institutional Animal Care & Use Committee [IACUC] Unacknowledged Certification Explanation). The screen provides a means of viewing and managing the checklist of these assurances and certifications.



This component of the *Institution Profile* is viewable by selecting the **Assurances & Certifications** link on the dashboard or the **Assurances and Certifications** tab from the Commons menu structure. For most users, the information is read-only, however, if you hold a Commons SO role, you have the ability to edit the information. Regardless of your role, the default view of the **Institutional Assurances and Certifications** is read-only.

There are two main sections of the screen, which are described below: **Status** and **Assurances and Certifications**.

Status

The **Status** section of the screen displays the Office of Research and Integrity Certification Status for the institution. The values for this field are either *Assurance OK* or *Expired*. The expired status will display in red text as a warning.

The expiration date of the certification displays below the status, in red text if already expired.

Assurances and Certifications

The **Assurances and Certification** section provides a means for institutions to indicate (or view the indication of) compliance with particular laws, policies, and/or regulations as well as to indicate that it meets certain research requirements.

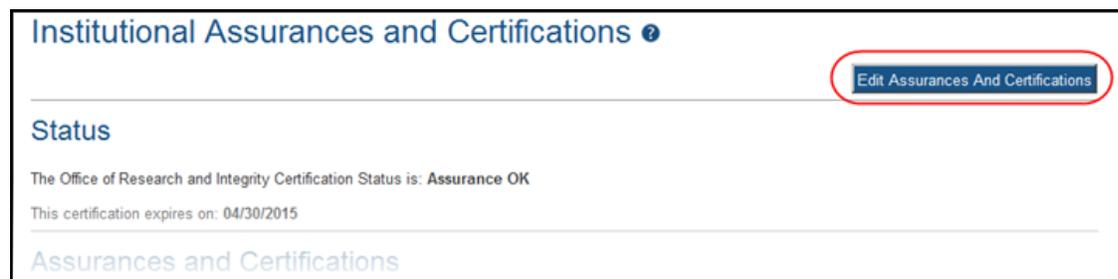
The list is available for viewing by anyone who has access to the Institution Profile. Read-only check marks display next to each assurance or certification in the list along with the date on which the institution indicated compliance.

Policy: Not all assurances and certifications may be applicable to each institution. For a complete definition of each assurance, please refer to [Part III \(Policies, Assurances, Definitions and Other Information\) of the SF424 \(R&R\) Application Guide](#).

10.4.0.1 Editing the Assurances and Certifications

If you hold the SO role within an organization, you can edit the assurance and certification indicators in the Institution Profile.

To edit the indicators, select the **Edit Assurances and Certifications** button at the top of the screen.



The assurance and certification indicators display over several categories.

This institution complies with all laws, policies and regulations prohibiting discrimination based on:

- Age Discrimination Assurance
- Civil Rights Assurance
- Handicapped Individuals Assurance
- Inclusion of Children Policy

- Sex Discrimination Assurance
- Women and Minority Inclusion Policy

This institution complies with all laws and regulations regarding:

- ClinicalTrials.gov Requirement
- Conflict of Interest Assurance
- Delinquent Debt Assurance
- Drugfree Workplace Assurance
- Impact of Grant Activities on the Environment and Historic Properties
- Institutional Debarment Assurance
- Lobbying Assurance
- Smoke-Free Workplace

Research at this institution meets all requirements for:

- Graduate Student Training for Doctoral Degrees (D43, TU2, T15, T32, T37, T90, U2R, U90, and U54/TL1 only)
- Human Subjects
- PI Assurance
- Prohibited Research
- Recombinant DNA and Human Gene Transfer
- Research Misconduct
- Research With Human Embryonic Stem Cells
- Select Agent Research
- Transplantation of Human Fetal Tissue
- Vertebrate Animals

Check or uncheck the certification and/or assurance indicator(s) as appropriate. You can also select the **(explain your answer)** link to access a text box in which you can provide additional information.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. If you do not wish to save your changes, select the **Discard Changes** button instead.

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | **Assurances and Certifications**

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
 Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institutional Assurances and Certifications

[Save All](#) [Discard Changes](#)

Status

The Office of Research and Integrity Certification Status is: **Assurance OK**
This certification expires on: **04/30/2015**

Assurances and Certifications

This institution complies with all laws, policies and regulations prohibiting discrimination based on:

12/09/2005	<input checked="" type="checkbox"/>	Age Discrimination Assurance	(explain your answer)
12/09/2005	<input checked="" type="checkbox"/>	Civil Rights Assurance	(explain your answer)
12/09/2005	<input checked="" type="checkbox"/>	Handicapped Individuals Assurance	(explain your answer)
12/09/2005	<input checked="" type="checkbox"/>	Inclusion of Children Policy	(explain your answer)
12/09/2005	<input checked="" type="checkbox"/>	Sex Discrimination Assurance	(explain your answer)
12/09/2005	<input checked="" type="checkbox"/>	Women and Minority Inclusion Policy	(explain your answer)

This institution complies with all laws and regulations regarding:

10/09/2008	<input checked="" type="checkbox"/>	ClinicalTrials.gov Requirement	(explain your answer)
12/09/2005	<input checked="" type="checkbox"/>	Conflict of Interest Assurance	(explain your answer)

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

11 Personal Profile Module

The Personal Profile module in Commons is the central repository of information for all Commons registered users. It is designed so that individual eRA system users hold and maintain ownership over the accuracy of their own profile information. This profile information is then integrated throughout eRA's systems and used for a variety of agency business such as peer review, application data, and trainee data.

NOTE: You can delegate the authority to maintain your profile to other users within your institution.

The personal profile is divided into sections of information and includes:

- **Name and ID:** Personal information such as name, contact information, date of birth
- **Demographics:** Race, ethnicity, gender
- **Employment:** Current employment and past employment history
- **Reviewer Information:** Reviewer work address for those users performing tasks in IAR as a Reviewer
- **Trainee Information:** Trainee permanent address for those with Trainee roles using the xTrain module
- **Education:** Degree and Post-Graduate Clinical Training Information
- **Reference Letters:** Letters of reference submitted to NIH
- **Publications:** Access to MY NCBI, at which publications can be viewed

NOTE: Depending on your Commons role, you might not have access to all sections of the Personal Profile.

For more information, refer to the Commons Personal Profile Online Help System (<https://era.nih.gov/erahelp/ppf/>) or the *eRA Commons Personal Profile Module User Guide* (https://era.nih.gov/files/personal_profile_userguide.pdf).

12 Status Module

The Status screens allow PD/PIs, their delegates, and SOs to perform the following tasks securely:

- Track the status of a grant applications through the submission process
- View all their applications as well as NoAs and other key documents
- Complete several post-submission and post-award transactions
- Access and update Human Subjects information through the [Human Subjects System \(HSS\)](#).

What you can see and do in the Status module depends on the role associated with your Commons account. For this reason, the query and results screens in the Status module behave differently per user role. Help topics for the Status module are available for both SO and PI users.

Refer to the section of this document titled *Steps for AOR/SO to Check Submission Status* on Page 117 if you have an SO or AO role.

Refer to the section of this document titled *Status for Program Directors/Principal Investigators (PI Role)* on Page 131 if you have a PI role.

12.1 Steps for AOR/SO to Check Submission Status

Utilizing eRA Commons, all Signing Officials are able to check the status of the applications that have been submitted for their organization.

Steps:

1. **Login to eRA Commons** with your Signing Official (SO) account username and password.
2. **Click the “Status” tab and select the "Recent/Pending eSubmissions"** search option in the left hand navigation.
3. **Enter desired search criteria** and hit the "**Search**" button. The search criteria options are;
 - Accession Number
 - Grants.gov Tracking #
 - eSubmission Status (Select from drop-down)
 - All
 - Pending Verification
 - Rejected
 - Received Date
 - You can enter a range of dates for the received date using the “From” and “To” fields. Either enter the date(s) manually in the MM/DD/YYYY format or by

selecting the calendar icon to search and select a date from the calendar. **Click to view the search screen...**

4. The corresponding search results include all appropriate links for the applications. These are the same links that appear in the Status Result - General Search results. [Refer to the help topic titled Status Result - General Search](#) for information on search results.

For the purposes of eSubmission tracking, perform the following from the search results:

- Check the “eSubmission Status” column to determine if your application status is “eSubmission Error” or “Pending Verification”.
- If the status is "eSubmission Error", you have two options to view the errors or warnings.
 - select the **Show Prior Errors** link from the **Show All Prior Errors**
 - Select the **Application ID** displayed as link to open *Status Information*. Any existing submission errors or warnings display at the top of *Status Information*. [Refer to the section of this document titled Status Information on Page 142](#) for more information on this screen.
- Select Reject eApplication to reject the eSubmission of an application. [Refer to the help topic titled Rejecting the eApplication.](#)

12.2 How does an SO track submission status?

All Signing Officials are able to verify the status of the applications that have been submitted for their organization utilizing eRA Commons.

Steps:

1. Log in to [eRA Commons](#) with your Signing Official (SO) account username and password.
 - a. Click the “Status” tab and select the "Recent/Pending eSubmissions" search option in the left hand navigation menu. (image)

General Search			
Grant Number	Type	Activity Code	Institution
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Accession Number	<input type="text"/>		
Grants.gov Tracking #	<input type="text"/>		
PI Name	Last <input type="text"/>		
Application Status	All		
Eligible for FFATA Reporting	<input type="checkbox"/>		
Eligible for Hurricane Sandy Reporting	<input type="checkbox"/>		

- b. On the next screen, enter desired search criteria and click the "Search" button. Search criteria options;
- **Accession Number:** *A unique value assigned to applications before an NIH grant number is assigned.*
 - **Grants.gov Tracking #** *A value is assigned by Grants.gov when the application is electronically submitted.*
 - **eSubmission Status** (*All, Pending Verification, or Rejected*)
 - **Received Date** Enter a range of dates for the received date using the "From" and "To" fields.
Either enter the date(s) manually in the MM/DD/YYYY format or by selecting the calendar icon

Status	Recent/Pending eSubmissions ?	
General Search	Accession Number	Accession Number
Just In Time	Grants.gov Tracking #	Tracking #
Pending Progress Report	eSubmission Status	All
Recently Awarded	Received Date:	
Recent/Pending eSubmissions	From	03/12/2016
	To	06/10/2016
Closeout	<input type="button" value="Search"/> <input type="button" value="Clear"/>	

NOTE: The corresponding search results include all appropriate links for the applications. These are the same links that appear in the [Status Results - General Search](#) results.

For the purposes of eSubmission tracking, perform the following from the search results:

1. Check the **eSubmission Status** column to determine if your application status is “*eSubmission Error*” or “*Pending Verification*”.
2. Use one of the two following methods to view the error messages and warnings. (view example).

Example of Recent/Pending search (SO view)							Showing 11 - 20 of total 20	
Filter:				Show 10 per page		« 1 2 »		
Application ID	Grants.gov Tracking #	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors	Action	
AN:7654321	2 INT11122233P	eSubmission Error	Txt2stop4baby: An RCT to reduce smoking and improve mother child health	Phnerl, Olga	10/13/2011 15:04:35	Show Prior Errors and Warnings	1	

NOTE: Errors *will* stop the submission process and need to be addressed via a [change/corrected application](#). Warnings will not stop the process but it is still critical to check the warning messages to ensure that any referenced issue does not apply to your application.

- **Method 1:** Select the **Show Prior Errors and Warnings** link from the **Show All Prior Errors** column.

- **Method 2:** If the status is "Pending Verification", select the Accession Number (AN:#####) displayed in the **Application ID** column to open the *Status Information*. Submission errors or warnings are displayed at the top of the *Status Information* page during the two day review period before the submission deadline. Refer to the section of this document titled *Status Information on Page 142* for more information on this screen.
3. If warranted, select **Reject eApplication** in the **Action** column to reject the eSubmission of the application. Refer to the help topic titled *Rejecting the eApplication*.

12.3 How Does an SO Reject the eApplication?

When warranted, an SOs can request to reject the eSubmission of an application using the *Reject eApplication* screen. Only Signing Officials have this option, and the application must not have been previously verified or rejected by the SO.

To reject an eApplication:

1. Log in to [eRA Commons](#) with your Signing Official (SO) user ID and password.
2. Select **Status** from the menu bar and then select the *Recent/Pending eSubmissions* (or General Search) option to locate the application being rejected.
3. From the search result screen, select the *Reject eApplication* link in the **Action** column.

PD/PI Name	eSubmission Status	Prior Errors	Action
FINE CHANG, PETER A.	06/15/2016 09:10:04	Show Prior Errors and Warnings	Transmittal Sheet Reject eApplication

The **Reject eApplication** screen displays.

Reject eApplication ?

Application Information

Grant Number: 146303
PI Name: AN:1726354 MAN, PETER A
Proposal Title:

Reject eApplication

Required Comment: This application has had a very bad hair day.

Reject Cancel

4. Enter the required comment in the provided text box. This message will be part of the rejection email notification.
5. Select the **Reject** button (select **Cancel** if you need to cancel the action). The contact PI will receive an email notification that the SO has rejected the application.

12.4 Steps for SO to Re-assign a Grant

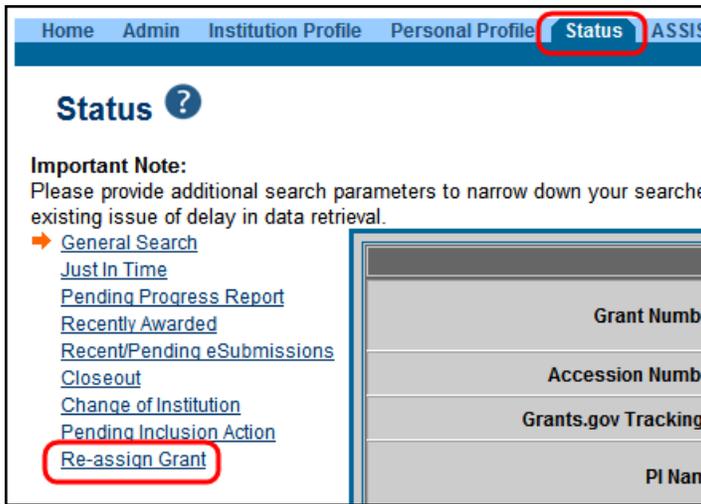
Signing Officials may use the "Reassign Grant" option from the **Status** menu in eRA Commons to change the assignment of a grant from one existing department or component to another existing department or component within their institution.

NOTE: This functionality is only available to Signing Officials from grantee organizations that are classified as *Institutions of Higher Education*. This tool cannot be used to create new departments or components.

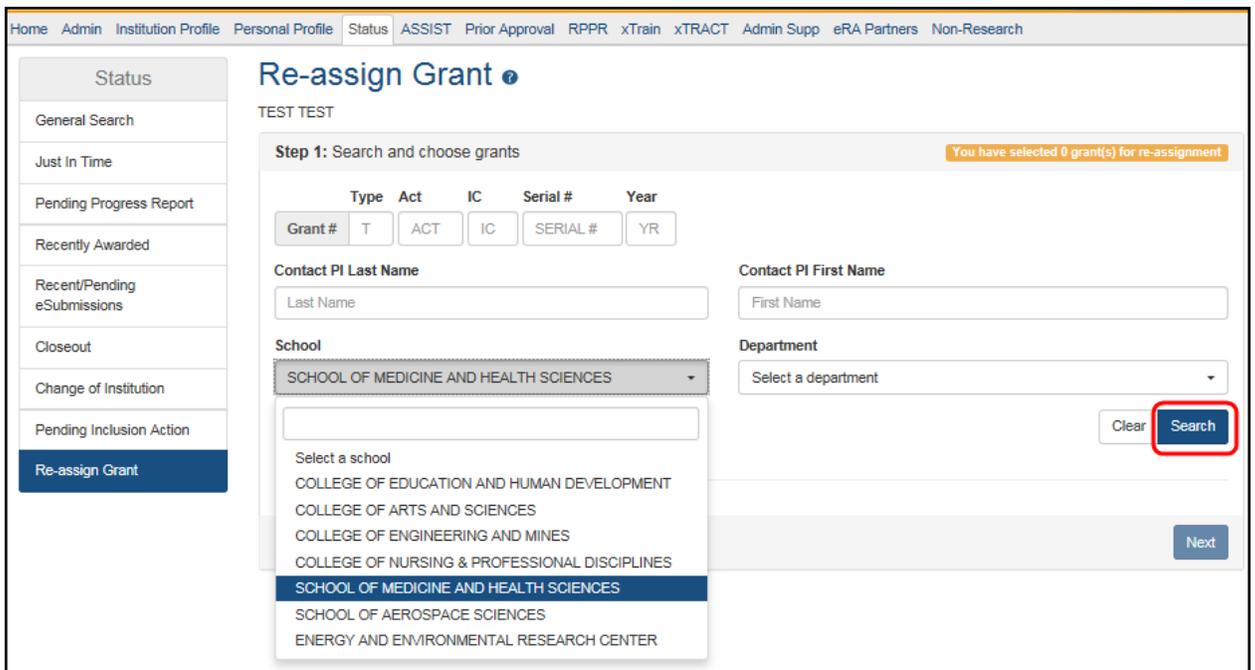
To re-assign one or more grants, log into eRA Commons with an account that has the SO (Signing Official) role and select the **Status** option from the menu bar.



This will display the Status menu on the left. Select the "Re-assign Grant" option from the list.



- STEP 1:** Selecting "Re-assign Grant" from the menu will open a search window. In this window, provide the search criteria for the grant or grants in question. The search can be done on any combination of; all or part of a grant number; Contact PI name; or major Department/Component. Once the search criteria has been entered, click on **Search**.



The search results will be displayed. You have options on this screen to select the grants that are to be moved as well as to change how many results are displayed per screen. Clicking on the box above the list to the left will select all of the grants visible. You may also select a smaller subset of grants or just one.

Once you have made your selections, click on Next.

NOTE: You can move all of the grants visible on a page at one time however you will not be able to combine results on other pages into the current re-assignment step. Another reassignment procedure will need to be performed in order to move grants on other pages.

The screenshot shows the 'Re-assign Grant' interface. On the left is a navigation menu with 'Re-assign Grant' selected. The main area is titled 'Step 1: Search and choose grants'. It includes search filters for Grant #, Type, Act, IC, Serial #, and Year. Below these are fields for 'Contact PI Last Name' and 'School' (set to 'SCHOOL OF MEDICINE AND HEALTH SCIENCES'). A 'Show 10 entries' dropdown is highlighted with a red box. A table of grants follows, with three rows selected (R21DE77777-02, P20GM66666-04, and R01AI00000-02). At the bottom, a 'Next' button is highlighted with a red box.

Grant #	Type	Act	IC	Serial #	Year	Project Title	Contact PD/PI Name	School Name	Department
<input type="checkbox"/>						R01DE888888-12 TRPC1, Calcium, and Saliva	Hayes, Jade	SCHOOL OF MEDICINE	BIOCHEMISTRY AND MOLECULAR
<input type="checkbox"/>						R01DE888888-11 TRPC1, Calcium, and Saliva	Hayes, Jade	SCHOOL OF MEDICINE	BIOCHEMISTRY AND MOLECULAR
<input checked="" type="checkbox"/>						R21DE77777-02 Galectins as novel alarmins in	MARTINEZ, CARMEN	SCHOOL OF MEDICINE	MICROBIOLOGY AND IMMUNOLOGY
<input checked="" type="checkbox"/>						P20GM66666-04 Center for Biomedical Researa	Freeman, Derrick	SCHOOL OF MEDICINE	PHARMACOLOGY, PHYSIOLOGY, A
<input type="checkbox"/>						R01ES999999-06 Environmental toxins and stei	Mitchell, Dylan	SCHOOL OF MEDICINE	BIOCHEMISTRY AND MOLECULAR
<input checked="" type="checkbox"/>						R01AI00000-02 Lung innate immunity against#	SONG, EMILY	SCHOOL OF MEDICINE	BIOCHEMISTRY AND MOLECULAR
<input type="checkbox"/>						R01DK66666-03 Schlafen mediation of intestin	BRONSON, KEMBER	SCHOOL OF MEDICINE	NONE
<input type="checkbox"/>						P20GM987654-15 North Dakota INBRE Health a	Fuller, Kayla	SCHOOL OF MEDICINE	PATHOLOGY
<input type="checkbox"/>						R01MH444444-04 The role of novel endotylosos	Kendrick, Alex	SCHOOL OF MEDICINE	PHARMACOLOGY, PHYSIOLOGY, A
<input type="checkbox"/>						P30GM333333-03 COBRE Center for Neurodeg	Kendrick, Alex	SCHOOL OF MEDICINE	PHARMACOLOGY, PHYSIOLOGY, A

- **STEP 2:** The next step is to select the School and Department to which the selected grants should be moved. Use the drop-down menus to make the selections (only existing schools and departments will be shown) and then click on **Next**.

Re-assign Grant ⓘ

TEST TEST

Step 1: Search and choose grants You have selected 3 grant(s) for re-assignment.

Step 2: Choose department You have selected SCHOOL OF MEDICINE AND HEALTH SCIENCES, PATHOLOGY

School
SCHOOL OF MEDICINE AND HEALTH SCIENCES

Department
PATHOLOGY

Next

STEP 3: The summary is shown next. This will indicate the number of grants being moved and to which destination. If the information is correct, click on Submit.

Re-assign Grant ⓘ

TEST TEST

Step 1: Search and choose grants You have selected 3 grant(s) for re-assignment.

Step 2: Choose department You have selected SCHOOL OF MEDICINE AND HEALTH SCIENCES, PATHOLOGY

Step 3: Summary

Please verify the information and press the 'Submit' button to save.

Number of grants selected for re-assignment: 3 (Note: You can see the full list of grants in "Step 1".)

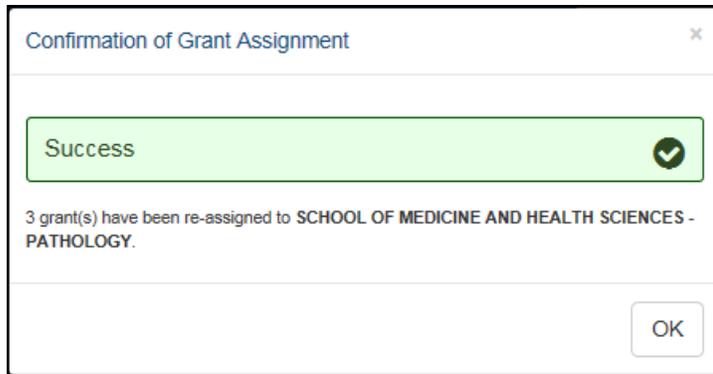
Grants will be re-assigned to:

School: SCHOOL OF MEDICINE AND HEALTH SCIENCES

Department: PATHOLOGY

Submit

You will receive a final confirmation of the reassignment.



- **Items Of Note:**

- Functionality is only available to Signing Officials from grantee organizations that are classified as Institutions of Higher Education.
- Assignments are immediate in Commons. The new assignment can be viewed on the Re-assign Grant search page.
- Assignments will be visible in [RePORTER](#) on the following Monday.
- Search criteria is limited to the current and future fiscal years, for awarded grants or pending type 5 grants.
- Grants on one page can be moved at one time, i.e. grants returned on multiple pages will require multiple moves.

12.5 Status Results for SOs

Status Result - General Search

The *Status Result - General Search* screen provides matching records from searches performed by SOs using the General Search feature in the Status module. The information displays in tables and includes links to other Commons modules and/or features depending on the application.

NOTE: The *Status Result - General Search* screen differs from the results displayed for PI users. Refer to the section of this document titled [Status for Program Directors/Principal Investigators \(PI Role\) on Page 131](#) for more information.

The screen has a limit of 100 records per view, with additional records accessed via the page number links and/or navigation arrows at the top of the results table. The results can be sorted by selecting the up/down arrow displayed in the column heading. If the arrow exists in the heading, the information can be sorted by that category.

The figure below represents a sample of various action links that could be displayed and may not reflect realistic search results.

Application/Award ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
2R37DK123456-13		Mitigating KAOS Retrogressor effect	ADAMS, DON	Awarded. Non-fellowships only	05/01/2003			Human Subjects
2R37GM123456-26		STUDY OF RADIO WAVE IONISATION EFFECTS USING AGENT 99	FELDON, BARBARA	Awarded. Non-fellowships only	07/01/2005			
5R37DK000123-15		Ongoing Cone of Silence Diganostics	PLATT, EDWARD	Awarded. Non-fellowships only	08/01/2008			Closed Human Subjects
2R37AI000123-13		Acceptance of Credulity Statements Delivered in Decreasing Excessiveness	KOPELL, BERNIE	Awarded. Non-fellowships only	01/01/2006			
5R37DA999999-14		AGENT 86 AMNESIAAS MEANS TO PROTECT SCIENTISTS	KARVELAS, ROBERT	Awarded. Non-fellowships only	12/01/1999			Human Subjects
4R37GM123456-31		Probability Study Assessing Statistical Odds of Near Miss Projectiles	FRENCH, VICTOR	Awarded. Non-fellowships only	07/01/2010			

The results include the following information:

- **Application ID**

The application ID is provided as a link, which when selected opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. Refer to the section of this document titled *Status Information on Page 142* for more information.

If multiple PIs exist on the project, an *MPI* indicator appears next to the application ID.

- **Grants.gov Tracking #**

This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

- **Proposal Title**

The project name submitted on the application is displayed in this column.

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

- **PD/PI Name**

This is the Contact PI on the application.

- **Application Status**

This column displays the status of the application. Status values include:

- *Awarded*
- *Pending*
- *Withdrawn*
- *Terminated*
- *Not Funded*
- *Returned*
- *Received*
- *eSubmission Error*
- **Budget Start Date**
- **FFATA**

This column indicates *Yes* if the application is eligible to report as a Federal Funding Accountability and Transparency Act (FFATA) application.

- **Show All Prior Errors**

This column displays the **Show All Prior Errors** link. Selecting this link opens the *Errors/Warnings for Prior Failed eSubmissions* screen, providing any errors or warnings received for the application during eSubmission.

- **Action** (links)

The links in this column are used to access other modules or features in Commons and vary depending on the application. Possible links are as follows:

- **RPPR**

Opens the *RPPR Menu* screen for editing or submitting an Research Performance Progress Report (RPPR). [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module on Page 245*.](#)

- **Public Access PRAM**

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module on Page 245*](#)

- **IC Requested PRAM**

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting IC Requested PRAM. [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module* on Page 245.](#)

- **Fellowship Face Page**

Displays for Fellowship Awards only

- **Progress Report Face Page**

Only for paper grants not SNAP eligible

- **JIT**

This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. [Refer to the section of this document titled *Status Result - Just In Time/Just in Time \(JIT\)* on Page 191.](#)

- **Extension**

This link opens the No-Cost Extension (NCE) feature. [Refer to the section of this document titled *No-Cost Extension \(NCE\)* on Page 199.](#)

- **Closed**

This link opens the *Closeout Status* screen, which provides information on a closed grant. [Refer to the section of this document titled *Status Result - Closeout/Closeout Status* on Page 164.](#)

- **Requires Closeout**

This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. [Refer to the section of this document titled *Status Result - Closeout/Closeout Status* on Page 164.](#)

- **Reject eApplication**

Available only to SO users, select this link to reject an electronically submitted application. If rejected, the status of the application is updated to *Refused*. [Refer to the help topic titled *Rejecting the eApplication*.](#)

- **Transmittal Sheet**

Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

- **Administrative Supplement**

For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

- **Manage Relinquishing Statement**

Available to SOs and used to access the feature for initiating an electronic relinquishing statement

- **Relinquishing Statement**

Used to access the feature for editing and re-routing the electronic relinquishing statement

- **Sandy Quarterly Report**

For grants identified as NIH Hurricane Sandy Recovery awards. The link opens the *Sandy Quarterly Report* for editing, saving, and/or submission.

- **Human Subjects**

Provides access to the Human Subjects System (HSS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about HSS via Status, refer to the separate [Human Subjects System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, HSS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather than through the *Human Subjects* link in the Status module. Refer to the [NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#) for more information.

12.6 Status for Program Directors/Principal Investigators (PI Role)

The Status module allows those with a PI role to review basic aspects of the status of applications sent to the NIH, including pending review, review outcome, pending Advisory Council action, and award status.

Refer to the section of this document titled [Steps for AOR/SO to Check Submission Status on Page 117](#) if you hold an SO role.

Upon entering the Status module, a PI is taken to a landing page with three options:

- **Recent/Pending eSubmissions:** Select this option to view a list of recent or pending electronic submissions of grant applications.
- **List of Applications/Grants:** Select this option to view a list of applications/grants on which the PI user is the contact PI or one of multiple PIs (MPI)
- **Search by Grants.gov Tracking Num:** Use this field and the Search button to display information for a specific grant application by tracking number.

Status: PI Search

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

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just in Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number Search

NOTE: A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the **Action** column. Refer to the section of this document titled [Direct Delegations on Page 72](#) for information on delegating Status.

12.6.1 Viewing Recent/Pending eSubmissions

Select the **Recent/Pending eSubmissions** option to display search results meeting the following

criteria:

- Applications that require action prior to submission
- Applications available for viewing prior to submission (2 business day correction window)
- Applications that have been refused by the SO

Status: PI Search

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

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just in Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number

The results display in the *Status - Recent/Pending eSubmissions* screen in a table format. If the number of records returned by the search exceeds the amount allowed on the screen, you can use the page number links and/or navigation arrows at the top of the results table to scroll to the remaining records.

[« Return to PI Search](#)

Status Result - Recent/Pending eSubmissions 16

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

Grants.gov Tracking#	Application ID	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Date	Show All Prior Errors
GRANT00123456		eSubmission Error	The Taming of the Flu	SHAKESPEARE, WILLIAM	06/16/2015 10:38:14	<input type="button" value="Show Errors and Warnings"/>
GRANT0012367		eSubmission Error	All's Well that Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM	06/17/2015 02:31:42	<input type="button" value="Show Errors and Warnings"/>
GRANT00123789		eSubmission Error	The Merry Hives of Windsor	SHAKESPEARE, WILLIAM	06/17/2015 02:57:03	<input type="button" value="Show Errors and Warnings"/>

The following information is included in the table:

Grants.gov Tracking #

This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

Application ID

The application ID is provided as a link, which when selected opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. [Refer to the section of this document titled *Status Information on Page 142* for more information.](#)

eSubmission Status

This column shows the status of approval for the application.

Proposal Title

The project name submitted on the application is displayed in this column.

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

This column displays the **Show All Prior Errors** link. Selecting this link opens the *Errors/Warnings for Prior Failed eSubmissions* screen, providing any errors or warnings received for the application during eSubmission.

Tip: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

12.6.2 Viewing the List of Applications/Grants

The *Status Result - List of Applications/Grants* screen provides a collected source of information pertaining to a PI's grants/applications. The screen allows PIs to view basic information for their grants; to review detailed information for their grants, including assignments, summary statements, notices of award; and to access other modules in Commons for completing tasks such as progress report, financial statement, etc.

To access the *Status Result - List of Applications/Grants* screen, click the **List of Applications/Grants** section of the screen.

Status: PI Search

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

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

The initial results display the applications collapsed into groups of grant families. From the initial display, you can see the application number (or *Application ID Not Yet Assigned* where applicable); the number of applications/grants within the family; the contact PD/PI; and the title.

Tip: To find the total number of your applications/grants, look for the number displayed next to the screen title.

To expand the field and display all grants/applications associated with a family, select the plus sign (+) for that particular grant family.

« Return to PI Search

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. 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.

Status Result - List of Applications/Grants 87

[Export](#)

Application ID Not Yet Assigned	2	01/01/2016 - 12/31/2017 (Project Period)	SHAKESPEARE, WILLIAM (PD/PI)	Measure for Measure & Other Scientific Methodologies (Title)	+
R21MH123456	2	06/01/2014 - 05/31/2016 (Project Period)	MARLOWE, CHRISTOPHER (PD/PI)	The Tragical History of the Life and Death of Doctor Faustus (Title)	+
U54MH123456	1	07/01/2010 - 06/30/2015 (Project Period)	SHAKESPEARE, WILLIAM (PD/PI)	Much Ado About Childhood Obesity in the United States (Title)	+
U790A000456	1	05/08/2015 - 06/12/2015 (Project Period)	SHAKESPEARE, WILLIAM (PD/PI)	A Midsummer Night's Dream and Other Known Sleeping Disorders (Title)	+
U790A000000	1	05/08/2015 - 06/12/2015 (Project Period)	SHAKESPEARE, WILLIAM (PD/PI)	A Winter's Tale: A Comprehensive Study of the Common Cold (Title)	+

« Return to PI Search

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. 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.

Status Result - List of Applications/Grants 87

[Export](#)

Application ID Not Yet Assigned	2	01/01/2016 - 12/31/2017 (Project Period)	SHAKESPEARE, WILLIAM (PD/PI)	Measure for Measure & Other Scientific Methodologies (Title)	+
R21MH123456	2	06/01/2014 - 05/31/2016 (Project Period)	MARLOWE, CHRISTOPHER (PD/PI)	The Tragical History of the Life and Death of Doctor Faustus (Title)	-

Application ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
5R21MH123456-02		A Tragical History of the Life and Death of Doctor Faustus	MARLOWE, CHRISTOPHER (PI) SHAKESPEARE, WILLIAM (MPI)		Pending	05/22/2014	RPPR
1R21MH123456-01	GRANT12345678P	A Tragical History of the Life and Death of Doctor Faustus	MARLOWE, CHRISTOPHER (PI) SHAKESPEARE, WILLIAM (MPI)	Submission Complete	Awarded. Non-fellowships only	05/22/2014	

Once expanded, the following information is displayed:

Application ID

The application ID is provided as a link, which when selected opens the *Status Information* screen.

Status Information includes grant/application information such as status history, study section, contacts, etc. [Refer to the section of this document titled *Status Information on Page 142* for more information.](#)

If multiple PIs exist on the project, an *MPI* indicator appears next to the application ID.

Grants.gov Tracking #

This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

Proposal Title

The project name submitted on the application is displayed in this column.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status

The submission status of the application.

Current Application Status

This column displays the status of the application.

Status Date

The date on which the current status was set.

Available Actions (buttons)

Use the buttons in this column to access other modules or features within Commons. Available actions vary depending on the application. Possible actions include:

RPPR

Opens the *RPPR Menu* screen for editing or submitting an Research Performance Progress Report (RPPR). [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module on Page 245*.](#)

Public Access PRAM

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module on Page 245*.](#)

IC Requested PRAM

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting IC Requested

PRAM. Refer to the section of this document titled [Research Performance Progress Report \(RPPR\) Module on Page 245](#).

Fellowship Face Page

Displays for Fellowship Awards only

Progress Report Face Page

Only for paper grants not SNAP eligible

JIT

This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. Refer to the section of this document titled [Status Result - Just In Time Just in Time \(JIT\) on Page 191](#).

Extension

This link opens the No-Cost Extension (NCE) feature. Refer to the section of this document titled [No-Cost Extension \(NCE\) on Page 199](#).

Closed

This link opens the *Closeout Status* screen, which provides information on a closed grant. Refer to the section of this document titled [Status Result - Closeout Closeout Status on Page 164](#).

Requires Closeout

This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. Refer to the section of this document titled [Status Result - Closeout Closeout Status on Page 164](#).

Transmittal Sheet

Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

Administrative Supplement

For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

Relinquishing Statement

Used to access the feature for editing and re-routing the electronic relinquishing statement

Sandy Quarterly Report

For grants identified as NIH Hurricane Sandy Recovery awards. The link opens the *Sandy*

Quarterly Report for editing, saving, and/or submission.

Inclusion

Provides access to the Human Subjects System (HSS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about HSS via Status, refer to the separate [Human Subjects System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, HSS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather than through the **Inclusion** link in the Status module. Refer to the [NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#) for more information.

Tip: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

12.6.3 Searching by Grants.gov Tracking Number

To search for an application by its Grants.gov tracking number, enter the tracking number into the **Tracking Number** field of the **Search by Grants.gov Tracking Num** section and select the **Search** button.

Status: PI Search

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

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number

The *Status Result - Recent/Pending eSubmissions* screen returns only the application matching the entered tracking number. You can view *Errors/Warnings for Prior Failed Submissions* by selecting the **Show Prior Errors and Warnings** button.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

Grants.gov Tracking Number	Application ID	eSubmission Status	Proposal Title
GRANT00123456	GRANT00123456	eSubmission Error	The Taming of the Flu
PD/PI Name	eSubmission Status Date		
SHAKESPEARE, WILLIAM	06/16/2015 10:38:14		

Show Prior Errors and Warnings

< Return to PI Search

12.7 How does a PI track submission status?

The designated *Contact PD/PI* is able to view status information relating to their newly submitted applications during the "viewing window" (the first two business days after submission up to the submission deadline).

After the deadline, any applications which remains in the Pending status will also be visible.

NOTE: A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the **Action** column. [Refer to the section of this document titled *Direct Delegations on Page 72* for information on delegating Status.](#)

Steps to access status information:

1. Log in to [eRA Commons](#) with your Principal Investigator (PI) account username and password.
2. Click the "Status" tab and then select the "Recent/Pending eSubmissions" search option in the sub-menu bar or in the body of the page. (view screenshot)

Home Admin Institution Profile Personal Profile **Status** RPPR

Recent/Pending eSubmissions List of Applications/Grants Search by G

Status

ATTENTION: The Commons PI Status Page has been temporarily returned to the

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to
- Applications that are available to view (during two business day corre
- Applications that have been rejected by Signing Official

3. The next screen will display the results.

Status Result - Recent/Pending eSubmissions

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

Grants.gov Tracking #	Application ID	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors
GRANT00000001	AN2000000	eSubmission Error	Multi-scale mapping project for this, that, and the other thing.	SHAKESPEARE, WILLIAM	2006-10-03 04:24:52	Show Prior Errors and Warnings
GRANT00000010	AN2000010	eSubmission Error	Scientific research that is groundbreaking.	SHAKESPEARE, WILLIAM	2007-02-14 16:15:31	Show Prior Errors and Warnings
GRANT00000100	AN2000100	eSubmission Error	Neuronal Signaling and other hard to explain medical stuff	SHAKESPEARE, WILLIAM	2007-10-30 15:37:10	Show Prior Errors and Warnings

Export to Excel Show Query Print Hitlist

Tip: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

The following information is included in the table:

Grants.gov Tracking #

This is the number assigned when the application was submitted electronically to Grants.gov.

Application ID

A unique value assigned to applications before an NIH grant number is assigned

eSubmission Status

This shows the status of approval for the application.

Proposal Title

This is the project name submitted on the application.

NOTE: In the **Proposal Title** field, the designation of *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

*This column displays the **Show Prior Errors and Warnings** link. Selecting this link opens the **Errors/Warnings for Prior Failed eSubmissions** screen and displays any errors or warnings received for the application during eSubmission.*

For the purposes of eSubmission tracking, perform the following from the search results:

1. Check the **eSubmission Status** column to determine if your application status is “*eSubmission Error*” or “*Pending Verification*”.

NOTE: Errors *will* stop the submission process and require a [change/corrected application](#) but warnings will not. It is still critical to check the warning messages to ensure that the issue referenced does not apply to your application.

2. Use one of the two following methods to view the error messages and warnings. (show screenshot)

Status Result - Recent/Pending eSubmissions ?

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

Grants.gov Tracking #	Application ID	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors
GRANT1: 2	AN: 3 1234567	Pending Verification	Skeletal Manifestations of Renal PTH and FGF23 Resistance in Kidney Disease	FRIEDMAN, MILTON	2016-06-09:10:04	1 Show Prior Errors and Warnings

1-1 of 1 1

Export to Excel Show Query Print Hitlist

- **Method 1:** Select the **Show Prior Errors and Warnings** link from the **Show All Prior Errors** column to the right.
- **Method 2:** If "Pending Verification", select the Accession Number (AN:#####) displayed in the **Application ID** column to open the *Status Information* page.

Submission errors or warnings are displayed at the top of the *Status Information* page during the two day review period before the submission deadline. [Refer to the section of this document titled *Status Information on Page 142*](#) for more information on this screen.

12.8 Status Information

Status Information is a collection of grant information and links to grant-related documents stored in one place. *Status Information* is accessed by selecting the **Application Number** (hyperlink) from any result screen in the Status module.

Contacts

Administration: Scientific Review Administrator(SRO)
Name: Admin, SRO
Phone: 301-555-5555
Email: eRaTest@mail.nih.gov

Administration: Grants Management Specialist(GMS)
Name: Specialist, Grant
Phone: 301-555-5555
Email: eRaTest@mail.nih.gov

Administration: Program Official(PO)
Name: Official, Program
Phone: 301-555-5555
Email: eRaTest@mail.nih.gov

Latest Update

Application Source: Grants.gov
 FOA: [PA15-123] - Development of Innovative Methods and Algorithms for Cancer Research and Management (R21)

eRA Service Desk

Hours: Mon-Fri, 7AM-8PM EDIT/EST
 Web: <http://grants.nih.gov/support>
 Toll-free: 866-504-9552
 Phone: 301-402-7469
 Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Status Information ⓘ

Filter

1 R21 CA123456-01

Status: Application awarded. **Project Title:** Algorithmic Cancer Forecasting and Disruption

PI Name: Cantor, Georg **NIH Appl. ID:** 7654321 **Application ID:** 1 R21 CA123456-01

Status

Status: Application awarded.

Last Status Update Date: 06/24/2014

PI Name: Cantor, Georg **Institution Name:** COLLABORATORIUM UNIVERSITY **NIH Appl. ID:** 7654321
School Name: SCHOOL OF MATHEMATICAL MEDICINE
School Category: ORGANIZED RESEARCH UNITS
Division Name: NONE
Department Name: NONE

Proposal Receipt Date: 10/24/2013 **Proposal Title:** Prediction of Cancer Progression and Associated Markers to Develop Innovative Disruption and Treatment

Project Period Begin Date: 07/01/2014 **Current Award Notice Date:** 07/28/2014
Project Period End Date: 06/30/2018

Application Source: Grants.gov **eApplication Status:** Submission Complete

FOA: [PA15-123] - Development of Innovative Methods and Algorithms for Cancer Research and Management (R21)

Other Relevant Documents

[e-Application](#)

[Summary Statement](#)

[Latest NGA](#)

Notice(s) of Grant Award (PDF) [07/28/2014](#) , [06/24/2014](#)

[Abstract \(Awarded Grant\)](#)

Just In Time [06/13/2014 Times Revised\(2\)](#)

[eSubmission Cover Letter](#)

Additions for Review

[Document Event Log](#)

Review

Application	Study Section	Advisory Council (AC)
Award Document Number: RCA123456A	Scientific Review Group: ZRG1	Meeting Date: 06/02/2014
FSR Accepted Code: N	Council Meeting Date (YYYY/MM): 2014/05	Meeting Time: 08:30
Snap Indicator Code: Y	Meeting Date: 02/24/2014	
Impact Score: 21	Meeting Time: 08:30	
Percentile: 13.0	Study Roster: View Meeting Roster	
Early Stage Investigator Eligible: N		
New Investigator Eligible: N		
Eligible for FFATA Reporting: Yes		

Institute/Center Assignment

Institute or Center	Assignment Date
NATIONAL CANCER INSTITUTE (Primary)	10/24/2013
NATIONAL CANCER INSTITUTE (Primary)	11/04/2013

Status History

Effect Date	Status Message
06/18/2014	Award prepared: refer questions to Grants Management Specialist.
06/12/2014	Pending administrative review. Refer any questions to Program Official or Grants Management Specialist.
04/07/2014	Council review completed.
02/27/2014	Scientific Review Group review completed: Council review pending. Refer any questions to Program Official.
11/07/2013	Scientific Review Group review pending. Refer any questions to the Scientific Review Administrator.
10/24/2013	Application entered into system

Awards

Direct Amount	Facilities And Administrative	Fee Amount	Total Amount
\$256,498	\$139,791	\$0	\$396,289

Reference Letter(s)

This list shows Reference Letters associated with this particular Application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons

12.8.0.1 The screen displays the following sections of information:

Contacts: Names, phone numbers, and email addresses for grant-related contacts

The **Name**, **Phone**, and **Email** displays for the following contacts:

- Scientific Review Officer (SRO*)
- Grants Management Specialist (GMS)
- Program Official (PO)

The screenshot shows a 'Contacts' section with three entries, each separated by a horizontal line. Each entry includes the role, name, phone number, and email address.

Role	Name	Phone	Email
Administrative: Scientific Review Administrator(SRO)	Admin, SRO	301-555-5555	eRATest@mail.nih.gov
Administrative: Grants Management Specialist(GMS)	Specialist, GM		eRATest@mail.nih.gov
Administrative: Program Official(PO)	Official, Program	301-555-5555	eRATest@mail.nih.gov

Latest Update: Displays the latest changes affecting the application.

The screenshot shows a 'Latest Update' section with the following text:

Application Source: Grants.gov
FOA: [PA13-302] - RESEARCH PROJECT GRANT (PARENT R01)

eRA Service Desk: This section contains the contact information and operating hours for the Service Desk. The Service Desk is able to address most technical, functional, and account-related questions.



Screen Tools: Under the title of the screen (Status Information) is a row that contains tools to manage the screen content.



- **Filter** provides a text field that is used to search for specific content on the screen. This tool does not search the previously listed sections on the left of the page (Contacts, Latest Update, or eRA Service Desk)
- **Expand All** and **Collapse All** will affect each of the sections under the screen title except the application information section. **Expand All** will open all of the remaining sections to show all of the contents of that section. **Collapse All** will hide the content of those sections and only show the title of the section. This applies to;
 - Status
 - Other Relevant Documents
 - Additions for Review
 - Institute/Center Assignment
 - Status History
 - Awards
 - Reference Letters

NOTE: Individual sections may be expanded or collapsed individually.

- **Print** initiates a print of all of the content of the screen in a print-friendly format. The content in collapsible sections will print regardless of whether or not the sections are expanded or collapsed.

Application Information: At the top of the screen, under the screen tools, is a section which contains the following application information:

- Application number
- Status
- Project Title
- PI Name
- NIH Appl. ID
- Application ID

1 R21 CA123456-01		
Status: Application awarded.	Project Title: Algorithmic Cancer Forecasting and Disruption	
PI Name: Cantor, Georg	NIH Appl. ID: 7654321	Application ID: 1 R21 CA123456-01

Status: Includes basic information describing the current disposition of the application using the following data points:

- **Current Status of the Application**
- **Last Status Update Date**
- **PI Name**
- **Institution Name**
- **NIH Appl. ID**
- **School Name**
- **School Category**
- **Division Name**
- **Department Name**
- **Proposal Receipt Date**
- **Proposal Title**
- **Project Period Begin Date**
- **Project Period End Date**
- **Current Award Notice Date**
- **Application Source**
- **eApplication Status**
- **FOA**

Status		
Status: Application awarded.		
Last Status Update Date: 06/24/2014		
PI Name: Cantor, Georg	Institution Name: COLLABORATORIUM UNIVERSITY	NIH Appl. ID: 7654321
	School Name: SCHOOL OF MATHEMATICAL MEDICINE	
	School Category: ORGANIZED RESEARCH UNITS	
	Division Name: NONE	
	Department Name: NONE	
Proposal Receipt Date: 10/24/2013	Proposal Title: Prediction of Cancer Progression and Associated Markers to Develop Innovative Disruption and Treatment	
Project Period Begin Date: 07/01/2014	Current Award Notice Date: 07/28/2014	
Project Period End Date: 06/30/2018		
Application Source: Grants.gov	eApplication Status: Submission Complete	
FOA: [PA15-123] - Development of Innovative Methods and Algorithms for Cancer Research and Management (R21)		

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

Other Relevant Documents: Includes links to grant-related documents.

The following links may be available within **Other Relevant Documents** depending on the application/grant:

- **Abstract**
- **Administrative Supplement(s)**
- **Appendix 1 – 10 Submitted File Name**
- **Closeout Final Report Additional Material Request (FRAM)**
- **Component Appendices**
- **e-Application**
- **Final Invention Statement**
- **Final Research Performance Progress Report (Final RPPR)**
- **Fellowship Proposal Face Page**

- **FRAM Submission**
- **Institute/Center Progress Report Additional Material Request**
- **Just in Time**
- **FFR/FSR**
- **Notices of Grant Award**
- **Multi Year Progress Report(s)**
- **Notices of Grant Award (PDF)**
- **Progress Report Face Page**
- **Progress Report Additional Material (PRAM)**
- **Relinquishing Statement(s)**
- **Research Performance Progress Report**
- **Summary Statement**
- **Unfunded Progress Report**
- **xTrain Training Appointment(s)**
- **xTrain Termination Notice(s)**

Other Relevant Documents

[e-Application](#)

[Summary Statement](#)

[Latest NGA](#)

Notice(s) of Grant Award (PDF) [07/28/2014](#) , [06/24/2014](#)

[Abstract \(Awarded Grant\)](#)

Just In Time [06/13/2014 Times Revised\(2\)](#)

[eSubmission Cover Letter](#)

Additions for Review: Contains supplemental documents/files that were provided to the SRO to further support the application and/or individual sections.

Additions for Review

[Document Event Log](#)

Review: This section contains the following subsections and content:

- **Application:**
 - Award Document Number
 - FSR Accepted Code
 - Snap Indicator Code
 - Impact Score (PI only)
 - Percentile (PI only)
 - Early Stage Investigator Eligible
 - New Investigator Eligible
 - Eligible for FFATA Reporting
- **Study Section**
 - Scientific Review Group
 - Council Meeting Date
 - Meeting Date
 - Meeting Time
 - Study Roster
- **Advisory Council**
 - Meeting Date
 - Meeting Time

- Review

<div style="background-color: #e0e0e0; padding: 5px; border-bottom: 1px solid black;">Application</div> <p>Award Document Number: RCA123456A</p> <hr/> <p>FSR Accepted Code: N</p> <hr/> <p>Snap Indicator Code: Y</p> <hr/> <p>Impact Score: 21</p> <hr/> <p>Percentile: 13.0</p> <hr/> <p>Early Stage Investigator Eligible: N</p> <hr/> <p>New Investigator Eligible: N</p> <hr/> <p>Eligible for FFATA Reporting: Yes</p>	<div style="background-color: #e0e0e0; padding: 5px; border-bottom: 1px solid black;">Study Section</div> <p>Scientific Review Group: ZRG1</p> <hr/> <p>Council Meeting Date (YYYY/MM): 2014/05</p> <hr/> <p>Meeting Date: 02/24/2014</p> <hr/> <p>Meeting Time: 08:30</p> <hr/> <p>Study Roster: View Meeting Roster</p>	<div style="background-color: #e0e0e0; padding: 5px; border-bottom: 1px solid black;">Advisory Council (AC)</div> <p>Meeting Date: 06/02/2014</p> <hr/> <p>Meeting Time: 08:30</p>
---	---	--

Institute/Center Assignment: Displays the assignment history for the application.

The following information is displayed within **Institute or Center Assignment**:

- **Institute or Center**
- **Assignment Date**

Institute/Center Assignment	
Institute or Center	Assignment Date
NATIONAL CANCER INSTITUTE (Primary)	10/24/2013
NATIONAL CANCER INSTITUTE (Primary)	11/04/2013

Status History: Provides a history of the life of the application from submitted to awarded.

The following is displayed within **Status History**:

- **Effect Date**
- **Status Message**

Status History	
Effect Date	Status Message
06/18/2014	Award prepared: refer questions to Grants Management Specialist.
06/12/2014	Pending administrative review. Refer any questions to Program Official or Grants Management Specialist.
04/07/2014	Council review completed.
02/27/2014	Scientific Review Group review completed. Council review pending. Refer any questions to Program Official.
11/07/2013	Scientific Review Group review pending. Refer any questions to the Scientific Review Administrator.
10/24/2013	Application entered into system

Awards: Details on awarded dollar amounts.

The following award dollar information is available:

- **Direct Amount**
- **Facilities and Administrative**
- **Fee Amount**

- **Total Amount**

Awards			
Direct Amount	Facilities And Administrative	Fee Amount	Total Amount
\$225,000	\$102,082	\$0	\$327,082

Reference Letter(s): A list of submitted references letters.

If there are associated reference letters, the following information is available.

- **Referee Name**
- **Organization Affiliation**
- **Department**
- **Email**
- **Submitted**

Reference Letter(s)
This list shows Reference Letters associated with this particular Grant Application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons

PIs can also view reference letter information in the Reference Letter section of their Personal Profile. Refer to the [Reference Letters](#) topic of the Commons online help system for more information.

Tip: *Other Transaction Authority (OTA) - Some screens and terminology may be different in order to accommodate review of OTA, a type of award that is neither a grant nor a contract but a different way of funding that is being used across NIH. These changes will typically not be visible to NIH or agency reviewers.

12.8.1 Additions for Review

As the applicant, after submitting an application, you might send your Scientific Review Officer (SRO*) additional material that either clarifies or supplements information found on the original submission. When the SRO uploads this material, it is available to you via the *Status Information* screen.

Selecting the **Additions for Review** link from the **Other Relevant Documents** section of *Status Information* opens the *Additions for Review* screen. This screen provides links to the additional material along with other associated information.

Additions for Review		Back to Grant Folder
Grant Number	1 R01 A654321-01	
PI Name(s)	Auden, W.H.	
Project Title	The Age of Anxiety Disorders	
Appl. Status	Pending IRG Review	
Institution	SAMPLE UNIVERSITY	
Appl ID	1234567	
R01A654321-01 /		
Group	Document	Date
Supplemental Material	Post-submission material	10/25/2012 11:35 AM

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the uploaded material(s):

- **Group**

Displays the category to which the item belongs. Categories include Updated Pages; Supplemental Material; Collaboration Letters; Modified Budget Pages; Accepted Publication; Biographical Sketches; and Other.

- **Document**

Displays the document file name as a link, which opens the uploaded document. This document can be viewed, updated, and saved.

- **Date**

The date the document was uploaded.

Tip: *Other Transaction Authority (OTA) - Some screens and terminology may be different in order to accommodate review of OTA, a type of award that is neither a grant nor a contract but a different way of funding that is being used across NIH. These changes will typically not be visible to NIH or agency reviewers.

12.8.2 Administrative Supplements

Selecting the **Administrative Supplement(s)** link from the **Other Relevant Documents** section of *Status Information* opens the *Administrative Supplements* screen. This screen provides read-only access to administrative supplements created for the particular grant.

Administrative Supplements are requests for (or the award of) additional funds during a current project period to provide for an increase in costs due to unforeseen circumstances.

Administrative Supplements

Grant Number 5 R01 EB123456-09
 PI Name(s) Austen, Jane; **Bennet, Elizabeth (Contact)**; Darcy, Fitzwilliam
 Project Title Pride & Prejudice and the Human Psyche
 Appl. Status Application awarded.
 Institution UNIVERSITY OF PEMBERLEY
 Appl ID 8537158

Show Current Support Year Admin Supplements Show All Support Years Admin Supplements

Identifying Information	Accession Number	Supplement Status	Submitted Date	Comments for Grantee
3 R01 EB123456-09	1234567	Submitted to Agency	2014-05-05 02:56:28 PM	These are my sample comments!

[Close](#)

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the administrative supplements, displayed in a table format. You can opt to view the current support year or all support years by selecting the appropriate radio button:

- **Show Current Support Year Admin Supplements**
- **Show All Support Years Admin Supplements**

The table includes the following columns of information:

- **Identifying information**

Displays the grant number as a link, which opens the *Administrative Supplement Request* PDF.

- **Accession Number**

- **Supplement Status**

- **Submitted Date**

- **Comments for Grantee**

Select the [Close](#) link to exit the screen.

12.8.3 Institute/Center PRAM Requests

Selecting the link for **Progress Report Additional Material (PRAM)** from the **Other Relevant Documents** section of *Status Information* opens the *Institute/Center PRAM Requests* screen. This screen provides read-only access to all current IC PRAM requests along with associated data.

Institute/Center PRAM Requests ?		Back to Grant Folder	
Grant Number	5 R01 EB123456-09		
PI Name(s)	Austen, Jane; Bennet, Elizabeth (Contact) ; Darcy, Fitzwilliam		
Project Title	Pride & Prejudice and the Human Psyche		
Appl. Status	Application awarded.		
Institution	UNIVERSITY OF PEMBERLEY		
Appl ID	8537158		
Identifying Information	Requested Date	Number of Reminder(s) Sent	Last Reminder Sent Date
Sample PRAM Request#1	2014-06-05 10:02 AM	0	2014-06-05 10:02 AM
Progress Report Additional Material	06/05/2014 Times Revised (1)		
<small>Public Access PRAM eNotifications are system-generated upon submission of a RPPR with non-compliant publication(s), and are not reflected in the chart above.</small>			

The top of the screen displays general grant information including:

- **Grant Number**

- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**

- **Appl. Status**

- **Institution**

- **Appl ID**

Below this section, you can find information specific to the submitted PRAM.

- **Identifying Information**

Displays the identifying name for the information provided by the IC PRAM request sender, displayed as a link. Select the link to open a read-only copy of the I/C PRAM Request details sent to the grantee.

- **Requested Date**
- **Number of Reminders Sent**
- **Last Reminder Sent Date**

At the bottom of the screen is a link next to the title **Progress Report Additional Material**. Select this link to open a consolidated report of all submitted materials responding to the PRAM request. The link itself shows the last updated date of the PRAM and the number of times revised.

The *Progress Report Additional Materials* file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of IC Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.

12.8.4 Relinquishing Statements

Selecting the link for **Relinquishing Statement(s)** from the **Other Relevant Documents** section of *Status Information* opens the *Relinquishing Statements* screen. This screen provides access to read-only versions of all relinquishing statements associated with the grant.

A relinquishing statement is required as part of the Change of Institution process allowing an extramural grantee institution to transfer an active grant to another institution. The process is initiated by the Signing Official of the institution that holds the award, who submits a Relinquishing Statement in eRA Commons and identifies the institution that will take over the award.

Relinquishing Statements ?			
Grant Number	1 R56 DK123456-01		
PI Name(s)	Shakespeare, William		
Project Title	All's Well That Ends Well with Advancements in Medicine		
Appl. Status	Application awarded.		
Institution	SRATFORD-UPON-AVON UNIVERSITY		
Appl ID	1234567		
Document Name	Status	Submitted Date	Comments for Grantee
Relinquishing Statement	Submitted to Agency	2014-06-04 09:29:18	
Close			

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the relinquishing statement(s) for the grant.

- **Document Name**

The relinquishing statement name is displayed as a link, which opens a read-only version of the form.

- **Status**

The status of the submitted form.

- **Submitted Date**

The date on which the organization's SO submitted the form.

- **Comments for the Grantee**

Where applicable, displays comments entered by Agency staff directed to the grantee.

12.8.5 Closeout FRAM Requests

Selecting the link for **Closeout Final Report Additional Materials Request (FRAM)** from the **Other Relevant Documents** section of *Status Information* opens the *Closeout FRAM Requests* screen. This screen provides read-only access to all current Closeout FRAM requests along with associated data.

Closeout FRAM Requests			
Back to Grant Folder			
Grant Number	1 R15 MH123456-01		
PI Name(s)	Auden, W.H.		
Project Title	The Age of Anxiety Disorders		
Appl. Status	Awarded. Non-fellowships only		
Institution	UNIVERSITY OF LITERATURE		
Appl ID	123456		
Identifying Information	Requested Date	Number of Reminder(s) Sent	Last Reminder Sent Date
Sample FRAM request #1	2014-09-22 11:43 AM	0	2014-09-22 11:43 AM
Sample FRAM request #2	2014-09-22 11:42 AM	0	2014-09-22 11:42 AM
Sample FRAM request #3	2014-09-22 11:41 AM	0	2014-09-22 11:41 AM

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the submitted FRAM.

- **Identifying Information**

Displays the identifying name for the information provided by the FRAM request sender, displayed as a link. Select the link to open a read-only copy of the FRAM Request details sent to the grantee.

- **Requested Date**
- **Number of Reminders Sent**
- **Last Reminder Sent Date**

12.9 How Does a PI See the Review Outcome?

Review Outcomes are found in Summary Statements. These statements are PDF documents combining reviewers' written comments and the Scientific Review Officer's (SRO*) summary of the discussion surrounding your application during the review meeting.

Policy: [Scoring System and Procedure](#)

As a PI, you can view your application's Summary Statement using the Status Information screen once it has been released by the SRO following the review meeting.

12.9.1 To view your Summary Statement:

1. Log into Commons.
2. Select the **Status** tab from the Commons menu.
3. Click on the **List of Applications/Grants** section.

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners

Non-Research

Status: PI Search

The Status screens have been updated. If you have any questions about the new Commons Status look and feel please contact the eRA Service Desk .

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

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Awards

- Funded Awards
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/awards

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific award application

Tracking Number Search

The results display in either a Grouped or Flat view format. You may toggle between those views as desired. The application ID will be provided as a link which, when selected, opens the *Status Information* screen.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT
Admin Supp eRA Partners Non-Research

« Return to PI Search

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. 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.

Status Result - List of Applications/Awards ? 9

Grouped View Flat View

R01AI084918
05/01/2010 - 07/31/2023 (Project Period) 8
CARTER, PEGGY (PD/PI)
Plasmid-Bacteria Coevolution ...
Pending IRG Review

Application/Award ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
2R01AI123456-06A1	GRANT12345678	Plasmid-Bacteria Coevolution ...	CARTER, PEGGY (PI)	Submission Complete	Pending IRG Review	11/14/2017	
2R01AI999999-06	GRANT99999999	PLASMID-BACTERIA COEVOLUTION ...	CARTER, PEGGY (PI)	Submission Complete	Council review completed	07/17/2017	JIT
5R01AI000123-05		Plasmids as Vectors of ...	CARTER, PEGGY (PI) ERSKINE, ABRAHAM (MPI)		Awarded. Non-fellowships only	04/08/2014	Closed RPPR

4. Select the application ID link for the specific application.

The *Status Information* screen displays. The *Status Information* screen includes a section called **Other Relevant Documents**. This section houses links to various application-related documents, including the Summary Statement.

5. Select the link titled Summary Statement. It will open in a separate window.

Other Relevant Documents

- [e-Application](#)
- [Appendix:appendix1_toc.pdf](#)
- [Appendix 2:appendixa_ctot08protocol.pdf](#)
- [Appendix 3:appendixb_datacollectioninstrument.pdf](#)
- [Summary Statement](#)
- [Latest NGA](#)
- Notice(s) of Grant Award (PDF) [06/20/2017 , 07/15/2015](#)
- [Abstract \(Awarded Grant\)](#)
- Just In Time [06/30/2015 Times Revised\(1\)](#)
- [eSubmission Cover Letter](#)

Abbreviated review information is found in the Review section of the Summary Information screen. Expand this section to see the following:

- **Application:**
 - Award Document Number
 - FSR Accepted Code
 - Snap Indicator Code
 - Impact Score (PI only)
 - Percentile (PI only)
 - Early Stage Investigator Eligible
 - New Investigator Eligible
 - Eligible for FFATA Reporting
- **Study Section**
 - Scientific Review Group
 - Council Meeting Date
 - Meeting Date

- Meeting Time
- Study Roster
- **Advisory Council**
 - Meeting Date
 - Meeting Time

Review

<div style="background-color: #e0e0e0; padding: 5px; margin-bottom: 5px;">Application</div> <p>Award Document Number: RCA123456A</p> <hr/> <p>FSR Accepted Code: N</p> <hr/> <p>Snap Indicator Code: Y</p> <hr/> <p>Impact Score: 21</p> <hr/> <p>Percentile: 13.0</p> <hr/> <p>Early Stage Investigator Eligible: N</p> <hr/> <p>New Investigator Eligible: N</p> <hr/> <p>Eligible for FFATA Reporting: Yes</p>	<div style="background-color: #e0e0e0; padding: 5px; margin-bottom: 5px;">Study Section</div> <p>Scientific Review Group: ZRG1</p> <hr/> <p>Council Meeting Date (YYYY/MM): 2014/05</p> <hr/> <p>Meeting Date: 02/24/2014</p> <hr/> <p>Meeting Time: 08:30</p> <hr/> <p>Study Roster: View Meeting Roster</p>	<div style="background-color: #e0e0e0; padding: 5px; margin-bottom: 5px;">Advisory Council (AC)</div> <p>Meeting Date: 06/02/2014</p> <hr/> <p>Meeting Time: 08:30</p>
---	---	--

Tip: *Other Transaction Authority (OTA) - Some screens and terminology may be different in order to accommodate review of OTA, a type of award that is neither a grant nor a contract but a different way of funding that is being used across NIH. These changes will typically not be visible to NIH or agency reviewers.

12.10 Viewing the Notice of Award (NOA)

Policy: [Notice of Award Policy](#)

Notices of Grant Awards (NOA) are sent to the email address specified in the Institutional Profile. The SO can update the NOA address through the institutional profile update function.

NOAs are also available for viewing within the *Status Information* screen.

To view the NOA:

1. Log into Commons.
2. Select **Status** from the Commons menu.

3. Select the **List of Applications/Awards** section.

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners

Non-Research

Status: PI Search

The Status screens have been updated. If you have any questions about the new Commons Status look and feel please contact the eRA Service Desk .

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

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Awards

- Funded Awards
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/awards

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific award application

Tracking Number Search

The results display in Grouped or Flat view. The application ID within this table is provided as a link, which when selected, opens the *Status Information* screen.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT
Admin Supp eRA Partners Non-Research

[« Return to PI Search](#)

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. 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.

Status Result - List of Applications/Awards ? 9 Grouped View Flat View

R01AI084918
05/01/2010 - 07/31/2023 (Project Period) 8
CARTER, PEGGY (PD/PI)
Plasmid-Bacteria Coevolution ...
Pending IRG Review

Application/Award ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
2R01AI123456-06A1	GRANT12345678	Plasmid-Bacteria Coevolution ...	CARTER, PEGGY (PI)	Submission Complete	Pending IRG Review	11/14/2017	
2R01AI999999-06	GRANT99999999	PLASMID-BACTERIA COEVOLUTION ...	CARTER, PEGGY (PI)	Submission Complete	Council review completed	07/17/2017	JIT
5R01AI000123-05		Plasmids as Vectors of ...	CARTER, PEGGY (PI) ERSKINE, ABRAHAM (MPI)		Awarded. Non-fellowships only	04/08/2014	Closed RPPR

4. Select the application ID link for the specific application.

The *Status Information* screen displays. The top of *Status Information* includes a section called **Other Relevant Documents**. This section houses links to various application-related documents, including the NOA. The NOA link is displayed as a date next to the field titled **Notice(s) of Grant Award (PDF)**.

5. Select the NOA link. It will open in a separate window.

Contacts

Administration: Grants Management Specialist(GMS)
Name: Zhivago, Yuri
Phone: 301-555-5555
Email: eRaTest@mail.nih.gov

Administration: Program Official(PO)
Name: Guichard, Larissa
Phone: 301-555-5555
Email: eRaTest@mail.nih.gov

Latest Update

Progress Report Due Date: 10/16/2010
Application Source: Esnap
FOA: [PA07-070] - RESEARCH PROJECT GRANT (PARENT R01)

eRA Service Desk

Hours: Mon-Fri, 7AM-8PM EDIT/EST
Web: <http://grants.nih.gov/support>
Toll-free: 866-504-9552
Phone: 301-402-7469
Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Status Information ?

✕

5 R01 AI051463-07

Status: Application awarded. **Project Title:** Repair of HCMV-Induced DNA Damage in Infected Cells

PI Name: IVANOVA, ANNA **NIH Appl. ID:** 9999999 **Application ID:** 5 R01 AI123456-07

- + Status
- Other Relevant Documents
 - e-Application
 - Latest NGA
 - Notice(s) of Grant Award (PDF) [05/26/2011](#) , [11/10/2010](#)
 - Abstract (Awarded Grant)
- + Additions for Review
- + Review
- + Institute/Center Assignment
- + Status History
- + Awards
- + Reference Letter(s)

12.11 Status Result - Closeout **Closeout Status**

Policy: [Closeout policy information](#)

Closeout is a feature that allows a grantee to electronically file the information necessary to complete grant closeout requirements. It interfaces with the Closeout system used by Agency staff to track and monitor this business process. NIH will close out grants as soon as possible after expiration of a grant that is not to be extended or after termination of a grant. Closeout includes timely submission of all required reports and adjustments for amounts due the grantee or NIH. Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Following Closeout, the grantee remains obligated to return funds due, because of later refunds, corrections, or other transactions, and the Federal Government may recover amounts based on the results of an audit covering any part of the period of grant support.

If you hold an SO, PI, or FSR role, you can access the *Closeout Status* screen to perform the following:

- Track your grants that are in Closed status
- Submit reports required for closeout
- Submit any requested additional material (FRAM) related to your Final Research Performance Progress Report (Final RPPR)
- Access the FFR module of Commons to initiate and submit Federal Financial Reports (you must hold an FSR role)

12.11.1 Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

The *Closeout Status* screen is accessed via links on the Status result screens ([Status Result - Closeout](#) or [Status Result - General Search](#) for SOs; [Status Result - List of Applications/Grants](#) for PIs).

The links you may see on your results screen include:

- **Requires Closeout:** Grant has not completed the closeout process
- **Closed:** Grant has completed the closeout process
- **In Unilateral Closeout:** Grant is currently in the process of being unilaterally closed (see note below)
- **Unilaterally Closed** Grant has been unilaterally closed by the IC (see note below)

NOTE: The U.S. Department of Health and Human Services (HHS) has issued a directive to Agencies on new policies for closeout of grant awards. NIH has revised its policies and procedures to align with the OER Policy Announcement 2014 regarding the guidance on

implementation of HHS GPAM Chapter 1101 (Closeout), including Unilateral Closeout.

The policy chapter directs Institutes/Centers (ICs) to initiate a unilateral closeout – a closeout without the cooperation of the grantee – 180 days after the project end date if it has not received acceptable final reports required by the terms and conditions of an award. After making reasonable efforts to obtain the final reports ICs must close all awards no later than 270 days after the project end date. This substantially decreases the timeframe in which NIH must officially close a grant after the project end date.

At the top of the *Closeout Status* screen, the following **Application Information** displays:

- **Grant Number**
- **PI Name**
- **Closeout Contact Name**
- **Closeout Contact Email**
- **Closeout Contact Phone**
- **Project Period**
- **Proposal Title**

Below this information is the **Closeout Submission Requirement** including **Instruction**, **Status** of the requirement, **Result of Actions**, and **Date** of action. Also included are the available **Action** link(s), which vary and may include:

- FFR (**Create New** and **View** links)
- Final RPPR (**Process Final RPPR**; **View**; **FRAM**; and **View FRAM** links)
- Final Invention Statement (**Process Final Invention Statement** and **View** links)

Refer to the related topics for more information about FFR, Final Research Performance Progress Report, and Final Invention Statements.

IMPORTANT: At the top of the screen, text will indicate if the grant is in unilateral closeout or has been unilaterally closed, as applicable, and the date on which this occurred. While In Unilateral Closeout, links will be available in the **Action** column unless they have been closed by Grants Management Staff, in which case you will not see the links. When Unilaterally Closed, links will not be available. The message on the screen indicates whether links have been disabled.

IMPORTANT: eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners

[← Return to Search Results](#)

Closeout Status ?

Application Information

Grant Number: 5R01DK123456-13	PD/PI Name: FATHERS, SAM	Closeout Contact Name: MCCASLIN, ISAAC
Project Period: 09/30/1999 to 07/31/2016	Closeout Status: Requires Closeout	Closeout Contact Email: eRATest@mail.nih.gov
Proposal Title: Role of Nitric Oxide in Interstitial Cystitis	Date Of Status Change:	Closeout Contact Phone: 301-555-5555

Closeout Submission Requirement

Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role.	Not Started			
Final RPPR	Only the SO or the PI of the Grant may process the Final RPPR.	Not Received			Process Final RPPR
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Not Received			Process Final Invention Statement

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR xTrain xTRACT Admin

Closeout Status ?

Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01DK123456-13	PD/PI Name: FATHERS, SAM
Closeout Contact Name: MCCASLIN, ISAAC	Closeout Contact Email: eRATest@mail.nih.gov
Closeout Contact Phone: (301) 555-5555	Project Period: 09/30/1999 to 07/31/2016
Proposal Title: Role of Nitric Oxide in Interstitial Cystitis	
Closeout Status: Requires Closeout	Date of Status Change:

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role.	Not Started			
Final RPPR	Only the SO or the PI of the Grant may process the Final RPPR	Not Received			Process Final RPPR
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

[Back](#)

Closeout Status Form Approved OMB No. 0925-0002					
Application Information					
Grant Number:	5R01DK123456-13	PD/PI Name:	FATHERS, SAM		
Closeout Contact Name:	MCCASLIN, ISAAC	Closeout Contact Email:	eRATest@mail.nih.gov		
Closeout Contact Phone:	(301) 555-5555	Project Period:	09/30/1999 to 07/31/2016		
Proposal Title:	Role of Nitric Oxide in Interstitial Cystitis				
Closeout Status:	Requires Closeout		Date of Status Change:		
Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role.	Not Started			
Final RPPR	Only the SO or the PI of the Grant may process the Final RPPR	Not Received			Process Final RPPR
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement
Additional Material					Additional Material
<input type="button" value="Back"/>					

12.11.2 Federal Financial Report (FFR) Module

A Federal Financial Report (FFR) is a statement of expenditures associated with a grant. Recipients of federal funds are required to complete an FFR to report the status of funds to the sponsor of the grant.

If you have the FSR role, you can use the FFR module to search for grants and associated FFRs for your institution. In the FFR module, you can perform the following tasks:

- Create a new FFR
- View an FFR
- Submit an FFR
- Revise an FFR

With the FSR role, you can also access the FFR module from the *Closeout Status* screen.

The Commons Online Help System contains detailed information on the FFR module. You can access the FFR topics at the following site: http://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm. If you prefer a PDF format

user guide, refer to the *Federal Financial Report (FFR) Expenditure Data User Guide* at http://era.nih.gov/files/ffr_user_guide.pdf.

12.11.3 Submitting Your Final Invention Statement (FIS)

You must submit a Final Invention Statement within 90 days following the termination of a grant award. The statement should include all inventions that were conceived or first reduced to practice during the course of work under the grant or award, from the original effective date of support through the date of completion or termination.

Policy: Refer to the [Procedure for Submission of Final Invention Statement and Certification](#) for more policy related information.

All actions are performed from the *Submit Final Invention Statement* screen, which is accessed via the *Closeout Status* screen. From here, SOs and PIs to do one of the following:

- Certify that no inventions were conceived or first reduced to practice during the course of work
- Add and submit information on inventions conceived/used during the course of work

NOTE: Although a PI can create the FIS, only a SO can submit it to Agency.

12.11.3.1 Reporting Inventions on Your FIS

IMPORTANT: eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.

If you hold an SO or PI role, you can add inventions to the Final Invention Statement.

To add inventions to the FIS:

1. Select the **Requires Closeout** link for the grant from Status search results.

The *Closeout Status* screen displays. Final Invention Statement is listed in the **Closeout Submission Requirement** column. The **Action** column should include a link for **Process Final Invention Statement**.

2. From *Closeout Status*, select the **Process Final Invention Statement** link.

Closeout Status ? Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			Create New
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	Not Received			Process Final Progress Report
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

[Back](#)

<< Return to Search Results

Closeout Status ?

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK Closeout Contact Name: DOE, JANE
 Project Period: 07/01/2005 to 03/31/2011 Closeout Status: Requires Closeout Closeout Contact Email: JaneDoe@email.com
 Proposal Title: Scientific Research Study that will Change the World Date Of Status Change: 03/31/2011 Closeout Contact Phone: 301-555-1111

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role. You must have FSR role to view the document.	Accepted	Accepted by (FSR)	09/12/2011	
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report.	FPR Received	Submitted by HUCK FINN (PI)	01/21/2016	View
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Not Received			Process Final Invention Statement

The *Submit Final Invention Statement* screen displays. From this screen you can:

- Cancel out of the processing of the FIS
- Indicate that no inventions were created during the course of the project
- Report inventions created during the course of the project

Refer to the section of this document titled *Claiming No Inventions on Your FIS* on Page 174 for information on submitting an FIS with no inventions.

Follow the steps below to submit a report and claim an invention.

Submit Final Invention Statement [?](#) Form Approved OMB No. 0925-0002

Application Information	
Grant Number: 5R01NS000001-13	PD/PI Name: FINN, HUCK
Closeout Contact Name: JANE DOE	Closeout Contact Email: JaneDoe@email.com
Closeout Contact Phone: 301-555-1111	Project Period: 03/01/2010 to 12/31/2012
Proposal Title: Scientific Research Study that Will Change the World	

To process a Final Invention Statement (HHS Form 568), the individual performing the initial submission—whether that person is the Program Director/Principal Investigator (PD/PI) on the grant or a Signing Official (SO)—at the institution must determine whether inventions are to be reported. If inventions are reported, the specific inventions must be listed. Following this process, the SO should review the report identified by the "View Invention Statement" link and, if acceptable, Submit the Final Invention Statement to HHS for that grant.

[« Return to Search Results](#)

Submit Final Invention Statement [?](#)

Application Information		
Grant Number: 5R01NS000001-13	PD/PI Name: FINN, HUCK	Closeout Contact Name: DOE, JANE
Project Period: 07/01/2005 to 03/31/2011	Closeout Status: Requires Closeout	Closeout Contact Email: JaneDoe@email.com
Proposal Title: Scientific Research Study that will Change the World	Date Of Status Change: 03/31/2011	Closeout Contact Phone: 301-555-1111

Manage Inventions

3. Select the **Yes** button.

The *Add Invention* screen opens. From this screen, SOs and PIs may perform the following actions:

4. To add a new invention:
 - a. Fill in the required fields.
 - **Title of Invention**
 - **Name of Inventor**
 - **Date Reported to DHHS**
 - b. Select the **Add Invention** button.

The added invention displays in the **Saved Invention** section of the screen.

5. Repeat the steps above to add all of your project's inventions.

- Optional: If you need to remove an invention, you can do so by selecting the **Remove** link in the **Action** column under the **Saved Invention** section.

Add Invention Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Add New Invention * indicates required fields

Title of Invention *
 Name of Inventor * Date Reported to DHHS * (MM/DD/YYYY)
 (Must be Today's date or Before)

Saved Invention

Name of Inventor	Title of Invention	Date Reported to DHHS	Action
Huck Finn	My Invention	06/17/2013	Remove

[« Return to Search Results](#)

Add Invention

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK Closeout Contact Name: DOE, JANE
 Project Period: 07/01/2005 to 03/31/2011 Closeout Status: Requires Closeout Closeout Contact Email: JaneDoe@email.com
 Proposal Title: Scientific Research Study that will Change the World Date Of Status Change: 03/31/2011 Closeout Contact Phone: 301-555-1111

Add New Inventions * indicates required fields

Title of Invention * Name of Inventor * Date Reported to DHHS *
 (Must be Today's date or Before)
 mm/dd/yyyy

Saved Invention

Name of Inventor	Title of Invention	Date Reported to DHHS	Action
Huck Finn	My Invention	01/01/2016	Remove

7. Select the **Save** button.

In a separate window, a certification statement displays.

I hereby certify that, to the best of my knowledge and belief, all inventions are listed which were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period. Further, this report does not in any way relieve our obligation to promptly and fully report all inventions directly to the National Institutes of Health, as required by the terms of the grant or award.

If you are a PI saving an invention, you will also see the following statement added to the certification message:

Note that a user with the SO privilege must verify the Final Invention Statement prior to submission.

8. Select the **OK** button to continue.

You can select **Cancel** if you have made a mistake and need to return to the *Submit Final Invention Statement* screen.

When you save the report, the status of the FIS updates depending on whether you are an SO or a PI.

- Status = Saved (if SO) or Awaiting SO Verification (if PI)
- Result of Actions = Submitted by <your name>
- Date = Current date/date you saved the information
- Action = **Process Final Invention Statement** link

The SO must verify and submit the FIS. [Refer to the section of this document titled *Submitting Your FIS on Page 177*](#) for more information.

Closeout Status Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			Create New
Final Progress Report	Only the SO or the PI for the Grant may process the Final Progress Report	Not Received			Process Final Progress Report
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Saved	Submitted by BECKY THATCHER (SO)	06/17/2013	Process Final Invention Statement

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12.11.3.2 Claiming No Inventions on Your FIS

IMPORTANT: eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.

If you hold an SO or PI role, you can create a Final Invention Report indicating no inventions.

To create a Final Invention Statement certifying that no inventions exist:

1. Select the **Requires Closeout** link for the grant from Status search results.

The *Closeout Status* screen displays. Final Invention Statement is listed in the **Closeout Submission Requirement** column. The **Action** column should include a link for **Process Final Invention Statement**.

2. Select the **Process Final Invention Statement** link.

Closeout Status Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			Create New
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	Not Received			Process Final Progress Report
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

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« Return to Search Results

Closeout Status ?

Application Information

Grant Number: 5R01NS000001-13	PD/PI Name: FINN, HUCK	Closeout Contact Name: DOE, JANE
Project Period: 07/01/2005 to 03/31/2011	Closeout Status: Requires Closeout	Closeout Contact Email: JaneDoe@email.com
Proposal Title: Scientific Research Study that will Change the World	Date Of Status Change: 03/31/2011	Closeout Contact Phone: 301-555-1111

Closeout Submission

Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role. You must have FSR role to view the document.	Accepted	Accepted by (FSR)	09/12/2011	
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report.	Not Received			<input type="button" value="Process Final Progress Report"/>
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Not Received			<input type="button" value="Process Final Invention Statement"/>

The *Submit Final Invention Statement* screen displays.

3. Select the **No** button.

Form Approved OMB No. 0925-0002

Submit Final Invention Statement ?

Application Information

Grant Number: 5R01NS000001-13	PD/PI Name: FINN, HUCK
Closeout Contact Name: JANE DOE	Closeout Contact Email: JaneDoe@email.com
Closeout Contact Phone: 301-555-1111	Project Period: 03/01/2010 to 12/31/2012
Proposal Title: Scientific Research Study that Will Change the World	

To process a Final Invention Statement (HHS Form 568), the individual performing the initial submission—whether that person is the Program Director/Principal Investigator (PD/PI) on the grant or a Signing Official (SO)—at the institution must determine whether inventions are to be reported. If inventions are reported, the specific inventions must be listed. Following this process, the SO should review the report identified by the "View Invention Statement" link and, if acceptable, Submit the Final Invention Statement to HHS for that grant.

« Return to Search Results

Submit Final Invention Statement

Application Information		
Grant Number: 5R01NS000001-13	PD/PI Name: FINN, HUCK	Closeout Contact Name: DOE, JANE
Project Period: 07/01/2005 to 03/31/2011	Closeout Status: Requires Closeout	Closeout Contact Email: JaneDoe@email.com
Proposal Title: Scientific Research Study that will Change the World	Date Of Status Change: 03/31/2011	Closeout Contact Phone: 301-555-1111

Manage Inventions

In a separate window, a certification statement displays.

I hereby certify that, to the best of my knowledge and belief, no inventions were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period.

4. Select the **OK** button to confirm.

You can select **Cancel** if you have made a mistake and need to return to the *Submit Final Invention Statement* screen.

When you save your FIS, the *Closeout Status* screen will update to show the following:

- Status = Saved
- Result of Actions = Submitted by <your name>
- Action = **Process Final Invention Statement** link

The SO must verify and submit the FIS. [Refer to the section of this document titled *Submitting Your FIS on Page 177*](#) for more information.

12.11.3.3 Updating Your Saved FIS

If you hold an SO role, you can change a saved Final Invention Statement to add invention(s) or to change the certification.

To change your FIS:

1. Select the **Process Final Invention Statement** link from *Closeout Status*.

Closeout Status  Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			Create New
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	Not Received			Process Final Progress Report
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

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The *Submit Final Invention Statement* screen displays. The options available on this screen include:

- **View Invention Statement** (<inventions reported> -or- <no inventions reported>) link
- **Submit** (only if you have an SO role)
- **Change**
- **Cancel**

Submit Final Invention Statement  Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

[View Invention Statement](#) (Inventions reported)

5. To change your FIS, select the **Change** button.

When **Change** is selected, you have the option to re-select **Yes** or **No** to indicate whether inventions are being reported. Select the **No** button if you wish to certify that no inventions are being reported. Otherwise, follow the next steps to update your saved inventions on the FIS.

6. To update the inventions on your FIS, select the **Yes** button.

The *Add Invention* screen displays. From here, you can add another invention or remove saved inventions. [Refer to the section of this document titled *Reporting Inventions on Your FIS* on Page 169.](#)

12.11.3.4 Submitting Your FIS

If you hold an SO role, you may submit a Final Invention Statement.

To submit the FIS:

1. Select the **Process Final Invention Statement** link from the *Closeout Status* screen.

Closeout Status Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			Create New
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	Not Received			Process Final Progress Report
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

[Back](#)

The *Submit Final Invention Statement* screen displays. As an SO, your options include:

- **View Invention Statement** (<inventions reported> -or- <no inventions reported>)
- **Submit** (available only to SO role)
- **Change**
- **Cancel**

Submit Final Invention Statement Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

[View Invention Statement \(Inventions reported\)](#)

2. Select the **View Invention Statement** link to look the FIS over and verify its accuracy. The report will open in a separate window as a PDF document.
3. Select the **Submit** button.

In a separate window, a certification statement displays.

I hereby certify that, to the best of my knowledge and belief, all inventions are listed which were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period. Further, this report does not in any way relieve our obligation to promptly and fully report all inventions directly to the National Institutes of Health, as required by the terms of the grant or award.

4. Select the **OK** button to confirm and continue.

Once you have submitted the report, you cannot update it. If you need to hold off on submission, you can select **Cancel** to return to the *Submit Final Invention Statement* screen.

Once you've submitted the FIS, the status details update as follows:

- Status = Received
- Result of Actions = Verified by <your name>
- Date = Current date/date you submitted the report
- Action = **View** link

The FIS is now available to view using the **View** link on *Closeout Status*. It can also be viewed from the *Status Information* screen for the grant.

Closeout Status Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			Create New
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	Not Received			Process Final Progress Report
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Received	Verified by BECKY THATCHER (SO)	06/17/2013	View

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12.11.4 Submitting Your Final Research Performance Progress Report

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a *Final Research Performance Progress Report* (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The *Interim RPPR* link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the *Process Final RPPR* link only appears on the [Closeout Status](#) screen.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR.

Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

12.11.4.1 Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

12.11.4.2 To submit your Final RPPR:

1. Select the **Requires Closeout** link for the grant from *Status search* results.

The [Closeout Status](#) screen displays. Final RPPR is listed in the *Closeout Submission Requirement* column. The *Action* column should include a link for **Process Final RPPR**.

2. From Closeout Status, select the **Process Final RPPR** link.

Clicking the **Process Final RPPR** link opens the *Final RPPR Menu* screen:

Final RPPR Menu ?

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	
Status:	Not Started

Buttons: **Initiate** (circled in red), Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

3. Click the Initiate button to create the Final RPPR.

The Final RPPR Menu will then change, providing the user with the option to Edit the Final RPPR:

Final RPPR Menu ?

The RPPR has been successfully initiated.

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	McCoy, Leonard B
Status:	PD/PI Work in Progress

Buttons: **Edit** (circled in red), Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

4. Clicking **Edit** opens the navigation to the various sections of the Final RPPR:

The screenshot shows the 'A. Cover Page' form with the following sections and data:

- Grant Information:** Grant Number: 5R21HL123456-02; Project Title: Andronesian Encephalitis Can Lead to Genetic Degeneration
- A.1 Program Director/Principal Investigator (PD/PI) Information:** Name: Kirk, Tiberius J; E-mail: lamKirok@sfa.ea.edu; Phone: (111) 555-1701
- A.1.a:** Is there a change of contact PD/PI on a multiple-PI award? N/A Yes No
- A.1.b:** Not Applicable
- A.2 Signing Official Information:** Name: [Dropdown]; E-mail: [Text]; Phone: [Text]
- A.3 Administrative Official Information:** Name: [Dropdown]; E-mail: [Text]; Phone: [Text]
- A.4 Recipient Organization Information:** Organization Name: STARFLEET ACADEMY, MEDICAL RESEARCH; Address: STARFLEET ACADEMY, MEDICAL RESEARCH 1 WARP SPEED DRIVE SAN FRANCISCO CA 09876; DUNS: 987654321; EIN: 1234567890A1; Recipient ID: [Text]
- Project/Grant Period:** Start Date: 08/15/2011; End Date: 05/31/2013
- Reporting Period:** Start Date: 06/01/2012; End Date: 05/31/2013
- Requested Budget Period:** Start Date: 06/01/2012; End Date: 05/31/2013
- Report Frequency:** Annual (Dropdown); Other Frequency: [Text]

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return *Final RPPR Menu* screen.

In the *Final RPPR Menu* screen, there are several action buttons at the bottom that you can use to complete the Final RPPR:

The screenshot displays the 'Final RPPR Menu' interface. At the top, there is a title bar with a question mark icon. Below this is a section titled 'Application Information' containing the following details:

Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andonesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	Boyd, Stacey
Status:	PD/PI Work in Progress

At the bottom of the application information section, there is a row of action buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. A red rectangular box highlights this row of buttons.

For more information on these options, see:

[Final Progress Report Additional Materials \(FRAM\)](#)

[Interim RPPR Overview](#)

[Editing the RPPR Forms](#)

[Checking for Errors and Warnings](#)

[Viewing the RPPR](#)

[Routing the RPPR](#)

[Recalling the RPPR](#)

[Submitting RPPR to Agency](#)

The **Cancel** button closes the *Final RPPR Menu* screen.

12.11.4.3 Final Progress Report Additional Materials (FRAM)

A *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. This report should be prepared in accordance with instructions provided by the awarding component.

NOTE: Refer to the topic titled [Submitting Your Final Research Performance Progress Report on Page 265](#) for information related to the Final RPPR.

The *Final Progress Report Additional Materials* (FRAM) feature provides a means for grantees to enter, review, route, and submit information in response to specific request(s) by the Program Official (PO) for additional information related to the Final RPPR.

While reviewing a submitted Final RPPR, the PO may determine that additional materials related to the submitted report are required. In this case, the PO will submit a request for this information referred to as a FRAM request. When a FRAM request is made, the PI is notified via email; Final RPPR status on *Closeout Status* is updated to *FRAM Requested*; and a **FRAM Update** link appears in the *Closeout Status* screen. The link is located as an action on the **Final RPPR Report** line for **Closeout Submission Requirement**.

This topic discusses the steps for uploading, viewing, and submitting FRAM.

IMPORTANT: For **Revised Project Outcomes**, please review the following information. To submit revised Project Outcomes, SOs should follow the IRAM process for outcomes for Interim RPPRs and the FRAM process for outcomes for Final RPPRs with the exception that a text box will be provided to enter the new Outcomes text and then select **Upload** instead of an **Add Attachment** button as with other RAM requests.

Final Progress Report Additional Materials (FRAM) ?

Grant Information

Grant Number: 5R01MH123456-19	PD/PI Name: Talkome, Youcan
Institution: MR ROGERS NEIGHBORHOOD UNIVERSITY	Project Title: Psychological Resiliency: Productive Engagement with Contrary Opinions

FRAM

Document Upload

Please provide additional materials: Upload

File Name	Date Uploaded	Uploaded By
No documents have been uploaded		

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

For NIH Section I Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/roor/sample_project_outcomes_RPPR.htm

Total remaining allowed limit is 2000 characters.

Cancel
Preview
Save
Delete
Submit

Project Outcomes provide information regarding the cumulative outcomes or findings of the project.

Note that outcomes will be made publicly available, allowing recipients to provide the general

public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. The name of the Primary Investigator/Project Director will be attached to the public posting in [RePORTER](#).

For NIH awards the length of the Outcome statement should not exceed half a page. In addition, the summary of outcomes or findings of the award must be written in the following format:

- *** Is written for the general public in clear, concise, and comprehensible language
- *** Is suitable for dissemination to the general public, as the information may be available electronically
- *** Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:

https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

See NIH notices [NOT-OD-17-022](#) and [NOT-OD-17-037](#) for additional details on this requirement.

Uploading Final Report Additional Materials

When FRAM is requested by the reviewing PO, an email notification will be sent to the PI (and SO) describing the additional information being requested. It is the PI who is responsible for uploading this requested FRAM via the Closeout module in Commons.

To upload FRAM:

1. Navigate to the [Closeout Status](#) screen.
2. Locate the **Final RPPR** line item under the **Closeout Submission Requirement** column.

If a PO has requested additional material related to the Final RPPR, the **Status** will show *FRAM Requested*, the **Result of Action** column will show *FRAM Requested By <PO Name>*, and the **FRAM Update** link will appear in the **Action** column of this line item. If this information is not there, the request was not made.

3. Select the **FRAM Update** link.

Closeout Status ?

[« Return to Search Results](#)

Application Information

Grant Number: 5R01DK123456-13	PD/PI Name: FATHERS, SAM	Closeout Contact Name: MCCASLIN, ISAAC
Project Period: 09/30/1999 to 07/31/2016	Closeout Status: Requires Closeout	Closeout Contact Email: eRATest@mail.nih.gov
Proposal Title: Role of Nitric Oxide in Interstitial Cystitis	Date Of Status Change:	Closeout Contact Phone: 301-555-5555

Closeout Submission

Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role.	Not Started			
Final Progress Report	Only the SO or the PI of the Grant may process the Final RPPR.	Not Received			Fram Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Not Received			Process Final Invention Statement

The *Final Progress Report Additional Materials (FRAM)* screen appears. From this screen, the PI has the ability to either; upload an attachment meeting the requirements of the requested information or, for Revised Outcomes (Section I of the RPPR), a text field in which to enter the Revised Outcomes text.

Tip: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials Request (FRAM)** link located in **Other Relevant Documents** section of *Status Information* will show the original request.

4. Use the **Add Attachment** button to search for and select the appropriate document from your local computer. The attached document must be in PDF format and no larger than 6MB.

Final Progress Report Additional Materials (FRAM) ?

Grant Information

Grant Number: [1R15MH123456-01](#)
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders
Institution: UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment: **Add Attachment** Delete Attachment View Attachment

After passing system validations, the screen will display a message as follows: *FRAM was successfully uploaded and is ready for processing by the SO in your institution.*

FRAM attachments can be viewed at any time using the **View Attachment** or **View** button on the screen. Before being submitted to Agency, FRAM attachments can be deleted using the **Delete Attachment** button.

Final Progress Report Additional Materials (FRAM) ?

FRAM was successfully uploaded and is ready for processing by the SO in your institution.

Grant Information

Grant Number: [1R15MH123456-01](#)
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders
Institution: UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment: **Delete Attachment**

When FRAM is attached, the *Closeout Status* screen updates to show *FRAM Updated* in the **Status** column and *FRAM Updated By <PI Name>* in the **Result of Action** column. You will notice that the **FRAM Update** link remains as an available action. Attachments for additional requests can be uploaded using this link and following the same steps described above. Subsequent uploads will be appended in the stored PDF document viewable in Status Information.

Closeout Status Form Approved OMB No. 0925-0002

Application Information

Grant Number:	1R15MH123456-01	PI/PI Name:	AUDEN, W.H.
Closeout Contact Name:	EMMA STREST	Closeout Contact Email:	
Closeout Contact Phone:	301-555-1234	Project Period:	08/01/2010 to 10/31/2014
Proposal Title:	The Age of Anxiety Disorders		

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR / FSR	For FFR / FSR submission, you must have the Commons FSR role	Not Started			
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	FPR Received	Submitted by AUDEN, W.H. (PI)	09/18/2014	View
		FRAM Uploaded	FRAM Uploaded by Auden, W.H. (PI)	10/02/2014	FRAM Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

[Back](#)

The SO is now able to submit FRAM. Refer to the steps in the section titled [Submitting FRAM](#) for details on how an SO submits FRAM to Agency.

IMPORTANT: Please note that after the SO submits FRAM, the **FRAM Update** link on *Closeout Status* will be replaced by the **View FRAM** link and updates can no longer be made.

Submitting FRAM

Once a response to a FRAM request has been uploaded by the PI using the *Final Progress Report Additional Materials (FRAM)* screen, the SO can submit the material to Agency. Only those with an SO role in Commons can submit FRAM.

To submit FRAM:

1. Navigate to the *Closeout Status* screen for the specific grant.
2. Locate the Final Research Performance Progress Report line item under the **Closeout Submission Requirement** column.

If the PI has uploaded the additional material successfully, the **Result of Action** column will show *FRAM Updated By <PI Name>*. The **FRAM Update** link will appear in the **Action** column of this line item.

3. Select the **FRAM Update** link.

Closeout Status ? Form Approved OMB No. 0925-0002

Application Information

Grant Number: 1R15MH123456-01 **PD/PI Name:** AUDEN, W.H.
Closeout Contact Name: EMMA STREST **Closeout Contact Email:**
Closeout Contact Phone: 301-555-1234 **Project Period:** 08/01/2010 to 10/31/2014
Proposal Title: The Age of Anxiety Disorders

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FRR / FSR	For FRR / FSR submission, you must have the Commons FSR role	Not Started			
Final Progress Report	Only the SO or the PI of the Grant may process the Final Progress Report	FPR Received	Submitted by AUDEN, W.H. (PI)	09/18/2014	View
		FRAM Uploaded	FRAM Uploaded by Auden, W.H. (PI)	10/02/2014	FRAM Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			Process Final Invention Statement

[Back](#)

The *Final Progress Report Additional Materials (FRAM)* screen appears with the **Submit** button enabled.

4. *Optional:* To view the FRAM response before submitting it, select the **View Attachment** button.
5. To submit the FRAM, select the **Submit** button.

Final Progress Report Additional Materials (FRAM) ?

Grant Information

Grant Number: [1R15MH123456-01](#)
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders
Institution: UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment:

6. Before the submission is completed, a certification message will appear on the screen. Select the **I Agree** button to confirm this certification and to complete the process.

Submit FRAM to Agency

In submitting these Final Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Application Information	
Grant Number:	1R15MH123456-01
Institution:	UNIVERSITY OF LITERATURE
PD/PI Name:	Auden, W.H.
Project Title:	The Age of Anxiety Disorders

After a successful submission, the screen will display a message as follows: *The final progress report additional materials have been successfully submitted to Agency.* The **Closeout Status** screen will show *FRAM Submitted By <SO Name>* in the **Result of Action** column, and the **FRAM Update** link available before the submission is replaced by the **View FRAM** link. FRAM cannot be edited after submission to Agency.

Final Progress Report Additional Materials (FRAM) ?

The final progress report additional materials have been successfully submitted to Agency.

Grant Information	
Grant Number:	1R15MH123456-01
PD/PI Name:	Auden, W.H.
Project Title:	The Age of Anxiety Disorders
Institution:	UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment:

Additionally, email notification is sent to both the SO who submitted the FRAM and to the PI of the grant. A separate notification is sent to the PO of the grant. Commons will generate a PDF document containing all documents adding for the FRAM request. This document can be accessed within the Status Information screen under Other Relevant Documents.

NOTE: The PO may rescind the approval of the Final RPPR submission at any time. If this event occurs, the **FRAM Update** link will be made available for submitting FRAM.

IMPORTANT: SOs can continue to add additional attachments even after submission to Agency (before acceptance of the Final RPPR). Any subsequent documents will be added to the PDF generated by Commons.

12.12 [Status Result - Just In Time](#) *Just in Time (JIT)*

The JIT feature of the eRA Commons allows the electronic submittal of additional grant application information after the completion of the peer review, and prior to funding. The PD/PI and the SO work together to complete and submit Other Support, Budget, IACUC, IRB, and/or Human Subject Assurances information directly to the NIH when that information is requested.

NOTE: If you have the PI role, you may upload and save JIT information; however, you must be an SO to submit it to NIH.

The JIT feature is available for applications meeting established business criteria. In general this feature becomes available for applications that fall within a certain percentile or priority score range; *however, applicants should not submit any JIT information until specifically requested by the agency.* These requests can be eRA-system generated e-mails or contacts directly from the specific awarding agency via email and/or phone.

NOTE: All JIT attachments should be submitted in PDF format with a maximum size of 6MB.

Policy: JIT policy information also is available online. Look for the *Just-in-Time* section of the [NIH Grants Policy Statement](#).

In Commons, the *Just In Time* screen is accessible from each of the following:

- **JIT** link on *Status Result - Just In Time* (SO)
- **JIT** link on *Status Result - General Search* (SO)
- **JIT** link on *Status Result - List of Applications/Grants* (PI)

IMPORTANT: The JIT screen for PIs and PI delegates has recently been updated to reflect eRA's new standards. eRA plans to update the SO's screen in a future release. Please refer to the appropriate steps below, based on your Commons role.

12.12.1 Uploading JIT Information as a PI

As a PI, you have the ability to upload and save JIT information.

To upload JIT files:

1. Access the *Just in Time* screen through the **JIT** link on the Status result screen(s) **Action** column.

NOTE: The **JIT** link is removed once an application has been awarded.

The *Just in Time* screen displays. The **Application Information** section can be used to verify that information for the correct application is being submitted.

Just In Time

Note: After 45 minutes of inactivity your session will timeout and you will need to restart. Please save your data regularly to prevent loss.

Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide *Other Support*, *Budget Upload*, *Other Upload*, *IACUC*, *IRB*, and *Human Subject Assurances* Just In Time information directly to the NIH when that information is requested. Guidance follows:

- Although a PI may save this information through Commons, only an SO may submit it to NIH.
- Any element of the JIT form may be submitted at different times while the JIT link is available.
- Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.
- 'Number of Submission' provides the user with the number of times the JIT form was submitted to Agency.
- All elements on the JIT form can be submitted multiple times and will be appended to the JIT report, with the latest version at the top of the report.
- If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this 'Just in Time' page.

Application Information

Award Number: 1R01HD123456-01
 PI Name: JONES, GEORGEANN
 Proposal Title: Newborn iron deficiency

Please provide active and pending support for all key personnel. **Other Support** includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research awards, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at **Other Support** and upload the document using the Upload button provided below. Alternatively, you can drag and drop a file into the respective panel. Please note that when you upload a document it is automatically attached to your application.

Other Support File

File Name:
None
 Date Created:
None
 Number of Submissions:
1

 Upload  Delete

Budget Upload

File Name:
None
 Date Created:
None
 Number of Submissions:
0

 Upload  Delete

Other Upload

File Name:
None
 Date Created:
None
 Number of Submissions:
1

 Upload  Delete

IACUC Date:  Number of Submissions: **1**

The institution must verify approval by the Institutional Animal Care and Use Committee (IACUC) of those components of the application related to the care and use of animals. By specifying a date and saving this form you confirm that IACUC approval of this application was awarded on that date. If the IACUC required any modifications in the care or use of animals as described in the Research Plan, those changes must be submitted to the appropriate NIH Grants Management office. The OLAW Assurance Number listed for your Institution is

A8998-00

Genome Data Sharing Certification. An Institutional Certification is expected prior to funding award for all research generating large-scale human genomic data under the NIH Genomic Data Sharing Policy. The Institutional Certification is a document from the authorized Institutional Signing Official of the institution submitting the data, and assures that the data submission and sharing is appropriate (see *Certifications* for templates). If a final Institutional Certification is not available at Just-In-Time, you may submit a provisional Institutional Certification along with other Just-In-Time documents. A final version of the Institutional Certification may be uploaded in the "Additional Information" section of your grant folder at a later date. You should keep Program Staff of the funding IC informed of the expected date of submission of the final Institutional Certification.

Genome Data Sharing Certification

File Name:
None
 Date Created:
None
 Number of Submissions:
0

 Upload  Delete

 Save  View Report

2. Upload the appropriate file types.
 - **Other Support File**
 - **Budget Upload**
 - **Other Upload**
 - **Human Subject Education**
 - **Genome Data Sharing Certification**

Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this *Just-in-Time* screen.

Tip: For instructions regarding certifications and assurances, please refer to the [Institutional Assurances and Certifications \(IPF\)](#) instructions. Both PD/PIs and SOs may view the current status of the assurances and certificates but only SO's (or TTO's if no SO has been assigned) are able to make changes to the information.

It is requested that active and pending support for all key personnel be provided. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide Other Support information, follow the suggested format available at <http://grants1.nih.gov/grants/funding/phs398/othersupport.doc> and upload the document using the **Upload** button provided.

- a. Select the **Upload** button for the appropriate type of file to open the corresponding upload file screen.

-OR-

- b. Drag and drop the file from your file directory into the appropriate section of the JIT screen.

The panel shows an Upload Complete message. The panel also displays the name of the file and the date it was uploaded.

Please provide active and pending support for all key personnel. **Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.** Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at Other Support and upload the document using the Upload button provided below. Alternatively, you can drag and drop a file into the respective panel. Please note that when you upload a document it is automatically attached to your application.

Other Support File	Budget Upload	Other Upload
✓ Upload Complete.	✓ Upload Complete.	
File Name: Sample Document.pdf Date Created: 01/25/2016 Number of Submissions: 0	File Name: Sample2 Doc.pdf Date Created: 01/25/2016 Number of Submissions: 0	File Name: None Date Created: None Number of Submissions: 0
<input type="button" value="Upload"/> <input type="button" value="Delete"/>	<input type="button" value="Upload"/> <input type="button" value="Delete"/>	<input type="button" value="Upload"/> <input type="button" value="Delete"/>

3. Enter IRB information as appropriate:
 - **IRB Date**
 - **Assurance Number**
4. Select the **Save** button.

After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information. Only an SO can submit JIT.

NOTE: Commons performs validations upon saving. If required information is missing, error messages will appear on the screen to guide you.

12.12.2 Uploading Saving JIT as an SO

SO users have the ability to upload and save JIT information.

To upload JIT files:

1. Access the *Just in Time* screen through the appropriate **JIT** link on the Status result screen(s) **Action** column.
 - [Status Result - Just In Time](#) (SO)
 - [Status Result - General Search](#) (SO)

NOTE: The **JIT** link is removed once an application has been awarded.

The *Just in Time* screen displays. The **Application Information** section can be used to verify that information for the correct application is being submitted.

Just In Time ?

Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide *Other Support, Budget Upload, Other Upload, IACUC, IRB, and Human Subject Assurances Just In Time* information directly to the NIH when that information is requested. Guidance follows:

- Although a PI may save this information through Commons, only an SO may submit it to NIH.
- Any element of the JIT form may be submitted at different times while the JIT link is available.
- Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.
- 'Number of Submission' provides the user with the number of times the JIT form was submitted to Agency.
- All elements on the JIT form can be submitted multiple times and will be appended to the JIT report, with the latest version at the top of the report.
- If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this 'Just in Time' page.

Application Information	
Award Number:	2R01HD123456-19A1
PI Name:	JONES, GEORGEANN
Proposal Title:	Newborn Iron Deficiency

Please provide active and pending support for all key personnel. **Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research awards, cooperative agreements, contracts, and/or institutional awards.** Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at <http://grants1.nih.gov/grants/funding/phs398/othersupport.doc> and upload the document using the Import button provided below.

Files	File Name	Date Created	Status	Number of Submissions
Other Support File:			NOT UPLOADED	<input type="button" value="Import"/>
Budget Upload:			NOT UPLOADED	<input type="button" value="Import"/>
Other Upload:			NOT UPLOADED	<input type="button" value="Import"/>

IACUC Date in MM/DD/YYYY format: **Number of Submissions**

The institution must verify approval by the Institutional Animal Care and Use Committee (IACUC) of those components of the application related to the care and use of animals. By specifying a date and saving this form you confirm that IACUC approval of this application was awarded on that date. If the IACUC required any modifications in the care or use of animals as described in the Research Plan, those changes must be submitted to the appropriate NIH Awards Management office. The OLAW Assurance Number listed for your Institution is **A9999-00**.

Genome Data Sharing Certification. An Institutional Certification is expected prior to funding award for all research generating large-scale human genomic data under the NIH Genomic Data Sharing Policy (<http://qds.nih.gov/03policy2.html>). The Institutional Certification is a document from the authorized Institutional Signing Official of the institution submitting the data, and assures that the data submission and sharing is appropriate (see http://qds.nih.gov/Institutional_certifications.html for templates). If a final Institutional Certification is not available at Just-In-Time, you may submit a provisional Institutional Certification along with other Just-In-Time documents. A final version of the Institutional Certification may be uploaded in the "Additional Information" section of your award folder at a later date. You should keep Program Staff of the funding IC informed of the expected date of submission of the final Institutional Certification.

Files	File Name	Date Created	Status	Number of Submissions
Genome Data Sharing Certification:			NOT UPLOADED	<input type="button" value="Import"/>

2. Upload the appropriate file types:

- **Budget Upload**
- **Other Upload**
- **Human Subject Education**
- **Genome Data Sharing Certification**
- **Other Support File**

Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this *Just-in-Time* screen.

It is requested that active and pending support for all key personnel be provided. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide Other Support information, follow the suggested format available at <http://grants1.nih.gov/grants/funding/phs398/othersupport.doc> and upload the document using the **Import** button provided.

- a. Select the **Upload** button for the appropriate type of file to open the corresponding upload file screen.
- b. From the upload screens, select the **Choose File** button to search for and select the file to upload.
- c. Select the **Upload File** button.

The uploaded file displays under the **File Name** column with a status of *Completed*.

File Name	Date Created	Status	Number of Submissions
Other Support File: Sample Document.pdf	08/05/2013	COMPLETED	1
Budget Upload:		NOT UPLOADED	
Other Upload:		NOT UPLOADED	

3. Enter IRB information as appropriate:
 - **IRB Date**
 - **Assurance Number**
4. Select the **Save** button.

After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information.

If you are an SO, the **Submit** button is enabled at this time, and you can [submit the information to NIH](#).

NOTE: Commons performs validations upon saving. If required information is missing, error messages will appear on the screen to guide you.

12.12.3 Submitting JIT Information To Agency

If you hold the SO role, you have the ability to submit the JIT report. Only SO users can submit JIT.

To submit JIT:

1. Access the *Just In Time* screen for the appropriate application.
2. *Optional:* If not already uploaded, [upload](#) the appropriate JIT information.
3. *Optional:* Select the **View Just In Time Report** button if you wish to review the report before submitting it.
4. Select the **Submit** button.

The Applicant and Organization Certification and Acceptance message displays as a pop-up.

5. Select the **OK** button to continue.

NOTE: Commons performs validations upon submission. If required information is missing, error messages will appear on the screen to guide you.

Once submitted, the report is available for viewing from within *Status Information*. *Status Information* is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. [Refer to the section of this document titled *Status Information on Page 142*.](#)

You can resubmit JIT information as many times as necessary. Each section of the JIT information can be submitted separately and more than once as long as at least one field element has been completed. After each submission, the *Just In Time* screen displays the **Number of Submissions** for each piece of information.

Please provide active and pending support for all key personnel. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at <http://grants1.nih.gov/grants/funding/alpha398/ethersupport.doc> and upload the document using the import button provided below.

Files	File Name	Date Created	Status		Number of Submissions
Other Support File:			NOT UPLOADED	Import	2
Budget Upload:			NOT UPLOADED	Import	1
Other Upload:			NOT UPLOADED	Import	4

IRB Date in MM/DD/YYYY format: MM/DD/YYYY) **Number of Submissions: 2**

Your institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval by an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a Date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your institution: Please select one number

When a resubmission has occurred, the Status result screens display the **JIT** link with an indication of the number of times revised.

12.12.4 Viewing the Just In Time Report

If you are an SO or a PI you can view the *Just In Time* report from the JIT screen.

To view the report, select the **View Just In Time Report** button (SOs) or the **View Report** button (PIs) at the bottom of the screen.

If the JIT information has already been submitted to NIH, the *Just In Time* report can be viewed from a link within *Status Information*. The link displays as the date of the last submission plus the number of times submitted and is located under the **Other Relevant Documents** section.

Status Information is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. Refer to the section of this document titled *Status Information on Page 142*.

Other Relevant Documents ?

- [e-Application](#)
- [Appendix: Appendix i](#)
- [Appendix 2: Appendix ii](#)
- [Appendix 3: Appendix iii](#)
- [Just In Time 06/29/2009 Times Revised\(2\)](#)
- [eSubmission Cover Letter](#)
- [Additions for Review \(0 documents\)](#)

12.13 No-Cost Extension (NCE)

NIH Standard Terms of Award include the provision for grantees to extend the final budget period of a previously approved project period one time for a period of up to 12 months, without additional NIH funds. This action must be taken before the project period ends, and grantees are required to notify NIH when they have exercised this authority.

Policy: [Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds](#)

Grantees may extend the final budget period of the project when the following conditions are met:

- If no additional funds are required by the NIH awarding office
- If there will be no change in the project's originally approved scope

In order to mandate an extension, one of the following criteria must be applicable:

- Additional time beyond the established expiration date is required to ensure adequate completion of the originally approved project
- Continuity of NIH grant support is required while a competing continuation application is under review
- The extension is necessary to permit an orderly phase-out of a project that will not receive continued support

NOTE: The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds.

To facilitate this process, the No-Cost Extension (NCE) feature exists in Commons, allowing SO users to request NCE in one month increments up to 12 months. Accessible through Status results, the link for accessing the feature is available 90 days before the project end date and is removed at midnight on the project end date.

IMPORTANT: NIH requires grantees to use the No-Cost Extension feature and will not accept notification via any other channels.

NOTE: If you are not eligible for an automatic no cost extension, you can request prior approval from NIH for a no cost extension when the grant meets certain conditions. Please see [Prior Approval: Requesting a No Cost Extension](#) for details.

To submit a No-Cost Extension:

1. Search for a particular grant using the *Status - General Search* screen.
2. Select the **Extension** link from **Action** column of the appropriate grant on the [Status Result - General Search](#) screen.

The *Extension* screen opens.

3. Select the number of months by which to extend the grant by selecting an option from the **Extend** drop-down list. Selecting an option updates the date in the **This will extend the project to** text box.

In extending the final budget period of the project period, the grantee agrees to update all required certifications, including human subjects and animal welfare, in accordance with applicable regulations and policies.

Grantees may not extend project periods previously extended by the NIH awarding office. Any additional project period extension beyond the one-time extension of up to 12 months requires prior NIH approval.

4. Select the **Extend Project Date** button.

The screenshot shows a web form titled "Extension" with a help icon. Below the title is a note: "This Grant is eligible to be extended for up to 1 year. Note that only a SO has the ability to perform a project extension and that you may do this only once through the Commons." The form is divided into sections. The first section, "Application Information", contains the following details: Grant Number: 5R01EY000002-05, PI Name: FINCH, ATTICUS, and Proposal Title: Study on Genetics and Age-Related Degeneration. The second section contains the text: "To extend the period, select the number of months for which you would like to extend the project period for this grant." Below this, it shows "Project End Date: 8/31/2013" and a dropdown menu for "Extend:" with the value "3" selected. A date field below indicates "This will extend the project to 11/30/2013". At the bottom of the form are two buttons: "Extend Project Date" and "Cancel".

A confirmation screen displays a message *You selected to extend the project period for this grant for <#> months.*

5. Select the **Confirm** button to continue.

The screenshot shows a confirmation screen titled "Extension". It contains the same "Application Information" as the previous screen. Below this, a message states: "You have selected to extend the period of performance of this grant by 3 months." A checkbox is checked, and the text reads: "By notifying NIH of this one-time extension of the period of performance, you certify that the extension is not: 1) being exercised merely for the purpose of using unobligated balance, 2) prohibited by the terms and conditions of the Federal award, or 3) requesting additional Federal funds. Further, it does not involve any change in the approved objectives or scope of the project." At the bottom of the screen are two buttons: "Confirm" and "Cancel".

Upon notification, the NIH awarding office will revise the project period ending date and provide an acknowledgment to the grantee.

NOTE: When an extension without cost is submitted but cannot be processed due to an internal business error, the link displays in Status Result as Extension Error. This link will continue to display until the error has been corrected. Instruction will be given on whom to contact if you need to have the error corrected before resubmitting. Once the error has been corrected, the No Cost Extension will be processed, and the appropriate eNotifications sent.

12.14 Change of Institution

The Change of Institution process in eRA Commons allows extramural grantee institutions to submit Relinquishing Statements electronically via Commons. Relinquishing Statements (RS) are the official documents relinquishing interests and rights to Public Health Service (PHS) research grants and typically accompany a change of institution or successor in interest request.

The *Manage Relinquishing Statement* and *Relinquishing Statement* screens are accessible via the Status module.

For more information, refer to the collection of topics within the Commons Online Help for Change of Institution (http://era.nih.gov/erahelp/commons/default.htm#ChgInst_Overview.htm) or the *Commons Change of Institution User Guide* (http://era.nih.gov/files/ccoi_userguide.pdf).

12 Prior Approval Module

Policy: [See section 2.3.7.2 under "Policies Affecting Applications"](#)

NIH Policy allows grantees a level of discretion when making changes to budgeting or grant-related activities. However, some changes require written prior approval. Users can access the eRA Commons Prior Approval module at: <https://public.era.nih.gov/priorapproval/landing.jsp>.

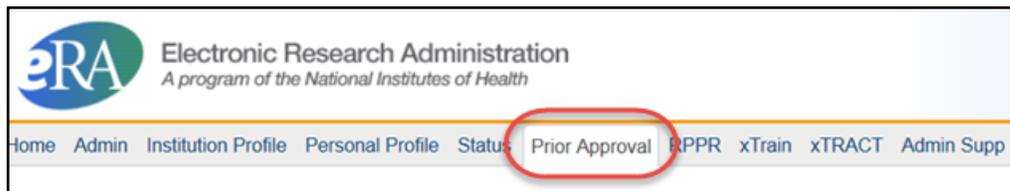
The Prior Approval module allows Principal Investigators (PIs) and Signing Officials (SOs) to [respond to prior approval invitations](#) from the granting agency (see note below) or to [withdraw from successfully submitted grant application](#) that has not yet been awarded.

In addition, SOs may also [request a change of the PD/PI](#) on a grant and request [No Cost Extensions](#) when the grant meets specific conditions.

NOTE: To initiate a \$500K request, please contact your Program Official. (see the [500K](#) section for more detail)

To access the Prior Approval Landing screen:

1. Log in to **eRA Commons**
2. Select the **Prior Approval** tab on the Commons Home screen.



- a. **PIs** will see the option to initiate a *Withdrawal Request*, respond to a *500K invitation*, or to **List My Requests** on the *Prior Approval* landing screens.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

Existing Prior Approval Requests

To view Prior Approvals pending review, please select List My Requests.

- b. **SOs** will see options to initiate a *Withdrawal Request*, *Change of PD/PI*, *No Cost Extension*, *Carryover*, as well as options to list existing requests and to search for requests.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.
 To search for Prior Approval requests from your institution please select Search for Request.

Please refer to the specific sections for full instructions on the various request options, and general request management .

12.15 List My Requests

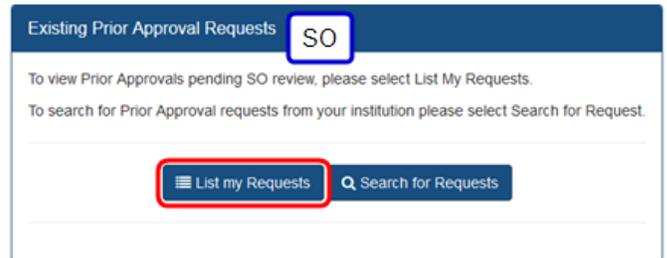
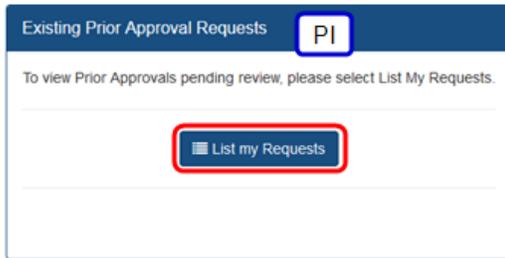
Users can utilize **List My Requests** on the *Prior Approval* landing screen to view existing Prior Approval Requests.

List My Requests is available to both PIs and SOs.

The **PI view** of **List My Request** displays all Prior Approval Requests for applications on which the PI is the Contact PI.

The **SO view** of **List My Request** displays all Prior Approval Requests in status *Pending SO* for the institution. If the SO would like to see a Prior Approval that is not in *Pending SO* status, they should use the [Search Prior Approval](#) feature.

1. To access the List My Request list, select **List My Requests** from the *Prior Approval Landing* screen.



- The user is taken to the hitlist of Prior Approval requests.

List my Requests ?

PI View

Show entries ← Back to Prior Approval

Request ID	Request Type	Prior Approval Status	Application ID	Project Title	Action
2040	Withdrawal	In Progress PI	1 R01 A123456-01	Project Title	Modify
2041	500K	In Progress SO	1 R01 A999999-02	Project Title 2	View PDF View History

Showing 1 to 2 of 2 entries Previous **1** Next

List my Requests

SO View

Show entries ← Back to Prior Approval

Request ID	Prior Approval Type	PI Name	Grant Number	Application Title	Actions
10024	500K	XXXXX XXXXXX	AA	Significant Request	Modify
10021	500K	XXXXX XXXXXX	AA	Significant Request	Modify
10020	500K	XXXXX XXXXXX	AA	Significant Request	Modify
10017	Withdrawal	XXXXX XXXXXX	R01AI1	Genetic Adaptations to Antibiotics: Role in MRSA Persistent Endovascular Infections	Modify
10008	Withdrawal	XXXXX XXXXXX	R21NS	Targeting R155H p97_VCP to treat IBMPFD_ALS, a rare degenerative disorder	Modify

Showing 1 to 5 of 5 entries Previous **1** Next

2. Select the grant you wish to initiate the request for.
3. The system will initiate the request and redirect the user to the [Modify Request](#) screen.

NOTE: If the request was initiated in error, the user may choose to delete the request via the **Delete** button on the [Modify Request](#) page.

NOTE: If the request was routed to a reviewer and needs to be recalled, please follow those instructions in the [Recall](#) section.

12.16 Search for Existing Prior Approval Requests

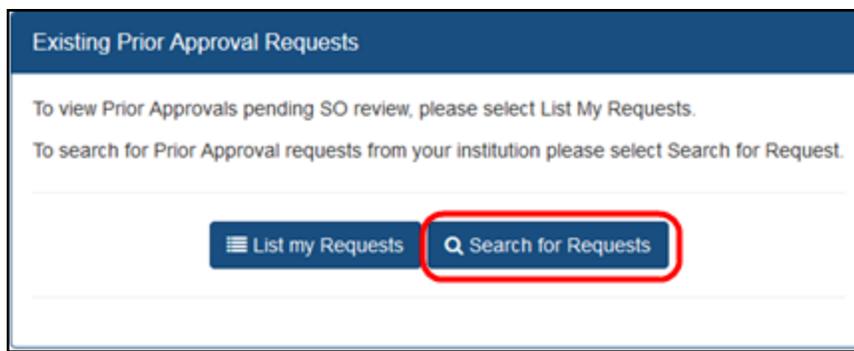
Only SOs can access the **Search for Requests** option under the Existing Prior Approval Requests on the *Prior Approval* landing screen.

An SO must be affiliated with the institution that initiated the request.

NOTE: PIs use the **List My Requests** option to see a hitlist of requests where they are the current reviewer. See the [List My Requests](#) topic for more information.

To search for a request:

1. To search for existing requests, select **Search For Requests**.



2. The "Search Prior Approval Requests" screen will open. On this screen, use any of the available search fields to find requests for the institution.

3. Users may search on the following criteria:
 - Request ID
 - Request Type (select from "Withdrawal Request or "500K Request")

- Request Status (select from "Submitted to Agency", "In Progress SO", or "In Progress PI").
 - PI Lookup (names of valid, matching PIs begin to appear as the user begins typing)
 - Activity Code, IC, Serial
 - Submission Date Range (From: and To:)
4. After entering search criteria, select the **Search** button to perform the search. Selecting **Clear Search** clears the search boxes in preparation for another search.
- Once **Search** has been selected, the screen expands to display a hit list of all requests based on the search criteria.

Request ID	Request Type	PI Name	Request Status	Application ID	Project Title	Actions
3003	Withdrawal	PI Name	Submitted to Agency	1 R01 A123546-00	Project Title	View PDF View History
3002	Withdrawal	PI Name	In Progress SO	1 R01 A123546-00	Project Title	Modify
2049	Withdrawal	PI Name	In Progress PI	1 R01 A123546-01	Project Title	View

Showing 1 to 3 of 3 entries

Previous 1 Next

5. Choose available View and Modify options from the Actions column.
- **View PDF** Opens a read-only PDF version of the request
 - **View History** - to view the progress of the request
 - **Modify** opens the [Modify Request](#) screen to allow editing
 - **View** the request - opens the *View Request* screen that displays a read-only version of the request.

12.17 \$500K Requests

Any applicant planning to submit a grant application with \$500,000 or more in direct costs in any one budget year (excluding consortium F & A costs) is required to contact their Program Official (PO) and obtain agreement from the funding agency six (6) weeks prior to their application submission.

If the PO determines that they wish to receive the request through an electronic process, they will initiate an invitation to the PI which will open up a

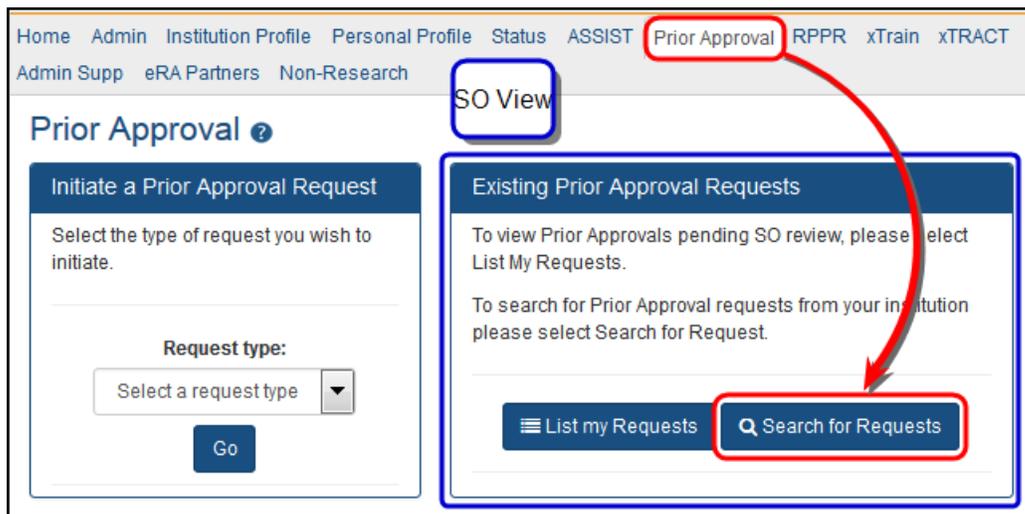
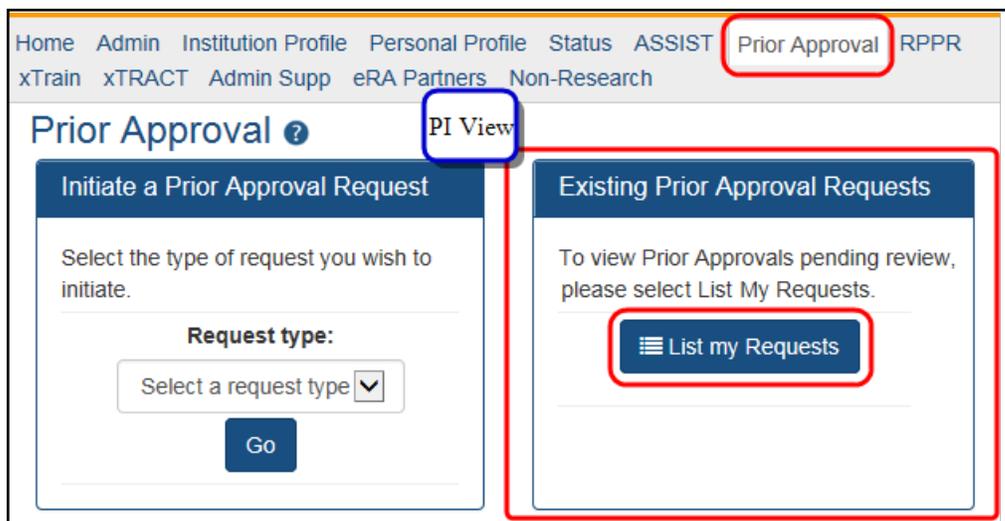
request in the **Prior Approval** module. The PI and the Notice of Award email of the organization on the invitation will receive an email notifying them of the invitation.

NOTE: The option to submit a \$500K request will not be visible in the **Prior Approval** module of eRA Commons until the PO has initiated the invitation.

Select the **Prior Approval** tab in eRA Commons to begin the process.

Respond to \$500K Request from PO

1. On the *Prior Approval* landing page, under the **Existing Prior Approval Requests** section, click on the **List My Requests** button (PI), or **Search for Requests** button (SO).



NOTE: Signing Officials will be taken to a search screen and will have the option to [search for requests](#) in their institution using a variety of search criteria. If the request is in the status of "In Progress SO", the SO may proceed to modify the request. However, if the request is in another status, the SO will need to perform a [recall](#) in order to modify it.

2. **For PIs**, the next screen will show a hit list of Prior Approval requests that are available to modify. Select the "**Modify**" link in the **Action** column. The **Request Type** will be "500K" and the **Prior Approval Status** will be "In Progress PI".

For SOs to modify the request, they will need to be the current reviewer or they will need to perform a [recall](#) as noted above in order to become the current reviewer. Once the request is in the "In Progress SO" status, the SO will be able to modify the request.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

List my Requests **PI View**

Show 10 entries [« Back to Prior Approval](#)

Request ID	Request Type	Prior Approval Status	Application ID	Project Title	Action
5064	500K	Submitted to Agency	CA	test	View PDF View History
5063	500K	In Progress PI	CA	N/A	Modify

Showing 1 to 2 of 2 entries Previous 1 Next

Show 10 entries **SO View after Recall process**

Request ID	Request Type	Request Status	Application ID	Project Title	Actions
5089	500K	Submitted to Agency	OD	Test Title	View PDF View History
5088	500K	In Progress SO	CA	Nonsurgical Treatment of Thoracic Aortic Aneurysms	Modify

Showing 1 to 2 of 2 entries Previous 1 Next

PI

1. The *Prior Approval Request 500K - Modify Request* screen displays.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp
eRA Partners Non-Research

Prior Approval Request 500k - Modify Request ?

Note: Required fields are marked with an *

Request ID
5063

Principal Investigator (PI)
CHARLOTTE WEBB

Organization
UNIVERSITY OF CAVATICUS

Project Title* **FOA*** **Anticipated Submission Date***

Activity Code **IC** CA **Serial** **Program Official** WHITE, E.B. **Program Official Email** eRATest@mail.nih.gov

Justification*

Total remaining allowed limit is 500 characters.

Supporting Documents

Drag up to 10 files here to upload.

File Name	Date Created	Action
Queries.pdf	09/08/2016	<input type="button" value="View"/> <input type="button" value="Delete"/>

The system will pre-populate these fields:

- *Principal Investigator (PI)*
- *Organization*
- *IC* (to which the application will be submitted)
- *Program Official* information (based on the invitation from the PO.)

2. The following *required* [*] fields must be populated in order to continue the process:

- *Project Title*
- *FOA*
- *Anticipated Submission Date*
- *Justification*

SO

1. The *Prior Approval Request 500K - Modify Request* screen displays.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT
Admin Supp eRA Partners Non-Research

Prior Approval Request 500k - Modify Request ?

Note: Required fields are marked with an *

Request ID
5063

Principal Investigator (PI)
WEBB, CHARLOTTE

Organization
UNIVERSITY OF CAVATICUS

Project Title* [Project Title (as it will be submitted)]

FOA* foa

Anticipated Submission Date* anticipated submission da

Activity Code activity code

IC CA

Serial serial

Program Official WILLIAMS, GARTH

Program Official Email eRATest@mail.nih.gov

Justification*

[Provide an abstract-type of justification here for the project. The character limit is 500]

Total remaining allowed limit is 407 characters.

Supporting Documents

Upload Drag up to 10 files here to upload.

File Name	Date Created	Action
Queries.pdf	09/08/2016	View Delete

Cancel View History Save Route Submit

2. On the modify screen, the SO must provide the following information in order to continue the process:

- **Project Title**
- **FOA** (Funding Opportunity Announcement Number)
- **Anticipated Submission Date** - The date the application is expected to be submitted. This date may not be in the past, or more than 120 days in the future.
- **Justification** - This is a brief description of the justification to submit for over \$500K. The character limit 500.

NOTE: If the \$500K request is being submitted for a Renewal (Type 2) application, the user may also provide the Activity Code and Serial Number of the grant family.

3. When finished, click the appropriate button at the bottom of the *\$500K - Modify Request* screen for the next action.

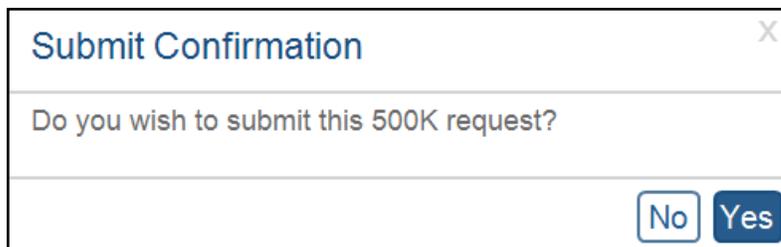
Submitting the \$500K Request

All *required* (*) fields must be populated before submission.

- The PI may now submit the request.
- If the PI chooses to do so, they may route the request to an SO for review and final submission.
- Upon a successful submission, the system will send an email notification the submitter, as well as to the associated PI, informing them that the request was submitted to the Agency.

1. Click **Submit**.

The *Submit Confirmation* screen will appear.

A screenshot of a 'Submit Confirmation' dialog box. The title bar reads 'Submit Confirmation' with a close button (X) on the right. The main text asks 'Do you wish to submit this 500K request?'. At the bottom right, there are two buttons: 'No' and 'Yes'.

2. Click **Yes** and a *Success* notification will appear at the top of the screen.



12.18 Withdraw a Grant Application

NOTE: Both PIs and SOs may initiate Withdrawal Requests but only an SO may submit them.

Initiate a Withdrawal request:

1. From the **Prior Approval** landing screen drop-down menu, select *Withdrawal Request* from **Request type:** and click **Go**.

- The system displays a hitlist of all grant applications eligible for withdrawal in the *Withdrawal - Available Grants* screen. The type of information displayed is based on the users' role.
- A PI will see grants that are eligible for withdrawal on which they are the contact PI.

Grants.gov Tracking #	Application ID	Project Title	Application Status	eSubmission Status Date
<input checked="" type="radio"/> GRANT 012345	1R1234567-01	Title of Grant Application	Pending IRG Review	2016-01-25 18:43:34.0

- An SO will see grants eligible for withdrawal at their institution. The SO also has the ability to search by entering; *Grants.gov Tracking #*; *Application ID* (Grant Number); or the *PI* name, and then selecting the **Search** button.

NOTE: When searching by PI, the hitlist will only show those grants on which that investigator is the contact PI. If the investigator is associated with a Multi-PI grant, *but is not the contact PI*, those grants will not be part of the search results.

Prior Approval Request Withdrawal - Available Grants 

The following grants are eligible for withdrawal. Please select one grant and click the **Initiate Withdrawal Request** button.

Search Grants.gov Tracking # Search Application ID Search PI

Show entries

Grants.gov Tracking #	Application ID	Project Title	Application Status	PI Name	eSubmission Status Date
<input type="radio"/> GRANT12345678A	1A01AB123456-07	Title of Grant Application	Pending IRG Review	PI Name	2016-01-28 19:08:55.0
<input checked="" type="radio"/> GRANT12345678B	1A01AB123456-01	Title of Grant Application 2	Pending IRG Review	PI Name	2016-01-28 17:03:55.0

Previous Next

- Applications that have gone through council review and any with the following statuses will not display in the hit list.
 - Awarded
 - Withdrawn
 - Canceled
2. Select one grant application by clicking the radio button on the left.
 3. Select the **Initiate Withdrawal Request** button to initiate the withdrawal request.
 - The user is redirected to the *Modify Request* screen, where they can add justifications and supporting documents for the request withdrawal (see [Modify Prior Approval Requests](#)).

NOTE: There are times that the agency may be taking action on the application that will prevent users from withdrawing their application through Prior Approval system. In these cases, the system will display the following error: *There is a pending agency action on Application, please submit your withdrawal request to Division of Receipt and Referral.*

Once the Withdrawal Request is ready to submit, an SO must perform that action. See [Submit a Withdrawal Request](#) for more information.

Modify an Existing Prior Approval Request

Once a Prior Approval Request is initiated, it is available for modification by the current reviewer.

Users are taken to the *Modify Request* screen when the user selects:

- The **Initiate** button from the *Available Grants* screen
- The **Modify** button from either the *List My Requests* hitlist, or the *Search Prior Approval Request* hitlist.

To Modify the Request:

The *Modify Request* screen contains a read-only heading section and request information.

Prior Approval Request Withdrawal - Modify Request

Note: Required fields are marked with an *

Request ID
2040

Principal Investigator (PI)
PI Name GRANTS012345678

Application ID
1 R01 A123456-01

Project Title
Project Title

Justification

Enter justification for withdrawal of application here.

Total remaining allowed limit is 4000 characters.

Supporting Documents

Upload

Drag up to 10 files here to upload.

File Name	Date Created	Action
e PO1 - project 1 - R1.pdf	05/16/2016	View Delete

Cancel View History Save Route Delete Submit

This area cannot be edited

Use this area to provide information and to manage the Prior Approval Request

Users may perform the following actions on the Modify Request screen:

1. Enter or modify Justification.
2. Upload PDF documents (not to exceed 5MB. Some limits on the number of documents may apply per FOA or PO direction). The user may also delete uploaded PDF documents.
3. Select the **View History** button to see the actions taken so far.
4. **Route** the request (from SO to PI or vice versa).
5. **Delete** the request.
6. Select the **Save** button to save any changes on the screen.
7. Select the **Cancel** button to return to the *Prior Approval* landing page.

NOTE: \$500K requests cannot be deleted

Submit a Withdrawal Request

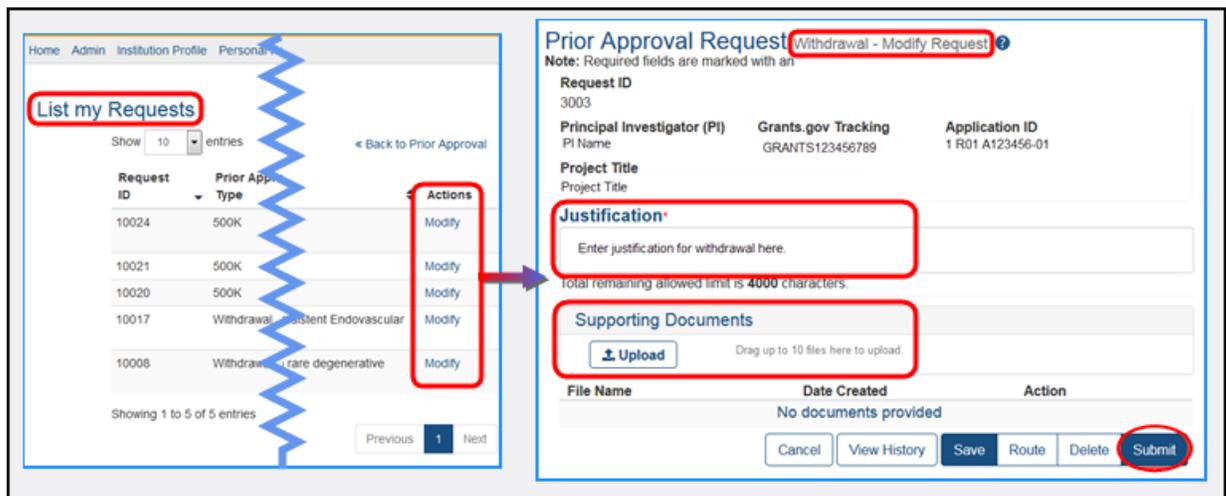
NOTE: Only a Signing Official (SO) can submit a withdrawal request and only

when the SO is the current reviewer of the report.

Tip: Grantees are strongly encouraged to review the Withdrawal Request prior to submission, to ensure all relevant information and attachments are provided.

To submit the Withdrawal Request to agency:

1. Select the **Modify** button from the **Action** column of the *List My Requests* screen. Users are automatically directed to the *Modify Request* screen.



2. Once the required justification has been entered, and all supporting documents have been uploaded, select the **Submit** button from the bottom of the *Modify Request* screen.
3. A confirmation box displays. Click **Yes**.



- A message displays on the screen indicating that the request has been successfully submitted.

✔ **Success:** Your withdrawal request has been successfully submitted to agency.

- A notification is sent to the submitting SO and PI(s) that the Withdrawal request has been submitted to Agency.

12.19 Requesting a No Cost Extension

Requests for No Cost Extensions (NCEs) may only be initiated by a Signing Official (SO).

A No Cost Extension may be requested in the following situations:

- If the Grant has previously had a No Cost Extension and less than 90 days remain before project period End Date.
- The Grant has previously had a No cost Extension and the application is within 270 days after the end of the project period End Date has passed, but the grant has not been closed.
- The Grant does not have an expanded authority and less than 90 days remain before the project period end date.
- The Grant does not have an expanded authority and the application is within 270 days after the end of the project period end date has passed, but the grant has not been closed.

Users may modify these requests until they are submitted to the agency.

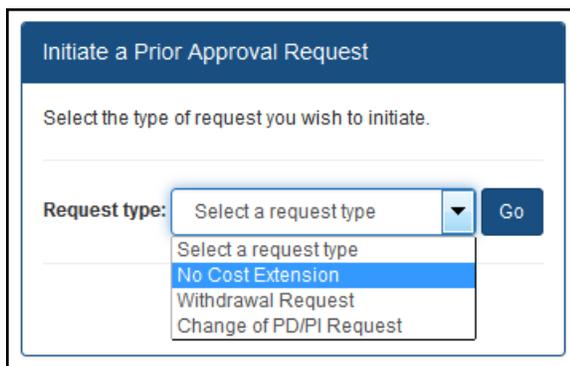
NCEs may not be submitted if they contain errors but they may be submitted with warnings.

NCE request may not be submitted for grants for which the closeout process has begun.

Initiate a No Cost Extension

Log into Commons and select the **Prior Approval tab**.

From the drop-down menu in the **Initiate a Prior Approval Request** section, select the option for a *No Cost Extension* and click the **Go** button.



The screenshot shows a web interface titled "Initiate a Prior Approval Request". Below the title is a text prompt: "Select the type of request you wish to initiate." There is a horizontal line for input. Below that, the label "Request type:" is followed by a dropdown menu. The dropdown menu is open, showing four options: "Select a request type", "No Cost Extension" (which is highlighted in blue), "Withdrawal Request", and "Change of PD/PI Request". To the right of the dropdown menu is a blue "Go" button.

The **No Cost Extension - Modify Request** screen will open. All fields and listed documents are required in order to submit the request.

[Home](#) [Admin](#) [Institution Profile](#) [Personal Profile](#) [Status](#) [ASSIST](#) [Prior Approval](#) [RPPR](#) [xTrain](#) [xTRACT](#) [Admin Supp](#)
[eRA Partners](#) [Non-Research](#)

Prior Approval Request

No Cost Extension - Modify Request ?

All fields and documents are required

Application Information

PD/PI User ID GEORGE_BURNS	Name of PD/PI Burns, George	Grants Management Specialist Allen, Gracie eRATest@mail.nih.gov (919) 316-4666	Program Official Birnbaum, Nathan eRATest@mail.nih.gov (240) 555-5555
Grant #: 5U01ES123456-10	Type Act IC Serial# Year Suffix	Application Title Functional Genomics of Chemical-Induced Acute Lung Injury	
Institution UNIVERSITY OF VAUDEVILLE	Budget Period 05/01/2015 - 04/30/2017	Project Period 09/29/2006 - 04/30/2017	

Request Detail

Request ID: 652

Number of Months <input type="text" value="5"/>	Proposed Budget Period End Date	Proposed Project Period End Date
Amount of Unobligated Balance <input type="text" value="0"/>	Do Assurances Remain in Place? <input type="text" value="Yes"/>	Does PI Maintain Measurable Effort? <input type="text" value="Yes"/>

Progress Report

Upload

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
ProgressReport_test.pdf	02/10/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Budget Document

Upload

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
Budget_test.pdf	02/10/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Justification Document

Upload

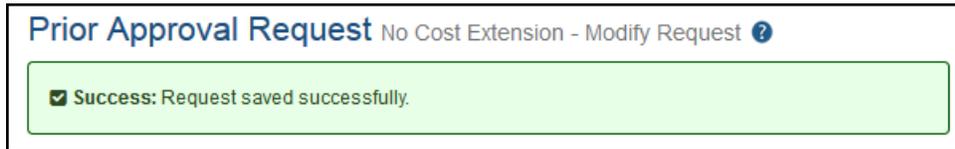
Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
Justification_test.pdf	02/10/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Saving the request for later completion and submission (if needed)

If it is necessary to complete the request at a later time, click on the **Save** button. A confirmation

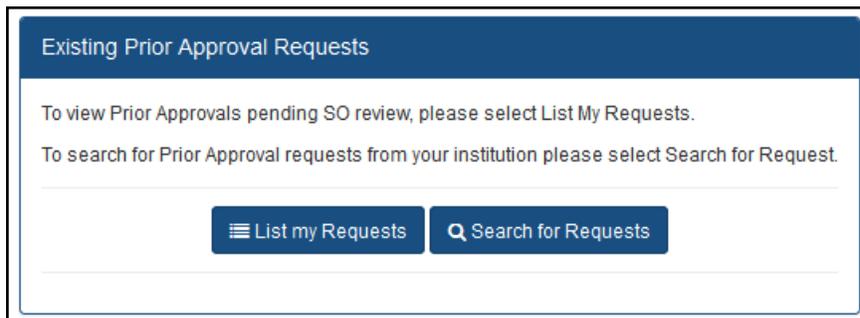
message will be displayed if all required fields have been completed.



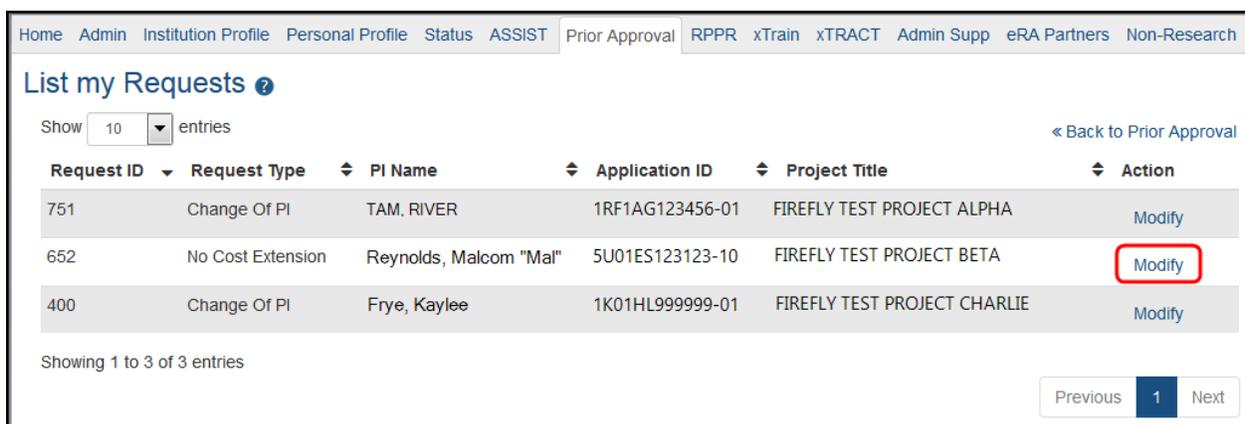
Modifying a request

Between the time that a request has been initiated and before it is submitted to the agency, an SO may modify the request.

The SO may perform this action by clicking on either **List My Requests** (if the SO initiated it), or **Search for Requests** (if a different SO initiated the request) from the *Prior Approval* landing page.



From the resulting hitlist, select the *Modify* link in the **Action** column. This will take the user to the *Modify Request* screen.



On the *Modify Request* screen, update the information as appropriate. At this stage, all of the action buttons at the bottom are available. You may choose to,

- **Submit** - if all of the information is entered and accurate
- **Save** - if additional updates may still be required
- **View History** - to see the actions that have been taken so far and who performed the action
- **Cancel** - if the current actions should not be saved
- **Delete** - to remove the request entirely.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp
 eRA Partners Non-Research

Prior Approval Request No Cost Extension - Modify Request ?

All fields and documents are required

Application Information			
PD/PI User ID GEORGE_BURNS	Name of PD/PI Burns, George	Grants Management Specialist Allen, Gracie eRATest@mail.nih.gov (919) 316-4666	Program Official Birnbaum, Nathan eRATest@mail.nih.gov (240) 555-5555
Grant #: Type Act IC Serial# Year Suffix 5U01ES123456-10	Application Title Functional Genomics of Chemical-Induced Acute Lung Injury		
Institution UNIVERSITY OF VAUDEVILLE	Budget Period 05/01/2015 - 04/30/2017	Project Period 09/29/2006 - 04/30/2017	

Request Detail		
Request ID: 652		
Number of Months 5	Proposed Budget Period End Date	Proposed Project Period End Date
Amount of Unobligated Balance 0	Do Assurances Remain in Place? Yes	Does PI Maintain Measurable Effort? Yes

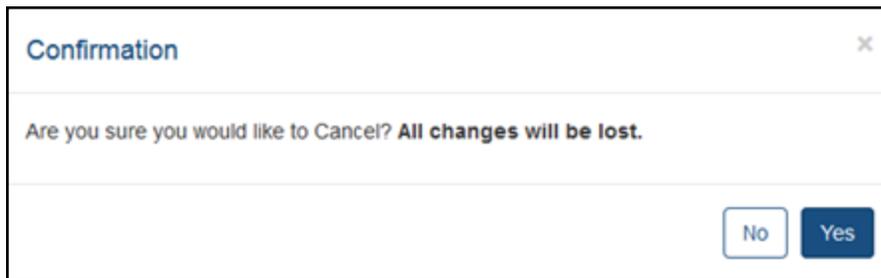
Progress Report		
<input type="button" value="Upload"/> Drag up to 1 file(s) here to upload.		
File Name	Date Created	Action
ProgressReport_test.pdf	02/10/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Budget Document		
<input type="button" value="Upload"/> Drag up to 1 file(s) here to upload.		
File Name	Date Created	Action
Budget_test.pdf	02/10/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Justification Document		
<input type="button" value="Upload"/> Drag up to 1 file(s) here to upload.		
File Name	Date Created	Action
Justification_test.pdf	02/10/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Canceling a request

When you click on the **Cancel** button your browser will leave the *Modify Request* page and go back to the previous page. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the previous page. If you have saved any information in the *Modify Request* page, it will still be available to update later.



Deleting a request

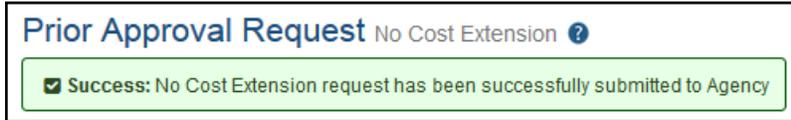
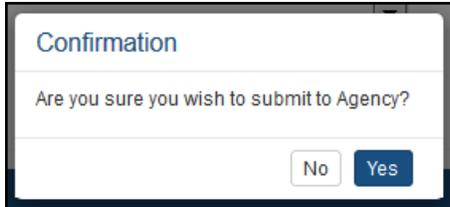
If you decide to delete the request while on the *Modify Request* page, simply click on the **Delete** button and any activity you have performed will be deleted and the screen will return to the prior page.

If you have saved information and are no longer on the *Modify Request* page, you may still look up the request from the *Prior Approval* landing page. Click on the **List My Requests** button to list requests that you have initiated, or click on the **Search for Requests** button and perform a search to find the request to be deleted.

From the resulting hitlist, for either method, click on the *Modify* link in the **Action** column for the desired request. This action will open the *Modify Request* page. At the bottom of the page, click on the **Delete** button. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the *Prior Approval* landing page.

Submitting the request to the agency

When all fields have been populated and all required files have been uploaded, click on **Submit** to send the request to the Agency. A confirmation message will be displayed asking for a second confirmation that you wish to submit. Click on the **Yes** button on that message to submit. Once the system validates that all required fields have been completed and all required documents uploaded, a message will be displayed indicating a successful submission.

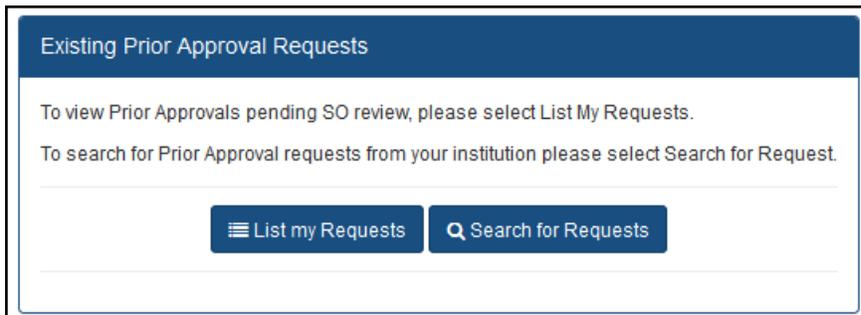


If the grant has been closed, it will not be eligible for an NCE and an error message will display.



View the history of the request

Use either the **List My Requests** or the **Search for Requests** button to find the request.



In the resulting hitlist, select the *Modify* or *View History* link in the **Actions** column. The link will say *Modify* until the request has been submitted to the agency. After a successful submission, the link will change to *View History*.

List my Requests PI View

Show entries « Back to Prior Approval

Request ID	Request Type	Prior Approval Status	Application ID	Project Title	Action
2040	Withdrawal	In Progress PI	1 R01 A123456-01	Project Title	Modify
2041	No Cost Extension	In Progress SO	1 R01 A999999-02	Project Title 2	View PDF View History

Showing 1 to 2 of 2 entries Previous **1** Next

List my Requests SO View

Show entries « Back to Prior Approval

Request ID	Prior Approval Type	PI Name	Grant Number	Application Title	Actions
10024	500K	ENERD, MORTIMER Z	AA	Test Application 1	Modify
10021	No Cost Extension	BERGEN, EDGAR	AA	Test Application 3	Modify
10020	500K	VALLÉE, RUDY	AA	Test Application 3	Modify
10017	No Cost Extension	SANBORN, CHASE	R21NS123123-01A1	Genetic Adaptations to Antibiotics: Role in various persistent endovascular infections	View PDF View History
10008	Withdrawal	KLINKER, EFFIE	R21NS123456-01A1	Targeting R155H p97_VCP to treat a variety of rare degenerative nervous system disorders	Modify

Showing 1 to 5 of 5 entries Previous **1** Next

Clicking on the *Modify* link will open up the same *Modify Request* screen used for the initial information. At the bottom of the screen, click on the **View History** button to see the history of the request.

Clicking on the *View History* link from the search results **Action** column or the **View History** button from the *Modify Request* screen will open up the *View History* screen that will show what actions have taken place on the request.

Prior Approval Request No Cost Extension - View History

Request ID
20897

Principal Investigator (PI)
Grint, Rupe

Application ID
AA 123456789

Action Taken By	Event	Action Date	Request Status	Comment
Malfoy, Draco	Initiate	04/04/2016	In Progress SO	
Malfoy, Draco	Submit	04/04/2016	Submitted to Agency	

Showing 1 to 2 of 2 entries

12.20 Requesting a Change of PD/PI on a Grant

When it is necessary to change the PD/PI(s) on a grant, an SO may use the **Prior Approval** module to create and submit the request to the agency.

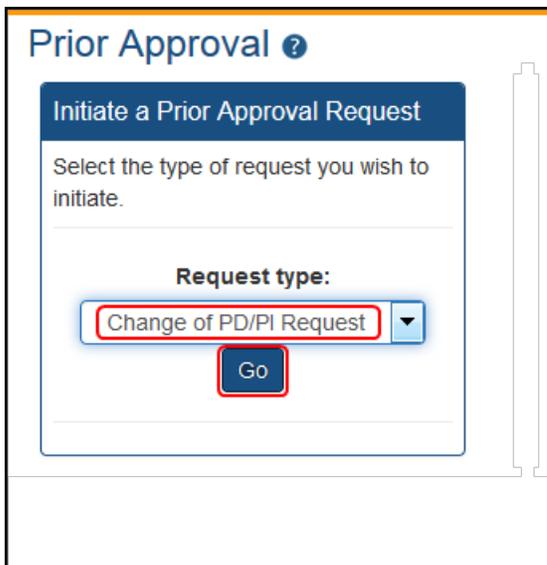
PD/PIs will not see the option for a change of PD/PI(s) when they log in to Commons and access the **Prior Approval** module.

The following are the available functions and who may process them:

- **Initiate:** any SO
- **Modify/Save:** Current Reviewer
- **Delete:** Current Reviewer
- **Route:** Current Reviewer
- **Submit to Agency:** any SO
- **View:** actor who is not the current reviewer
 - Current Reviewer is determined by the role of user and the *Change of PD/PI Status* (for example, if an Change of PD/PI is *SO Pending*, any SO can work on the request.)

Initiate a Change of PD/PI Request

1. User selects *Change of PD/PI Request* from the **Request type:** drop-down menu.



The screenshot shows a web interface titled "Prior Approval" with a help icon. Below the title is a section "Initiate a Prior Approval Request" with the instruction "Select the type of request you wish to initiate." A "Request type:" label is positioned above a dropdown menu that currently displays "Change of PD/PI Request". A "Go" button is located below the dropdown menu. Red boxes highlight the dropdown menu and the "Go" button.

2. System displays *eligible* grants as outlined below:

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval Request Change of PD/PI - Available Grants ?

The following grants are eligible for Change of PI. Please select one grant and click the **Initiate Change of PI** button.

Search Grant Number

Search PI

Show entries

<input type="radio"/>	Grant Number	Project Title	PI Name	Budget Period End Date
<input type="radio"/>	1R15DE123456-01	Genome Data Mining	Tester, First	06/30/2019
<input type="radio"/>	1R01GM654321-01	Mechanisms of regulation of DNA repair helicases	Tester, Second	07/31/2017
<input type="radio"/>	1R15ES123456-01A1	The Role of the Peritoneum Pathogenesis	TESTER, THIRD	07/31/2017
<input type="radio"/>	1R01GM123456-01	Integration of Small RNAs in Control of Salmonella Pathogenicity	TESTER, FOURTH	07/31/2017
<input type="radio"/>	1R21HL123456-01A1	Development of a Liposomal Nanostimulator	Tester, Fifth	07/31/2017
<input checked="" type="radio"/>	2R01GM000123-05	Phosphatidic acid regulation of mTOR signaling	TESTER, SIXTH	07/31/2017
<input type="radio"/>	1K22A123456-01A1	Defining novel mechanisms of influenza virus gene regulation	Tester, Seventh	06/30/2017
<input type="radio"/>	1R21HL654321-01A1	An objective noninvasive single-cell method to identify HSC	TESTER, EIGHTH	06/30/2017
<input type="radio"/>	1R21MH654321-01	Novel DNzyme sensors for lithium and sodium	Tester, Ninth	06/30/2017
<input type="radio"/>	1R21HL654321-01A1	The 23rd Annual Midwest Microbial Pathogenesis Conference	TESTER, TENTH	06/30/2017

Showing 1 to 10 of 30 entries

3.
 - Grant year is the most recent awarded year in the segment
 - Grant family is not past the Project Period End Date
 - Grant is not a Fellowship
 - Grant is from an IC/Agency that supports Change of PD/PI
 - Administrative Supplements cannot have a Change of PD/PI initiated
4. SO selects a grant and initiates request:

NOTE: If the grant selected already has a pending *Change of PD/PI* request already pending in the PA Module, the system will display an error message. This error message will contain the pending request number which is a link from which user can access the pending request.

Prior Approval Request Change of PD/PI - Available Grants 

 **Error:** There is already a Change of PD/PI Request pending in Commons for 1R01NS092641-01A1; Request #651

- If no pending request exists, the system assigns a Prior Approval ID number to the request
- Request is set to: *In Progress SO*
- The user is taken to the *Change of PD/PI Modify Request* page

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp
 eRA Partners Non-Research

Prior Approval Request Change of PD/PI - Modify Request ?

Application Information

PD/PI User ID CRYSTALMAX	Name of PD/PI Crystal, Billy	Grants Management Specialist Max, Miracle eRAtest@mail.nih.gov 301-555-5555	Program Official Montoya, Inigo eRAtest@mail.nih.gov 301-555-5555
Grant #: Type Act IC Serial# Year Suffix 1K01HL123456-01	Application Title Efficacy of revitalization medicine coated in chocolate		
Institution UNIVERSITY OF FLORIN	Budget Period 08/01/2016 - 07/31/2017	Project Period 08/01/2016 - 07/31/2021	

Request Detail

Request ID: 400
PD/PI Assigned to Current Grant Year

PD/PI Name	PD/PI ID
Crystal, Billy	CRYSTALMAX

PD/PI Name	PD/PI ID	Contact PD/PI	Level of Effort in Person Months		
<input type="text" value="Last name, First name"/>	<input type="text"/>	<input type="checkbox"/>	Calendar	Academic	Summer
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Biosketch

Other support

PD/PI Name	PD/PI ID	Contact PD/PI	Cal	Aca	Sum	Bio Sketch	Other Support	Action
Crystal, Billy	CRYSTALMAX	Y						Modify Delete

Effective Date

Justification Document

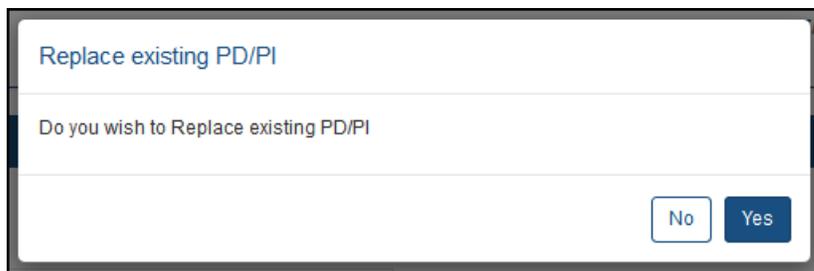
Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

The *Change of PD/PI Modify Request* page consists of a read only header, OPERA-mandated questions (which may be optional), and IC specified document uploads.

The current reviewer may modify the following on a *Change of PD/PI Modify Request*:

- Add a PD/PI
 - Remove PD/PI
 - Mark PD/PI as Contact PD/PI
 - Add Level of effort for PD/PI (calendar, or academic and/or summer)
 - Effective Date
 - Justification
 - Leadership for Grants that will become MPI
 - Upload Bio Sketch (for each PD/PI)
 - Limit one (1) PDF per PD/PI, and file may not exceed 6 MB.
 - Human Subjects checkbox
 - Other Support upload (for each PD/PI)
 - Other Documents (up to 10, 6 MB size limit per file)
 - IC specific upload
4. When information for a new PD/PI is entered, click on the **Add/New** button. A confirmation pop-up will open, click the **Yes** button to confirm the change.

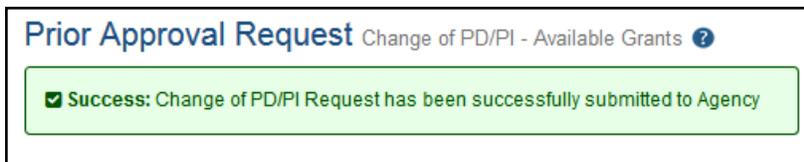
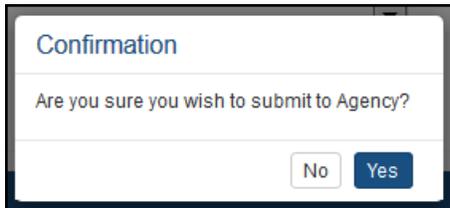


5. The SO may **Save** the request at this time if the request is not ready to submit. When the **Save** button is clicked, a message should appear at the top of the page indicating that the request has been saved.



Submit the request to the agency

When all fields have been populated and all required files have been uploaded, click on **Submit** to send the request to the Agency. A confirmation message will be displayed asking for a second confirmation that you wish to submit. Click on the **Yes** button on that message to submit. Once the system validates that all required fields have been completed and all required documents uploaded, a message will be displayed indicating a successful submission.

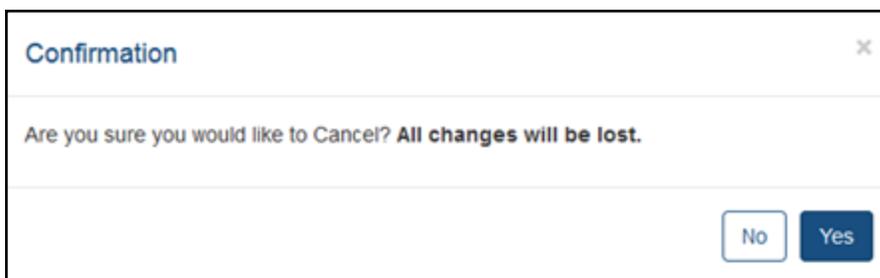


Other actions that occur are:

- System generates a PDF of the request including uploaded documents
- System sends notifications (SO, GMS, PO)
- System Stores PDF in Grant Folder for internal and external users

Cancel a request

When you click on the **Cancel** button your browser will leave the *Modify Request* page and go back to the previous page. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the previous page. If you have saved any information in the *Modify Request* page, it will still be available to update later.



Delete a request

If you decide to delete the request while on the *Modify Request* page, simply click on the **Delete**

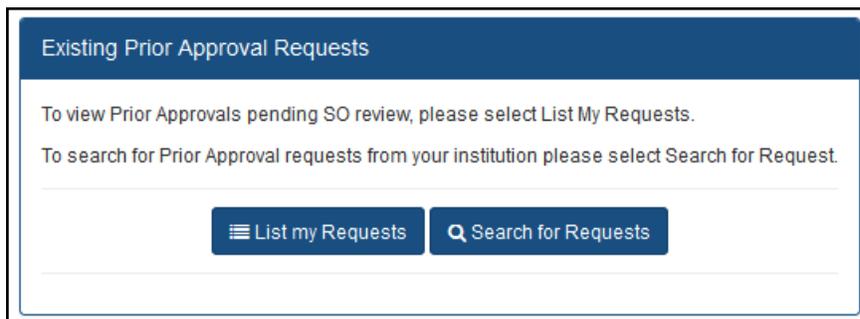
button and any activity you have performed will be deleted and the screen will return to the prior page.

If you have saved information and are no longer on the Modify Request page, you may still look up the request from the *Prior Approval* landing page. Click on the **List My Requests** button to list requests that you have initiated, or click on the **Search for Requests** button and perform a search to find the request to be deleted.

From the resulting hitlist, for either method, click on the *Modify* link in the **Action** column for the desired request. This action will open the *Modify Request* page. At the bottom of the page, click on the **Delete** button. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the *Prior Approval* landing page.

View the history of the request

Use either the **List My Requests** or the **Search for Requests** button to find the request.



In the resulting hitlist, select the *Modify* or *View History* link in the **Actions** column. The link will say *Modify* until the request has been submitted to the agency. After a successful submission, the link will change to *View History*.

Request ID	Request Type	PI Name	Application ID	Project Title	Action
350	Change Of PI	Porter, Eleanor H.	1R21MH123456-01	Case studies observing the effect of optimism in outcomes	Modify
306	Change Of PI	Mills, Hayley	1R15DE123456-01	Recovery results comparing the effectiveness of positive mental attitude compared to placebos	View PDF View History
9006	Withdrawal	Pickford, May	1R21EY123456-01A1	Studying the Pollyanna effect on corneal transplant recovery outcomes	Modify

Clicking on the *Modify* link will open up the same *Modify Request* screen used for the initial information. At the bottom of the screen, click on the **View History** button to see the history of the request.

Clicking on the *View History* link from the search results **Action** column or the **View History** button from the *Modify Request* screen will open up the *View History* screen that will show what actions have taken place on the request.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR FFR xTrain xTRACT FCOI				
Admin Supp eRA Partners Non-Research				
Prior Approval Request Change of PD/PI - View History ?				
Request ID	Principal Investigator (PI)	Grant Number		
350	PORTER, ELEANOR H	1R21MH123456-01		
Project Title				
Case studies observing the effect of optimism on outcomes				
Action Taken By	Event	Action Date	Request Status	Comment
Whittier, Pollyanna	SUBMIT	02/08/2017	Request Submitted	
Whittier, Pollyanna	INITIATE	02/08/2017	Request Initiated	

12.21 Carryover

12.21.1 Overview

Carryover is a process through which unobligated funds remaining at the end of the budget period may be carried forward to the next budget period. The carryover of funds allows the Grantees to use the unused prior year funds in the current budget period. Grantees are allowed to carryover funds automatically if they have the expanded authority for their application for all others, Grantees need to submit a carryover request to their respective Grants Management Specialists and Program Officials who will review their request.

12.21.2 Eligibility Criteria

To be eligible for a Carryover request through the *Prior Approval* module, the Grantees should have satisfied the following conditions:

- The grant is still active, meaning the project period has not ended, or a Prior Approval NCE request has been submitted by the institution requesting additional time and the grant has not gone into closeout or unilateral closeout.
- The grant does not have an Expanded authority (Expanded authority is based on the activity code of the application, or set by the IC in GM Module).
- The request date is within the current budget period date.
- The grant is not for a Fellowship application.

12.21.3 Required Information and Documents

Grantees who satisfy the above conditions are allowed to submit their request through the **Prior Approval** module available in their Commons system. When submitting their request, enter the

amount of the funds to be carried over in the Request Details section. In the remaining sections, upload the following PDF documents.

- Explanation of unobligated balance
- Detailed Budget
- Scientific Justification

12.21.4 Validation on Submission

When the request is submitted, the NIH system will verify;

- That all required fields have been filled out.
- The system will display a warning message if:
 - There are any Prior year outstanding FFRs (Federal Financial Reports) that need to be submitted.

Or

- Any prior year FFR has been submitted and rejected by the agency and the grantee has resubmitted the FFR.

12.21.5 No Cost Extension and Carryover

If the grant is eligible for a *No Cost Extension* when the *Carryover* request is initiated, the system will provide the ability to initiate a *No Cost Extension*. A *No Cost Extension* request can be initiated if either of the following conditions are satisfied

- If Project period end date is with 90 days.

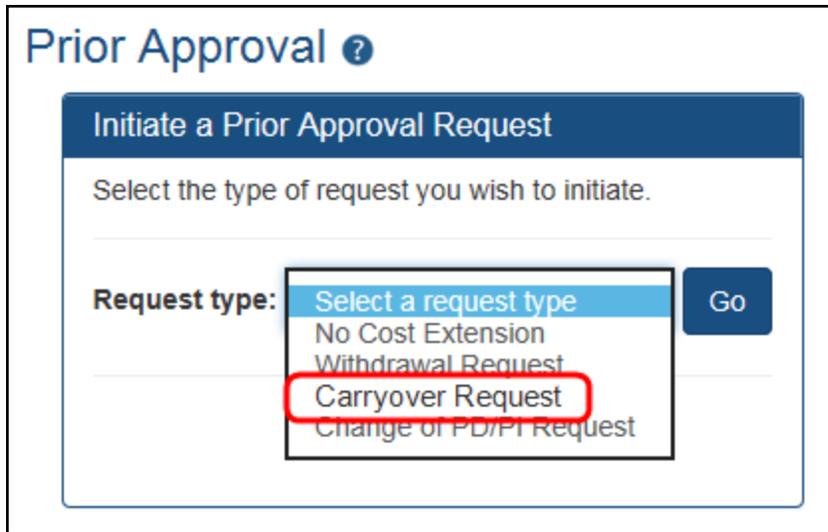
Or

- The Project Period End Date has passed, and the grant is not in closeout or unilateral closeout.

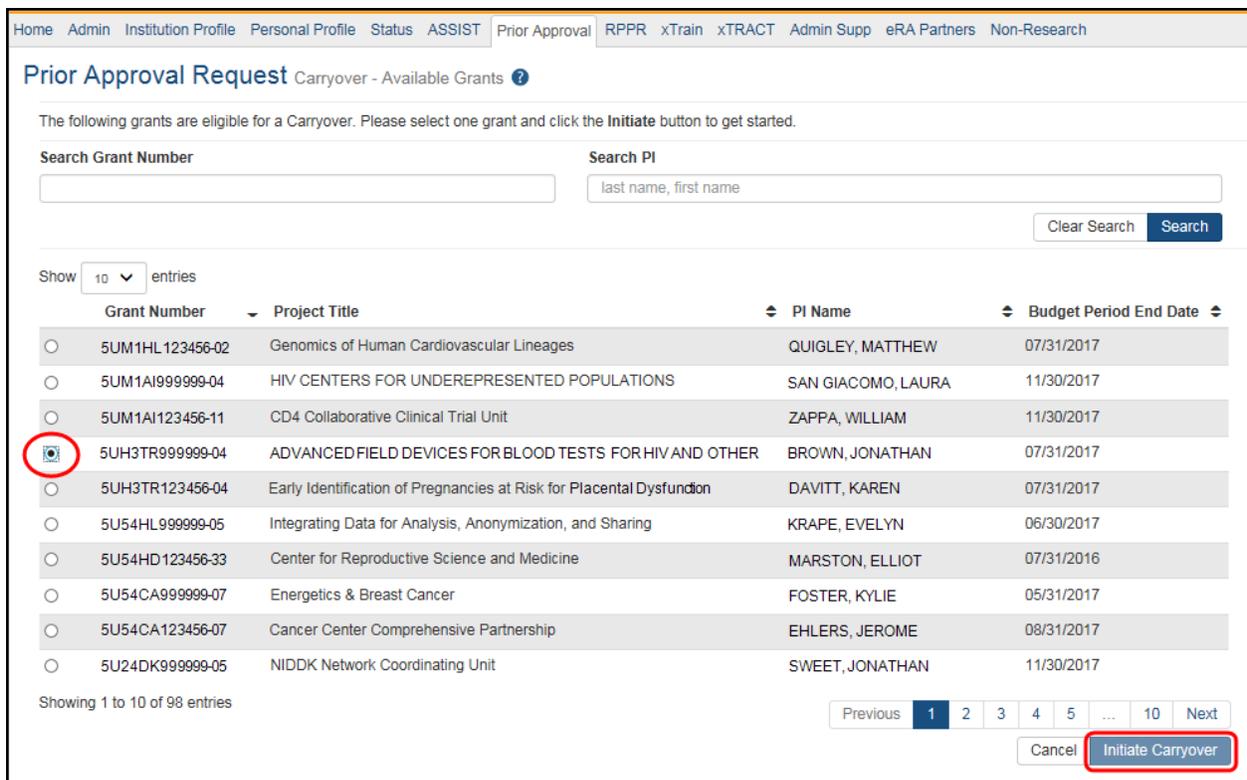
12.22 Carryover Request Process

12.22.1 Initiate Carryover Request

To initiate a Carryover request, the SO will open the *Prior Approval* module in Commons and select *Carryover* from the Initiate a Prior Approval Request drop-down menu.



All grants eligible for Carryover will be displayed. From the displayed grants, select the one for which the request is to be initiated and then click the **Initiate Carryover** button.



The *Modify Request* screen for Carryover will open.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners
Non-Research

Prior Approval Request Carryover - Modify Request ?

All fields and documents are required

Application Information

PD/PI User ID GADGETGUY	Name of PD/PI BROWN, JONATHAN	Grants Management Specialist Summer, Cree eRATest@mail.nih.gov 240-555-0000	Program Official Adams, Don eRATest@mail.nih.gov 301-555-0000
Grant #: Type Act IC Serial# Year Suffix 5UM1A123456-11		Application Title ADVANCED FIELD DEVICES FOR BLOOD TESTS FOR HIV AND OTHER DISEASES	
Institution GADGET UNIVERSITY at DiC		Budget Period 12/01/2016 - 11/30/2017	Project Period 01/01/2007 - 11/30/2020

Request Detail

Request ID: 1234

Amount of funds to be carried over

Unobligated Funds

Explanation of Unobligated Balance

Upload Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

Detailed Budget

Upload Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

Scientific Justification

Upload Drag up to 1 file(s) here to upload.

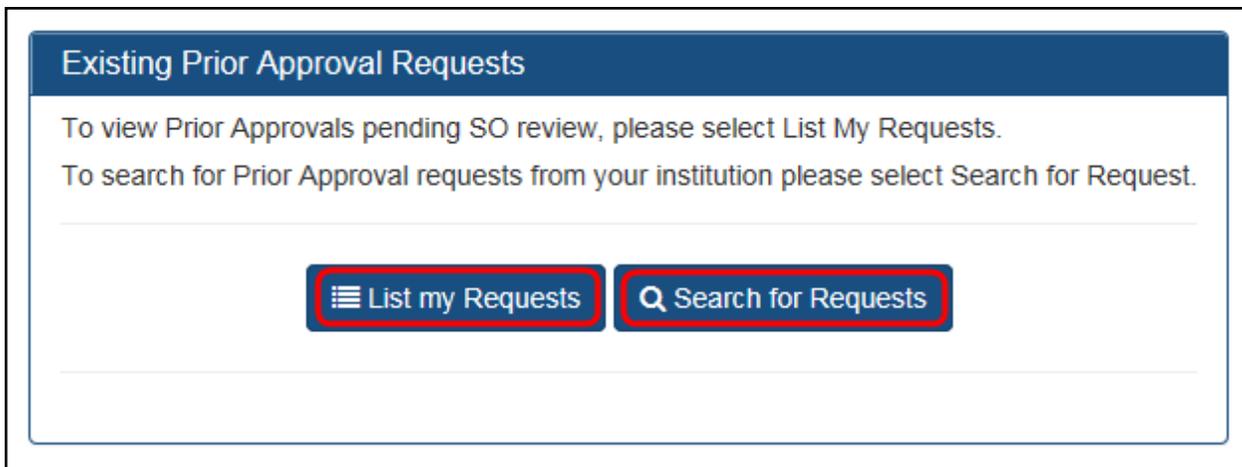
File Name	Date Created	Action
No documents provided		

- Each section of the *Modify Request* page is required. These sections include:
 - **Application Information** - Pre-populated from system information. If the grant is a Multi-IC grant, the PO shown will be the one associated with the primary IC.

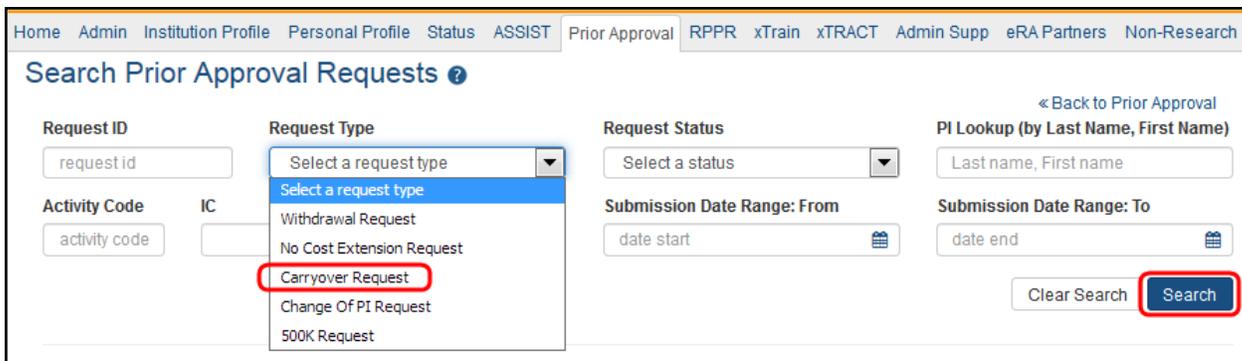
- **Request Detail** - The Request ID is system-generated. The amount of funds to carryover must be entered. This field only accepts numbers and period with values up to two decimals.
 - **Explanation of Unobligated Balance** - Upload a single PDF document in this section detailing why funds were not spent.
 - **Detailed Budget** - Upload single a PDF document in this section with a budget that incorporates how the carryover funds will be spent.
 - **Scientific Justification** - Upload a single PDF document in this section that explains the need for the carryover funding from a scientific perspective.
- Click on **Save** to preserve any changes made. A message will be displayed to indicate a successful save and they system will remain on the page.
 - Once all information has been entered and uploaded, click on **Submit**. This will validate the request to ensure all required items have been included and mark the application as "Submitted to the agency".
 - Once either **Save** or **Submit** is selected, the **View History** button will be available to show the progression of changes made to the request.
 - If changes made to the *Modify Request* screen should not be kept, click the **Cancel** button. This will take the user back to the page from which they entered the *Modify Request* page.
 - If the Carryover request should be removed, select the **Delete** button. A pop-up message will appear to confirm the action. If "Yes" is selected, all information related to the request will be removed. If "No" is selected, the system will stay on the *Modify Request* page.

12.22.2 View Saved or Submitted Requests

- Once a Carryover request has been saved or submitted, it can be viewed again by selecting either the **List my Requests** or the **Search for Requests** button.



- Choosing **List my Requests** will display a list of *all* prior approval requests. For institutions with several prior approval requests, it may be more efficient to use the **Search for Requests** option instead. This gives the option to search specifically for Carryover requests.



- The resulting hitlist will display only *Carryover* requests. The options in the **Action** column will be determined by the status of the request.
 - Those that are *In Progress SO* will have a **Modify** option.
 - Those with a status of *Submitted to Agency* will have the options to **View History** and **View PDF**.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners
Non-Research

Search Prior Approval Requests ?

[« Back to Prior Approval](#)

Request ID: Request Type: Request Status: PI Lookup (by Last Name, First Name):

Activity Code: IC: Serial: Submission Date Range: From: To:

Show entries

Request ID	Request Type	PI Name	Request Status	Application ID	Project Title	Actions
####	Carryover	PARKER, MARY-LOUISE	In Progress SO	5U54CA123456-05	Energetics & Breast Cancer	Modify
####	Carryover	MOSES, FRANK	Submitted to Agency	5U54CA123456-07	Cancer Center Partnership	View History View PDF
####	Carryover	WILLIS, BRUCE	In Progress SO	5UM1AI123456-11	HIV CENTERS FOR UNDERREPRESENTED POPULATIONS	Modify
####	Carryover	ROSS, SARAH	Submitted to Agency	5U54HL123456-05	Integrating Data for Analysis, and Sharing	View History View PDF
####	Carryover	ROSS, SARAH	Submitted to Agency	5U54HL123456-05	Integrating Data for Analysis, and Sharing	View History View PDF
####	Carryover	DREYFUSS, RICHARD	Submitted to Agency	2T32GM123456-26	BIOPHYSICS TRAINING PROGRAM	View History View PDF
####	Carryover	MIRREN, HELEN	Submitted to Agency	5U24DA123456-02	Consortium Coordinating Center	View History View PDF
####	Carryover	SIMONOV, IVAN	Submitted to Agency	2T32MH123456-16A1	Training Program in Cognitive Neuroscience	View History View PDF
####	Carryover	DUNNING, ALEXANDER	Submitted to Agency	5U01NS123456-05	Modulators for the Treatment of Alzheimer	View History View PDF
####	Carryover	ROSS, SARAH	Submitted to Agency	5U54HL123456-05	Integrating Data for Analysis, and Sharing	View History View PDF

Showing 1 to 10 of 46 entries

Previous Next

12.22.3 Modify Request

- As indicated above, use the options in the *Existing Prior Approval Requests* window to locate the request to be modified.
- Click on the *Modify* link in the **Actions** column.

- The *Modify Request* screen will open showing what the information that has been entered and uploaded.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners

Non-Research

Prior Approval Request Carryover - Modify Request ?

All fields and documents are required

Application Information

PD/PI User ID GADGETGUY	Name of PD/PI BROWN, JONATHAN	Grants Management Specialist Summer, Cree eRATest@mail.nih.gov 240-555-0000	Program Official Adams, Don eRATest@mail.nih.gov 301-555-0000
Grant #: Type Act IC Serial# Year Suffix 5UM1A123456-11		Application Title ADVANCED FIELD DEVICES FOR BLOOD TESTS FOR HIV AND OTHER DISEASES	
Institution GADGET UNIVERSITY at DiC		Budget Period 12/01/2016 - 11/30/2017	Project Period 01/01/2007 - 11/30/2020

Request Detail

Request ID: 1234

Amount of funds to be carried over

Unobligated Funds

Explanation of Unobligated Balance

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
20120726012430-2.pdf	06/01/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Detailed Budget

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
20120726012430-2.pdf	06/01/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

Scientific Justification

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
20120726012430-2.pdf	06/01/2017	<input type="button" value="View"/> <input type="button" value="Delete"/>

No Cost Extension

You have submitted No Cost Extension Request #1234 on 05/26/2017, you may view your request here 1234.
 You have submitted No Cost Extension Request #9999 on 05/11/2017, you may view your request here 9999.
 You have submitted No Cost Extension Request #0000 on 04/05/2017, you may view your request here 0000.
Your project period ends on 05/31/2017, do you wish to initiate another No Cost Extension Request?

Yes
 No

- In the *Modify Request* screen, the amount requested may be changed and any uploaded documents may be replaced by deleting the current document and uploading the new one. Click **Save** if more data will be added later or **Submit** if the request is complete.
- *No Cost Extensions* already submitted for the grant will be listed and the request number will be a hyperlink to view that request. An option will also be given to initiate another NCE. Either the "Yes" or "No" radio button must be selected to save or submit the request.

12.23 Route a Prior Approval Request

The routing feature is found towards the bottom of the *Modify Request* screen.

If a request is *In Progress PI*, the PI can route it to the SO. If the request is *In Progress SO*, the SO can route it to the PI.

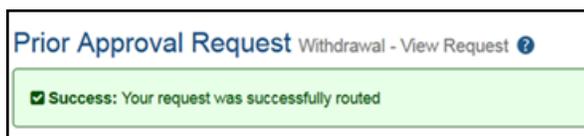
To route a Prior Approval Request to the next reviewer:

1. Select **Route** from the bottom of the *Modify Request* screen.
 - The *Confirmation* screen displays.



The image shows a confirmation dialog box titled "Confirmation". It contains the question "Do you wish to route this request?" followed by a "Comments:" label and a large text input area. At the bottom right, there are two buttons: "Cancel" and "Route to SO".

2. [Optional] Enter comments in the *Comments* box to provide information to the next reviewer.
3. Click the **Route to [SO/PI]** button. The system will notify the recipient of a request that is pending their action.
 - If the Routing is successful, a message displays on the *Prior Approval Request* screen.



The image shows a notification banner on the "Prior Approval Request" screen. The banner has a green background and contains the text "Success: Your request was successfully routed". Above the banner, the page title "Prior Approval Request" is visible, along with "Withdrawal - View Request" and a help icon.

NOTE: The person who routed the Prior Approval Request can no longer edit the report. The modifying feature is now only available to a new reviewer.

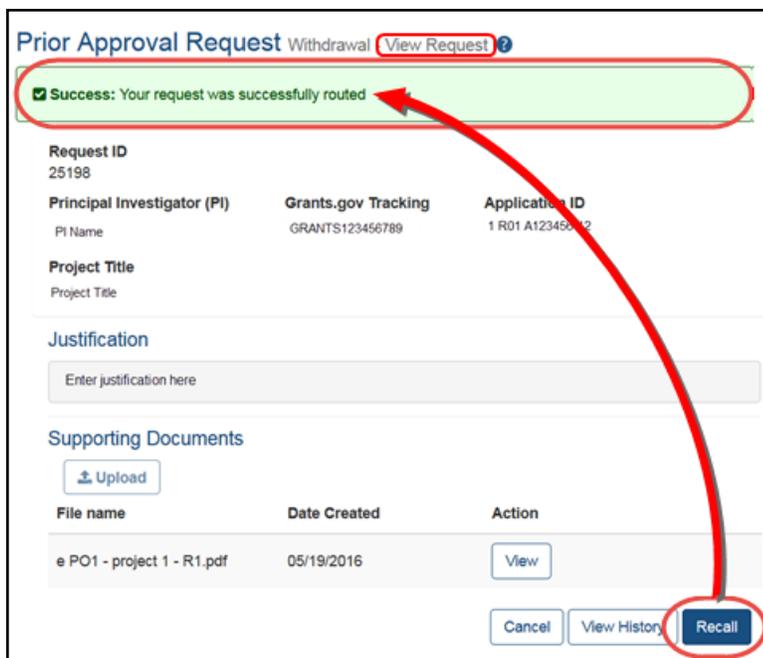
12.24 Recall a Prior Approval Request

Prior Approval Requests that have been routed to a reviewer can be recalled by the previous reviewer. An SO may recall a request even if they were not the last reviewer.

After the status of the request becomes, *"Submitted to Agency"*, it can no longer be recalled.

To recall a request:

1. Select the **Recall** button from the *View Request* screen.
 - A message displays on the screen indicating that the request has been successfully recalled.



The screenshot shows the 'Prior Approval Request' screen with a 'Withdrawal' status and a 'View Request' button. A green success message at the top reads: 'Success: Your request was successfully routed'. Below this, the request details are displayed, including the Request ID (25198), Principal Investigator (PI) name, Grants.gov Tracking number (GRANTS123456789), and Application ID (1 R01 A123456789). The Project Title field is empty. The Justification section has a text input field with the placeholder 'Enter justification here'. The Supporting Documents section includes an 'Upload' button and a table with one document: 'e PO1 - project 1 - R1.pdf' created on 05/19/2016, with a 'View' button. At the bottom right, there are three buttons: 'Cancel', 'View History', and 'Recall'. A red arrow points from the 'Recall' button to the success message.

File name	Date Created	Action
e PO1 - project 1 - R1.pdf	05/19/2016	View

The request is now displayed in the *Modify Request* screen, and is available to be [Modified](#), [Saved](#), [Routed](#), [Deleted](#), [Submitted](#), [Canceled](#), or [View History](#).

12.25 View History of a Request

The *View History* screen enables users to view the progress of requests.

View History is an option before the request is submitted. The button is displayed at the bottom of the *Modify Request* or *View Request* screens.

Prior Approval Request Withdrawal - Modify Request ⓘ

Note: Required fields are marked with an *

Request ID
2040

Principal Investigator (PI)
Montoya, Inigo

Grants.gov Tracking
GRANT12345678P

Application ID
3R01AA123456-01

Project Title
Alcohol Brand Research Among Underage Drinkers

Justification*

Total remaining allowed limit is 4000 characters.

Supporting Documents

Upload

Drag up to 10 files here to upload.

File Name	Date Created	Action
e PO1 - project 1 - R1.pdf	05/16/2016	View Delete

Cancel **View History** Save Route Delete

PIs and SOs access the **Modify** screen slightly differently.

Before Submission, **PIs** may access the link through the **Action** column in the *My Requests* hitlist and select **Modify** and then **View History**.

Prior Approval Request Withdrawal - View History ⓘ

Request ID
2015

Principal Investigator (PI)
PI Name 1

Application ID
1 R01 A123456-01

Project Title
Project Title

Action Taken By	Event	Action Date	Request Status	Comment
Actioner 1	Initiate	04/07/2016		
Actioner 1	Route	04/07/2016	In Progress SO	test
Actioner 1	Recall	04/07/2016	In Progress PI	
Actioner 2	Initiate	04/27/2016	In Progress PI	
Actioner 2	Route	05/27/2016	In Progress SO	
	Recall	05/27/2016	In Progress PI	

Showing 1 to 6 of 6 entries

Before Submission **SOs** may access the link through the **Action** column of the *Search Prior Approval* hitlist and select **Modify** and then **View History**.

Prior Approval Request Withdrawal - View History

Request ID 3011	Principal Investigator (PI) PI Name	Application ID 1 R01 A123456-01		
Project Title Complement activation fragment C5a and C5aR1 Involvement in AD Pathogenesis				
Action Taken By	Event	Action Date	Request Status	Comment
Actioner 1	Initiate	06/01/2016	In Progress SO	
Actioner 1	Submit	06/02/2016	Submitted to Agency	

Showing 1 to 2 of 2 entries

Post Submission

View a History of Requests - Post Submission for SO

1. Login to eRA Commons
2. Click Prior Approval tab
3. Click Search for Requests
4. Search for Requests with a status of Submitted to Agency

Search Prior Approval Requests

Request ID:

Request Type:

Request Status:

PI Lookup (by Last Name, First Name):

Activity Code:

IC:

Serial:

Submission Date Range: From: To:

5. When the results return, click View History

Show 10 entries

Request ID	Request Type	PI Name	Request Status	Application ID	Project Title	Actions
5089	500K	OOOODO, SUSAN M	Submitted to Agency	OD	Test Title	View PDF View History
5083	Withdrawal	Deency Hency	Submitted to Agency	2R01DC0.07073-07	Conceptual System in the Impaired	View PDF View History

6. The View History page will be presented.

Prior Approval Request 500k - View History [?](#)

Request ID 8989	Principal Investigator (PI) :NER_SNER, :SANER,	Application ID
Project Title Test Title		

Action Taken By	Event	Action Date	Request Status	Comment
ASER SER	Initiate	09/12/2016	In Progress PI	
ISAN SNER, SANAN	Submit	09/12/2016	Submitted to Agency	

Showing 1 to 2 of 2 entries

View a History of Requests - Post Submission for PI

1. Login to eRA Commons
2. Click Prior Approval tab
3. Select List My Requests
4. Click View History

List my Requests [?](#)

Show entries [← Back to Prior Approval](#)

Request ID	Request Type	Prior Approval Status	Application ID	Project Title	Action
5092	Withdrawal	In Progress PI	1R01N0831083-01A1	The Susclerosis channel in sclerosis	Modify
5091	Withdrawal	Submitted to Agency	3R01HL092097-09	Sulfo stroke therapeutic target in ischemic ischemic stroke	View PDF View History

13 Research Performance Progress Report (RPPR) Module

The RPPR module allows extramural grantee institutions to electronically submit Research Performance Progress Reports (RPPR) to the Grants Management community.

RPPR module features include:

- Electronic initiation of an RPPR
- Electronic routing of an RPPR to authorizing officials at the applicant institution for review and approval prior to submission to the agency
- Viewing of RPPR routing history
- Error checking capabilities
- Electronic submission of an RPPR
- Creation of [Interim RPPR](#)
- Electronic submission of [Interim RPPR](#)
- Creation of [Final RPPR](#)
- Electronic submission of [Final RPPR](#)
- Ability for an SO to delegate authority to a PD/PI for submitting an RPPR
- PDF generated version stored in the electronic grant folder (Commons Status Information screen)

A detailed instruction guide exists online featuring additional field-by-field guidance for completing the report. Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf).

13.1 Initiating the RPPR

Only the PD/PI or the PD/PI delegate may initiate an RPPR. When there are multiple PIs (MPI), only the Contact PI or the PD/PI delegate of the Contact PI may initiate the report.

To initiate, the user can choose from one of two ways to access the RPPR functionality:

1. Access RPPR from Status.
 - a. Select the **Status** tab from the Commons menu options.
 - b. Select the **List of Applications/Grants** link from the *Status* screen or from the menu options.

The screenshot shows the eRA Commons interface. At the top, the eRA logo and 'Electronic Research Administration' are displayed. Below the logo is a navigation bar with links: Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval, RPPR, and xT. The 'Status' link is circled in red. Below the navigation bar, the page title is 'Status: PI Search'. A sub-header reads: 'The following list of applications represents a result of the search by Grants.gov Tracking # or a list complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** i'. There are two main sections: 'Recent/Pending eSubmissions' and 'List of Applications/Grants'. The 'List of Applications/Grants' section is circled in red and contains a list of items: 'Funded Grants', 'Successfully submitted applications, both paper and electronic', 'Review assignment status, review results, summary statements, and Notices of Award', and 'Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) fc'. Below this is a search box titled 'Search by Grants.gov Tracking Num' with a text input field labeled 'Tracking Number' and a 'Search' button.

- From the *Status Result - List of Applications/Grants* screen, locate the grant and select the **RPPR** link from the **Actions** drop-down menu in the **Available Actions** column for the specific grant (use *Flat View*). The **RPPR** link for the current reporting period is available once the Notice of Award for the prior year has been issued. This link remains available until the RPPR for the current reporting year has been submitted.

For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year. The link for a multi-year funded award is available two months prior to the RPPR due date for the current reporting period and remains available until the RPPR is submitted. Note that AHRQ has not yet implemented the RPPR for multi-year funded awards.

NOTE: While **RPPR Year <X>** links for multiple years may appear at the same time in *Status*, you are prevented from initiating a reporting year's progress report until the progress report(s) of the previous year(s) has been submitted.

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	PD/PI Name	e-Submission Status	Current Application Status	Status Date	Action
5K23HD123456-02		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded: Non-fellowships only	08/17/2011	
1K23HD123456-01A1	GRANT12345678P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded: Non-fellowships only	07/13/2010	Transmittal Sheet
1K23HD123456-01	GRANT87654321P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Withdrawn by IC - Other Version Encumbered	07/13/2010	Transmittal Sheet
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS		Pending	08/17/2011	RPPR

Export to Excel Show Query Print Hlist

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	PD/PI Name	e-Submission Status	Current Application Status	Status Date	Action
1R03CA123456-01	GRANT12300001P	All's Well That Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM	Submission Complete	Administratively Withdrawn by IC	11/08/2011	Transmittal Sheet
1R15CA234567-01A1 (MP)	GRANT1111111111P	A Midsummer Night's Dream and Other Known Sleeping Disorders	SHAKESPEARE, WILLIAM	Submission Complete	Awarded: Non-fellowships only	02/24/2010	RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements
1R15CA654321-01	GRANT12345678P	The Two Noble Kinsmen: A Study on Genetics and DNA	SHAKESPEARE, WILLIAM	Submission Complete	Pending IRG Review	07/17/2013	Transmittal Sheet

Export to Excel Show Query Print Hlist

-OR-

1. Access RPPR from **RPPR** tab.
 - a. Select the **RPPR** tab from the Commons menu options.

The *Manage RPPR* screen displays. *Manage RPPR* is used to view the progress reports to which the user has access and allows the user to select a progress report in order to perform various actions. PD/PIs or users delegated PD/PI updating authority uses the *Manage RPPR* screen to view their own progress reports. SOs and AOs use the screen to search for grants from their institutions and/or for grants routed to them for review.

- b. Select the specific grant by clicking the hyperlink in the **Grant Number** column on the *Manage RPPR* screen.

Manage RPPR ?

Select Grant Number link to manage the RPPR:

Grant Applications

One record found.

Grant Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
1R15CA23456-01	Jefferson, Thomas	A New Model for the Delivery of Well-Child Care	05/15/2012	Not Started	

If an RPPR exists already, Commons displays the report for editing.

The *RPPR Menu* screen displays. The options for the uninitiated report are **Initiate** and **Cancel**. Once an RPPR is in progress, the buttons for other options are enabled.

NOTE: For multi-year funded awards, the following message displays when attempting to initiate an RPPR if the previous year's report has not been submitted:

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

In this case, the option to initiate is disabled.

RPPR Menu ?

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

Application Information

Grant Number: 1R15CA234567-01A1
 Institution: COLLEGE AT STRATFORD-UPON-AVON
 PD/PI Name: SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher
 Project Title: A Midsummer Night's Dream and Other Known Sleeping Disorders
 Due Date: 02/01/2013
 Current Reviewer: Not Started
 Status: Not Started

The *RPPR Menu* screen includes the following fields:

Grant Number

This is the complete number of the grant

Grantee Institution

This field contains the name of the applicant's institution

PD/PI Name

The PD/PI of the grant award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the Contact PD/PI indicated by the word Contact.

Project Title

The project title of the grant

Due Date

NIH

The due date of the progress report for awards issued under the SNAP (Streamlined Noncompeting Award Process) provisions is the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the award is not issued under SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1). If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day. Progress reports for Fellowships are due two months before the beginning date of the next budget period. Occasionally the Notice of Award (NoA) will indicate a different due date which will supersede these dates. Grantees should consult the NoA to determine when SNAP procedures apply.

AHRQ

All AHRQ progress reports due in FY 2015 (10/1/14 – 9/30/15) and beyond are due 3 months before the anniversary of the award. For example, for an FY2014 award issued with a start date of 2/1/14, the annual progress report is due 11/1/14 (i.e., three months before the FY2015 budget period start date (i.e. anniversary date) of 2/1/15). However, if the budget period start date is between 1/1/15 and 4/1/15, grantees will not be penalized if the progress report is received 2 months before the next budget period start date rather than 3 months. If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

Status

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

Buttons

The displayed and enabled buttons vary depending on the status of the RPPR and/or the limitations of the current user's role.

Initiate: Begins the RPPR process. Available for grants with a status of Not Started. Access is granted to PD/PIs and PD/PI delegates. An RPPR can be initiated even if required information in the Personal Profile and Institution Profile sections is missing. If any of this

information is incorrect or missing, a prompt will appear to correct/complete the information after initiating the report. Processing may continue on the RPPR without making the corrections; however, the RPPR will not pass validations for submission to the agency until the errors are corrected.

Edit: Opens the RPPR for edits. Available for progress reports with a status of Work in Progress (WIP). Access is granted to PD/PIs or PD/PI delegates when the PD/PI is the current reviewer, AOs when the AO is the current reviewer, and SOs when the SO is the current reviewer. The Edit button allows the user to view and edit RPPR information.

View: Opens the RPPR report in PDF format, as it will be seen by the agency. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers. Until the RPPR is submitted to agency, the PDF report shows a status of Draft and a blank submission date.

Check for Errors: Checks the RPPR for any errors or warnings. Available for progress reports with a status of Work in Progress (WIP). Access is granted to any user with access to the grant. The RPPR can be validated at any time while in the status of WIP and can be validated multiple times.

View Routing History: Opens a page that displays a routing history table. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers.

Route: Routes the RPPR to the next reviewer for further review or corrections. Available for progress reports with a status of Work in Progress (WIP). Access is granted to the current reviewer. A PD/PI delegate cannot route an RPPR to the next reviewer.

Recall: Recalls RPPRs that have been forwarded to another reviewer and resets the user as the current reviewer. Available for reports with a status of Work in Progress (WIP). Access is granted to the last reviewer (who recalls the report from the current reviewer). Signing Officials and PD/PIs can recall an RPPR even if they are not the last reviewer whenever it has a status of Reviewer Work in Progress. This is useful in situations when a RPPR has been routed to the wrong person or to someone who is unavailable.

Submit: Submits the RPPR to the Agency. Available for reports with a status of Work in Progress (WIP). Access is granted to the SO when the SO is the current reviewer and to the PD/PI when the PD/PI has been delegated Progress Report authority.

NOTE: A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

Cancel: Closes the RPPR Menu screen and returns the user to the previous screen.

2. Select the **Initiate** button to begin the RPPR.

The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a refresh icon. Below this is a window titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	
Status:	Not Started

Below the application information is a row of buttons: 'Initiate', 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Initiate' button is circled in red.

Once initiated, Commons creates the report in a PD/PI Work in Progress status and sets the current reviewer. A message displays as follows:

The RPPR has been successfully initiated.

NOTE: If at any time initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, the editing process can begin. The RPPR is accessed for editing via the *RPPR Menu* screen. The editing feature for single-project RPPRs is different from those of multi-project RPPRs. The steps for accessing each type of RPPR are outlined in other topics. Refer to [Accessing a Single-Project RPPR for Editing](#) or [Accessing a Multi-Project or Single-Project with Complicated Structure for Editing](#) as appropriate.

13.2 Routing the RPPR

IMPORTANT: If you are looking for help routing PRAM, select this link: [Routing PRAM](#)

Progress reports in *Work in Progress (WIP)* status can be routed to others for review or corrections by the current reviewer of the report. The routing feature is found on the *RPPR Menu* screen.

NOTE: A PD/PI delegate cannot route an RPPR to the next reviewer.

To route an RPPR to the next reviewer:

1. Select the **Route** button from the *RPPR Menu*.

The screenshot shows the 'RPPR Menu' window with the following application information:

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Jefferson, Thomas
Status:	PD/PI Work in Progress

At the bottom of the window, there are several buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route' (highlighted with a red circle), 'Recall', 'Submit', and 'Cancel'.

NOTE: The figure above shows a single-project RPPR's *RPPR Menu*, however, multi-project RPPRs have a similar **Route** button on their own *RPPR Menu* screen.

The *Route RPPR to Next Reviewer* screen displays. From this screen, the next reviewer can be chosen from a list of reviewers, and comments can be added.

2. Select a reviewer from the **Next Reviewer** drop-down list.
3. *Optional:* Enter comments in the **Comments** box to provide information to the next reviewer.
4. Select the **Submit** button.

The screenshot shows the 'Route RPPR to Next Reviewer' window with the following information:

Name:	JEFFERSON, THOMAS	Grant Number:	K23HD123456-03
Grantee Institution:	PRESIDENTIAL UNIVERSITY		
Next Reviewer:	WASHINGTON, GEORGE [S0]		
Comments:	Enter useful comments in this text field		

At the bottom, there are 'Submit' and 'Cancel' buttons. The 'Submit' button is highlighted with a red circle. A red arrow points to the 'Comments' text area.

5. *When routed by the PD/PI only:* The PD/PI Assurance statement displays. Select the **I Agree** button to continue.

The screenshot shows the 'Route RPPR to Next Reviewer' window with the following PD/PI Assurance statement:

PD/PI Assurance

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

At the bottom, there are 'I Agree' and 'Cancel' buttons. The 'I Agree' button is highlighted with a red circle.

The *RPPR Menu* displays once again. If the routing is successful, the message on the screen reads as follows:

The RPPR was successfully routed to [Selected Reviewer User ID], [Selected Reviewer Name].

The person who routed the RPPR can no longer edit the report (**Edit** button becomes disabled). The editing feature is now available only to the new reviewer. The RPPR status is updated to *Reviewer Work in Progress*.

The RPPR was successfully routed to WASHINGTON1, George Washington

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress

Edit Check for Errors View View Routing History Route Recall Submit Cancel

13.3 RPPR Routing History

From initiation to submission to Agency, the routing of an RPPR is captured for auditing purposes. PD/PIs, PD/PI delegates, and reviewers can view the routing history for *Work in Progress* or *Submitted to Agency* RPPRs at any time, even when not they are not the current reviewer.

To view the routing history:

1. Select the **View Routing History** button from the *RPPR Menu* screen.

RPPR Menu

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress

Edit Check for Errors View View Routing History Route Recall Submit Cancel

The *Routing History* screen displays showing the **Reviewer Name**, **Action**, **Notification Sent** (date and time), **Date of Action**, **Next Reviewer Name**, and **Comments** (when available).

Reviewer Name	Action	Notification Sent	Date of Action	Next Reviewer Name	Comments
Jefferson, Thomas	Initiate	03-20-2012 10:37:22			
Jefferson, Thomas	Route	04-03-2012 02:21:50	04-03-2012 02:21:50	Washington, George	
Jefferson, Thomas	Recall	04-03-2012 03:44:18	04-03-2012 03:44:18	Jefferson, Thomas	

[Back](#)

- To close the screen, select the **Back** button.

13.4 Submitting RPPR to Agency

Grantees are strongly encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. [Refer to the section of this document titled *Viewing the RPPR on Page 307*.](#)

Completed and validated RPPRs in a status of *Work in Progress* can be submitted to the Agency for acceptance. This act is performed by the Signing Official (SO) when the SO is the current reviewer of the report. For SNAP awards only, PD/PIs may also submit the report if they have been delegated submit authority by the SO.

NOTE: A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

To submit the RPPR to agency:

- Select the **Submit** button from the *RPPR Menu* screen.

RPPR Menu

Application Information

Grant Number: 5K23HD123456-03
 Institution: PRESIDENTIAL UNIVERSITY
 PD/PI Name: Jefferson, Thomas
 Project Title: A New Model for the Delivery of Well-Child Care
 Due Date: 05/15/2012
 Current Reviewer: Washington, George
 Status: Reviewer Work in Progress

[Edit](#) [Check for Errors](#) [View](#) [View Routing History](#) [Route](#) [Recall](#) [Submit](#) [Cancel](#)

The Submit RPPR screen displays a certification statement.

In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies to the best of his/her knowledge that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

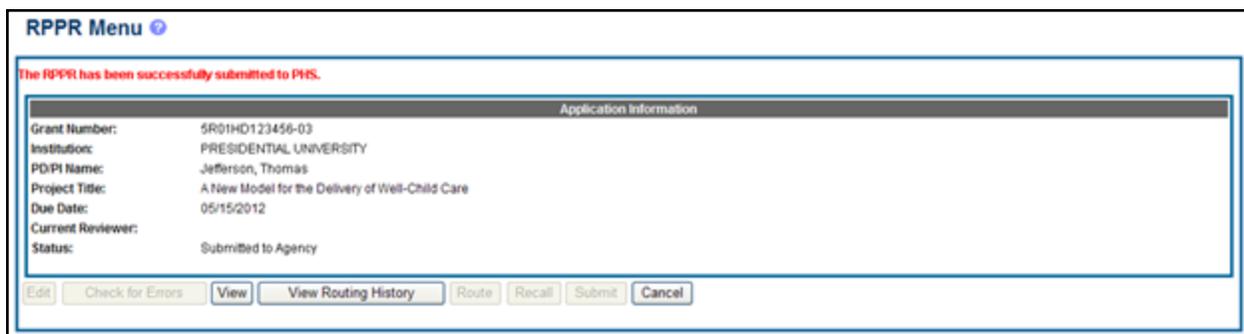
2. Select the **I Agree** button to sign off on certification.

The RPPR is validated for systemic and business rules. If there are any validation failures, they are indicated by error messages on the *RPPR Menu* screen. Errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the *RPPR Menu* screen. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

3. *If Warnings Exist*: To address issues associated with warnings, select the **Cancel** button, correct the issue, and resubmit the RPPR again. To continue with submission despite the warnings, select the **OK** button.

If all validations pass, the *RPPR Menu* screen displays the following message: *The RPPR has been successfully submitted to PHS.*



The screenshot shows the 'RPPR Menu' interface. At the top, a red message states: 'The RPPR has been successfully submitted to PHS.' Below this is a table titled 'Application Information' with the following details:

Application Information	
Grant Number:	5R01HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	
Status:	Submitted to Agency

At the bottom of the screen, there are several buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel.

The current reviewer is updated to the awarding agency, the RPPR status is updated to *Submitted to Agency*, and the RPPR Submission date is recorded. The routing history is updated to reflect the submission to Agency.

Any citations associated with the RPPR in **C.1. Publications** are officially associated with the award in MyNCBI.

If inclusion enrollment data are reported in the RPPR, this information will be provided in a structured data form and updated into the eRA inclusion data system for NIH staff review and acceptance. The data then becomes the data of record for the particular grant year.

When an RPPR is submitted to Agency, email notification is sent to the PD/PI (Contact PI) on the grant and the SO and AO assigned to the RPPR.

13.4.1 Submission Errors & Warnings for Multi-Project RPPRs

Upon submission, multi-project RPPRs are validated for systemic and business rules just as are single-project RPPRs. However, for multi-projects, the errors and warnings are displayed differently. When errors and/or warnings are found on multi-project RPPRs, the *RPPR Menu* screen displays the Overall messages followed by the messages of the other components.

All errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the *RPPR Menu* screen under the errors. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

[Click here to view a sample of possible error messages.](#)

RPPR Menu ?

Error Messages

- Overall - Section B. Accomplishments: (ID: 201315)
- B.1. An answer is required. (ID: 201238)
- B.2. An answer is required. (ID: 201240)
- B.3. An answer is required. (ID: 201241)
- B.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201243)
- B.5. An answer is required: select Nothing to Report or enter/upload response. (ID: 201244)
- B.6. An answer is required. (ID: 201245)
- Overall - Section C. Products: (ID: 201316)
- C.1. An answer is required. (ID: 201246)
- C.2. An answer is required: select Nothing to Report or enter/upload response. (ID: 201247)
- Overall - Section G. Special Reporting Requirements: (ID: 201320)
- G.1. An answer is required: select Nothing to Report or enter/upload response. (ID: 201275)
- G.4.a. An answer is required. (ID: 201278)
- G.4.b. Inclusion enrollment submission is required. (ID: 201872)
- Core-6808 - Section A. Cover Page: (ID: 201309)
- A.1.b. The project lead for the component is required. (ID: 200261)
- Core-6808 - Section G. Special Reporting Requirements: (ID: 201320)
- G.4.a. An answer is required. (ID: 201278)
- G.6. An answer is required. (ID: 201281)
- Core-6808 - Section H. Budget: (ID: 200263)
- H.1. A budget is required. (ID: 200268)
- Section H. Budget: (ID: 200263)
- H.1. At least one component must have a Funds Requested amount greater than 0. Check the calculations to ensure this amount is correct prior to submission. (ID: 200264)

13.5 Overview of the Interim RPPR

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report

should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, *if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then **submission of an "Interim RPPR" via eRA Commons is now required.*** The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The **Interim RPPR** link will be made available to the Signing Official (SO) and the Principal Investigator (PI) in the *Status* screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the **Process Final RPPR** link only appears on the [Closeout Status](#) screen.

NOTE: If a system check by the Agency does not detect that there is a pending Type 5 renewal application associated with the award when the grant goes into a Closeout Module, any Interim RPPR that has been started will be converted to a Final RPPR and will be accessible through the *Closeout* link in the **Status** column.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR. Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the *Participants* section
- Sections F: *Changes* and Section H: *Budget* are not part of the Interim/Final RPPR
- Section I: *Outcomes* is new. Section I is required for both the Interim/Final RPPR

Since a renewal application is competitive, there is no guarantee it will be funded. Therefore the following scenarios should be noted:

Competing Renewal Application Status	Action
Not submitting a Competing Renewal application	Submit a Final RPPR no later than

Competing Renewal Application Status	Action	
	120 days from the project period end date	
Submitting a Competing Renewal application	Submit an Interim RPPR no later than 120 days from the project period end date	
	Funded	Not Funded
	The Interim RPPR is accepted as the annual RPPR	The Interim RPPR is accepted as the Final RPPR

13.5.1 Submitting Your Interim RPPR

13.5.1.1 To submit your Interim RPPR:

1. Select the *Interim RPPR* link for the grant from *Status* search results.

The *Interim RPPR* link will appear for both the Principal Investigator (PI) and the Signing Official one day after the budget period end date and before the award moves to Closeout.

2. Clicking the *Interim RPPR* Link opens the *Interim RPPR Menu* screen:

Interim RPPR Menu ?

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	
Status:	Not Started

Buttons: **Initiate** (circled in red), Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

3. Click the **Initiate** button to create the Interim RPPR.

The Final RPPR Menu will then change, providing the user with the option to **Edit** the Interim RPPR:

Interim RPPR Menu ?

The RPPR has been successfully initiated.

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	McCoy, Leonard B
Status:	PD/PI Work in Progress

Buttons: **Edit** (circled in red), Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

4. Clicking **Edit** opens the navigation to the various sections of the Interim RPPR:

A Cover Page		B Accomplishments	C Products	D Participants	E Impact	G Special Reporting Req	I Outcomes
A. Cover Page ?							
Save		Cancel					
Grant Information				A.4 Recipient Organization Information			
Grant Number: 5R21HL123456-02				Organization Name: STARFLEET ACADEMY, MEDICAL RESEARCH			
Project Title: Andronesian Encephalitis Can Lead to Genetic Degeneration				Address: STARFLEET ACADEMY, MEDICAL RESEARCH 1 WARP SPEED DRIVE SAN FRANCISCO CA 09876			
A.1 Program Director/Principal Investigator (PD/PI) Information ?				DUNS: 987654321			
Name: Kirk, Tiberius J				EIN: 1234567890A1			
E-mail: lamKirok@sfa.ea.edu				Recipient ID: ?			
Phone: (111) 555-1701							
A.1.a				Project/Grant Period			
Is there a change of contact PD/PI on a multiple-PI award?				Start Date: 08/15/2011			
<input checked="" type="radio"/> N/A <input type="radio"/> Yes <input type="radio"/> No				End Date: 05/31/2013			
If yes, provide the eRA Commons ID of the new contact PD/PI				Reporting Period			
				Start Date: 06/01/2012			
A.1.b Not Applicable				End Date: 05/31/2013			
A.2 Signing Official Information				Requested Budget Period			
Name: <input type="text"/>				Start Date: 06/01/2012			
E-mail: <input type="text"/>				End Date: 05/31/2013			
Phone: <input type="text"/>				Report Frequency: Annual			
A.3 Administrative Official Information				Other Frequency: <input type="text"/>			
Name: <input type="text"/>							
E-mail: <input type="text"/>							
Phone: <input type="text"/>							
Save		Cancel					
A Cover Page B Accomplishments C Products D Participants E Impact G Special Reporting Req I Outcomes							

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return *Interim RPPR Menu* screen.

In the *Final RPPR Menu* screen, there are several action buttons at the bottom that you can use to complete the Interim RPPR:

Interim RPPR Menu ?

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Stanley, William C
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	McCoy, Leonard B
Status:	PD/PI Work in Progress

For more information on these options, see:

- [Final RPPR](#)
- [Editing the RPPR Forms](#)
- [Checking for Errors and Warnings](#)
- [Viewing the RPPR](#)
- [Routing the RPPR](#)
- [Recalling the RPPR](#)
- [Submitting RPPR to Agency](#)

The **Cancel** button closes the *Interim RPPR Menu* screen.

13.5.2 Interim Report Additional Materials (IRAM)

The Agency may use *Interim Report Additional Materials* (IRAM) to provide a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the Program Official at the IC (or AHRQ, if applicable) for additional information following the submission of an Interim RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the IRAM.

However, only the SO can submit the IRAM to the agency.

IMPORTANT: For **Revised Project Outcomes**, please review the following information:

To submit revised Project Outcomes, SOs should follow the IRAM process for outcomes for Interim RPPRs and the FRAM process for outcomes for Final RPPRs with the exception that a text box will be provided to enter the new Outcomes text and select **Upload** instead of an **Add Attachment** button as with other RAM requests.

Interim Progress Report Additional Materials (IRAM) ?

Grant Information

Grant Number: 4R01HL123456-04
PD/PI Name: Talktome, Youcan
Institution: MR ROGERS NEIGHBORHOOD UNIVERSITY
Project Title: Psychological Resiliency: Productive Engagement with Contrary Opinions

IRAM

Document Upload

Please provide additional materials: Upload

File Name	Date Uploaded	Uploaded By
No documents have been uploaded		

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

 For NIH Section I Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

B I

Characters: 0/2000

Cancel
Preview
Save
Delete
Submit

Project Outcomes provide information regarding the cumulative outcomes or findings of the project.

Note that outcomes will be made publicly available, allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. The name of the Primary Investigator/Project Director will be attached to the public posting in [RePORTER](#).

For NIH awards the length of the Outcome statement should not exceed half a page. In addition, the summary of outcomes or findings of the award must be written in the following format:

- * Is written for the general public in clear, concise, and comprehensible language
- * Is suitable for dissemination to the general public, as the information may be available electronically
- * Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:

https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

See NIH notices [NOT-OD-17-022](#) and [NOT-OD-17-037](#) for additional details on this requirement.

The link for the request will be displayed in the **Available Actions** column as "IRAM".

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research

Return to PI Search

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. 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.

Status Result - List of Applications/Grants 14

Grouped View Flat View

Application ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
R01HL123456		05/01/2012 - 01/31/2021 (Project Period)	LEE, JUN-FAN (PD/PI)		Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury (Title)		Pending
4R01HL123456-05		Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury	LEE, JUN-FAN (PI)	Awarded. Non-fellowships only	Awarded. Non-fellowships only	03/31/2016	RPPR Interim RPPR IRAM
1R01HL123456-01	GRANT87654321	Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury	LEE, JUN-FAN (PI)	Submission Complete	Awarded. Non-fellowships only	05/02/2012	JIT (times revised:1)
5R01HL123456-04		Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury	LEE, JUN-FAN (PI)	Awarded. Non-fellowships only	Awarded. Non-fellowships only	03/31/2015	RPPR

Status Result - List of Applications/Grants 22

Grouped View Flat View

Filter:

Show 50 per page < 1 >

Application ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
5R21NS123456-02		Statins, statin-related gene, and Parkinson's disease risk	LEE, JUN-FAN (PI)		Awarded. Non-fellowships only	08/20/2015	Actions
1R21NS999999-01A1	GRANT12345678	Statins, statin-related gene, and Parkinson's disease risk	LEE, JUN-FAN (PI)	Submission Complete	Awarded. Non-fellowships only	09	RPPR Inclusion Interim RPPR IRAM
5R01NS123456-03		Prospective Study of Restless Leg Syndrome	LEE, JUN-FAN (PI)	Submission Complete	Awarded. Non-fellowships only	07	

When the link is clicked, the IRAM screen will open and provide an **Upload** button. Click this button to select the PDF file that satisfies the agency request as well as any appropriate comments related to the request and/or file.

NOTE: For *Revised Outcomes*, the text box will be used to directly enter (or copy and paste) the Revised Outcomes text and then it may be uploaded as per the **IMPORTANT:** information box above. The text box caption will read, "*Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.*"

The character limit for the comments is 2,000 characters.

The screenshot displays the IRAM interface. At the top, there is a navigation bar with links like Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval, RPPR, Internet Assisted Review, xTrain, xTRACT, Admin Supp, eRA Partners, and Non-Research. Below this is a sub-header for 'Recent/Pending eSubmissions' and a search option. A disclaimer text is present, followed by the title 'Interim Progress Report Additional Materials (IRAM)'. The main content area is divided into sections: 'Grant Information' (Grant Number: 4R0HL123456-05, Institution: UNIVERSITY OF CALIFORNIA, SAN FRANCISCO, PD/PI Name: Lee, Jun-Fan, Project Title: Human mesenchymal stem cell microvesicles for the treatment of acute lung injury), 'IRAM' (Please provide additional materials:), and 'Please provide comments:'. The 'IRAM' section includes a table with columns for File Name, Date Uploaded, and Uploaded By, and a red-bordered 'Upload' button. The comments section has a text area and a note: 'Total remaining allowed limit is 2000 characters.' At the bottom, there are buttons for Cancel, Preview, Save, Delete, and Submit.

After selecting the appropriate document, you will be returned to the IRAM screen where you may enter comments and then use the buttons at the bottom of the page to:

- **Cancel** - No changes will be made and you will be returned to the *Status Results* page
- **Preview** - This will open the submission to allow you to view the uploaded document and comments that will be sent to the Agency.
- **Save** - The selected document and comments (if any) will be saved for future submission.
- **Delete** - The selected document will be removed and a different document may be uploaded.
- **Submit** - Send the document and comments to the Agency.

You may also upload additional documents [limit 10] as well as **View** or **Delete** individual documents.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research

Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

In submitting these Final Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Interim Progress Report Additional Materials (IRAM) ?

Grant Information

Grant Number: 4R0HL123456-05 PD/PI Name: Lee, Jun-Fan
 Institution: UNIVERSITY OF CALIFORNIA, SAN FRANCISCO Project Title: Human mesenchymal stem cell microvesicles for the treatment of acute lung injury

IRAM

Please provide additional materials:

File Name	Date Uploaded	Uploaded By
IRAM_Doc_1.pdf	09/14/2017	Lee, Jun-Fan

Please provide comments:

[Provide related comments here]

Total remaining allowed limit is 2000 characters.

Cancel Preview Save Delete Submit

See Also:

- [Submitting Your Interim RPPR](#)
- [Submitting Final RPPR](#)
- [Editing the RPPR Forms](#)
- [Checking for Errors and Warnings](#)
- [Viewing the RPPR](#)
- [Routing the RPPR](#)
- [Recalling the RPPR](#)
- [Submitting RPPR to Agency](#)

13.6 Submitting Your Final Research Performance Progress Report

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH](#)

[Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a *Final Research Performance Progress Report* (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The *Interim RPPR* link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the *Process Final RPPR* link only appears on the [Closeout Status](#) screen.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR.

Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

13.6.1 Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

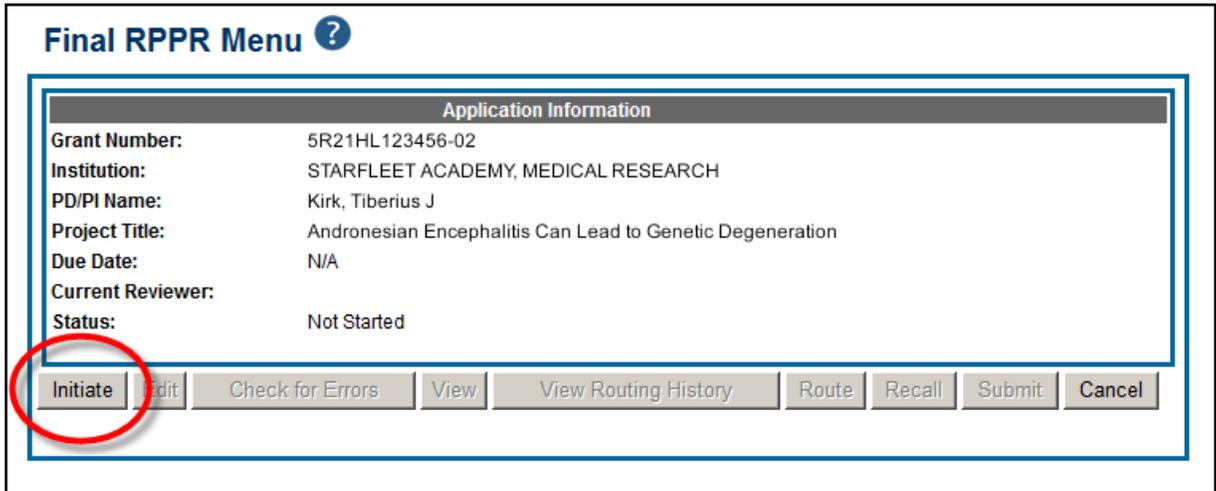
13.6.2 To submit your Final RPPR:

1. Select the **Requires Closeout** link for the grant from *Status search* results.

The [Closeout Status](#) screen displays. Final RPPR is listed in the *Closeout Submission Requirement* column. The *Action* column should include a link for **Process Final RPPR**.

2. From Closeout Status, select the **Process Final RPPR** link.

Clicking the **Process Final RPPR** link opens the *Final RPPR Menu* screen:



The screenshot shows the 'Final RPPR Menu' interface. At the top, there is a title 'Final RPPR Menu' with a help icon. Below this is a table titled 'Application Information' containing the following details:

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	
Status:	Not Started

Below the table is a row of buttons: 'Initiate', 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Initiate' button is circled in red.

3. Click the Initiate button to create the Final RPPR.

The Final RPPR Menu will then change, providing the user with the option to Edit the Final RPPR:

Final RPPR Menu ?

The RPPR has been successfully initiated.

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	McCoy, Leonard B
Status:	PD/PI Work in Progress

- Clicking **Edit** opens the navigation to the various sections of the Final RPPR:

A Cover Page | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | I Outcomes

A. Cover Page ?

Save Cancel

Grant Information	A.4 Recipient Organization Information
Grant Number: 5R21HL123456-02	Organization Name: STARFLEET ACADEMY, MEDICAL RESEARCH
Project Title: Andronesian Encephalitis Can Lead to Genetic Degeneration	Address: STARFLEET ACADEMY, MEDICAL RESEARCH 1 WARP SPEED DRIVE SAN FRANCISCO CA 09876
A.1 Program Director/Principal Investigator (PD/PI) Information ?	DUNS: 987654321
Name: Kirk, Tiberius J	EIN: 1234567890A1
E-mail: lamKirok@sfa.ea.edu	Recipient ID: ?
Phone: (111) 555-1701	Project/Grant Period
A.1.a	Start Date: 08/15/2011 End Date: 05/31/2013
Is there a change of contact PD/PI on a multiple-PI award?	Reporting Period
<input checked="" type="radio"/> N/A <input type="radio"/> Yes <input type="radio"/> No	Start Date: 06/01/2012 End Date: 05/31/2013
If yes, provide the eRA Commons ID of the new contact PD/PI	Requested Budget Period
<input type="text"/> ?	Start Date: 06/01/2012 End Date: 05/31/2013
A.1.b Not Applicable	Report Frequency: Annual Other Frequency: <input type="text"/>
A.2 Signing Official Information	
Name: <input type="text"/>	
E-mail: <input type="text"/>	
Phone: <input type="text"/>	
A.3 Administrative Official Information	
Name: <input type="text"/>	
E-mail: <input type="text"/>	
Phone: <input type="text"/>	

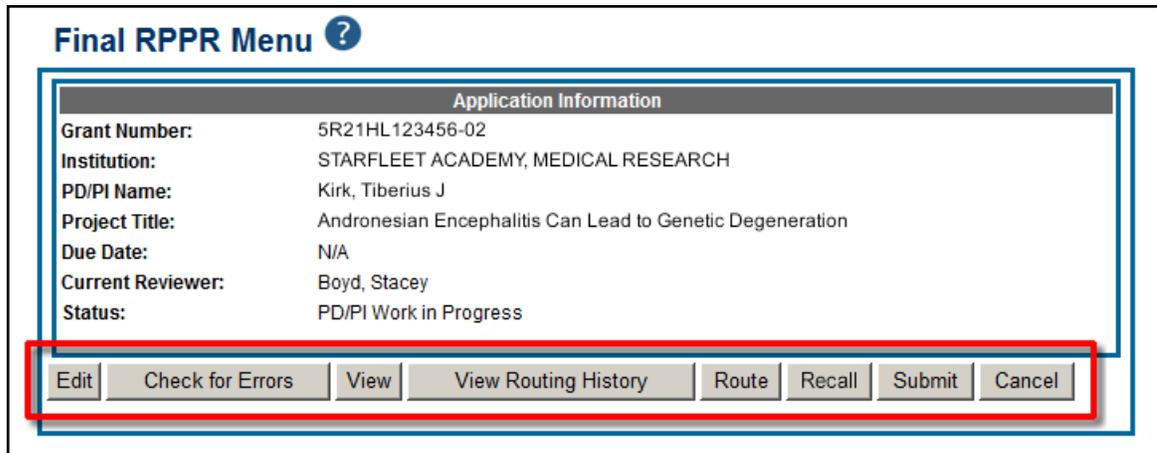
Save Cancel A Cover Page | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [G Special Reporting Req](#) | [I Outcomes](#)

- Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return *Final RPPR Menu* screen.

In the *Final RPPR Menu* screen, there are several action buttons at the bottom that you can use to complete the Final RPPR:



The screenshot shows the 'Final RPPR Menu' interface. At the top, there is a title 'Final RPPR Menu' with a question mark icon. Below the title is a section titled 'Application Information' containing the following details:

Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	Boyd, Stacey
Status:	PD/PI Work in Progress

At the bottom of the screen, there is a row of action buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel. These buttons are highlighted with a red border.

For more information on these options, see:

[Final Progress Report Additional Materials \(FRAM\)](#)

[Interim RPPR Overview](#)

[Editing the RPPR Forms](#)

[Checking for Errors and Warnings](#)

[Viewing the RPPR](#)

[Routing the RPPR](#)

[Recalling the RPPR](#)

[Submitting RPPR to Agency](#)

The **Cancel** button closes the *Final RPPR Menu* screen.

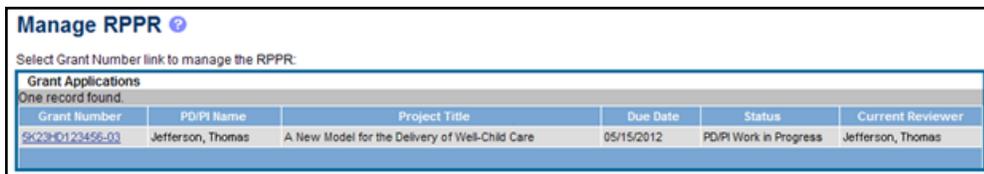
13.7 Manage RPPR Screen

The *Manage RPPR* screen is the portal into all RPPR functionality. The screen displays when you select the **RPPR** tab from the Commons menu and provides the following information related to your RPPR:

- **Grant Number**
- **PD/PI Name**
- **Project Title**
- **Due Date**
- **Status**
- **Current Reviewer**

To process your RPPR, select the grant number displayed as a hyperlink within the **Grant Number** column. Selecting this link opens the *RPPR Menu* screen from which you can access all features including initiating, editing, routing, etc.

Click here for sample image:



The screenshot shows a web interface titled "Manage RPPR" with a sub-header "Select Grant Number link to manage the RPPR:". Below this is a table of "Grant Applications" with one record found. The table has columns for Grant Number, PD/PI Name, Project Title, Due Date, Status, and Current Reviewer. The record shown is for Grant Number 5928X01234567-03, PD/PI Name Jefferson, Thomas, Project Title A New Model for the Delivery of Well-Child Care, Due Date 05/15/2012, Status PD/PI Work in Progress, and Current Reviewer Jefferson, Thomas.

Grant Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
5928X01234567-03	Jefferson, Thomas	A New Model for the Delivery of Well-Child Care	05/15/2012	PD/PI Work in Progress	Jefferson, Thomas

13.8 RPPR Menu

The *RPPR Menu* screen provides access to various functions used to complete and process your RPPR. You access these features using the buttons found on this screen.

The following buttons are found on the *RPPR Menu* screen:

- **Initiate**
- **Edit**
- **Check for Errors**
- **View**
- **View Routing History**
- **Route**
- **Recall**
- **Submit**

Click here for a sample image.

The screenshot displays the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a blue circular icon. Below this is a window titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Jefferson, Thomas
Status:	PD/PI Work in Progress

At the bottom of the window, there is a row of buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel.

NOTE: Not all buttons will be enabled. Depending on your Commons role and/or the status of the report, some buttons may be disabled.

Individual help topics exist for each of the features. Please refer to the specific help topics linked below.

13.9 Navigation

The RPPR is completed using the eRA Commons system. The report in Commons consists of separate screens for each of the sections listed below:

- A. Cover Page**
- B. Accomplishments**
- C. Products**
- D. Participants** (only section D.1 for FRPPR)
- E. Impact**
- F. Changes** (not used for FRPPR)
- G. Special Reporting Requirements**
- H. Budget** (not used for FRPPR)
- I. Outcomes** (only used for FRPPR)

Users may work on various sections in any order, however, it is important to click the **Save** button in the navigation bar before leaving a screen in order to retain data entered on that screen. Upon submission to the awarding agency, the system will generate a PDF of the progress report, which may be viewed from the RPPR Menu screen using the **View** button.

Once submitted, the Final RPPR, in PDF format, is accessible in Commons via the *Status Information* screen. [Refer to the section of this document titled *Viewing the RPPR in Commons on Page 307*](#)

Chapter 6 of the [NIH Research Performance Progress Report \(RPPR\) Instruction Guide](#) provides instructions for completing Sections A-I of the report.

13.10 How Do I Fill Out the RPPR Forms

Chapter 6 of the [NIH Research Performance Progress Report \(RPPR\) Instruction Guide](#) provides instructions for completing Sections A-I of the report.

Please refer to the following sections of the instruction guide when completing your report:

- **Cover Page** - Section A (*PDF section 6.1, pg. 69*)
- **Accomplishments** - Section B (*PDF section 6.2, pg 70*)
- **Products** - Section C (*PDF section 6.3 , pg. 75*)
- **Participants** - Section D (*PDF section 6.4, pg. 82*)
- **Impact** - Section E (*PDF section 6.5, pg. 88*)
- **Changes** - Section F (*PDF section 6.6, pg. 89*)
- **Special Reporting Requirements** - Section G (*PDF section 6.7, pg. 91*)
- **Budget** - Section H (*PDF section 6.8, pg. 102*)
- **Outcomes** - Section I (*PDF section 6.9, pg. 104*)

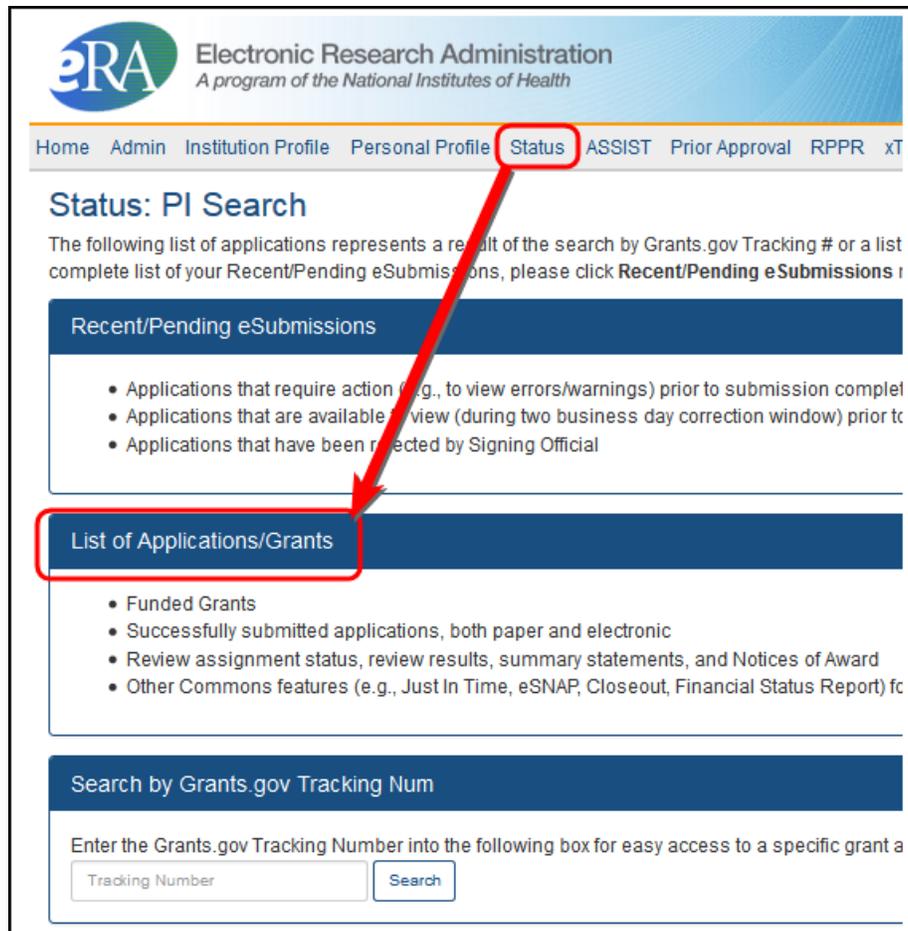
13.11 Editing the RPPR

Once an RPPR is initiated, its status becomes *PD/PI Work in Progress* and it becomes available for editing. The PD/PI or delegate uses the **Edit** option for viewing and completing the report. Additionally, this option is available to the SO or AO when that user is the current reviewer of the report.

NOTE: For RPPRs with multiple PD/PIs (MPI awards), only the Contact PD/PI has access to the **Edit** feature unless the Contact PD/PI has granted progress report authority to other PD/PIs. Without this authority, MPIs can only view the RPPR PDF and its routing history.

There are two means of accessing the progress report for editing. These are similar methods used for initiating the report and are as follows:

1. Access RPPR from Status.
 - a. Select the **Status** tab from the Commons menu options.
 - b. Select the **List of Applications/Grants** link from the *Status* screen or from the menu options.



- c. From the *Status Result - List of Applications/Grants* screen, locate the grant and select the **RPPR** link from the **Action** column for the specific grant. For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year.

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	PD/PI Name	e Submission Status	Current Application Status	Status Date	Action
9K23HD123456-02		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	08/17/2011	
1K23HD123456-01A1	GRANT12345678P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	07/13/2010	Transmittal Sheet
1K23HD123456-01	GRANT87654321P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Withdrawn by IC - Other Version Encumbered	07/13/2010	Transmittal Sheet
9K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS		Pending	08/17/2011	RPPR

Export to Excel Show Query Print History

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	PD/PI Name	e Submission Status	Current Application Status	Status Date	Action
1R03CA123456-01	GRANT12300001P	Alfa Well That Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM	Submission Complete	Administratively Withdrawn by IC	11/08/2011	Transmittal Sheet
1R15CA234567-01A1 (MPI)	GRANT11111111P	A Midsummer Night's Dream and Other Known Sleeping Disorders	SHAKESPEARE, WILLIAM	Submission Complete	Awarded. Non-fellowships only	02/24/2010	RPPR Year 2 RPPR Year 1 Transmittal Sheet Admin Supplements
1R15CA654321-01	GRANT12345678P	The Two Noble Kinsmen: A Study on Genetics and DNA	SHAKESPEARE, WILLIAM	Submission Complete	Pending IRG Review	07/17/2013	Transmittal Sheet

Export to Excel Show Query Print History

-OR-

1. Access RPPR from **RPPR** tab.
 - a. Select the **RPPR** tab from the Commons menu options.
 - b. Select the specific grant by clicking the hyperlink in the **Grant Number** column on the *Manage RPPR* screen. SOs/AOs must perform a query first.

Manage RPPR

Select Grant Number link to manage the RPPR:

Grant Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
9K23HD123456-03	Jefferson, Thomas	A New Model for the Delivery of Well-Child Care	05/15/2012	Not Started	

The appropriate *RPPR Menu* screen – either for single-project or multi-project RPPRs – displays with editing options.

13.11.1 Access Human Subjects System (HSS)

The *Human Subjects System* can be accessed by Principal Investigators (PIs) or Signing Officials (SOs) through either the RPPR or through the *Status* screen in eRA Commons

13.11.1.1 Human subjects information may need to be updated in the following scenarios:

- Post-award for updates to the Research Performance Progress Report (RPPR)
- Pre-award (post review) for just-in-time information or correction of human subjects data
- Off-cycle updates as required in the Funding Opportunity Announcement or terms and conditions of award
- Corrections to human subject data

13.11.1.2 To edit an existing study, log into eRA Commons and access the Human Subjects link via the RPPR or Status tabs.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research

Notes & Tips: PI View [« Return to PI Search](#)

• Important: The NIH provides the JIT (Just in Time) link in the Commons for ~~source applications~~. 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.

Status Result - List of Applications/Awards 22 Grouped View Flat View

Application/Award ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
R03CA123456	09/18/2012 - 12/29/2015 (Project Period)	Luc, Jean S (PD/PI)	Implementation Evaluation of a Cervical Cancer Screening (Title)	Awarded. Non-fellowships only			
5R03CA123456-02		Implementation Evaluation of a Cervical Cancer Screening Initiative	LUQUE, JOHN (PI)	Submission Complete	Awarded. Non-fellowships only	08/19/2014	Closed RPPR Human Subjects
11R03CA123123-01	GRANT00001234	Implementation Evaluation of a Cervical Cancer Screening Initiative	Luc, Jean S (PI)	Submission Complete	Awarded. Non-fellowships only	09/18/2012	JIT (times revised:2) Human Subjects
R21CA000123	12/01/2017 - 11/30/2019 (Project Period)	Luc, Jean S (PD/PI)	Cervical Cancer in Peruvia (Title)	Not Discussed			

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Status Result - General Search ?

SO

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.
- Modinat Test for April Release 2017

1- 100 of 442 1 2 3 4 5

Application/Award ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
2R37DK123456-13		Mitigating KAOS Retrogressor effect	ADAMS, DON	Awarded. Non-fellowships only	05/01/2003			Human Subjects
2R37GM123456-26		STUDY OF RADIO WAVE IONISATION EFFECTS USING AGENT 99	FELDON, BARBARA	Awarded. Non-fellowships only	07/01/2005			
5R37DK000123-15		Ongoing Cone of Silence Diganostics	PLATT, EDWARD	Awarded. Non-fellowships only	08/01/2008			Closed Human Subjects
2R37AI000123-13		Acceptance of Credulity Statements Delivered in Decreasing Excessiveness	KOPELL, BERNIE	Awarded. Non-fellowships only	01/01/2006			
5R37DA999999-14		AGENT 86 AMNESIAAS MEANS TO PROTECT SCIENTISTS	KARVELAS, ROBERT	Awarded. Non-fellowships only	12/01/1999			Human Subjects
4R37GM123456-31		Probablility Study Assessing Statistical Odds of Near Miss Projectiles	FRENCH, VICTOR	Awarded. Non-fellowships only	07/01/2010			

Export to Excel Show Query Print Hittlist

- The Application Information screen is displayed, showing a summary of your grant. Click on the Human Subjects Post Submission tab. This will take you to a summary page *Study Record(s)* screen where all study records and delayed onset studies associated with your grant are displayed.

Home > Search for Applications > Application Information

Hide Navigation Show Help

Application Information

Summary **HSCT Post Submission**

Application Information

Grant Number:	R01HG123456
Application Identifier:	99999 (Post Award Action)
Application Project Title:	Design and analysis of human gene mapping studies
PD/PI Name:	Humperdink, Budge
Organization:	UNIVERSAL UNIVERSITY
Project Period:	04/01/2018 - 03/31/2023
Status:	Work in Progress Submit
Status Date:	2018-05-21 12:23:24.000 PM EDT

Actions ?

VALIDATE

VIEW STATUS HISTORY

UPDATE SUBMISSION STATUS

- Click on the **View** button to bring up a study.
- To update the human subjects information on that study, including inclusion enrollment data, click the **Edit** button at the top of the screen.

Home > Search for Applications > Application Information

Hide Navigation Show Help

Application Information

Summary **HSCT Post Submission**

Clinical Trial Post Submission

Clinical Trial Post Submission v1.0

Edit

Study Record(s) Showing 1 - 1 of total 1

Study ID	Study Title	Clinical Trial?	Study Status	Last Submission Date	Action
123123	Research Consortium of HPV-related Cervical Cancer	Yes	WorkInProgress	03/29/2018	View

- Inclusion data is found at the end of Section 2.

SECTION 2 - STUDY POPULATION CHARACTERISTICS

2.1. Conditions or Focus of Study Action

Nothing found to display

[Add New Condition](#)

2.2. Eligibility Criteria

Enter up to 15000 characters

Characters Remaining: 15000

2.3. Age Limits Minimum Age

2.4. Inclusion of Women, Minorities, and Children [ASSIST_CT_InclnWm](#) [Replace Attachment](#) [Delete Attachment](#) [View Attachment](#)

2.5. Recruitment and Retention Plan [ASSIST_CT_RecruRet](#) [Replace Attachment](#) [Delete Attachment](#) [View Attachment](#)

2.6. Recruitment Status

2.7. Study Timeline [ASSIST_CT_StdyTmln](#) [Replace Attachment](#) [Delete Attachment](#) [View Attachment](#)

Inclusion Enrollment Report(s)

[Add New Inclusion Enrollment Report](#)

Entry #	Enrollment Location Type	Enrollment Location	Action
123123	Domestic	test location	Edit View

- There are two ways to edit the existing Inclusion Enrollment Report (IER) data for Cumulative (Actual) counts:
 1. You can update the cells online in the existing report itself.
 2. Or you can download a spreadsheet template for entering participant-level data by clicking on the 'Download Participant Level Data Template' button.
 - Fill the template out with data and then upload the spreadsheet by clicking on the 'Upload Participant Level Data Attachment' button. This uploaded data will populate the cells in the report.

- You can click on the ‘Download Current Participant Level Data’ button to download the file containing the data for your own records.

Cumulative (Actual)										
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	42	31	0	7	6	0	0	0	0	0
Asian	0	0	0	0	0	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	676	510	0	15	20	0	0	0	0	1221
White	3526	2663	0	300	214	0	0	0	0	0
More than One Race	0	0	0	0	0	0	0	0	0	0
Unknown or Not Reported	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	240	0	0	0	0	240

Need Help ?

Participant level data file (CSV):

[Download Participant Level Data Template](#)
[Upload Participant Level Data Attachment](#)

[Download Current Participant Level Data](#)
[Remove Current Participant Level Data](#)

[Save and Keep Lock](#)
[Save and Release Lock](#)
[Save and Add](#)
[Cancel and Release Lock](#)
[Remove Report](#)

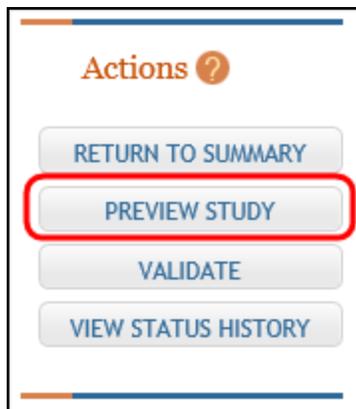
Notes:

- If you plan to upload the data, you must use the template by selecting the **Download Participant Level Data Template**. This will be a CSV file that can be updated with new totals.
- Once the new totals have been entered into the template and the file has been saved, use the **Upload Participant Level Data Attachment** button to upload the file which will update the Cumulative counts.
- Individual-level participant data on sex/gender, race, ethnicity and age at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116). Since NIH will be piloting providing individual level data starting in June, we encourage you to get familiar with the template as we believe it will cut down on duplicate entry and save you time.

- For the Planned counts, the cells must be updated online in the report itself.

Planned					
Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/Alaska Native	42	31	7	6	0
Asian	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	676	510	15	10	1211
White	3526	2663	300	214	0
More than One Race	0	0	0	0	0
Total	0	0	0	230	230

- The entire study can be previewed before submission by clicking on the Preview Study button on the left navigational column under Actions.



If the PI is making changes:

- The PI can click the **Save and Release Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- PI changes status to *Ready for Submission*.
- Signing Official (SO) gets an email that the application is ready for submission.
- SO logs into ASSIST, finds the application and submits it.

If the SO is making changes:

- The SO can click the **Save and Keep Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- SO changes status to *Ready for Submission*.
- The *Submit* action becomes active on the Application Information page.
- SO clicks on the **Submit** button

Only the SO can submit the application to NIH. The submission sends all updated study records associated with the application to NIH at one time.

Program officials and grant specialists are notified automatically of study changes and can review those changes. Some changes may require prior approval.

13.11.2 Accessing Single-Project RPPR for Editing

For single-project awards, the *RPPR Menu* screen displays with buttons for the following available options:

- Edit
- Check for Errors
- View
- View Routing History
- Route
- Cancel

NOTE: Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in other topics.

The screenshot displays the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a help icon. Below this is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care Low-Income Children
Due Date:	05/15/2012
Current Reviewer:	
Status:	Not Started

At the bottom of the screen, there is a row of buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel. The 'Edit' button is circled in red.

Select the **Edit** button to open the RPPR for editing.

Refer to the section of this document titled *Editing the RPPR Forms on Page 286* for more information on editing the forms.

13.11.3 Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing

A *multi-project RPPR* is a progress report submitted for a funded program (activity code) which has multiple, interrelated components sharing a common focus or objective.

A *component* (for the purposes of applications and progress reports) is a distinct, reviewable part of the multi-project application or progress report for which there is a business need to gather detailed information identified in the funding opportunity announcement (FOA).

Components typically include general information (component organization, project periods, project title, etc.), performance sites, personnel, and budget. The FOA defines the construction and naming convention for the application; the funded application defines the construction and naming convention for the progress report.

For multi-project awards, the *RPPR Menu* screen displays with buttons for the following available options found within the **Application Information** section of the screen:

- View
- View Routing History
- Route
- Cancel

NOTE: Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in other topics.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
 Project Title: Sample Research Project
 Due Date: 01/01/2014
 Current Reviewer: Franklin, Benjamin
 Status: PD/PI Work In Progress

Does the project have components? Yes No ?

ID	Project Title	Program Director(PD)/ Principal Investigator(PI) Name	Actions
Overall	Sample Research Project	Washington, George	Edit Check for Errors

Component Type:

One item found.

Component ID	Component Type	Component Project Title	Actions
Core-6773	Core	Core for Sample Research Project	Edit Component Check for Errors Delete

Overall

Below the **Application Information** is a table showing the Overall **ID**, **Project Title**, **Program Director/Principal Investigator (PD/PI) Name**, and an **Actions** column with links.

The *RPPR Menu* for a multi-project RPPR without components does not include the component table. Additionally, the **No** radio button on the **Does the project have components?** field is selected.

Refer to the figure below for an example of a single-project with complicated structure RPPR.

RPPR Menu ?

Application Information

Grant Number: SU10HD123456-15
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE
 Project Title: Another Sample Research Project
 Due Date: 02/01/2014
 Current Reviewer: WASHINGTON, GEORGE
 Status: PD/PI Work In Progress

Does the project have components? Yes No ?

ID	Project Title	Program Director(PD)/ Principal Investigator(PI) Name	Actions
Overall	Another Sample Research Project	WASHINGTON, GEORGE	Edit Check for Errors

To edit the RPPR for the Overall, select the **Edit** link from the **Actions** column.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
 Institution: UNIVERSITY OF THE US
 PDI/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
 Project Title: Sample Research Project
 Due Date: 01/01/2014
 Current Reviewer: Franklin, Benjamin
 Status: PDI/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? Yes No ?

ID	Project Title	Program Director(PD)/ Principal Investigator(PI) Name	Actions
Overall	Sample Research Project	Washington, George	Edit Check for Errors

Component Type Component Project Title

One item found.

Component ID	Component Type	Component Project Title	Actions
Core-6773	Core	Core for Sample Research Project	Edit Component Check for Errors Delete

Individual Components

If the award has individual components (e.g., a multi-project award), *each* component must be reported in the RPPR. To add components, select the **Yes** radio button next to the question **Does the project have components?** Selecting **Yes** displays the **Add Component** feature for the individual components.

NOTE: Any individual components previously added will already be displayed in a table beneath this feature. In this scenario, the **Does this project have components?** option is disabled. This includes components which were part of a previously submitted progress report for the grant.

To add an individual component:

1. Select the correct option from the **Component Type** drop-down list.
2. Enter the **Component Project Title**.
3. Select the **Add Component** button.
 Added individual components display in a table beneath the Overall, showing the **Component ID**, **Component Type**, **Component Project Title**, and available links in the **Actions** column.
4. Select the **Edit Component** link in the **Actions** column for the component to edit its RPPR.

Refer to the section of this document titled *Editing the RPPR Forms on Page 286* for more information on editing the RPPR forms.

Click here to view a sample image.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
 Project Title: Sample Research Project
 Due Date: 01/01/2014
 Current Reviewer: Franklin, Benjamin
 Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? Yes No ?

ID	Project Title	Program Director(PD)/ Principal Investigator(PI) Name	Actions
Overall	Sample Research Project	Washington, George	Edit Check for Errors

Component Type * Component Project Title

Select One

Select One

- Core
- Admin Core
- Project
- Training
- Career Development
- Other

Component Type	Component Project Title	Actions
	My sample project	Edit Component Check for Errors Delete

Individual components can be removed from the RPPR by selecting the corresponding **Delete** link from the **Actions** column of the specific component, followed by the **OK** button on the confirmation pop-up message. *The delete option is not available for Overall.*

IMPORTANT: If you choose to delete a component, all data related to this component – including all budget data – will be lost. *This data cannot be recovered once it has been deleted.*

13.11.4 Editing the RPPR Forms

After selecting the appropriate editing option, the RPPR section *A. Cover Page* displays. The *Cover Page* includes information about the grant, PD/PI, signing and administrative officials, organization, and project/reporting/budget periods. Some of this information may be auto-populated. For more information on the *Cover Page*, refer to section 6.1 *Section A – Cover Page* located in the [NIH Research Performance Progress Report \(RPPR\) Instruction Guide](#).

1. Update the information as necessary and select the **Save** button.

The *Cover Page* includes tabs at the top and links at the bottom of the page for navigating to the other sections (e.g., **Accomplishments**, **Participants**), which may be completed in any order. Before navigating to and from any of these sections, it is always necessary to select the **Save** button to save all changes on the current page. Navigating away from any page on the RPPR without selecting **Save** results in the loss of any information entered prior to the last save.

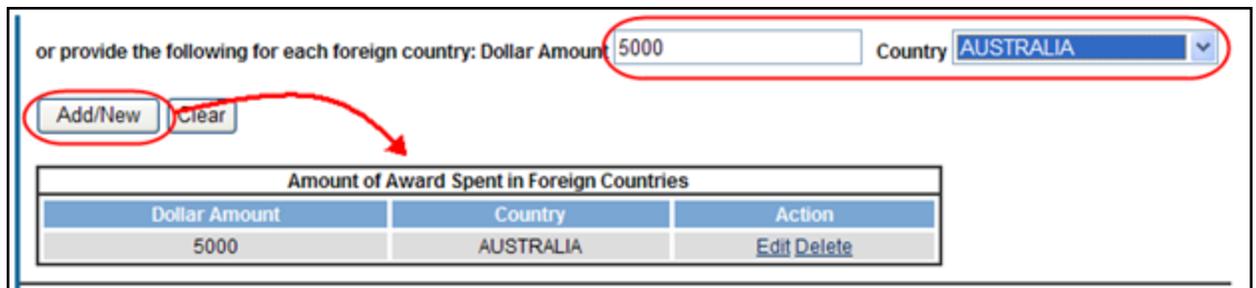
-
- 2. Sections can be completed in any order. To navigate and populate the other sections of the RPPR, select the appropriate link from the top or bottom of the page. The same navigational links appear on each section of the RPPR.
- 3. Complete the appropriate fields of the report.

Details for completing each section are discussed in the Instruction Guide (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). Many of the fields on these pages, however, behave in a similar manner.

Click here to display examples of common field types.

Add New

To use the Add/New feature, enter or select data into the appropriate fields. Select the **Add/New** button to add the data to the table. After being added, items can be edited or deleted from the table using the **Action** links.



or provide the following for each foreign country: Dollar Amount Country

Amount of Award Spent in Foreign Countries		
Dollar Amount	Country	Action
5000	AUSTRALIA	Edit Delete

Text Box

All text boxes on the RPPR have character limits. The number of characters available is reflected beneath each text box as characters are entered.

List the major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

The major goal of this project is...

Total remaining allowed limit is 7964 characters.

Changing Saved Responses

While in WIP status, answers may be changed. A warning message displays as follows:

The entered/uploaded response will be deleted. Do you wish to continue?

The user editing the information can choose to **Continue** or **Cancel** the action. Choosing **Continue** deletes the previous response, removes any attachments, and disables the relevant fields associated with the question. Choosing **Cancel** cancels the change.

4. Select the **Save** button before navigating to the next page.
5. To return to the *RPPR Menu*, select the **Cancel** button.

When an RPPR is ready for review and submission, it is routed to the next reviewer. [Refer to the section of this document titled *Routing the RPPR on Page 251*](#)

13.11.5 Editing the RPPR Budget Forms

13.11.5.1 Budget Form (H.1)

To add a budget, choose an option from the drop-down list and select the **Add Budget** button. The added budget type appears in the first table. Use the **Edit** link in the **Action** column to open the form for editing. Select the **Save** button before exiting the form. Most awards now use the SF424 R&R budget form. However, training awards may use the SF424 and/or the PHS 398 training budget. The *PHS Additional Indirect Costs* budget form is available as an optional form for the Overall component of a multi-project award with multiple institutions/organizations. Please contact the Grants Management Specialist assigned to your grant if you have questions on the appropriate form to use.

Budget types include:

- SF 424 Research & Related Budget form
- PHS 398 Training Budget

- PHS Additional Indirect Costs form

NOTE: Budget types can be deleted by selecting the **Delete** link from the **Action** column for the specific budget. After deleting a form, be sure to save the RPPR before navigating away from the *H.Budget* tab. **Save** buttons are located at the top and bottom of the screen.

13.11.5.2 Subaward Budget Form (H.2)

To add a subaward budget, choose an option from the drop-down list and select the **Add Subaward** button. The added budget type appears in the second table. Use the **Edit** link in the **Action** column to open the form for editing. Select the **Save** button before exiting the form.

Subaward budget types include:

- SF 424 Research & Related Subaward Budget form
- PHS 398 Subaward Training Budget

NOTE: Subaward budget types can be deleted by selecting the **Delete** link from the **Action** column for the specific subaward.

[Click here to display an image of the RPPR *H.Budget* screen.](#)

H. Budget ?

Please click the **Save** button before leaving this page. Otherwise, all changes will be lost.

Save Cancel

H1. Budget Form

For training awards, grantees should select the applicable RPPR budget type (e.g., SF424 (R&R) or PHS 398 Training Budget) from the drop down menu. For a small number of NIH training awards the grantee is required to submit both the SF424 (R&R) and PHS 398 Training Budget; the RPPR will accommodate this.

If completing the SF424 (R&R), follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.7 R&R Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).

If completing the PHS 398 Training Budget, follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 8.5 PHS 398 Training Budget Component, items A-F. The budget justification should be uploaded as item F, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).

Select a budget to add from the dropdown list:

Please select a budget type Add Budget

Budget Type	Funds Requested	Action
PHS 398 Training Budget	\$0.00	Edit Delete
SF 424 Research and Related Budget	\$0.00	Edit Delete

H2. Subaward Budget Form

For awards with subaward/consortium budgets, the grantee may select up to 30 subaward budgets. To complete a detailed budget for a subaward/consortium, follow the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium or 8.6 PHS 398 Training Subaward Budget Attachment(s) Form.

Select a subaward budget to add from the dropdown list:

Please select a budget type Add Subaward Budget

Budget Type	Subaward	Organization	Funds Requested	Action
PHS 398 Training Sub Award	1		\$0.00	Edit Delete
SF 424 Research and Related Sub Award Budget	1		\$0.00	Edit Delete

Save Cancel [A.Cover Page](#) | [B.Accomplishments](#) | [C.Products](#) | [D.Participants](#) | [E.Impact](#) | [F.Changes](#) | [G.Special Reporting Req](#) | H Budget | [I.Outcomes](#)

NOTE: Remember to save the information before exiting the form by selecting one of the **Save** buttons located at the top and bottom of the form.

13.11.5.3 DUNS Number

For single-project RPPRs, the DUNS number will automatically populate the DUNS number of the grantee organization on the budget form.

SF424 Research & Related Budget

Save Cancel

OMB Number: 0925-0001

<p>* Organizational DUNS</p> <p>* Organization Name</p> <p>* Budget Type</p>	<p><input style="border: 1px solid red;" type="text" value="012345678"/></p> <p><input type="text" value="PRESIDENTIAL UNIVERSITY"/></p> <p><input checked="" type="radio"/> Project <input type="radio"/> Subaward/Consortium</p>	<p>Budget Period: 1</p> <p>* Start Date</p> <p>* End Date</p>	<p><input type="text" value="07/01/2014"/></p> <p><input type="text" value="06/30/2015"/></p>
--	--	---	---

For multi-component RPPRs the grantee must enter the DUNS and Organization Name fields, as the DUNS number will not automatically populate the DUNS number.

To add the DUNS number:

Enter the DUNS number into the **Organizational DUNS** field or select the magnifying glass icon to search for and select the DUNS number. You can search using a secondary DUNS number, however, the form will reflect the primary DUNS after you select the organization.

The **Organizational DUNS** field updates with the information and the **Enter Name of Organization** field updates to reflect the new DUNS.

To add the organization name:

Enter the organization name into the **Organization Name** field or select the magnifying glass icon to search for and select the new organization name.

The **Organization Name** field updates with the information and the **Organizational DUNS** field updates to reflect the new organization.

NOTE: If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget (click to view figure). Total consortium costs for the main budget **MUST** be computed and entered manually into budget line item F.5.

F. Other Direct Costs	
	Funds Requested (\$)
1. Materials and Supplies	\$ <input type="text"/>
2. Publication Costs	\$ <input type="text"/>
3. Consultant Services	\$ <input type="text"/>
4. ADP/Computer Services	\$ <input type="text"/>
5. Subawards/Consortium/ Contractual Costs	\$ <input type="text"/>
6. Equipment or Facility Rental/User Fees	\$ <input type="text"/>
7. Alterations and Renovations	\$ <input type="text"/>
8. <input type="text"/>	\$ <input type="text"/>
9. <input type="text"/>	\$ <input type="text"/>
10. <input type="text"/>	\$ <input type="text"/>
Total Other Direct Costs	\$ <input type="text"/>

13.11.5.4 SF 424 Research and Related Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.300-r&r-budget-form.htm>

13.11.5.5 SF 424 Research and Related Sub Award Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.310-r&r-subaward-budget-attachment\(s\)-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.310-r&r-subaward-budget-attachment(s)-form.htm)

13.11.5.6 PHS 398 Training Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.330-phs-398-training-budget-form.htm>

13.11.5.7 PHS 398 Training Sub Award

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.340-phs-398-training-subaward-budget-attachment\(s\)-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.340-phs-398-training-subaward-budget-attachment(s)-form.htm)

13.12 Editing Inclusion Enrollment Data

This topic discusses inclusion data in the Human Subjects System (HSS) as accessed and processed via your RPPR. For more information on HHS or accessing HSS via Commons, please refer to the [HSS Online Help](#).

To update inclusion enrollment data, select the **Human Subjects** link from question **G.4.b** of section **G. Special Reporting Requirements**. For additional information on inclusion procedures in the RPPR, please review [Chapter 6.7 Section G–Special Reporting Requirements of the NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#).

IMPORTANT: *Before selecting the Human Subjects link, select the **Save** button on the RPPR to save all your work in **Section G**. Failure to do so will result in a loss of data on your report.*

NOTE: If this link is selected more than 60 days before the progress report due date, the following warning is displayed:

Based on the due date of this RPPR, inclusion data is not yet needed. If you proceed, access to the inclusion data via Commons/Status will be blocked. You cannot undo this action. Are you sure you want to proceed?

Selecting **Cancel** will abort the action and HSS will not be opened. Continuing will result in inclusion data being blocked for editing when accessed via Commons Status (**View** action only). In this event, you will see the following message when accessing via Status: *RPPR has been initiated. Currently, the data is editable accessing via RPPR only.*

The ability to edit IERs via the Commons Status module will be restored after the successful submission of the RPPR and until the award of the current year.

Click this link to display an image of the screen.

G.4 Human Subjects

G.4.a Does the project involve human subjects? Yes No

Is the research exempt from Federal regulations? Yes No
 If yes, check appropriate exemption number(s). E1 E2 E3 E4 E5 E6

Does this project involve a clinical trial? Yes No
 If yes, is this an NIH-defined Phase III Clinical Trial? Yes No

G.4.b Inclusion Enrollment Data

Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race. [Click here](#) for complete instructions about this requirement.

Inclusion Enrollment Report

Please click on the link below to view and update inclusion data records associated with this award.

[Human Subjects](#) ←

G.4.c ClinicalTrials.gov

The *Inclusion-Manage Inclusion Enrollment Records (IERs)* screen displays showing the Inclusion Enrollment Records (IERs) with a status of *Requires Updates*. Once cumulative form updates have been made as required, the status of the IER(s) becomes *Inclusion Updated*. However, this only occurs when cumulative data is updated. It is possible to see multiple IERs in difference statuses.

Click this link to display an image of the screen for a single project.

Inclusion - Manage Inclusion Enrollment Records (IERs)

Grant #: 5R01CA123456-03
 PI Name: Shakespeare, William

[Return to RPPR](#) [Submit New Planned Inclusion Record](#)

IER #	IER Status	Study Title	Last Updated Date	Action
161587	Requires Updates	This is a Sample Study Title	06/10/2014 12:13 AM	View Edit Planned Enrollment Edit Cumulative Enrollment

Click this link to display an image of the screen for a multi-year funded award.

Inclusion - Manage Inclusion Enrollment Records (IERs) ?				
Grant #:	1R01CA654321-01			
PI Name:	Shakespeare, William			
Return to Progress Report				
IER # ?	IER Status ?	Study Title	Last Updated Date	Action ?
FY: 2015 Submit New Planned Inclusion Record ?				
1010414	Previous FY Data	The Sample Study Title of This IDR	09/12/2015 01:17 PM	View Edit Planned Enrollment Edit Cumulative Enrollment
1010477	Previous FY Data	Another Study Title to Another Sample IDR	09/12/2015 01:17 PM	View Edit Planned Enrollment Edit Cumulative Enrollment
1026222	Received by Agency	Here is an Example of a Study Title Too Long to Disp... More	09/23/2015 02:57 PM	View Edit Planned Enrollment Edit Cumulative Enrollment
FY: 2014				
1010414	Accepted (Original Submission)	The Sample Study Title of This IDR	09/12/2014 01:11 PM	View
1010477	Accepted (Original Submission)	Another Study Title to Another Sample IDR	09/12/2014 01:11 PM	View

For multi-year funded awards, only inclusion counts for the **current** IER fiscal year can be reported. Once an RPPR is considered late, you will not be able to update and submit inclusion data through the HSS. HSS will indicate this with a message as follows: *Because this RPPR is late, the Human Subjects System is unable to accept the data.*

RPPR for current sequential year of multi-year award will be considered late after corresponding anniversary of the budget/project period start date. For example, the RPPR for sequential year 1 is late after 1st anniversary of the budget/project period start date.

Select the **Edit Cumulative Enrollment** link in the **Action** column to access the *Edit Cumulative Inclusion Data* screen and perform the required updates.

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 Enrollment Record (IER) #**

Displays the system-generated identification number of the Inclusion Enrollment Record.

- **IER Status**

Shows the status of the record.

- **Study Title**

The study title of the IER, pre-populated with the existing title and editable.

Cumulative Inclusion Enrollment Report Fields

- **Study Title**

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

- **Comments**

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

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 IER. 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 Enrollment Records* screen.

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

Click this link to display an image of the screen.

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="33"/>	<input type="text" value="60"/>	<input type="text" value="0"/>	<input type="text" value="25"/>	<input type="text" value="5"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="1"/>	<input type="text" value="0"/>	126
Asian	<input type="text" value="21"/>	<input type="text" value="20"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	43
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"/>	<input type="text" value="0"/>	<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="12"/>	<input type="text" value="15"/>	<input type="text" value="1"/>	<input type="text" value="2"/>	<input type="text" value="1"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	31
White	<input type="text" value="27"/>	<input type="text" value="40"/>	<input type="text" value="2"/>	<input type="text" value="5"/>	<input type="text" value="10"/>	<input type="text" value="0"/>	<input type="text" value="1"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	87
More Than One Race	<input type="text" value="3"/>	<input type="text" value="4"/>	<input type="text" value="0"/>	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	27
Unknown or Not Reported	<input type="text" value="1"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	3
Total	97	139	3	42	28	2	3	3	0	317

HSS 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?

After updating the cumulative enrollment data, the status of the IER(s) status will change to *Inclusion Updated* and the links for editing the information remain available. This status only occurs when cumulative data is updated. Updating the planned data does not meet the requirement of the progress report. When only planned data is updated, the IER status remains at *Requires Updates*.

13.12.1 Changes to Planned Enrollment

If there are changes from the planned enrollment originally approved for funding, contact the program officer to discuss updating/revising the planned enrollment. Please refer to [Chapter 6.7 Section G–Special Reporting Requirements](#) of the [NIH and Other PHS Agency Research Performance Progress Report \(RRPR\) Instruction Guide](#) for more information.

Select the **Edit Planned Enrollment** link in the **Action** column of the *Inclusion–Manage Inclusion Enrollment Records (IERs)* screen to access the *Edit Planned Inclusion Data* screen.

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 Enrollment Record (IER) #**

Displays the system-generated identification number of the Inclusion Enrollment Record.

This field is displayed only when editing existing IER

- **IER Status**

Shows the status of the record.

This field is displayed only when editing existing IER

- **Study Title**

The study title of the IER, pre-populated with the existing title and editable when editing an IER.

This field is displayed only when editing existing IER

Click this link to display an image of the screen.

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
Total	97	138	39	21	295

Planned Inclusion Enrollment Report Fields

- **Study Title**

The study title of the IER, pre-populated with the existing title and editable when editing an IER.

For a new IER, this field displays blank. Enter the new IER's study title into the field. This is required.

- **Foreign/Domestic**

This field indicates whether the IER 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 IER.

When creating a new IER, 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 IER and blank when creating a new IER. 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 IER. 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 [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 Enrollment 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.

13.12.2 No Inclusion Enrollment Records Provided

When inclusion monitoring is required and no IERs exist, RPPR system will NOT allow the submission of the progress report without IER(s). For the current FY it will display an error message and require that you either submit a new enrollment record or provide an explanatory comment for the missing IERs.

Click this link for an image of the screen.

Inclusion - Manage Inclusion Enrollment Records (IERs) ?

Grant #: 5R01NR123456-04
PI Name: Shakespeare, William

[Return to Progress Report](#) [Submit New Planned Inclusion Record ?](#)

NIH policy requires inclusion to be monitored, but no inclusion enrollment record(s) (IERs) have been provided. Please submit inclusion records by clicking the link above or provide an explanation in the box below (100 characters max).

[Add to Progress Report](#) [Cancel and go back](#)

This is true for the current FY of a multi-year award as well. For the past FYs (when the progress report is late), a standard message is displayed in lieu of the error message as follows: *NIH policy requires inclusion to be monitored, but no Inclusion Enrollment Record(s) (IERs) have been provided.*

This standard message will appear on both the screen and the PDF version of the progress report.

Inclusion - Manage Inclusion Enrollment Records (IERs) ?

Grant #: 1R15GM123456-01
PI Name: Shakespeare, William

[Return to Progress Report](#)

NIH policy requires inclusion to be monitored, but no inclusion enrollment record(s) (IERs) have been provided. Please submit inclusion records by clicking the link above or provide an explanation in the box below (100 characters max).

2015 [Submit New Planned Inclusion Record](#)

[Add to Progress Report](#) [Cancel and go back](#)

2014

NIH policy requires inclusion to be monitored, but no inclusion data record(s) (IDRs) have been provided.

To provide an explanation, enter your comments into the provided text box and select the **Add to Progress Report** button. For multi-year funded awards, the ability to provide an explanation is available only for the current year.

NOTE: Selecting any of the links or buttons other than **Add to Progress Report** will cancel the action of adding and saving your comments. Any entered comments will be lost unless you select the **Add to Progress Report** button.

The entered explanation is viewable on the RPPR PDF and on the *Inclusion–Manage Inclusion Enrollment Records (IERs)* screen when accessed via Commons Status. For information on access through Commons Status, refer to the [IMS Online Help](#).

NOTE: Submitting a new IER after the submission of this explanation, but before submission of the RPPR to Agency, removes the explanation comment from the progress report. See the section below for information on submitting a new planned inclusion record.

13.12.3 Submit New Planned Inclusion Record

Select the **Submit New Planned Inclusion Record** link to access the *Edit Planned Inclusion Data* screen and submit planned enrollment and create a new IER. For multi-year funded awards, this link is available only for the current fiscal year. Upon a successful save of a new IER, attributes (Study Title, Foreign/domestic indicator/planned comments), Planned Inclusion Data (as entered), and Cumulative Inclusion Data (as zeroes) are also created; the new IER is assigned a unique IER #; and the IER status is set to Grantee Updates in Progress (when accessing through Status in Commons).

13.12.4 Inclusion Enrollment Record (IER) Statuses

A status will be maintained for each study version. There will be two primary values used:

Received by Agency: any new study version will have this status. Studies that initially come in on initial submission will have this status, and any post-submission of the study will have this status.

Accepted: when an award occurs, any studies for which the award is the primary project will have the latest version. The latest version will also be labeled with the relevant FY of the award.

13.12.5 When Should I Access HSS via the Status Module?

HSS 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**.

13.12.5.1 When to Use the Status Module Instead of RPPR

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 *Human Subjects System*. Also, after a grant is awarded, only the **View** links will be available for the IERs 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.

For details on using the Status module for accessing HSS, please refer to [Access HSS](#). You can also access the HSS Online Help by selecting the help icons (?) on any of the HSS screens.

13.13 Checking for Errors and Warnings

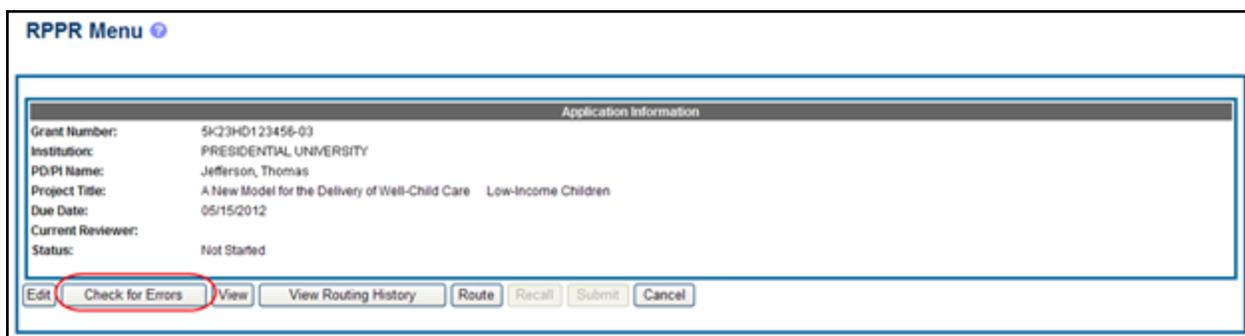
At any time before an RPPR is submitted to agency, an error check can be performed to verify that the report passes the business rules and system validations in place. Any user who has access to the RPPR may perform the error check.

Refer to the section of this document titled [Checking for Errors on Single-Project RPPRs on Page 303](#) for more information on error checking single-project RPPRs.

Refer to the section of this document titled [Checking for Errors on a Multi-Project RPPR on Page 304](#) for more information on error checking multi-project RPPRs.

13.13.1 Checking for Errors on Single-Project RPPRs

To perform an error check on the RPPR for single-project RPPRs, select the **Check for Errors** button from the *RPPR Menu* screen.



The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a help icon. Below that is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD122456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care - Low-Income Children
Due Date:	05/15/2012
Current Reviewer:	
Status:	Not Started

At the bottom of the application information box, there is a row of buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Check for Errors' button is highlighted with a red circle.

If errors or a warning exist, the appropriate error or warning message displays for each failed occurrence. **All errors must be corrected prior to submission**; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.

Error Messages
Section B. Accomplishments: (ID: 201315)
B.1. An answer is required. (ID: 201238)
B.2. An answer is required. (ID: 201240)
B.3. An answer is required. (ID: 201241)
B.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201243)
B.5. An answer is required: select Nothing to Report or enter/upload response. (ID: 201244)
B.6. An answer is required: select Nothing to Report or enter/upload response. (ID: 201245)
Section C. Products: (ID: 201316)
C.1. An answer is required. (ID: 201246)
C.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201249)
C.5.A. An answer is required: select Nothing to Report or enter/upload response. (ID: 201250)
C.5.B. An answer is required: select Nothing to Report or enter/upload response. (ID: 201251)
Section G. Special Reporting Requirements: (ID: 201320)
G.1. An answer is required: select Nothing to Report or enter/upload response. (ID: 201275)
G.4.a. An answer is required. (ID: 201278)
G.5. An answer is required. (ID: 201280)
G.6. An answer is required. (ID: 201281)
G.8. A required field is missing. (ID: 201282)
G.9. An answer is required: select No Foreign Component or enter/upload response. (ID: 201283)
G.10. An answer is required. (ID: 201285)

If all validations pass, a message displays indicating: *No errors found on validation.*

13.13.2 Checking for Errors on a Multi-Project RPPR

To perform an error check on the Overall or individual component of a multi-project RPPRs, select the **Check for Errors** link from the **Actions** column of the *RPPR Menu* screen for the Overall or individual component being validated.

NOTE: Refer to the section of this document titled *Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing on Page 283* for information on adding individual components to the RPPR.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
 Project Title: Sample Research Project
 Due Date: 01/01/2014
 Current Reviewer: Franklin, Benjamin
 Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? Yes No ?

ID	Project Title	Program Director(PD)/ Principal Investigator(PI) Name	Actions
Overall	Sample Research Project	Washington, George	Edit Check for Errors

Component Type: Component Project Title: Add Component

One item found.

Component ID	Component Type	Component Project Title	Actions
Core-6773	Core	Core for Sample Research Project	Edit Component Check for Errors Delete

If errors or a warning exist for the chosen component, the appropriate error or warning message displays for each failed occurrence. Select the **Check for Errors** button of the other components to perform a check against them.

All errors must be corrected prior to submission; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.

RPPR Menu ?

Error Messages

- Core-6772 - Section A. Cover Page: (ID: 201309)
- A.1.b. The project lead for the component is required. (ID: 200261)
- Core-6772 - Section B. Accomplishments: (ID: 201315)
- B.1. An answer is required. (ID: 201236)
- B.1.A. An answer is required. (ID: 201239)
- B.2. An answer is required. (ID: 201240)
- B.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201243)
- B.5. An answer is required: select Nothing to Report or enter/upload response. (ID: 201244)
- B.6. An answer is required. (ID: 201245)
- Core-6772 - Section C. Products: (ID: 201316)
- C.3. An answer is required: select Nothing to Report or enter/upload response. (ID: 201248)
- C.5.A. An answer is required: select Nothing to Report or enter/upload response. (ID: 201250)
- C.5.B. An answer is required: select Nothing to Report or enter/upload response. (ID: 201251)
- Core-6772 - Section E. Impact: (ID: 201318)
- E.3. An answer is required: select Nothing to Report or describe impact on technology transfer. (ID: 200220)
- Core-6772 - Section F. Change: (ID: 201319)
- F.2. An answer is required: select Nothing to Report or enter/upload response. (ID: 201270)
- F.3.a An answer is required: select No Change or enter/upload response. (ID: 201271)
- F.3.b An answer is required: select No Change or enter/upload response. (ID: 201272)
- F.3.c. An answer is required: select No Change or enter/upload response. (ID: 201273)
- F.3.d. An answer is required: select No Change or enter/upload response. (ID: 201274)
- Core-6772 - Section G. Special Reporting Requirements: (ID: 201320)
- G.4.a. An answer is required. (ID: 201278)
- G.6. An answer is required. (ID: 201281)

Warning Message

H.1. The Funds Requested amount for one or more budget(s) is \$0 (zero) dollars. Check the calculations to ensure this amount is correct prior to submission. (ID: 200266)

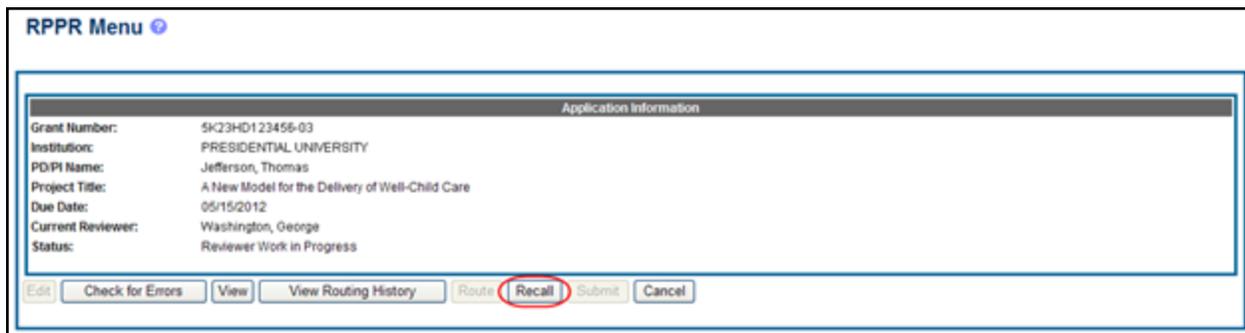
If all validations pass, a message displays indicating: *No errors found on validation.*

13.14 Recalling the RPPR

RPPRs that have been routed to a reviewer can be recalled by the person who performed the routing action. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the RPPR.

To recall an RPPR, select the **Recall** button from the *RPPR Menu* screen.



The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a blue checkmark icon. Below this is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress

At the bottom of the application information section, there is a row of buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Recall' button is highlighted with a red circle.

A message displays on the screen indicating: *The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.*

The status of the RPPR is updated to *PD/PI Work in Progress* or *Reviewer Work in Progress*, the reviewer from whom the RPPR is recalled receives an email informing him of the action, and the RPPR routing audit history is updated to reflect the action.

Additionally, the **Edit** and **Route** buttons are enabled, providing the new reviewer with the ability to continue editing the RPPR or to route it to another reviewer.

The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Jefferson, Thomas
Status:	PD/PI Work in Progress

13.15 Viewing the RPPR

Grantees are **strongly** encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. [Refer to the section of this document titled *Submitting RPPR to Agency on Page 254*.](#)

PD/PIs, PD/PI delegates, and reviewers can view a PDF version of an RPPR in *Work in Progress (WIP)* or *Submitted to Agency* status to see how it will be seen by the Agency. Until the RPPR is submitted to agency, the PDF report shows a status of *Draft* and a blank submission date.

To view the RPPR form, select the **View** button from the *RPPR Menu* screen.

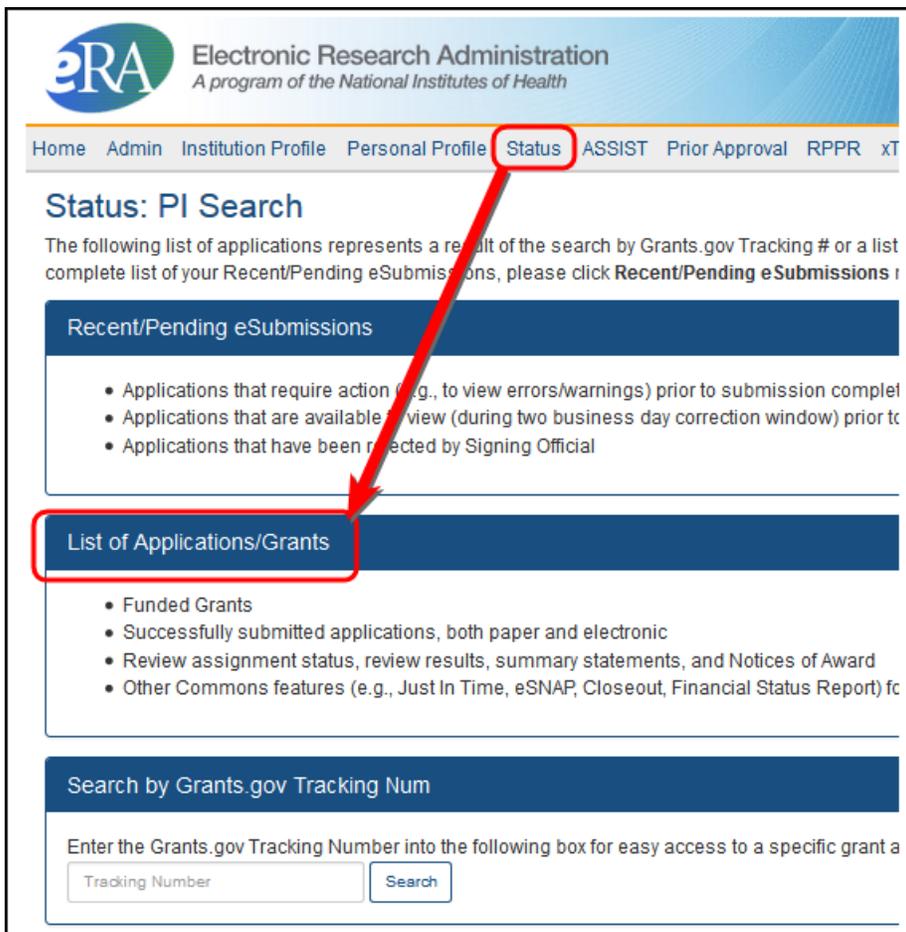
RPPR Menu

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress

13.16 Viewing the RPPR in Commons

The RPPR, in PDF format, is accessible in Commons within the *Status Information* screen. To view the RPPR, perform the following steps:

1. From Commons, select the **Status** menu option.
2. Select the link for **List of Applications/Grants**.



3. From the *Status Result – List of Applications/Grants* screen, select the hyperlink for the specific Application ID.

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 50 if no percentile is provided. Please await instructions from the NIH on whether to complete this information. Furthermore, there is a system problem with the Commons, which shows the JIT link for NRSA applications (Fellowships and Training applications). Please do not submit the JIT information for these types of applications through the Commons. Please submit JIT information for training grants and fellowships through email or fax. Finally, JIT requires a Signing Official (SO) at your institution to send the request to the NIH. Thank you for your cooperation.

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	e-Submission Status	Current Application Status	Status Date	Action
5R01HD123456-02		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded, Non-fellowships only	08/17/2011	
1R01HD123456-01A	ORANT12345678P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded, Non-fellowships only	07/13/2010	Transmittal Sheet
1R01HD123456-01	ORANT07654321P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Withdrawn by IC - Other Version Encumbered	07/13/2010	Transmittal Sheet
5R01HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS		Pending	08/17/2011	RPPR

Export to Excel Show Query Print History

The *Status Information* screen displays with the **Other Relevant Documents** section in the top right corner.

4. The progress reports for incrementally-funded and multi-year funded awards are displayed differently in **Other Relevant Documents**.
 - a. For an incrementally-funded RPPR: Select the **e-Application** link from the **Other Relevant Documents** section of the *Status Information* screen.

Status Information

General Grant Information		Other Relevant Documents
Status:	Pending administrative review. Refer any questions to Program Official or Grants Management Specialist.	e-Application
Institution Name:	PRESIDENTIAL UNIVERSITY	Additions for Review (0 documents)
School Name:	SCHOOL OF MEDICINE	
School Category:	SCHOOLS OF MEDICINE	
Division Name:	NONE	
Department Name:	PEDIATRICS	
PI Name:	Jefferson, Thomas	
Application ID:	5R01HD123456-03	
Proposal Title:	A New Model for the Delivery of Well-Child Care	
Proposal Receipt Date:		
Last Status Update Date:	08/17/2011	
Budget Start Date:	07/01/2012	
Budget End Date:	06/30/2013	
Progress Report Due Date:	05/01/2012	
Current Award Notice Date:		
Application Source:	Paper	
Project Period Begin Date:	07/15/2010	
Project Period End Date:	06/30/2015	
eApplication Status:		
FOA:	[PA09-043] - MENTORED PATIENT-ORIENTED	
NIH Appl. ID:	1234567	
		Correspondence
		Referral
		Date Description Action

- a. For multi-year funded awards: Select the appropriate year's link in the **Research Performance Progress Report** section. Links will appear as follows: **RPPR Year <X> <MM/DD/YYYY>** .

Status Information	
General Grant Information	Other Relevant Documents
Status: Application awarded.	e-Application
Institution Name: College at Stratford-Upon-Avon	Summary Statement
School Name: SCHOOL OF MEDICINE	Latest NGA
School Category: SCHOOLS OF MEDICINE	Notice(s) of Grant Award (PDF) 03/01/2010
Division Name: NONE	Abstract (Awarded Grant)
Department Name: PEDIATRICS	Just In Time 02/11/2010 Times Revised(1)
PI Name: SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher	eSubmission Cover Letter
Application ID: 1R15CA234567-01A1	Research Performance Progress Report RPPR Year 1.05/09/2011
Proposal Title: A Midsummer Night's Dream and Other Known Sleeping Disorders	Progress Report
Proposal Receipt Date: 01/06/2014	Additional Material (PRAM) PRAM Year 1.05/20/2011
Last Status Update Date: 02/24/2010	Additions for Review (0 documents)
Current Award Notice Date: 03/01/2010	
Application Source: Grants.gov	
Project Period Begin Date: 04/01/2010	
Project Period End Date: 03/31/2014	
eApplication Status: Submission Complete	
FOA: [PA00-123] - ACADEMIC RESEARCH ENHANCEMENT AWARD	
NIH Appl. ID: 1234567	
	Correspondence
	Referral
	Date Description Action

The PDF version of the RPPR opens in a separate window.

NOTE: The submitted RPPR can also be accessed from the *RPPR Menu* screen. The **View** button opens the PDF version of the RPPR.

13.17 PD/PI Assurance Report

The *PD/PI Assurance Report* displays instances when PI users agreed to the PD/PI Assurance message upon routing or submitting a Research Performance Progress Reports (RPPR).

If you hold an SO role, you have access to this information. To view this information:

1. Select the **RPPR** tab from the Commons menu.
2. From the *Manage RPPR* screen, select the **PD/PI Assurance Report** option.

1.

The *PD/PI Assurance Report* screen opens. You can perform a search for a specific PI or by a range of dates for all PIs in the organization. You can search by PD/PI Name, a range of dates, or both. A search with no specified PI will return the records for all PIs in the organization.

2. Enter your search criteria and select the **Search** button.

The search results display at the bottom of the screen.

Grant #	PD/PI Name	User ID	I Agree Date	Action
R01EY000005-03	Shakespeare, William	THEBARD	2012-07-23 01:17:29	ROUTE
R01EY000005-03	Shakespeare, William	THEBARD	2012-07-24 14:15:26	SUBMIT

PD/PI Assurance Report

Search Criteria

PD/PI Name: Last First

Date Range From: 01/09/2013 (MM/DD/YYYY) To: 01/14/2013 (MM/DD/YYYY)

PD/PI Assurance Search Results 1- 12 out of 12 records [Prev](#) [1](#) [Next](#) [All](#)

Grant #	PD/PI Name	User ID	I Agree Date	Action
R01FD000001-04	Bennet, Lizzie	PROUDEB	2013-01-10 20:04:44	SUBMIT
R01DK000004-01S1	CAULFIELD, HOLDEN	CATCHER	2013-01-10 21:14:24	SUBMIT
R01GM000002-31	DOYLE, ARTHUR C	SHERLOCK	2013-01-10 19:06:30	SUBMIT
R01EY000002-05	FINCH, ATTICUS	SCOUTSDAD	2013-01-10 12:20:49	ROUTE
R01NS000001-13	FINN, HUCK	TOMSFRIEND	2013-01-14 12:31:53	SUBMIT
R01GM000001-17	FITZGERALD, F SCOTT	GATSBY	2013-01-14 18:19:42	SUBMIT
R01MH000001-23	GOLDING, WILLIAM	THEFLIES	2013-01-14 00:39:18	SUBMIT
R01CA000001-01	JOYCE, JAMES	ULYSSES	2013-01-14 19:11:17	SUBMIT
R01EY000004-03	LEE, HARPER	MOCKINGBIRD	2013-01-11 18:36:50	SUBMIT
R01EY000001-01	Sawyer, Tom	HUCKSPAL	2013-01-14 22:47:48	SUBMIT
R01EY000005-03	SHAKESPEARE, WILLIAM	THEBARD	2013-01-11 18:30:35	ROUTE
R01EY000003-07	TORRANCE, JACK	SHINING	2013-01-14 13:21:32	SUBMIT

13.18 Public Access PRAM

The Public Access Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, and submit information in response to the automated notification sent when an NIH grantee organization submits an RPPR with non-compliant publications. The system sends the automated email to the PD/PI requesting verification that all publications are in compliance with the NIH Public Access Policy. The SO and AO assigned to the RPPR on the cover page will receive a copy (cc:) of the email. While an email response to the GMS and PO is acceptable at this time, the grantee is encouraged respond using the Public Access PRAM feature in eRA Commons. AHRQ does not currently use the PRAM feature for public access compliance notifications.

Using the PRAM feature, grantees can upload and submit a [My NCBI PDF](#) report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Compliant papers have a status of *Complete*, *N/A* (not applicable), *PMC Journal in Process*, or *In process at NIHMS*. Please see <http://publicaccess.nih.gov/include-pmcid-citations.htm> for additional information. If unable to provide the verification of compliance, grantees can upload and submit justification for why specific publications cannot be brought into compliance.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the Public Access PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to Agency.

13.18.1 Initiating Public Access PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Public Access PRAM by following the steps below:

1. Access the *Status Result – List of Applications/Grants* screen.
2. Select the **Public Access PRAM** link from the **Action** column of the appropriate grant.

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	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
5K23HD123456-03		A New Model for the Deliver of Well-Child Care	JEFFERSON, THOMAS		Pending	09/30/2012	RPPR Public Access PRAM
TDP1CA654321-04 (MPI)	ORANT00123456	Crime & Punishment and the Effects on Mental Health	JEFFERSON, THOMAS	Submission Complete	Pending	09/26/2012	Transmittal Sheet
AN1234567	ORANT00234567	The Red Badge of Courage and Other Skin Disorders	JEFFERSON, THOMAS	Submission Complete	Application has been entered into computer	08/22/2012	Transmittal Sheet

Export to Excel Show Query Print History

The *Progress Report Additional Materials (PRAM)* screen displays **Grant Information** including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer displays at the top of the screen. The **Public Access Compliance** section at the bottom contains guidance for responding to the automated email requesting evidence of compliance with a field and buttons for uploading and maintaining attachments.

3. Use the **Add Attachment** button to browse and select the My NCBI PDF or another PDF document providing justification. Note that selecting the **Cancel** button closes the screen instead.
4. Enter a response in the text box in 2,000 characters or less and select the **Route** button at the bottom of the screen.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: 5K23HD123456-03
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: PD/PI Work in Progress
 Current Reviewer: Jefferson, Thomas

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment: [Sample Document.pdf](#) Add Attachment Delete Attachment View Attachment

View View Routing History **Route** Recall Submit Cancel

NOTE: The options for **Delete Attachment** and **View Attachment** display once an attachment has been uploaded. **Save**, **View**, and **Route History** may be selected at this time. Selecting the option for **Cancel** closes the screen without saving or routing the PRAM information.

5. *Optional:* Select the **View Attachment** button to view the document. Select the **Delete Attachment** button to remove the document.

When the **Route** button is selected, the *Route PRAM to Next Reviewer* screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

6. Select an SO from the **Next Reviewer** drop-down list.
7. Enter text into the **Comments** field as necessary. This is not a mandatory field.
8. Select the **Submit** button to continue.

The *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement.

9. Read the assurance statement and select the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM and may not edit it. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.

Progress Report Additional Materials (PRAM) ?

The PRAM was successfully routed to WASHINGTON1, George Washington

Grant Information	
Grant Number:	5K23HD123456-03
PD/PI Name:	JEFFERSON, THOMAS
Project Title:	A New Model for the Delivery of Well-
Institution:	PRESIDENTIAL UNIVERSITY
Status:	Reviewer Work in Progress
Current Reviewer:	Washington, George

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment:

13.18.2 Recalling Public Access PRAM

Public Access PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action until the PRAM has been submitted to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Public Access PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number:	5K23HD123456-03
PD/PI Name:	JEFFERSON, THOMAS
Project Title:	A New Model for the Delivery of Well-Child Care
Institution:	PRESIDENTIAL UNIVERSITY
Status:	Reviewer Work in Progress
Current Reviewer:	Washington, George

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment:

A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and the **Route** button is enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

13.18.3 Submitting Public Access PRAM

When the Public Access PRAM is in *Reviewer Work in Progress* status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the Public Access PRAM:

1. Access the *Status* screen.
2. Enter the appropriate query parameters to locate the grant and select the **Search** button.

The *Status Result – General Search* screen displays with the matching information.

3. From the **Action** column, select the link for **PRAM**.

Status Result - General Search

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Pending	05/01/2013	Yes		RPPR Public Access PRAM

Export to Excel Show Query Print History

The *Progress Report Additional Materials (PRAM)* screen displays. The screen displays **Grant Information** on top and the PD/PI comments in the text box at the bottom of the screen. In addition to submitting the PRAM, from this screen, the SO also may **View** the PRAM as a PDF, **Route** it to another reviewer (or back to the PD/PI), and view the **Route History**. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: 5K23HD123456-03
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment: 1111111.pdf Add Attachment Delete Attachment View Attachment

View View Routing History Route Recall **Submit** Cancel

4. Select the **Submit** button.

The *Submit PRAM to Agency* screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.

Submit PRAM to Agency

In submitting these Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	JEFFERSON, THOMAS
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	2013-03-15
Current Reviewer:	Washington, George
PRAM Status:	Reviewer Work in Progress

5. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to the awarding agency, the PRAM status is updated to *Submitted to Agency*, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.

Progress Report Additional Materials (PRAM) ?

The progress report additional materials have been successfully submitted to PHS.

Grant Information	
Grant Number:	5K23HD123456-03
PD/PI Name:	JEFFERSON, THOMAS
Project Title:	A New Model for the Delivery of Well-Child
Institution:	PRESIDENTIAL UNIVERSITY
Status:	Submitted to Agency
Current Reviewer:	NIH

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment:

When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR and the **Public Access PRAM** link will no longer be available.

NOTE: To view the submitted PRAM, select the **View** button on the *Progress Report Additional Materials (PRAM)* screen. This option opens the PRAM PDF in a separate window. The Public

Access PRAM will appear as the final page of the PDF document. See below for display of IC Requested PRAM.

13.18.4 View Public Access PRAM for Multi-Year Funded Awards

After submitting Public Access PRAM for multi-year funded awards, users with access to the grant information may view the PRAM via the *Status Information* screen. *Status Information* is accessed by selecting the **Application ID** hyperlink from the *Status Result – General Search* (SOs) and *Status Result – List of Applications/Grants* (PIs) screens.

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	PD/PI Name	e-Submission Status	Current Application Status	Status Date	Action
1R03CA123456-01	GRANT12300001P	All's Well That Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM	Submission Complete	Administratively Withdrawn by IC	11/08/2011	Transmittal Sheet
1R15CA234567-01A1	MP1) GRANT11111111P	A Midsummer Night's Dream and Other Known Sleeping Disorders	SHAKESPEARE, WILLIAM	Submission Complete	Awarded, Non-fellowships only	02/24/2010	RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements
1R15CA654321-01	GRANT12345678P	The Two Noble Kinsmen: A Study on Genetics and DNA	SHAKESPEARE, WILLIAM	Submission Complete	Pending IRG Review	07/17/2013	Transmittal Sheet

Export to Excel Show Query Print History

From the *Status Information* screen, select the hyperlink in the area marked **Progress Report Additional Material (PRAM)** in the **Other Relevant Documents** section. The PRAM links for multi-year funded awards display as **PRAM Year <X> <date submitted>**.

Status Information

General Grant Information	Other Relevant Documents			
<p>Status: Application awarded.</p> <p>Institution Name: College at Stratford-Upon-Avon</p> <p>School Name: SCHOOL OF MEDICINE</p> <p>School Category: SCHOOLS OF MEDICINE</p> <p>Division Name: NONE</p> <p>Department Name: PEDIATRICS</p> <p>PI Name: SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher</p> <p>Application ID: 1R15CA234567-01A1</p> <p>Proposal Title: A Midsummer Night's Dream and Other Known Sleeping Disorders</p> <p>Proposal Receipt Date: 01/06/2014</p> <p>Last Status Update Date: 02/24/2010</p> <p>Current Award Notice Date: 03/01/2010</p> <p>Application Source: Grants.gov</p> <p>Project Period Begin Date: 04/01/2010</p> <p>Project Period End Date: 03/31/2014</p> <p>eApplication Status: Submission Complete</p> <p>FOA: [PA00-123] - ACADEMIC RESEARCH ENHANCEMENT AWARD</p> <p>NIH Appl. ID: 1234567</p>	<p>e-Application</p> <p>Summary Statement</p> <p>Latest NGA</p> <p>Notice(s) of Grant Award (PDF) 03/01/2010</p> <p>Abstract (Awarded Grant)</p> <p>Just in Time 02/11/2010 Times Revised(1)</p> <p>eSubmission Cover Letter</p> <p>Research Performance Progress Report RPPR Year 1 05/09/2011</p> <p>Progress Report Additional Material (PRAM) PRAM Year 1 05/20/2011</p> <p>Additions for Review (0 documents)</p>			
<p>Correspondence Referral</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Description</th> <th>Action</th> </tr> </thead> <tbody> </tbody> </table>		Date	Description	Action
Date	Description	Action		

13.19 IC (Agency) Requested PRAM

The Agency Requested Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the program official (PO) at the IC (or AHRQ, if applicable) for additional information following the submission of an RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to Agency.

NOTE: Agency requested PRAM is not available for multi-year funded awards at this time.

13.19.1 Initiating Agency Requested PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Agency Requested PRAM by following the steps below:

1. Access the *Status Result – List of Applications/Grants* screen.
2. Select the **Agency Requested PRAM** link from the **Action** column of the appropriate grant.

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	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
5K23HD123456-03		A New Model for the Deliver of Well-Child Care	JEFFERSON, THOMAS		Pending	09/30/2012	RPPR Agency Requested PRAM
7DP1CA654321-04 (MPI)	GRANT00123456	Crime & Punishment and the Effects on Mental Health	JEFFERSON, THOMAS	Submission Complete	Pending	09/26/2012	Transmittal Sheet
AN1234567	GRANT00234567	The Red Badge of Courage and Other Skin Disorders	JEFFERSON, THOMAS	Submission Complete	Application has been entered into computer	08/22/2012	Transmittal Sheet

Export to Excel Show Query Print Hitlist

The *Progress Report Additional Materials (PRAM)* screen displays. **Grant Information**, including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer, displays at the top of the screen. The **Additional Materials Requested by Agency** section at the bottom provides a means for adding the requested materials. Up to 100 attachments can be submitted, but all attachments must be in the form of PDF files.

3. Select the **Add Attachment** button in the **Additional Materials Requested by Agency** section of the screen.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: [5K23HD123456-03](#)
PDI/PI Name: JEFFERSON, THOMAS
Project Title: A New Model for the Delivery of Well-Child Care
Institution: PRESIDENTIAL UNIVERSITY
Status: Not Started
Current Reviewer:

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

4. Use the *Upload Attachment* pop-up **Browse** and **Upload** buttons to search for and attach the appropriate file. Repeat for all necessary attachments.

The **Additional Materials Requested by Agency** section updates to show a table of all attachments. The table displays the **Document Name** and **Action** links of **View** and **Delete** for each attachment.

5. *Optional*: Select the document's **View** link in the **Action** column to view the attachment.
6. *Optional*: Select the document's **Delete** link in the **Action** column to remove the attachment.

NOTE: The options for **View** and **Route History** may be selected at this time. Selecting the option for **Cancel** closes the screen without saving or routing the PRAM information.

7. Select the **Route** button to send the PRAM for review.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: 5K23HD123456-03
PD/PI Name: JEFFERSON, THOMAS
Project Title: A New Model for the Delivery of Well-Child Care
Institution: PRESIDENTIAL UNIVERSITY
Status: Not Started
Current Reviewer:

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

Document Name	Action
Sample Document.pdf	View Delete
Sample2 Doc.pdf	View Delete

When the **Route** button is selected, the *Route PRAM to Next Reviewer* screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

8. Select a name from the **Next Reviewer** drop-down list.
9. Enter text into the **Comments** field as necessary. This is not a mandatory field.
10. Select the **Submit** button to continue.

Route PRAM to Next Reviewer

Name: JEFFERSON, THOMAS Grant Number: 5K23HD123456-03
Grantee Institution: PRESIDENTIAL UNIVERSITY

Next Reviewer: WASHINGTON, GEORGE [AO, SO]

Comments: Here are my sample comments about entering PRAM information...

The *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement.

11. Read the assurance statement and select the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.

Route PRAM to Next Reviewer

PD/PI Assurance

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

Submit Cancel

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM, the attachments, and the Route History; the PD/PI may not edit the PRAM. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using routing steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.

Progress Report Additional Materials (PRAM)

The PRAM was successfully routed to WASHINGTON1, George Washington

Grant Information

Grant Number: 5K23HD123456-03
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

Document Name	Action
Sample Document.pdf	View
Sample2 Doc.pdf	View

13.19.2 Recalling Agency Requested PRAM

Agency Requested PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action up until the submission of the current PRAM attachment(s) to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Agency Requested PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.

A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

NOTE: Only items which have not already been submitted can be recalled. If prior Agency Requested PRAM submissions to the Agency exist, these attachments are not included in the recall.

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and **Add Attachment** and **Route** buttons are enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

13.19.3 Submitting Agency Requested PRAM

When the Agency Requested Progress Report Additional Materials (PRAM) is in *Reviewer Work in Progress* status, the Signing Official (SO) can submit it to the Agency. PD/Pis may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the PRAM:

1. Access the *Status* screen.
2. Enter the appropriate query parameters to locate the grant and select the **Search** button.

The *Status Result – General Search* screen displays with the matching information.

3. From the **Action** column, select the link for **Agency Requested PRAM**.

Status Result - General Search

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Pending	05/01/2013	Yes		RPPR Agency Requested PRAM

Export to Excel Show Query Print Hillist

The *Progress Report Additional Materials (PRAM)* screen displays. The screen displays **Grant Information** on top and the files attached by the PD/PI in the **Additional Materials Requested by Agency** portion at the bottom. The attached files may be viewed or removed and additional PDF files may be added if necessary.

4. *Optional*: Select the document's **View** link in the **Action** column to view the attachment.
5. *Optional*: Select the document's **Delete** link in the **Action** column to remove the attachment.
6. *Optional*: Select the **Add Attachment** button to attach additional files. Up to 100 PDF files may be attached.

Before submitting, the SO also may **View** the PRAM as a PDF, **Route** it to another reviewer (or back to the PD/PI), and view the **Route History**. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

7. Select the **Submit** button.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: 5K23HD123456-03
 PDI/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

Document Name	Action
Sample Document.pdf	View Delete
Sample2 Doc.pdf	View Delete

The *Submit PRAM to Agency* screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.

8. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

Submit PRAM to Agency

In submitting these Progress Report additional materials, the SO (or PDI/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PDI/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Application Information

Grant Number:	5K23HD123456-03	Due Date:	2013-03-15
Institution:	PRESIDENTIAL UNIVERSITY	Current Reviewer:	Washington, George
PDI/PI Name:	JEFFERSON, THOMAS	PRAM Status:	Reviewer Work in Progress
Project Title:	A New Model for the Delivery of Well-Child Care		

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to NIH, the PRAM status is updated to Submitted to Agency, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.

Progress Report Additional Materials (PRAM)

The progress report requested additional materials have been successfully submitted to PHS.

Grant Information

Grant Number: [5K23HD123456-03](#)
PD/PI Name: JEFFERSON, THOMAS
Project Title: A New Model for the Delivery of Well-Child Care
Institution: PRESIDENTIAL UNIVERSITY
Status: Submitted
Current Reviewer:

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR.

Once the IC Requested PRAM is submitted, the **View** button remains on the PRAM screen to provide a preview of the latest PRAM submission; however, the ability to view or delete the individual attachments is removed. The ability to upload and submit additional attachments remains until the grant is awarded. Follow the steps provided in the [Initiating Agency Requested PRAM](#) section to add additional attachments ([starting with Step 3](#)).

NOTE: If multiple PRAM submissions were completed, selecting the **View** button only provides a preview of the latest PRAM submission. To view all submissions as one document, access the *Status Information* screen for the grant and select the PRAM link. [Refer to the section of this document titled *View Agency Requested PRAM from Status Information on Page 327* for more information.](#)

13.19.4 View Agency Requested PRAM from Status Information

After submitting Agency Requested PRAM, Commons users with access to the grant information may view the PRAM via the Status Information screen.

The *Status Information* is accessed by any of the following methods:

Select the **Grant Number** hyperlink from the *Progress Report Additional Materials (PRAM)* screen

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: [5K23HD123456-03](#)
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Not Started
 Current Reviewer:

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

Select the **Application ID** hyperlink from *Status Result – List of Applications/Grants (PIs)*

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	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
5K23HD123456-03		A New Model for the Deliver of Well-Child Care	JEFFERSON, THOMAS		Pending	09/30/2012	RPPR Agency Requested PRAM
7DP1CA654321-04 (MPI)	GRANT00123456	Crime & Punishment and the Effects on Mental Health	JEFFERSON, THOMAS	Submission Complete	Pending	09/26/2012	Transmittal Sheet
AN1234567	GRANT00234567	The Red Badge of Courage and Other Skin Disorders	JEFFERSON, THOMAS	Submission Complete	Application has been entered into computer	08/22/2012	Transmittal Sheet

Select the **Application ID** hyperlink from *Status Result – General Search (SOs)*

Status Result - General Search

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Pending	05/01/2013	Yes		RPPR Agency Requested PRAM

From the *Status Information* screen, select the hyperlink in the area marked **Progress Report Additional Material (PRAM)** in the **Other Relevant Documents** section.

Status Information

General Grant Information		Other Relevant Documents	
Status:	Pending administrative review. Refer any questions to Program Officer or Grants Management Specialist	e-Application	
Institution Name:	PRESIDENTIAL UNIVERSITY	Institute/Center Progress Report Additional Material Request	
School Name:	SCHOOL OF MEDICINE	Progress Report Additional Material (PRAM)	04/08/2013 Times Revised (2)
School Category:	SCHOOLS OF MEDICINE	Applications for Review (0 Documents)	
Division Name:	NONE		
Department Name:	SURGERY		
PI Name:	Jefferson, Thomas		
Application ID:	5K23HD123456-03		
Proposal Title:	A New Model for the Delivery of Well-Child Care		
Proposal Receipt Date:	03/18/2013		
Last Status Update Date:	07/20/2012		
Budget Start Date:	07/01/2013		
Budget End Date:	06/30/2014		
Progress Report Due Date:	05/15/2013		
Current Award Notice Date:			
Application Source:	RPPR		
Project Period Begin Date:	07/20/2012		
Project Period End Date:	06/30/2014		
eApplication Status:			
FOA:	[PA00-123] - Biomarkers for Early Detection		
NIH Appl. ID:	1234567		

Status History		Institute or Center Assignment	
Effective Date	Status Message	Institute or Center	Assignment Date
		CHILD HEALTH AND DEVELOPMENT (Primary)	07/20/2012

Application Information		Study Section		Advisory Council(AC) Information	
Award Document Number:	RHD123456A	Scientific Review Group:	ABCD		
FSR Accepted Code:	N	Council Meeting Date(YYYMM):	2013/00		
Snap Indicator Code:	Y				
Impact Score:					
Percentile:					
Early Stage Investigator Eligible:					
New Investigator Eligible:					
Eligible for FFATA Reporting:	Yes				

Reference Letter(s)
This list shows Reference Letters associated with this particular Grant Application. Principal investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons

Contacts			
Administration	Name	Phone	Email
Grants Management Specialist(GMS)	Franklin, Benjamin	301-555-1234	Franklin@email.com
Program Officer(PO)	Ross, Betsy	301-555-4567	Ross@email.com

[Close](#)

The Progress Report Additional Materials file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of Agency Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.

The screenshot shows a PDF viewer interface. On the left, a 'Bookmarks' sidebar contains two entries circled in red: 'Additional Materials requested by IC 2013-04-13 14:57:02.0' with sub-items 'Sample Document.pdf' and 'Sample2 Doc.pdf', and 'Additional Materials requested by IC 2013-04-09 15:10:04.0' with sub-item 'Sample3.pdf'. The main PDF content displays a table titled 'Grants Management Progress Report Additional Materials' with the following data:

Grant Number:	5K23HD123456-03
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
PRAM submitted on:	2013-04-08 14:57:02.0
File Uploaded:	Sample Document.pdf
File Uploaded:	Sample2 Doc.pdf

14 Internet Assisted Review (IAR)

Internet Assisted Review (IAR) is an Electronic Research Administration (eRA) module used in tandem with the Peer Review module to help expedite the scientific review of grant applications by providing a standard process for Reviewers to submit their critiques, preliminary scores, and final scores and to view grant applications and related meeting materials via Commons. IAR also has the ability to enable Reviewers to view the critiques of others before the actual meeting (unless conflicts of interest exist). As a result, review meetings can contain more informed discussions.

If you hold the IAR role - and you are enabled for review meeting(s) - you can access the features included in the module.

IAR has its own online help system for Reviewers. If you hold an IAR role, you can access the IAR online help system for Reviewers by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link: http://era.nih.gov/erahelp/IAR_Rev.

NOTE: Currently, the IAR online help is geared towards Reviewers and is only available from the screens accessible by users with IAR roles. An IAR online help system for SROs is planned for the future.

15 xTrain

The xTrain module provides external and internal users with online capabilities for working with trainee appointments and the termination notices of trainees and fellows.

If you hold one of the following roles, you can access xTrain and its features:

- TRAINEE
- PI
- SO
- BO
- SPONSOR
- ASST (when delegated by SPONSOR or PI)

xTrain has its own online help system. You can access the xTrain online help by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link <http://era.nih.gov/erahelp/xTrain>.

Policy: [Ruth L Kirschstein National Research Service Awards](#)

Policy: [Reporting and Assurance Requirements for Institutions Receiving Awards for Training of Graduate Students for Doctoral Degree](#)

16 Administrative Supplement Request

The Administrative Supplements module in eRA Commons allows authorized staff at extramural grantee institutions to initiate and submit an electronic request for additional funds within the scope of the approved project.

The following features are available:

- Initiate, edit, delete and route an Administrative Supplement request
- View an Administrative Supplement request
- View routing history

For more information, refer to the Administrative Supplements topic of the Commons Online Help System (<http://era.nih.gov/erahelp/commons/>) or the *eRA Commons Administrative Supplement Module User Guide* (http://era.nih.gov/files/eRA_Commons_Admin-Supp_UG.pdf).

17 Change of Institution Overview

The Commons Change of Institution process allows the extramural grantee institution to submit an electronic version of a Relinquishing Statement (RS) to the Grants Management community for processing and allows the other grantee institution that is proposed to take over the relinquished grant to access the submitted RS.

The institution holding the grant must complete a Relinquishing Statement through eRA Commons that states it is giving up the grant and identifies the receiving institution. The receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed at https://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for an NIH Guide Notice.

NOTE: This functionality only applies to NIH grants. This is an open pilot. This means that either the electronic process documented here can be used or the traditional paper process can be used.

17.1 Features

The Commons system has the following features to accommodate a Change of Institution:

- Create, view, update, save, submit, and route the RS via the Commons Status screen
- Create RS in PDF format upon submitting the RS to the Agency
- Event generated and time sensitive eMail Notifications to appropriate users

17.2 Users

The following users are involved in the Change of Institution process.

1. Signing Official (SO)
 - a. The original institution's SO can perform the following RS functions: Start a new one, View, Edit, Save, Route, Cancel, Delete and Submit RS to Agency.
 - b. The receiving institution's SO can perform the following functions: View RS
2. Project Director/Principal Investigator (PD/PI)
 - a. The original institution's PD/PI can perform the following RS functions: View, Edit, Save, Cancel changes, and Route the RS to the SO for submitting to the Agency.
3. NIH Internal User
 - a. The internal user can perform the following RS functions: View, Save, Cancel changes, and Link the RS.
4. Grants Management Official (GMO) or Grants Management Specialist (GMS)
 - a. The GMO or GMS can perform the following RS functions: View, Receive, and Return the RS.

17.3 Business Rules

17.3.1 Eligible Grants

All awarded and active grants are eligible to be relinquished except for the ones with the following statuses:

- 02 – Withdrawn
- 21 – Ineligible organization - application withdrawn
- 30 – Withdrawn by Institute/Center (IC)
- 34 – Administratively withdrawn by IC prior to review or council

Subprojects, Institutional Allowances, and Supplements are excluded from being eligible.

RS(s) may be submitted for any activity code.

17.3.2 Access to Relinquishing Statements

Only users with the SO authority at the grantee institution can access the Change of Institution option on the Commons Status screen.

The RS can be accessed only by the SO for grant applications from their grantee institution eligible for transfer.

Only the SO for the grantee institution has the authority to submit the RS to the Agency.

The RS can be accessed by the PD/PI for grantee applications where the PD/PI role is the current reviewer of the RS.

The internal user is able to access the RS in Submitted or Accepted for Consideration status and is able to update the New Institution Name, IPF code and DUNS number of the new institution to which a grant is relinquished.

17.3.3 Relinquishing Statement Reviewers

If the SO initiated the RS and routed it to the PD/PI, then the PD/PI can review, edit specific fields, save and route the RS back to the SO.

Any SO at the grantee institution is able to create, review, edit, save, route, and submit the RS.

17.3.4 Relinquishing Statement Routing Order

The next reviewer in the list of valid next reviewers is always the contact PD/PI on the application. The current user is not shown in the list of valid next reviewers on the RS. If SO is the current reviewer, then the contact PD/PI is the next reviewer by default.

If the PD/PI is the current reviewer, the SO who initiated the RS is the first and default entry in the list on the RS. All other users with the SO role appear alphabetically by last name after the first

entry. The information displayed for each valid next reviewer is as follows: Name (LAST, FIRST).

If the SO routes the RS to the PD/PI, the Route to Next Reviewer screen is named: Route to PD/PI.

If the PD/PI routes the RS to the SO, the Route to Next Reviewer screen is named: Route to SO.

The RS can be routed back and forth between the SO and the PD/PI for an unlimited number of times.

17.3.5 Validation

PD/PI verification is not required. The SO is able to submit the RS without routing it to the PD/PI.

The PD/PI has edit capability only for the New Institution Name information and Contact information in the new Institution Section of the RS.

Saving the RS does not execute any validations. The RS is validated upon submitting it to the Agency. The exception is that new Institution data is validated upon routing the RS by the PD/PI to the SO.

The RS cannot be submitted to the Agency with validation errors, but the RS can be submitted to Agency with validation warnings.

RS(s) submitted for pre-award are not validated for the costs relinquished. They can be zero or the original application's requested funds amounts.

17.3.6 Other Rules

The system allows multiple RS submissions. The SO is able to submit a new RS only if no RS has been submitted or if the existing RS(s) have been acknowledged (Accepted for Consideration or Refused status) by the Grants Management Specialist (GMS) user.

The RS can be deleted by the SO from the relinquishing institution if it is in the SO Work In Progress (WIP) state and has never been submitted to the Agency.

All submitted and accepted versions of the RS(s) are visible to the receiving institution.

Grant applications for the new institution should be submitted within thirty days after the Relinquishing Statement is submitted from the former institution.

The Relinquishing Statement should be submitted within thirty days of the grant application for the new institution.

17.4 Relinquishing SO Responsibilities

17.4.1 Start or Edit a Relinquishing Statement

The Change of Institution process is initiated by the Signing Official for the original grantee institution that has agreed to relinquish responsibility for an active grant. This must occur before the expiration of the approved project period.

1. On the *Commons Status* screen, click on the **Change of Institution** link.

The screenshot shows the eRA Commons Status page. At the top, there is a navigation bar with links: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, eRA Partners, and Help. The user is logged in as 'UNIVERSITY OF CALIFORNIA SAN DIEGO' with authority 'SO'. A sidebar on the left contains several links: General Search, Just in Time, Pending Progress Report, Recently Awarded, Recent Pending eSubmissions, Closeout, and Change of Institution (which is circled in red). The main content area features a 'General Search' form with the following fields: Grant Number (with sub-fields for Type, Activity Code, Institution Code, Serial Num., Support Yr., and Suffix), Accession Number, Grants.gov Tracking #, PI Name (Last and First), Application Status (dropdown menu), Budget Start Date (From: 02/03/2010 To: 08/03/2011), Budget End Date (From: To:), and Organization Hierarchy (School, Division, Department). Search and Clear buttons are at the bottom of the form.

The system displays the *Status – Change of Institution* search options.

2. To find the grant to relinquish, complete at minimum the required fields: **Institution Code** and **Serial Num.**

NOTE: The required fields are noted by an asterisk.

- Click the **Search** button.

The screenshot shows the eRA Commons interface. The top navigation bar includes 'Home', 'Admin', 'Institution Profile', 'Personal Profile', 'Status', 'eSNAP', 'xTrain', 'Links', 'eRA Partners', and 'Help'. The 'Status' page has a sidebar with links: 'General Search', 'Just In Time', 'Pending Progress Report', 'Recently Awarded', 'Recent Pending Submissions', and 'Change of Institution' (highlighted with a red circle). The main content area contains two search forms. The first is 'Search for Grants' with fields for Grant Number, Type, Activity Code, Institution Code (highlighted with a red circle), Serial Num., Support Yr., and Suffix. Below these are fields for PI Name (Last and First) and a 'Search' button (highlighted with a red circle) and a 'Clear' button. The second form is 'Search for Relinquishing Statements' with similar fields and 'Search' and 'Clear' buttons.

The system displays the search results on the *Status Result – Change of Institution* screen.

NOTE: The RS functionality is not available from other Status search result's screens.

- After the grant to be relinquished is found, click on the **Manage Relinquishing Statement** link on the *Status Result – Change of Institution* screen.

The screenshot shows the 'Status Result - Change of Institution' screen. It features a table with the following columns: Application ID, Proposal Title, PI/PI Name, Budget Start Date, Budget End Date, and Action. The first row of data is: Application ID: ER01MH 123456-11, Proposal Title: Principles of Behavior Change: Choice and Content, PI/PI Name: FANTINO, SAM, Budget Start Date: 07/01/2010, Budget End Date: 06/30/2011, and Action: Manage Relinquishing Statement (highlighted with a red circle). Below the table are buttons for 'Export to Excel', 'Show Query', and 'Print History'.

The system displays the *Manage Relinquishing Statement* screen.

If the award is in a no cost extension or within three months of the project period end date, the following informational pop-up message appears:

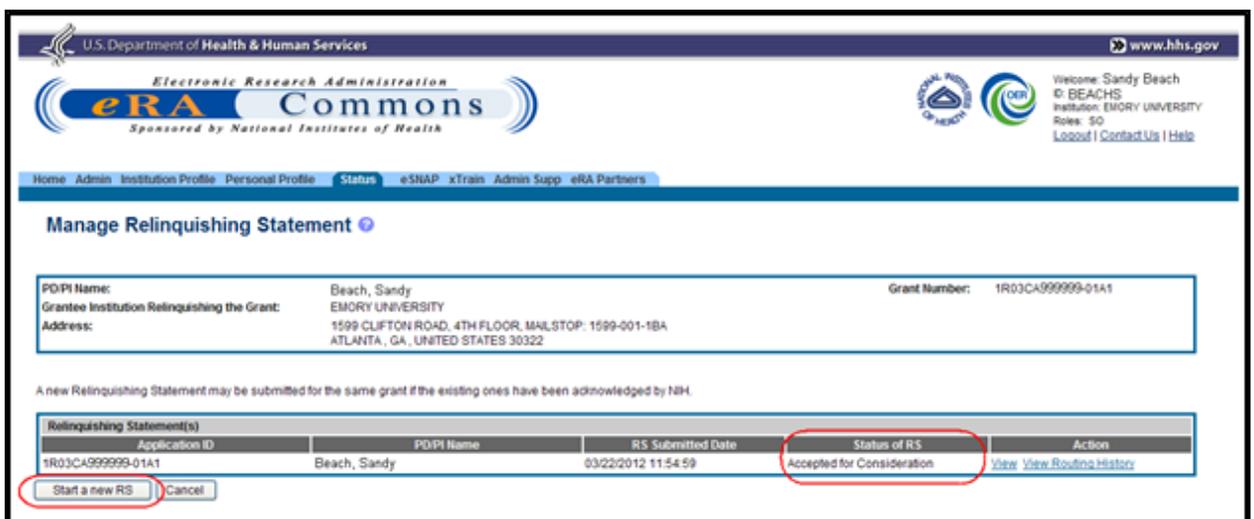
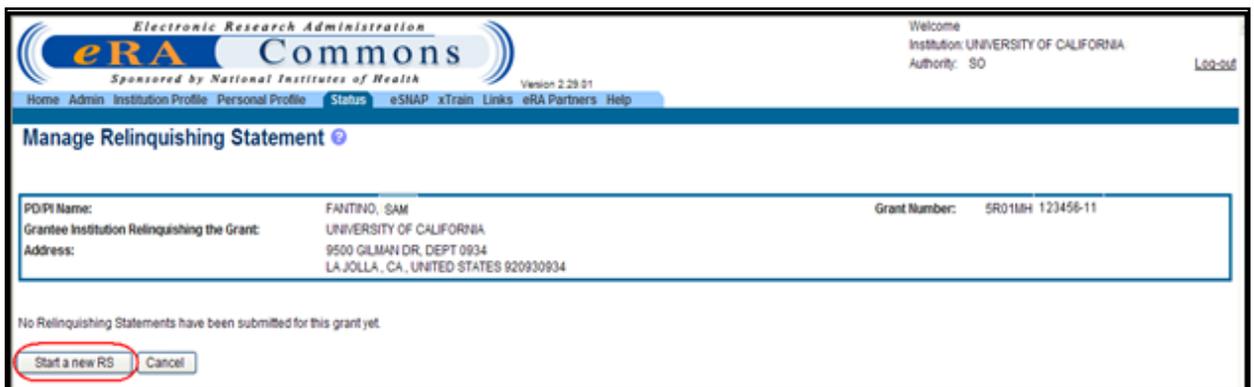
You have selected an award in a no-cost extension/within three months of the project period end date. NIH Institutes & Centers (ICs) policies may limit change of grantee organization requests based on the amount of time

remaining on the award. Please contact the awarding IC to determine IC policy.

If this pop-up message screen appears, click the **OK** button to proceed to the *Manage Relinquishing Statement* screen.

5. To start a new RS: Click the **Start a new RS** button.

NOTE: If an RS has already been submitted, a new RS cannot be submitted unless the prior RS(s) shows a status of *Accepted for Consideration* or *Refused*.



6. To edit a RS that is in progress: Click the **Edit** link.

NOTE: To edit an RS, the RS's status must be SO Work in Progress (WIP) or Returned.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health

Welcome
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: SO

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Version 2.30.01

Manage Relinquishing Statement

POPI Name: FANT, SAMUEL Grant Number: SR01MH123456-13
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

Application ID	POPI Name	R/S Submitted Date	Status of RS	Action
SR01MH123456-13	FANT, SAMUEL		SO Work in Progress	Edit Delete View Routing History

Cancel

When either the **Start a new RS** button or **Edit** link is selected, the system displays the *Relinquishing Statement* screen.

Electronic Research Administration
eRA Commons
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Welcome
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: SO

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Version 2.30.01

Relinquishing Statement

POPI Name: FANTINO, SAM Grant Number: SR01MH123456-13
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

New Institution Name: [Search](#)
 The institution where POPI has expressed a desire to continue his/her research

DUNS Number:
 IPF Code:
 Contact Email at the Institution:
 Requested Termination Date (MMDDYYYY):
 The date the grant will be terminated at the current institution

Equipment Transferring with the Project

Equipment Costing \$5000 or More Transferring with the project (Itemize):
 Limit to 2000 characters

Unexpended Balance - Estimated

That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
 The unexpended balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$:
 Indirect Cost, \$:
 Total, \$:

Save Cancel
 Route to PI Submit

7. Complete or edit the RS Form as follows:

NOTE: The required fields are noted by an asterisk. The following fields are required: **New Institution Name**, **Contact Email at the Institution**, **Requested Termination Date (MMDDYYYY)**, and **Direct Cost \$**.

- a. Click the **Search** button in the **New Institution Name** section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the topic titled *Search for Institution on Page 340*.
- b. Complete the remaining fields: **Contact Email at the Institution**, **Requested Termination Date (MMDDYYYY)**, **Direct Cost \$**, and **Indirect Cost \$**.
- c. Type, NONE, in the **Equipment Transferring with the Project** section if there is no equipment to be transferred.

8. To save the RS, click the **Save** button.

The system displays the RS Form on the *Relinquishing Statement* screen and sets its status to *SO Work in Progress*.

17.4.2 Search for Institution

When the **Search** button is clicked for the **New Institution Name:** field on the *Manage Relinquishing Statement* screen, the system displays the *New Institution – Search* screen.

The screenshot displays the 'New Institution - Search' interface. At the top, the eRA Commons logo and navigation menu are visible. The main content area includes a search form with the following elements:

- A message: "At least one search criteria is required."
- Input fields for "Institution Name" (containing "keuka"), "IPF Number", and "DUNS Number".
- A "Search" button circled in red.
- A table titled "To select the Institution - click on IPF number." with the following data:

Organization	IPF Code	DUNS Number	Location
KEUKA COLLEGE	4256001		KEUKA PARK, NY, 14478
- A message: "If the required institution has not been found - type the institution name in the box provided below and insert into Relinquishing Statement form."
- An input field for "New Institution Name" circled in red.
- "Insert" and "Cancel" buttons circled in red.

To search for an institution:

1. Type in the receiving institution's name, IPF or DUNS number and click the **Search** button.



New Institution - Search ?

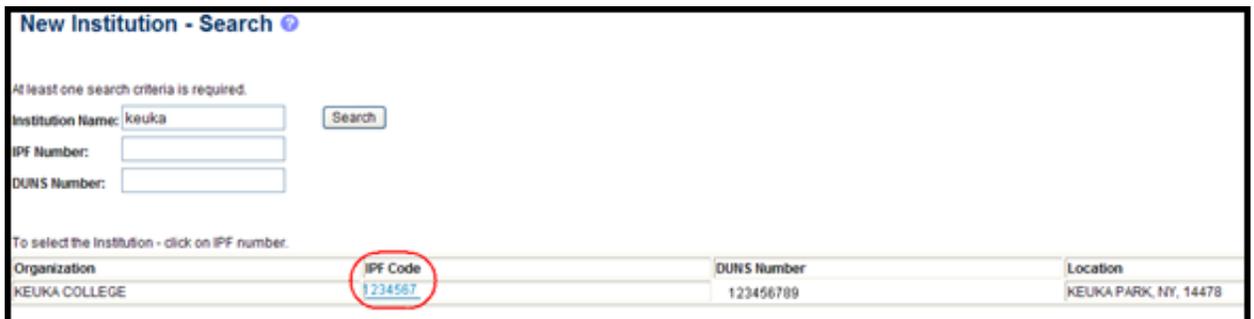
At least one search criteria is required.

Institution Name: keuka

IPF Number:

DUNS Number:

2. If the receiving institution is found, click on the receiving institution's **IPF Code**.



New Institution - Search ?

At least one search criteria is required.

Institution Name: keuka

IPF Number:

DUNS Number:

To select the Institution - click on IPF number.

Organization	IPF Code	DUNS Number	Location
KEUKA COLLEGE	1234567	123456709	KEUKA PARK, NY, 14478

The system inserts the receiving institution's name, DUNS number and IPF Code in the appropriate text boxes on the *Relinquishing Statement* screen.

If a new institution is registered with the eRA Commons, it is highly recommended to choose it from the search results. DUNS Number and IPF code are pre-populated from the institutional profile file.

The IPF Code is used to link the submitted RS to the receiving institution and to make it viewable for SO at the receiving institution.

3. If the receiving institution is not found, type the receiving institution's name in the **New Institution Name** text box and click the **Insert** button.

New Institution - Search ?

At least one search criteria is required.

Institution Name: Search

IPF Number:

DUNS Number:

If the required Institution has not been found - type the Institution name in the box provided below and insert into Relinquishing Statement form.

New Institution Name:

The system inserts the new receiving institution’s name in the appropriate text box on the *Manage Relinquishing Statement* screen.

NOTE: If the receiving institution is not registered in the NIH eRA Commons (IPF Code is not provided), it may not be able to view the relinquishing statement until it is registered in the eRA Commons. The New Institution needs to register in the eRA Commons and contact the eRA Service Desk for assistance in linking the relinquishing statement to the new institution account.

17.4.3 Delete a Relinquishing Statement

The RS may be deleted if the RS is in *SO Work in Progress* state and has *never* been submitted to the Agency.

1. To delete an RS, click the **Delete** link on the *Manage Relinquishing Statement* screen.

Electronic Research Administration
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Welcome
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: SO Log-out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement ?

POPI Name: SHORTS, JIM Grant Number: 5R01MH23456-13
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

Relinquishing Statement(s)	Application ID	POPI Name	RS Submitted Date	Status of RS	Action
	5R01MH23456-13	SHORTS, JIM		SO Work in Progress	Edit Delete View Routine History

The system displays the RS in a non-editable form and the following message appears on the *Delete Relinquishing Statement* screen:

Please confirm that you would like to delete the following relinquishing statement.

If you no longer wish to delete the RS, you may abort the action by selecting the **Cancel** button.

2. Click the Delete button on the Delete Relinquishing Statement screen to delete the RS.

Delete Relinquishing Statement

Please confirm that you would like to delete the following relinquishing statement.

PDI Name:	FANT, SAMUEL	Grant Number:	5R01MH123456-13
Grantee Institution Relinquishing the Grant:	UNIVERSITY OF CALIFORNIA		
Address:	9500 GILMAN DR, DEPT 0934 LA JOLLA, CA, UNITED STATES 920930934		

New Institution Name: * KEUKA COLLEGE
The Institution where PDI has expressed a desire to continue his/her research

DUWS Number:

IPF Code: 4256001

Contact Email at the Institution: *

Requested Termination Date (MM/DD/YYYY): *
The date the grant will be terminated at the current Institution

Equipment Transferring with the Project

Equipment Costing \$5000 or More Transferring with the project (Itemize):
Limit to 2000 characters

Unexpected Balance - Estimated

That portion of the estimated unexpected balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited. The unexpected balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$: 131085.0 Total, \$: 202526.0
Indirect Cost, \$: 71441.0

Delete Cancel

If the **Delete** button is clicked, the system deletes all data associated with the RS and returns to the *Manage Relinquishing Statement* screen.

17.4.4 Route to PD/PI

SOs can route the relinquishing statement to the PD/PI for if necessary.

To route the RS to the appropriate PD/PI:

1. Click the **Route to PI** button on the bottom of the *Relinquishing Statement* screen.

The *Route Relinquishing Statement* screen appears. The **Next Reviewer** field displays the contact PD/PI.

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Route Relinquishing Statement

PI/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-11
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

Next Reviewer: FANTINO, SAM
Comments:

Route to PI Cancel

2. *Optional*: Enter comments as necessary.
3. Select the **Route to PI** button.

The system displays *Route Relinquishing Statement* screen with the confirmation message and sends an email notification to the PD/PI regarding the RS. For more information please refer to the section titled [eMail Notifications](#).

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Institution: UNIVERSITY OF CALIFORNIA
Authority: SO

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Route Relinquishing Statement

The relinquishing statement was routed to FANTINO, SAM

OK

4. Click the **OK** button to go back to the *Manage Relinquishing Statement* screen.

The system returns to the *Manage Relinquishing Statement* screen.

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 Welcome
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: SO
 Log-out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement

PD/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-11
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

Relinquishing Statement(s)					
Application ID	PD/PI Name	R.S. Submitted Date	Status of RS	Action	
5R01MH 123456-11	FANTINO, SAM		PD/PI Work in Progress	View	View Routing History

[Cancel](#)

The **Status of RS** field displays *PD/PI Work in Progress*. If the routing process was canceled (**Cancel** button) before completion, the **Status of RS** field displays *SO Work in Progress*.

17.4.5 Submit a Relinquishing Statement

Only an institution's Signing Official can submit a Relinquishing Statement to the Agency.

To submit the Relinquishing Statement:

1. Click the **Submit** button on the *Relinquishing Statement* screen.

The screenshot displays the 'Relinquishing Statement' form in the eRA Commons system. The header includes the eRA Commons logo and navigation links. The form contains the following information:

- Header:** Electronic Research Administration, eRA Commons, Sponsored by National Institutes of Health, Version 2.29.01. Welcome Institution: UNIVERSITY OF CALIFORNIA, Authority: SO, Log-out.
- Navigation:** Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, eRA Partners, Help.
- Title:** Relinquishing Statement
- Form Fields:**
 - PDI Name: SEMPLE, MARY
 - Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA SAN DIEGO
 - Address: 9500 GILMAN DR, DEPT 0934, LA JOLLA, CA, UNITED STATES 920930934
 - Grant Number: 5R01MH 123456-11
 - New Institution Name: COLLEGES OF THE SENECA, DBA HOBART AND WILLIAM SMITH CO (with Search button)
 - DUNS Number: 079680203
 - IPI Code: 3368701
 - Contact Email at the Institution: shortsjin@hws.edu
 - Requested Termination Date (MMDDYYYY): 03/01/2011
 - Equipment Transferring with the Project: (Empty text area)
 - Unexpected Balance - Estimated:
 - Direct Cost, \$: 378529.00
 - Indirect Cost, \$: 206353.00
 - Total, \$: 584882.00
- Buttons:** Save, Cancel, Route to PI, Submit (circled in red).

NOTE: The institution name and contact information are required at the time of submission to the Agency.

The system displays the *Submit Relinquishing Statement to NIH* screen. The Certification Acceptance Statement is displayed and reads as follows:

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:

In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of [Requested Termination Date] and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.

That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited

I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief, and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

2. Click the **I Agree** button to submit the RS or click the **Cancel** button to exit the screen.

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Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

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Submit Relinquishing Statement to NIH

PD/PI Name: KELSOE, JEFFERY Grant Number: 2R01MH123456-11
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR. DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE
In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this institution, this is to signify our willingness to terminate this grant as of 05/01/2011 and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project. That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited. I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief, and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

If the **Cancel** button is clicked, the following screen message appears:

This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.

If the **Cancel** button is clicked, the following screen message appears:

This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.

When the **I Agree** button is clicked, the system displays the *Manage Relinquishing Statement* screen with the following message:

The Relinquishing Statement has been submitted to NIH.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health
 Version 2.29.01
 Welcome
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: SO
 Log out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement
 The relinquishing statement has been submitted to NIH

PD/PI Name: SEMPLE, MARY Grant Number: 5R01MH 123456-11
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA SAN DIEGO
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

Relinquishing Statement(s)					
Application ID	PD/PI Name	R/S Submitted Date	Status of R/S	Action	
5R01MH	SEMPLE, MARY	02/18/2011	Submitted to Agency	View	View Routing History

Cancel

The system also creates the RS PDF file. If the system takes from thirty seconds to two minutes to generate the RS, then the system displays an informational message.

The next reviewer is internal NIH user.

The system returns to the *Manage Relinquishing Statement* screen. The **Status of RS** field displays *Submitted to Agency*.

For post-awarded and post-review applications, email notifications are sent to; the centralized IC mailbox; the currently assigned GMS; and the PO. For pre-review applications, email notifications are sent to; the Division of Receipt and Referral (DRR); the SRO, if assigned; and the receiving institution contact email provided on the RS electronic form. For more information please refer to the section titled [eMail Notifications](#).

- To **View** the RS or **View Routing History**, click the appropriate link. Please refer to the topics titled [Signing Official Search/View Relinquishing Statement on Page 353](#) or [PD/PI Search/View Relinquishing Statement on Page 360](#) for more information.

17.5 Program Director/Principal Investigator Responsibilities

If the Relinquishing Statement is routed to a PD/PI, the RS may be edited and routed back to the SO at the relinquishing institution. The PD/PI may edit only the institution information and contact email address.

17.5.1 Edit Relinquishing Statement

Perform the following steps to find and edit a Relinquishing Statement:

- Find the appropriate grant on the *Status Result – List of Applications* screen and click the **Relinquishing Statement** link.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health
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Welcome EFAN
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: IAR PI Logout

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review xTran Links eRA Partners Help
 Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status Result - List of Applications/Grants

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 100 and 300 if no percentile is provided. Please await instructions from the NIH on whether to complete this information. Furthermore, there is a system problem with the Commons, which shows the JIT link for NRSA applications (Fellowships and Training applications). Please do not complete the JIT information for these types of applications. Finally, JIT requires a Signing Official (SO) at your institution to send the request to the NIH. As a Principal Investigator, you are able to save this information. However, you must notify an individual with SO rights to forward the information to the NIH. Thank you for your cooperation.
 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	PDI Name	eSubmission Status	Current Application Status	Status Date	Action
SRD1MH123456-05		Nonoptimal and counterintuitive choice	FANTINO, SAM		Awarded - Non-fellowships only	07/16/2002	
SRD1MH123456-12		Principles of Behavior Change: Choice and Context	FANTINO, SAM	Submission Complete	Awarded - Non-fellowships only	07/30/2009	
SRD1MH123456-04		Nonoptimal and counterintuitive choice	FANTINO, SAM		Awarded - Non-fellowships only	09/18/2001	
SRD1MH123456-13		Principles of Behavior Change: Choice and Context	FANTINO, SAM	Submission Complete	Awarded - Non-fellowships only	06/29/2010	Relinquishing Statement
SRD1MH123456-11		Principles of Behavior Change: Choice and Context	FANTINO, SAM	Submission Complete	Awarded - Non-fellowships only	06/24/2008	
SRD1MH123456-08		Nonoptimal and counterintuitive choice	FANTINO, SAM	Submission Complete	Awarded - Non-fellowships only	06/27/2005	
SRD1MH123456-06		Nonoptimal and counterintuitive choice	FANTINO, SAM		Awarded - Non-fellowships only	07/16/2003	
SRD1MH123456-02		NONOPTIMAL AND COUNTERINTUITIVE CHOICE	FANTINO, SAM		Awarded - Non-fellowships only		
SRD1MH123456-09		Principles of Behavior Change: Choice and Context	FANTINO, SAM	Pending Verification	Awarded - Non-fellowships only	05/05/2006	
SRD1MH123456-03		NONOPTIMAL AND COUNTERINTUITIVE CHOICE	FANTINO, SAM		Awarded - Non-fellowships only	06/27/2000	
SRD1MH123456-07		Nonoptimal and counterintuitive choice	FANTINO, SAM		Awarded - Non-fellowships only	06/29/2004	
SRD1MH123456-10		Principles of Behavior Change: Choice and Context	FANTINO, SAM	Submission Complete	Awarded - Non-fellowships only	06/26/2007	

Export to Excel Show Query Print History

NOTE: If there are multiple PIs for a grant, the letters MPI appear to the right of the Application ID.

The system displays the *Relinquishing Statement* screen.

- If necessary:* To add or change the institution information on the RS form, click the **Search** button in the **New Institution Name** section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the [Search for Institution](#) topic.

The system inserts the new receiving institution's name in the appropriate text box on the *Manage Relinquishing Statement* screen.

Electronic Research Administration
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Welcome Institution: UNIVERSITY OF CALIFORNIA
 Authority: PI Logout

Version 2.30.01
[Home](#) [Admin](#) [Institution Profile](#) [Personal Profile](#) [Status](#) [eSMAP](#) [xTrain](#) [Links](#) [eRA Partners](#) [Help](#)

Relinquishing Statement

PD/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-13
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

New Institution Name:
 The institution where PD/PI has expressed a desire to continue his/her research

DUNS Number:
 IPF Code:

Contact Email at the Institution:
 Requested Termination Date (MM/DD/YYYY):
 The date the grant will be terminated at the current institution

Equipment Transferring with the Project

Equipment Costing \$5000 or More Transferring with the project (itemize):
 Limit to 2000 characters

Unexpended Balance - Estimated

That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
 The unexpended balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$: Total, \$:
 Indirect Cost, \$:

4. *If necessary*: Complete the **Contact Email at the Institution** address.

NOTE: The email address should be in the following format: user_name@domain_name.com.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health

Welcome EFAN
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: IAR PI Log-out

Version 2.29.01
 Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review xTrain Links eRA Partners Help

Relinquishing Statement

PI/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-13
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

New Institution Name: *
 The institution where PI/PI has expressed a desire to continue his/her research: KEUKA COLLEGE Search
 DUNS Number:
 IPF Code: 4256001
 Contact Email at the Institution: * shotsajm@keuka.edu
 Requested Termination Date (MMDDYYYY): *
 The date the grant will be terminated at the current institution:

Equipment Transferring with the Project

Equipment Costing \$5000 or More Transferring with the project (Itemize):
 Limit to 2000 characters

Unexpected Balance - Estimated

That portion of the estimated unexpected balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
 The unexpected balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$: 131085.0 Total, \$:
 Indirect Cost, \$: 71661.0

Save Cancel
 Route to SO

If the email address is not entered, an error message is produced. For more information please refer to the section titled [Error Messages](#).

5. Perform one of the following on the *Relinquishing Statement* screen:
 - a. To save the edits to the RS, click the **Save** button.
 - b. To cancel editing the RS, click the **Cancel** button.

17.5.2 Route Relinquishing Statement to SO

After the appropriate edits have been made to the RS, the RS is routed back to the SO for submission to the Agency. To route the RS back to the SO:

1. Select the **Route to SO** button on the *Relinquishing Statement* screen.

If the new institution name has not been provided, then the following warning message is displayed:

The New Institution Name has not been provided. This information will be required at time of submission to agency.

If the new institution's name is not blank, the new institution's IPF number has to be provided. If the IPF number is not provided, then the following warning message is displayed:

You have selected an institution not registered in the NIH eRA Commons. Please verify the institution information. The new institution may not receive notification and will not be able to view the relinquishing statement until it is registered in the NIH Commons. The New Institution will need to register in the eRA Commons and contact the eRA Service Desk to access the relinquishing statement.

The system displays the *Route Relinquishing Statement* screen. The **Next Reviewer** is the relinquishing SO. If there is multiple SOs at the relinquishing institution, the **Next Reviewer** drop down menu can be used to select the appropriate SO to route the RS to that person. The names are displayed as last name, first name.

2. Click on the **Route to SO** button to route the RS to the SO.

If you wish to abort the action, selecting the **Cancel** button to return to the *Relinquishing Statement* screen.

The screenshot displays the 'Route Relinquishing Statement' interface. At the top, the 'eRA Commons' logo is visible, along with the text 'Electronic Research Administration' and 'Sponsored by National Institutes of Health'. The user is logged in as 'Welcome EFAI' from 'UNIVERSITY OF CALIFORNIA' with 'Authority: IWR PI'. The page title is 'Route Relinquishing Statement'. The form contains the following information:

- PDR Name: FANTKE SAM
- Grant Number: 5R01MH123456-13
- Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA SAN DIEGO
- Address: 9500 GILMAN DR, DEPT 0934, LA JOLLA, CA, UNITED STATES 920930934
- Next Reviewer: KHAZMUTDINOVA MARY (selected from a dropdown menu)
- Comments: (empty text area)

At the bottom of the form, there are two buttons: 'Route to SO' and 'Cancel', both of which are circled in red in the image.

If the **Route to SO** button is clicked, the system displays the *Route Relinquishing Statement* screen with an OK button. The following message is displayed: *The relinquishing statement was routed to <next reviewer commons user id>.*



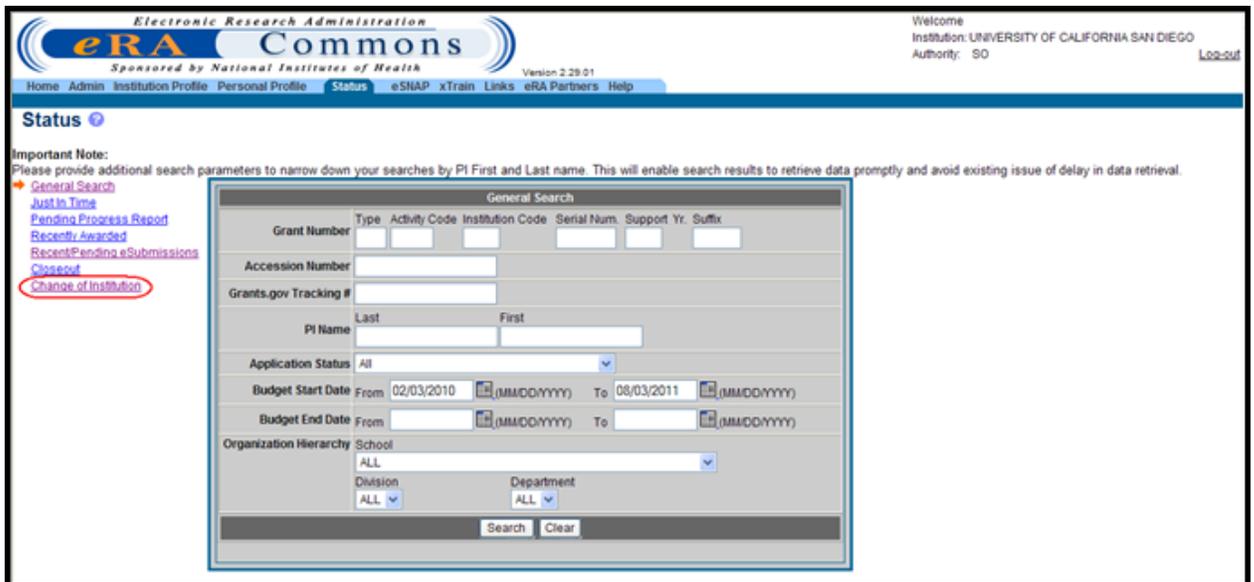
3. Click the **OK** button to complete the routing to the relinquishing SO.

An email notification is sent to the selected SO notifying that the RS has been routed back. For more information please refer to the section titled [eMail Notifications](#).

17.5.3 Signing Official Search/View Relinquishing Statement

Perform the following steps to search for a grant to relinquish or to view an RS:

1. Click the **Change of Institution** link on the *Status* screen.



The system displays the *Status – Change of Institution* screen.

The screenshot shows the eRA Commons interface. At the top, there is a navigation bar with links: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTran, Links, eRA Partners, and Help. The 'Status' link is highlighted. On the left, there is a 'Status' menu with options: General Search, Just in Time, Pending Progress Report, Recently Awarded, Recent/Pending eSubmissions, Closeout, and Change of Institution (highlighted with an orange arrow). The main content area contains two search forms. The first form is titled 'Search for Grants' and has fields for Grant Number, Type, Activity Code, Institution Code, Serial Num, Support Yr, and Suffix. Below these are fields for PI Name (Last and First) and Search/Clear buttons. The second form is titled 'Search for Relinquishing Statements' and has similar fields for Grant Number, Type, Activity Code, Institution Code, Serial Num, Support Yr, and Suffix, with Search/Clear buttons. Red circles highlight the Search buttons in both forms.

17.5.3.1 Search for a Grant to Relinquish or to View RS

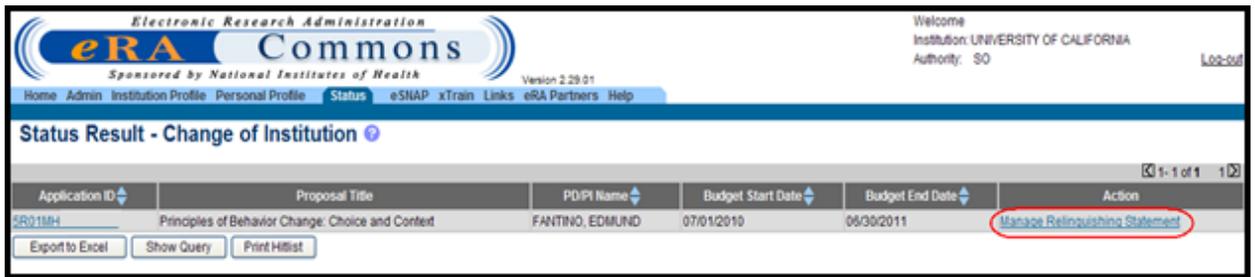
NOTE: This search is designed for the SOs at the original (relinquishing) institution. For steps on performing a search as a PD/PI, refer to the topic titled [PD/PI Search/View Relinquishing Statement on Page 360](#).

1. Enter the appropriate search criteria in the **Search for Grants** section on the *Status – Change of Institution* screen. At minimum the required fields must be populated: **Institution Code** and **Serial Num**.
2. Select the **Search** button.

This is a close-up screenshot of the 'Search for Grants' form. It shows the following fields: Grant Number, Type, Activity Code, Institution Code, Serial Num, Support Yr, and Suffix. Below these are fields for PI Name (Last and First). At the bottom are 'Search' and 'Clear' buttons. A red circle highlights the Search button.

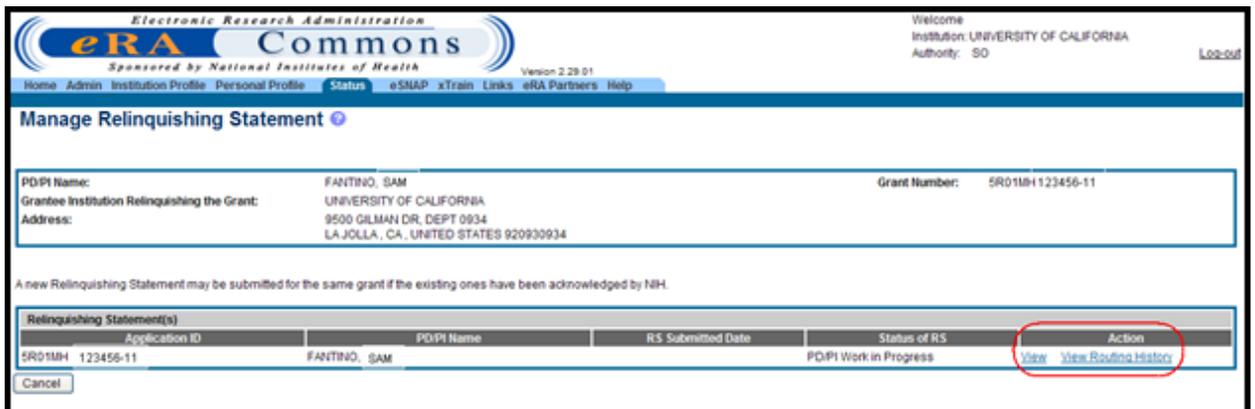
The system displays the *Status Results – Change of Institution* screen.

2. Click on the *Manage Relinquishing Statement* link.



The system displays the *Manage Relinquishing Statement* screen.

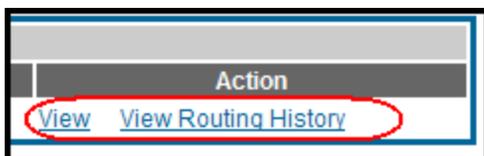
If the RS has been routed to the PD/PI by the SO or the RS has been submitted to the Agency, then the **View** and **View Routing History** links appear.



If the RS has been submitted to the Agency and returned from NIH for corrections or the RS's status is *SO Work in Progress*, then the **Edit** and **View Routing History** links appear.

NOTE: For editing the RS, refer to the section titled [Manage Relinquishing Statement](#).

3. To view the RS, click the **View** link.



If the RS has not been submitted to NIH, then the system displays the non-editable *Relinquishing Statement* screen. You can select the **Cancel** button on the *Relinquishing Statement* screen to return to the *Manage Relinquishing Statement* screen.

Relinquishing Statement

POFI Name: FAVINO, SAM Grant Number: 5R01MH 123456-11
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934 LA JOLLA, CA, UNITED STATES 920930934

New Institution Name: KEUKA COLLEGE
 The institution where POFI has expressed a desire to continue his/her research
 DUNS Number:
 IPF Code: 4256001
 Contact Email at the Institution:
 Requested Termination Date (MM/DD/YYYY):
 The date the grant will be terminated at the current institution

Equipment Transferring with the Project
 Equipment Costing \$5000 or More Transferring with the project (Itemize):
 Limit to 2000 characters

Unexpected Balance - Estimated
 That portion of the estimated unexpected balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
 The unexpected balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$: 131085.00 Total, \$: 202526.00
 Indirect Cost, \$: 71661.00

Cancel

If the RS has been submitted to NIH, then the system displays the RS in PDF format in a separate window.

Department of Health and Human Services, Public Health Service
**Official Statement Relinquishing Interests and
Rights in a Public Health Service Research Grant**

Date: **04/01/2011**

Name of Institution: **UNIVERSITY OF CALIFORNIA**

Address (city and state): **9500 GILMAN DR, DEPT 0934**

LA JOLLA, CA, UNITED STATES 920930934

Principle Investigator/Program Director: **BEACH, SANDY**

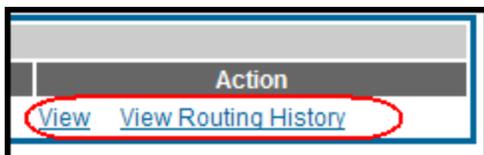
on Public Health Service grant number **5DP1OD123456-02** will resign position at this institution and has expressed a desire to continue his/her research project at the **CLARKSON UNIVERSITY**.

Contact email at the new Institution: **light.bud@clarkson.edu**

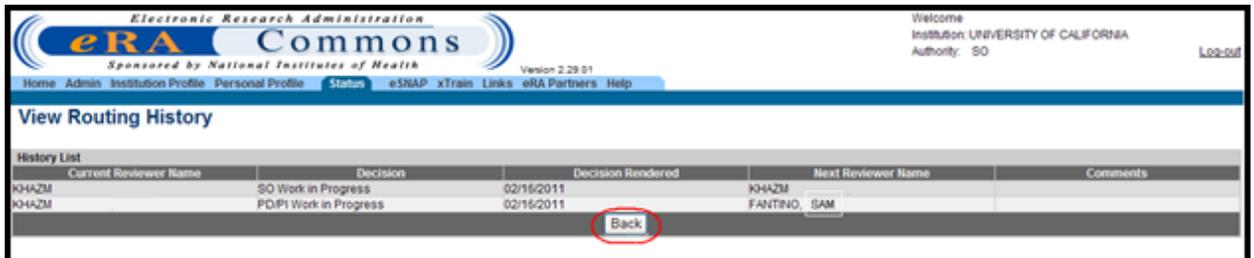
In view of the fact that we do not wish to nominate another principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of **06/01/2011** and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.

Equipment costing \$5,000 or More Transferring with the project (itemize)	Unexpended Balance - Estimated
NONE	The unexpended balance on termination date of \$95,000.00 calculated on basis of total amount awarded for the grant year, will be approximately Direct cost - \$60,000.00 Indirect cost - \$35,000.00
That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited.	
Official Authorized to Sign Application	
Signature SO BEACH, SANDY Submitted through the Commons	
Typed Name BEACH, SANDY	
Title Signing Official	

4. *Optional:* To view the RS routing history, click the **View Routing History** link.



The system displays the *View Routing History* screen. The following statuses may be seen depending on where the RS is in the process: *SO Work in Progress*, *PD/PI Work in Progress*, *Submitted to Agency*, *Returned*, *Accepted for Consideration*, *Submitted to Agency and Linked*, or *Accepted for Consideration and Linked*.



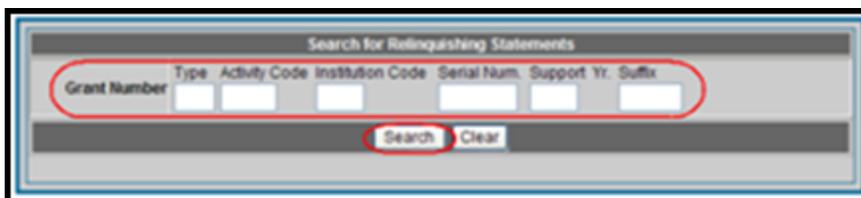
5. Click the **Back** button to return to the *Manage Relinquishing Statement* screen.

17.5.3.2 Search for Relinquishing Statements Submitted by Former Institution

SOs have the ability to search for Relinquishing Statements submitted by the former institution. This search is performed using the **Search for Relinquishing Statements** section on the *Status – Change of Institution* screen.

To search for RS submitted by the former institution:

1. Enter the appropriate grant information in the **Search for Relinquishing Statements** search fields and select the **Search** button.



If no search parameters are entered, the search returns all the RS(s) linked to the current institution by Institutional Profile File (IPF).

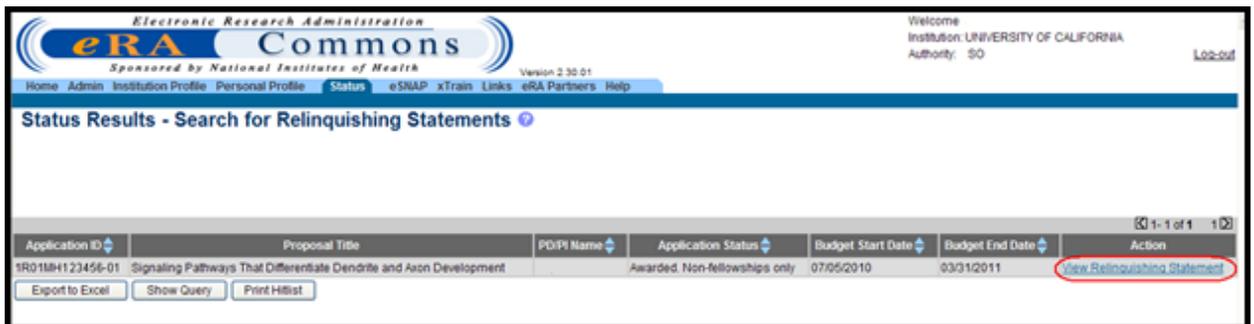
If the current institution has not been registered with Commons before the RS is submitted, the search does not return any results until the RS is updated with the IPF and/or the DUNS number.

If the system determines that no Relinquishing Statements have been linked to the receiving institution, then the following warning message appears:

No relinquishing statements have been associated with your institution. Please contact eRA Service Desk.

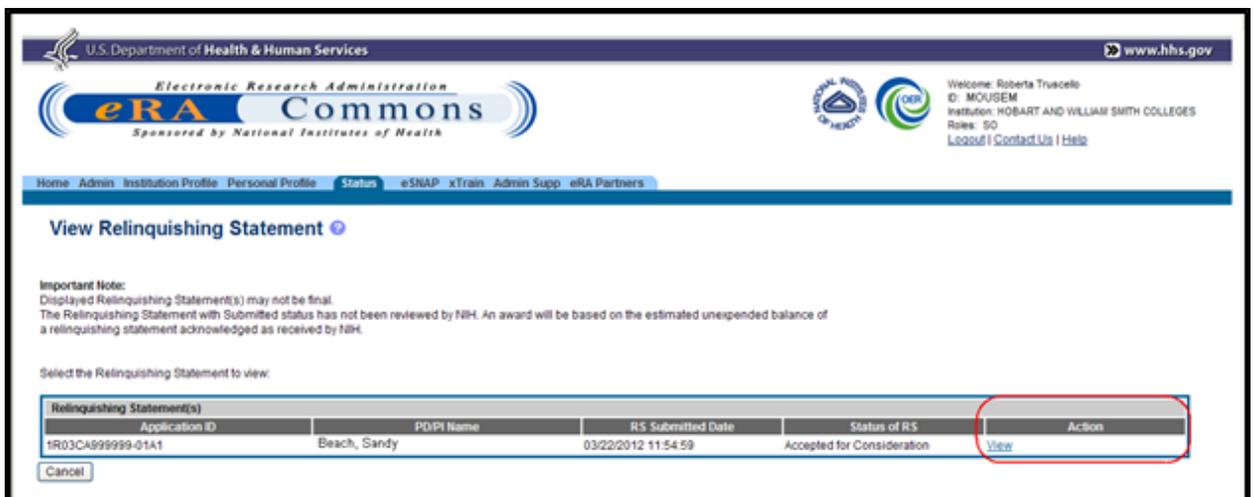
The system displays the *Status Results – Search for Relinquishing Statements* screen.

2. Click the **View Relinquishing Statement** link.



The system displays the *View Relinquishing Statement* screen. Relinquishing Statements with a status of *Accepted for Consideration* or *Submitted to Agency* are displayed.

3. Click the **View** link for the appropriate RS.



The system displays the RS in PDF format in a separate window. If the PDF file does not exist, the system displays the following message: *Document Not Found*.

4. Click the **Cancel** button to return to the *Status Result – Search for Relinquishing Statements* screen.

- Submit the application via Grants.gov using the Parent Funding Opportunity Announcement listed at https://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for the NIH Guide Notice.

17.5.4 PD/PI Search/View Relinquishing Statement

Once a Relinquishing Statement has been submitted to the Agency, it is viewable within the Commons Status Information screen.

Perform the following steps to view the submitted form.

- On the *Status Result – List of Applications/Grants* screen, click on the appropriate grant number link in the **Application ID** column.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
1R01MH073991-01		Sp4 pathway in hippocampus modulates sensorimotor gating	GEYER, MARK A		Application withdrawn for amendment	03/19/2005	
1R01MH074697-01		Stress and CRF system effects on information processing	GEYER, MARK A		Application withdrawn for amendment	07/14/2005	
3R01MH052885-13S2		Developmental Models of Gating Deficits in Schizophrenia	GEYER, MARK A		Awarded. Non-fellowships only	09/16/2009	
3R01MH052885-14		Developmental Models of Gating Deficits in Schizophrenia	GEYER, MARK A	Submission Complete	Awarded. Non-fellowships only	04/09/2010	
1R01MH073991-04		Sp4 pathway in hippocampus modulates sensorimotor gating	GEYER, MARK A	Submission Complete	Awarded. Non-fellowships only	01/15/2009	
3R01MH052885-13S1		Developmental Models of Gating Deficits in Schizophrenia	GEYER, MARK A		Awarded. Non-fellowships only	07/07/2009	
1R01MH052885-13		Developmental Models of Gating Deficits in Schizophrenia	GEYER, MARK A	Submission Complete	Awarded. Non-fellowships only	04/06/2009	

The system displays the *Status Information* screen.

- From the *Status Information* screen, click on the **Relinquishing Statement** link in the upper right hand corner.

Status Information	
General Grant Information	
Status:	Application awarded
Institution Name:	THE REGENTS OF THE UNIV. OF CALIF., UNIV. OF CALIF.
School Name:	SCHOOL OF MEDICINE
School Category:	SCHOOLS OF MEDICINE
Division Name:	NONE
Department Name:	PSYCHIATRY
PI Name:	GEYER, JEFFERY
Application ID:	5R01MH123456-14
Proposal Title:	Developmental Models of Gating Deficits in Schizophrenia
Proposal Receipt Date:	03/15/2010
Last Status Update Date:	04/09/2010
Budget Start Date:	05/01/2010
Budget End Date:	04/30/2011
Progress Report Due Date:	03/15/2010
Current Award Notice Date:	04/12/2010
Application Source:	ESnap
Project Period Begin Date:	04/01/1995
Project Period End Date:	04/30/2011
eApplication Status:	
FOA:	[PA05-054]- FUNCTIONAL LINKS BETWEEN THE IMMUNE SYSTEM
NIH Appl. ID:	1234567
Other Relevant Documents	
e-Application	
Latest NGA	
Notice(s) of Grant Award (PDF)	04/12/2010
Abstract (Awarded Grant)	
Relinquishing Statement	
Additions for Review (0 documents)	

The system displays the *Relinquishing Statements* screen.

Relinquishing Statements			
Grant Number	5 R01 MH999999-05		
PI Name(s)	BEACH, SANDY		
Project Title	Melatonin in Menopausal Depression		
Appl. Status	Application awarded.		
Institution	UNIVERSITY OF CALIFORNIA		
Appl ID	9999999		
Document Name	Status	Submitted Date	Comments for Grantee
Relinquishing Statement	Accepted for Consideration	2012-04-16 11:19:35	
Close			

- Click the **Relinquishing Statement** hyperlink to view the Relinquishing Statement PDF.

17.6 eMail Notifications

17.6.1 eMail to the New Institution Contact eMail Provided on the RS Electronic Form

Subject: eRA Commons: Relinquishing Statement for Grant <Grant Number>Submitted

To: New institution contact email provided on the RS electronic form

eMail Content: <Do not reply warning>

A relinquishing statement for NIH Grant Number <Grant Number> has been submitted electronically through eRA Commons identifying this email address as a contact for the new institution.

You may view this relinquishing statement by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). The proposed new grantee must submit a change of institution application. See the NIH Grants Policy Statement for policies regarding change of institution requests.

If your institution is not registered in the NIH eRA Commons, you will need to register in the eRA Commons and contact the eRA Help Desk for assistance in linking the relinquishing statement to your new institution account.

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.2 Confirmation eMail to PD/PI & SO from Former Institution Acknowledging NIH Receipt of RS

TO: PD/PI, SO (who actually submitted the RS)

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> Submitted

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was electronically submitted to NIH and may now be viewed in the eRA Commons on the Status Information screen.

If you logged in as PD/PI, go to Status - List of Applications/Grants and select the link associated with the Grant Number.

If you logged in as SO, you can access the Status Information page by going to Status, executing a query for the grant, and selecting the link associated with the Grant Number. Also, you can view the submitted relinquishing statement through the Manage Relinquishing Statement page.

NIH must review and acknowledge the receipt of the relinquishing statement before a change of institution can be processed.

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.3 The Relinquishing Statement Routed eMail Notification

Subject: eRA Commons: Request That You Review Relinquishing Statement for Grant <Grant Number>

To: PD/PI, SO - Individual selected by the current user as the next reviewer using the Route button

<User Last Name>, <User First Name> has completed processing the Relinquishing Statement for Grant <Grant Number>, and has forwarded it to you.

Please review the Relinquishing Statement in the NIH eRA Commons system and take the appropriate action for its eventual submission to the NIH. Please be aware that the correct new institution name and the contact email address provided on the relinquishing statement are necessary for the appropriate interactions between the awarding IC and grantee institutions involved in the process of the grant transfer.

Please use the link provided below to access the eRA Commons login screen.

The previous reviewer comments on why this action was taken are as follows: [Comments].

Footer:

If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact <http://ithelpdesk.nih.gov/eRA/> or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Please access the NIH Commons at [URL to Commons Home Page]

17.6.4 The Relinquishing Statement Returned eMail Notification

Subject: eRA Commons: Relinquishing Statement for Grant <Grant Number> has been Returned by NIH

To: SO (who submitted RS to the agency), Centralized institution mailbox.

Relinquishing Statement for grant <Grant Number> has been reviewed by NIH and routed back to you with the following comments: [Comments]

Footer:

If you have any questions about this email, please contact Grants Management Specialist <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact <http://ithelpdesk.nih.gov/eRA/> or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Please access the NIH Commons at [URL to Commons Home Page]

NOTE: <initiator_email_addr> is the Employment address.

17.6.5 The Relinquishing Statement Acknowledged by NIH eMail Notification

Subject: NIH Automated Email: Relinquishing Statement for Grant <Grant Number> Received

To: SO (who submitted RS to agency), Centralized institution mailbox, PD/PI

NIH has acknowledged the receipt of the Relinquishing Statement for grant <Grant Number>.

Footer:

If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact <http://ithelpdesk.nih.gov/eRA/> or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Please access the NIH Commons at [URL to Commons Home Page]

17.6.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User

TO: PD/PI assigned to the grant, SO who submitted the RS from the former institution, new

institution contact email provided on the RS electronic form

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> is visible to the New Institution

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was linked to the new institution by NIH and may now be viewed in the eRA Commons by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

Footer:

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.7 Change of Institution Time Based Reminders

17.6.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date)

Recipients: New institution contact email provided on the RS form

From: eRANotifications@mail.nih.gov

Subject: *NIH Automated Email: Relinquishing Statement has been submitted XX days ago*

eMail Content: <Do not reply warning>

The relinquishing statement for NIH Grant Number [GrantNumber] has been submitted electronically through eRA Commons <XX> days ago.

As the proposed new grantee, you must provide the GMO with a change of institution application prior to the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing.

If you have already submitted a paper change of institution application, you may disregard this notice.

If you do not intend to submit a change of institution application, please contact the grants management officer or the grants management specialist at the awarding IC to inform them.

If you have any questions about the change of institution request process at NIH, please contact the grants management officer or the grants management specialist at the awarding IC.

If you have any questions about this email, please contact the eRA Help Desk via the web at <https://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Thank you.

17.6.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date)

Recipients: Any SO at the Former Institution (of the Parent Grant), Former Institution centralized mailbox, PD/PI on the application

From: eRANotifications@mail.nih.gov

Subject: *NIH Automated Email: Change of Institution Electronic Request has been submitted XX days ago*

eMail Content: <Do not reply warning>

The Change of Institution request for NIH Grant Number [Parent Grant Number] has been submitted electronically through Grants.gov <XX> days ago.

The request to change the grantee institution indicates that there may be a change in status of the PD/PI which requires prior approval from the NIH. Please contact the grants management officer or the grants management specialist at the awarding IC to discuss the status of the award.

If you have already submitted a relinquishing statement on paper, you may disregard this notice.

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Thank you.

17.7 Error Messages

If the system may determine that an unexpected error occurred, then the following error message appears.

An unexpected error occurred. Please contact eRA Service Desk.

If the system determines that the required field information was not entered on the search screen, then the following error message is produced:

You must enter the following required fields to proceed<field>.

If the system determines that the grant being searched for is not found, then the following error message is produced:

No grants to relinquish have been found.

If the system determines that the new institution name has not been entered on the RS, then the following error message is produced:

New Institution Name is a required field.

If the system determines that the new institution's Email Address has not been completed on the RS, then the following error message is produced:

*Please enter data in the Email Address field (e.g. user_name@domain_name.com)
(ID: 30102).*

If the system determines that the Termination Date has not been completed on the RS, then the following error message is produced:

Termination Date is a required field. (ID: 200241)

If the system determines that the Termination Date is not within the current budget period on the RS, then the following error message is produced:

The requested Termination Date must be within the current budget period.

If the system determines that the Direct Cost field has not been completed on the RS, then the following error message is produced:

Direct Cost is a required field.

If the system determines that the Direct Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The direct costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.

If the system determines that the Indirect Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The indirect costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.

If the system determines that the total unexpended balance on the RS exceeds the amount awarded for the current budget period, then the following error message is produced:

The total costs being relinquished must not exceed the costs for the current budget period for transfers of active awards.

If the system determines that the Direct Cost, or the Indirect Cost or the Total Cost exceeds 999,999,999, then the appropriate error messages are displayed:

- *Direct Cost amount cannot exceed 999,999,999.*
- *Indirect Cost amount cannot exceed 999,999,999.*
- *Total Cost amount cannot exceed 999,999,999.*

18 FFR Module

18.1 What is FFR?

NIH has transitioned from the use of Financial Status Reports (FSRs) to Federal Financial Reports (FFRs) items 10.d. – 13.e. for the reporting of expenditure data. See guide notice NOT-OD-11-017 (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-017.html>).

A Federal Financial Report (FFR) is a statement of expenditures associated with a grant. Recipients of federal funds are required to report the status of funds for grants or assistance agreements to the sponsor of the grant using the Federal Financial Report expenditure data. The FFR module allows grantees to electronically submit a statement of expenditures associated with their grant to the sponsor of the grant via the electronic Research Administration (eRA) Commons (Commons).

18.2 Report Submission Due Dates

The FFR is prepared and submitted by Grant and Contract Accounting (GCA) on behalf of the Principal Investigator (PI). The schedule for submitting required financial reports is generally specified in the award documents of a grant or contract. [See NIH FFR Supplemental instructions.](#) Different due dates exist for FFRs depending on whether the report is an annual report or the final report.

Annual Federal Financial Report

For awards requiring annual submission of an FFR, the report must be submitted each budget period within 90 days of the calendar quarter in which the budget period ended. The reporting period for the annual FFR is the budget period for the award. The actual submission date is based on the calendar quarter (6/30, 9/30, 12/31, and 3/31).

Final Federal Financial Report

For awards requiring a final FFR, the due date and status for a final FFR are based on the Project Period End Date (PPED) as follows:

- *Pending*: If the FFR is not submitted and it is within 120 days of the PPED
- *Due*: If the FFR is not submitted and it is between the PPED and 120 days past the PPED
- *Late*: If the FFR is not submitted and it is over 120 days past the PPED

18.3 FSR Role in Commons

An extramural institution user who has the authority to view, enter, and submit an FFR on behalf of his entire organization must hold the *FSR* role in eRA Commons to access the FFR module. A institution's Signing Official (SO) or Account Administrator can add this role to a user's account.

Depending on the institution's workflow process, it is possible for the Signing Official (SO) or Business Official/Administrative Official (BO/AO) to have FSR person responsibilities. As such, these two authorities may be combined on the same account.

NOTE: An account with only the *FSR* role assigned can only perform tasks associated with FFRs; however, an account can include multiple roles, including that of *FSR*.

18.4 Features of FFR

If you have the *FSR* role in Commons, you can use the FFR module to perform multiple tasks. Available options vary depending on the status of the FFR associated with the award.

- Search for grant awards within your organization having associated FFRs
- Create a new FFR
- Edit a work in progress FFR
- View an FFR as a PDF
- Submit an FFR
- Correct a submitted FFR
- View the submission history of an FFR

NOTE: NIH requires all financial expenditure data to be submitted via eRA Commons. This includes all initial FFRs being prepared for submission and any revised FFRs being submitted or re-submitted to NIH.

IMPORTANT: With the transition of expenditure data reporting from Financial Status Reports (FSRs) to FFRs, it is possible that you may need to revise a previously submitted FSR. In this case, the revised report should also be submitted using the FSR format. eRA Commons will automatically select the correct form for you.

Uninitiated FSRs or FSRs in a *Work in Progress* status are no longer available. For these FSRs, eRA will reject the old report and institutions must create a new report using the FFR format. If you have questions on the version of the report being used or if you can no longer find your in progress report, please contact the [eRA Service Desk](#).

The Commons Online Help contains detailed information on the FFR module. You can access the FFR topics by selecting any of the help icons (?) on the FFR screens or by directly entering the following URL into your browser: https://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm. If you prefer a PDF format user guide, refer to the *Federal Financial Report (FFR) Expenditure Data User Guide* at https://era.nih.gov/files/ffr_user_guide.pdf.

18.5 Accessing FFR

The FFR module is housed within Commons. If you hold the *FSR* Commons role, you have access to FFR.

1. Navigate to Commons on the internet at <https://commons.era.nih.gov/commons/>.
2. Log into Commons using your User Name and Password.
3. Select the **FFR** tab from the Commons menu tabs.

19 Financial Conflict of Interest (FCOI) Module

The Electronic Research Administration (eRA) Commons is a Web-based system for applicants and institutions to participate in the electronic grant administration process. Commons provides a modular framework and infrastructure that allows National Institutes of Health (NIH) extramural grantee organizations, Operating Divisions (OPDIVs), grantees, and the public to conduct grant-related business with NIH.

The *Financial Conflict of Interest User Guide* will instruct a user on how to allow specific users to manage the Financial Conflict of Interest (FCOI) reporting process for their particular Institution. The Financial Conflict of Interest (FCOI) reporting process allows institutions to report the existence of any identified financial conflicts of interest to the Agency as required by the Federal regulation, specifically Title 42 Code of Federal Regulation Part 50 Subpart F for grants and cooperative agreements. The institution's Signing Official (SO) completes this reporting process unless an FCOI role is delegated to another user (the SO can also assign the FCOI_ASST and FCOI_View roles to other users). To do this, the SO must log into the eRA Commons and navigate to the FCOI sub-system.

The FCOI module is an online interface within Commons that allows grantees and Federal staff to share information. The module is mandatory for all institutions. An institution's Signing Official completes this reporting process unless another Commons user is delegated with the proper authority to access the module.

The FCOI module in Commons allows institutional users to:

- Initiate and prepare FCOI reports
- Electronically submit reports and supporting documents as well as annual FCOI reports
- Receive notification via email upon the submission and receipt of an FCOI
- Search and view FCOI reports previously submitted through the Commons
- Revise an Initial 2011 FCOI Report to update FCOI data following completion of the Retrospective Review or to submit a Mitigation Report when bias is found following the completion of a Retrospective Review.
- Access history of actions
- Assign FCOI access to other Commons users

Additional information on the reporting requirements can be found within the *Frequently Asked Questions* on the Office of Extramural Research's Financial Conflict of Interest website at <https://grants.nih.gov/grants/policy/coi/index.htm>.

For more information on the FCOI module, refer to the FCOI topic of the Commons Online Help System (<https://era.nih.gov/erahelp/commons/>) or the *Financial Conflict of Interest (FCOI) External User Guide* (https://era.nih.gov/files/fcoi_user_guide.pdf).

19 Non-Research Amendments (for Non-Research Agencies)

The steps in this section outline the process for grantees to submit post-award amendment applications for funding

19.1 PI Initiate

When a user with a PI role selects the **Non-Research** tab and then the **Manage Post Award Amendments** tab, the system will present them with a list of grants eligible for amendments. This list will only display those grants on which the user is a PI.

A checkbox is available to show expired grants as well and these may also be amended.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: Search ⓘ

Include Expired Grants ⓘ

Showing 1 - 6 of total 6

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
H79SM999999	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	SAMHSA Non-Research Type 1 FOA	View Initiate...
H79SM333333	SAMHSA	01/01/2015	12/31/2024	01/01/2015	12/31/2020	SAMHSA Non-Research Type 1 FOA	Initiate...
H79SM666666	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	SAMHSA Non-Research Type 1 FOA	View Initiate...

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organization Change

The screen will show buttons in the Action column for initiating a new amendment application or to view a previous amendment application if that grant has had one previously.

The **View** button option will display any amendment applications associated with that grant. Please see the [View](#) section for more detail.

Clicking on the **Initiate** button will open a menu showing the following types of amendment options:

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel

- Merger, Transfer, etc
- No-Cost Extension
- Organization Change

Clicking on one of the menu options will open up the ASSIST module and open the forms required for the type of amendment selected. (click for an example)

The screenshot shows the ASSIST application submission interface. At the top, it displays the U.S. Department of Health & Human Services logo and navigation links for eRA Commons, Home, Logout, Help Desk, and Contact Us. The main header identifies the system as the 'Application Submission System & Interface for Submission Tracking (ASSIST)', sponsored by the National Institutes of Health. A user login field is visible on the right.

The left sidebar contains an 'Actions' menu with buttons for: ADD OPTIONAL FORM, PREVIEW APPLICATION, VALIDATE APPLICATION, VIEW STATUS HISTORY, UPDATE SUBMISSION STATUS, and COPY APPLICATION.

The main content area is titled 'Application Information' and includes a breadcrumb trail: Home > Application Information. A tip states: 'Some actions (e.g. Preview Application and Validate Application) are only available when the Application Information link in the breadcrumbs above can be used to return to this screen.' Below the tip is a 'Summary' section with a horizontal menu of tabs: SF424 Cover, HHS Checklist, Budget - Non-Construct., Budget Narrative, Project Narrative, and Other Narrative Attachments. Annotations include a red box around 'Required Forms' pointing to SF424 Cover and HHS Checklist, and a blue box around 'Other components for the type of amendment' pointing to Budget Narrative, Project Narrative, and Other Narrative Attachments.

The 'Application Information' section displays the following details:

- Application Identifier: 10805
- Application Type: Post Award Amendment (Budget Revision)
- Application Project Title: SAMHSAType 1 Non-ResearchFOA
- PD/PI Name: [Redacted]
- Organization: UNIVERSITY OF GAUDIUM
- Project Period: 01/01/2020 - 12/31/2024
- Status: Work in Progress (with a Submit Application button)
- Status Date: 2016-10-05 05:25:49.000 PM EDT

The 'FOA Information' section displays the following details:

- FOA Number: PA-51-666
- Opportunity Title: SAMHSA TEST Post Award Amendments (Type 6)
- Agency: SAMHSA
- CFDA Number: [Redacted]
- Competition ID: SAMHSA-TEST-T6-PAA
- Opportunity Open Date: 07/06/2016
- Opportunity Close Date: 06/30/2020
- Agency Contact: NIH Tester For NGIT Testing Purposes
E-mail: era1ATesters@mail.nih.gov
Phone: 123-123-1234

At the bottom, it shows 'SAM Registration Expiration Date: 08/22/2017' and a note: 'An active SAM Registration is required to submit your application to the agency' with a 'Click for SAM Registration Details' button.

The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

NOTE: It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

19.2 SO Initiate

NOTE: SAMHSA users who are Business Officials will be given the Signing Official role in eRA Commons.

Business Officials with the SO (Signing Official) role in eRA Commons will be able to search for all grants that are eligible to be amended within their institution.

Open **Search** by clicking on the **Non Research** tab and then the **Manage Post Award Amendments**.

The resulting Search screen will provide fields to search by several criteria. If the search criteria fields are left blank and then the **Search** button is clicked, a list of *all* eligible grants for the institution are displayed.

The SO may then use the **Filter** tool to find specific grants or grants with specific criteria (specific PD/PI, for example).

The screenshot displays the 'Manage Post Award Amendments: Search' interface. At the top, there are navigation links for 'U.S. Department of Health & Human Services', 'National Institutes of Health', and 'Office of Extramural Research'. The main header features the eRA logo and the text 'Electronic Research Administration, A program of the National Institutes of Health'.

The search section includes the following fields and controls:

- Activity:** R01
- IC:** All selected (3)
- Serial #:** 00000
- PD/PI Last Name:** last name
- Search:** A blue button to execute the search.
- include expired grants:** A checked checkbox.
- Showing 1 - 12 of total 12**
- Filter:** An empty text input field.
- Show 25 per page** with navigation arrows.

The results table has the following columns and data:

Grant Number	Federal Agency	Project Period Start	Project Period End	Budget Period Start	Budget Period End	Project Title	Action
R01GM123456	SAMHSA	01/02/2017	01/02/2022	01/02/2017	01/02/2018	Project title will go here, abbreviated for length...	View Initiate
R01GM333333	SAMHSA	11/02/2017	11/02/2022	11/02/2017	11/02/2018	Another title here, abbreviated for length...	View Initiate
R01GM111111	SAMHSA	01/02/2016	01/02/2021	01/02/2016	01/02/2017	Another title here, abbreviated for length...	View Initiate
R01GM444444	SAMHSA	01/02/2017	01/02/2022	01/02/2017	01/02/2018	Project title will go here, abbreviated for length...	View Initiate
R01GM222222	SAMHSA	11/02/2017	11/02/2022	11/02/2017	11/02/2018	Another title here, abbreviated for length...	View Initiate

The resulting list will have an **Initiate** button and, if there are already amendments for that grant, a **View** button.

The **View** button option will display any amendment applications associated with that grant. Please see the [View](#) section for more detail.

Once the grant to be amended is located, click on the **Initiate** button in the **Action** column on the row for that grant to see a drop-down menu listing the following amendment options:

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
H79SM123456	SAMHSA	09/30/2014	09/29/2019	09/30/2016	09/29/2017	ACME Department of Health and Social Affairs Project LA	<div style="border: 1px solid gray; padding: 5px;"> <div style="background-color: #4CAF50; color: white; padding: 2px 5px; display: inline-block;">Initiate...</div> <ul style="list-style-type: none"> Budget Revision Carryover Request Change in Scope Key Personnel Merger, Transfer, etc No-Cost Extension Organization Change </div>
U79SP123456	SAMHSA	09/30/2014	09/29/2019	09/30/2015	09/29/2016	ACME Departme Health and Social Affairs SPF-PFS Project	

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organizational Change

Select the most appropriate type. The user will then be taken to the ASSIST tool to begin the post-amendment application with the amendment-specific forms. (

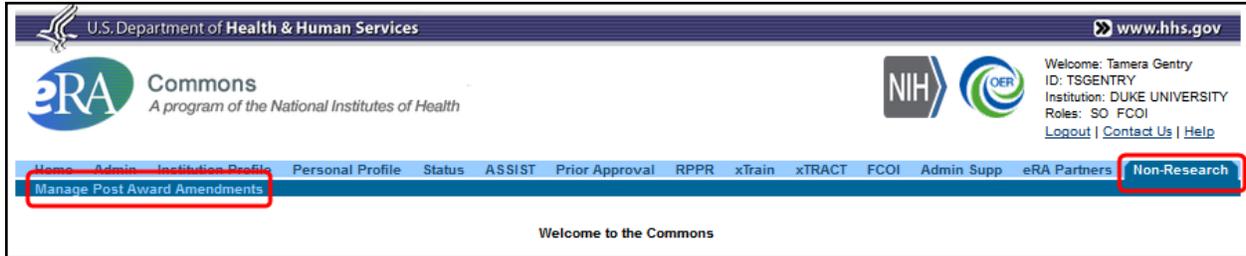
The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

NOTE: It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

19.3 View Amendments

In order to view amendments, log into eRA Commons with the PI or SO role. Select the **Non-Research** tab, and then select **Manage Post Award Amendments**.

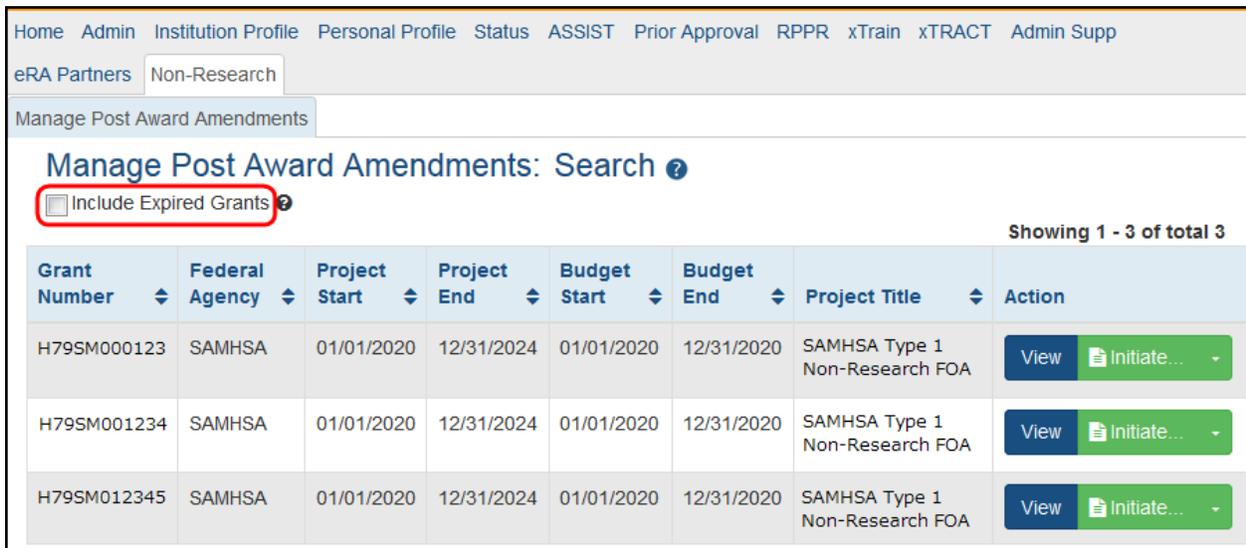


The **Manage Post Award Amendments: Search** screen will open.

PIs will see a list of grants, for that PI, which are eligible to be amended.

NOTE: The list can be resorted by clicking the heading title for any column except for **Action**.

By default, expired grants are excluded but the **Include Related Grants** checkbox may be selected to include those grants in the search results.



SOs will initially see search fields above an empty hitlist.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: Search ?

Activity ? activity code IC * ? All selected (6) -

Serial # ? 000000 PD/PI Last Name ? last name

Include Expired Grants ?

Search

Showing 0 to 0 of 0 entries

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
No data available in table							

The SO may then search via any combination of; *Activity*, *IC*, *Serial #*, or *PD/PI Last Name*. The **Include Expired Grants** checkbox allows the option to include expired grants in the search results.

Tip: If all fields are left blank, the search results will include all eligible grants within the institution.

Tip: Use the Filter field for additional specification

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: Search ?

Activity ? activity code IC * ? SM -

Serial # ? 000000 PD/PI Last Name ? last name

Include Expired Grants ?

Search

Showing 1 - 3 of total 3 (filtered from 42)

Filter: 123

Show 25 per page « 1 »

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
H79SM00123	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	SAMHSA Type 1 Non-Research FOA	View Initiate...
H79SM001234	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	SAMHSA Type 1 Non-Research FOA	View Initiate...
H79SM012345	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	SAMHSA Type 1 Non-Research FOA	View Initiate...

For both the PI and SO Search results;

Grants that have had amendments submitted will have a **View** button as well as the **Initiate** button in the **Action** column of the table.

Clicking on the **View** button will open up the *View* screen and display the amendments related to that specific grant as well as their statuses.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: View

Application Information

Grant Number: H79SM000123 Core Grant Number

Project Period: 01/01/2020 - 12/31/2024 Institution Name: UNIVERSITY OF GAUDIUM Grant Program (PCC):

Showing 1 - 5 of total 5

Amendment Application #	Grants.gov Tracking #	Budget Start	Budget End	Type	Submitted	Status	Award #	Action
6H79SM000123-01L003	GRANT00655693	01/01/2020	12/31/2020	Change in Scope	09/19/2016	In Review		
6H79SM000123-01L002	GRANT00655691	01/01/2020	12/31/2024	Change in Scope	09/19/2016	In Review		Action(s) -
6H79SM000123-01L001	GRANT00655690	01/01/2020	12/31/2024	Change in Organizational	09/19/2016	Awarded	6H79SM000123-01M001	Action(s) -
6H79SM000123-01L001	GRANT00655694	01/01/2020	12/31/2024	Change in	09/19/2016	In Review		Action(s) -
6H79SM000123-01L001	GRANT00655838	01/01/2020	12/31/2024	Change in	09/22/2016	In Review		Edit RAM View Prior RAM

NOTE: Awarded applications will have an "M" in the suffix instead of the "L" in the related application number

The **Back to Search** button at the top of the page will return the user to the previous page.

The **Initiate** button at the top of the page will give options to begin another amendment application.

The **Action(s)** button in the **Action** column provide a menu giving the options to either view a consolidated PDF of all related Requests for Additional Material (**View Prior RAM**) or to open up the RAM screen in order to upload materials (**Edit RAM**). The Edit RAM option will not show for awarded applications. See the section on [RAM](#) for more detail.

Please see these topics for more detail:

- [PI Initiate](#)
- [SO Initiate](#)

19.4 Request for Additional Materials - RAM

Subsequent to submitting an amendment application, the Program Official (PO) or Grants Management Specialist (GMS) may ask for additional information to be submitted. This is done via a "Request for Additional Materials" (RAM).

From the *View Amendments* screen, any applications that require additional materials or actions will display an **Action(s)** button in the **Action** column.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: View ? Back to Search Initiate...

Application Information

Grant Number: H79SM1234567 Organization Name: UNIVERSITY OF PATIENTIA
 Project Period: 01/01/2020 - 12/31/2024 Grant Program (PCC):

Showing 1 - 5 of total 5

Amendment Application #	Grants.gov Tracking #	Budget Start	Budget End	Type	Submitted	Status	Award #	Action
6H79SM123456-01L003	GRANT12345678	01/01/2020	12/31/2020	Change in Scope	09/19/2016	In Review		
6H79SM123456-01L002	GRANT00001234	01/01/2020	12/31/2024	Change in Scope	09/19/2016	In Review		Action(s) -
6H79SM123456-01L001	GRANT01234567	01/01/2020	12/31/2024	Change in Organizational Information	09/19/2016	Awarded	6H79SM123456-01M003	Action(s) -
6H79SM123456-01L004	GRANT00012345	01/01/2020	12/31/2020	Change in Scope	09/19/2016	In Review		Action(s) -
6H79SM123456-01L005	GRANT00123456	01/01/2020	12/31/2024	Merger, Successor-In-Interest, or Transfer	09/22/2016	In Review		Edit RAM View Prior RAM

Clicking on **Action(s)** will open up a menu to select from **Edit RAM** or **View Prior RAM**.

View Prior RAM will provide a PDF file of all RAM submissions that have been made for that Amendment application.

Selecting **Edit RAM** will open the *RAM* screen.

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Electronic Research Administration
A program of the National Institutes of Health

Post-Award Amendment Application: Request for Additional Materials (RAM) ?

Application Information

Grant Number: R012345	Amendment Application #: L0001	PD/PI Name: Doe, John	Budget Period: 01/01/2016 - 01/01/2017
Project Title: Project Title will go here	Amendment Type: Budget Revision	Org Name: University of School	Project Period: 01/01/2016 - 01/01/2021
Grant Program (PCC): 12345			

RAM

Instructions here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. Sed sit amet enim eu lorem tempus finibus. Sed sit amet leo turpis. Nam luctus velit id dictum bibendum. Interdum et malesuada fames ac ante ipsum primis in faucibus. Nunc iaculis a urna quis aliquam. Curabitur et quam leo. Fusce tincidunt metus vel facilisis auctor.

Please provide additional materials: Upload

File Name	Date Created	
uploaded-document-1.pdf	01/20/2016	View Delete
uploaded-document-22.pdf	01/22/2016	View Delete
uploaded-document-333.pdf	01/23/2016	View Delete

Please provide Comments to Agency:

Cancel Preview Save Submit

On this screen will be:

- Application Information - A summary of the related application for which the RAM is being requested.
- An option to upload required documents requested. Up to 10 documents may be uploaded. Individual documents may not exceed 6MB in size.
- An area used for the justification which is a free-form text box and is a required field.
- **Cancel**, **View**, **Save**, and **Submit** buttons.
 - **Cancel** - Takes the user back to the Amendment View
 - **View** - Creates a PDF of all submitted RAMs
 - **Save** - Saved the current in-progress RAM
 - **Submit** - Sends the RAM to the agency. Once submitted, no more changes to this specific RAM can be made and the justification and uploaded files will be appended to the final summary PDF.

There can only be one active (i.e. non-submitted) RAM at a time to which changes can be made by any authorized user. Once submitted, a new RAM is required for additional changes.

- **Things to note:**

- There is no limit to the number of RAMs that the user can submit.
- Both PI and SO can edit the RAM as it allows for a partial save.
- The system provides an audit trail of who uploaded the documents.
- The user can see a consolidated list of all documents uploaded for RAM submission, with the latest on top. It is presented to the agency as one PDF with all documents combined.

Tip: Check all documents after uploading to ensure the right ones have been submitted.

When the RAM is submitted, an email notification is sent to the Government Project Officer (GPO), Grant Technical Assistant (GTA) and Grants Management Specialist (GMS) .

The system provides an audit trail of who uploaded the documents.

20 xTRACT

Extramural Trainee Reporting and Career Tracking (xTRACT) is a module within eRA Commons used by applicants, grantees, and assistants to create research training tables for inclusion in progress reports and institutional training grant applications.

Because xTRACT is integrated with Commons it is able to pre-populate some training data for training tables and reports by using xTrain appointment and related data. This includes trainee names, selected characteristics, institutions, grant numbers, and subsequent NIH and other HHS awards. xTRACT also allows the manual entry of data, for information not found in Commons or xTrain. This manually entered information is stored in xTRAIN and can be re-used when preparing subsequent training table submissions.

If you are a Signing Official (SO), Principal Investigator (PI), or assistant (ASST) in Commons, you have access to the xTRACT module.

IMPORTANT: xTRACT is a tool for creating training tables. Tables generated in xTRACT must be attached to and submitted with the appropriate progress report or application. There is no Submit feature in xTRACT.

For additional information on xTRACT, please refer to the resources below:

- Guide Note: [NOT-OD-16-007](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html>)
- xTRACT Online Help: <https://era.nih.gov/erahelp/xtract>

21 Reference Letters

If you are asked to submit a reference letter for someone, you must do so using eRA Commons. Reference letters can be submitted any time after the Funding Opportunity Announcement (FOA) is posted and no later than the deadline.

IMPORTANT: The referee need not log in to Commons to submit a reference letter for an applicant. The process is external to Commons.

Although - as the Referee - you do not need a Commons role to submit a reference letter, the candidate on whose behalf you are writing must have a Commons account and hold the PI role. If your candidate does not hold this role, you will receive the following error when attempting to submit the letter: *Commons User ID of Applicant entered is invalid (ID:90274)*.

The candidate's Signing Official (SO) or Accounts Administrator (AO) at the institution will need to assign the PI role to the candidate's Commons account.

In order for you to submit a reference letter, the candidate must supply you with the following:

- Applicant's PI Commons User ID
- PI's last name as it appears on the Commons account
- Funding Opportunity Announcement (FOA) number
- FOA opening date and application submission deadline

Letters of reference must be no longer than 2 pages and in the PDF format.

NOTE: For Fellowship applications and Career Development programs a Letter of Reference form is no longer required. A letter written on university letterhead or similar is acceptable.

To submit a reference letter, follow the steps below:

1. Use your internet browser to access the *Welcome to the Commons* at <https://public.era.nih.gov/commons/public/login.do>

2. Select the **Submit Reference Letter** link.

eRA Commons
A program of the National Institutes of Health

NIH **OER** [Contact Us](#) | [Help](#)

Commons Login ?

*Required field(s)

*Username

*Password

(For External Users Only)
(For External Users)
[Forgot Password/Unlock Account?](#)

Federated Institutions/Organizations ?

Select.

Federal User Login [Here](#)

eRA Service Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://grants.nih.gov/support>
Toll-free: 866-504-9552
Phone: 301-402-7469
Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Welcome to the Commons

System Notification Message
All systems are currently available.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).

Support Related Resources

- Electronic Submission:** Learn about the most frequent application errors at [Avoiding Common Errors](#).
- Electronic Application Submission:** To learn about completing and submitting an electronic grant application and access helpful resources, visit the [Applying Electronically website](#).
- eRA Home Page:** To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#).

Commons Related Resources

- Reference Letters:** To submit a reference letter when requested by an applicant, please follow this link: [Submit Reference Letter](#).
- Demo Facility:** [Demo Facility](#) allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

Privacy Act Statement

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Register Grantee Organization

About the Commons

- [Frequently Asked Questions](#)
- [Latest Release Notes](#)

Additional Links

- [RePORT](#)
- [Grants.gov](#)
- [iEdison](#)
- [National Institutes of Health](#)
- [Public Access Policy Page](#)
- [Loan Repayment Program](#)
- [Commons Quick Queries](#)

The *Submit Reference Letter* form displays.

Submit Reference Letter ?

Notes and Tips:

- If you are submitting a reference for a fellowship application, please make sure to follow the instructions in [Reference Letter Submission Process Guide](#)
- Note: The Fellowship Reference Form previously used with Fellowship applications is no longer required.
- If your reference letter is not attached to your application, please check the FOA number. If this number is incorrect, the letter must be resubmitted by the referee with the correct FOA number.
- FOA Number: Use format of IC-YY-xxx. For RFAs, drop the 'RFA-'. For example, for RFA-RM-13-006 use RM-13-006.

* indicates required field

Referee Information

Referee First Name: *

Referee Last Name: *

Referee MI Name:

Referee Email: *

Referee Institution/Affiliation: *

Referee Department: *

Applicant Information

PI Commons User ID: *

PI Last Name: *

Funding Opportunity Announcement Number: *

Reference Letter Confirmation # (if re-submitting):

3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*).
4. Select the **Continue** button.

The screen updates providing you a place for uploading your letter or form. The letter must be in PDF format and should not exceed two pages. The PDF cannot be password-protected and should not be fillable.

5. Attach the reference form or letter using the **Browse** button.
6. After attaching your letter, select the **Submit** button.

Once a reference letter is submitted, you and the candidate will receive a confirmation via email that the letter was received. The candidate will not be able to see the reference letter you've submitted.

IMPORTANT: If you need to submit a corrected reference letter, access the *Commons Submit Reference Letter* screen again, filling out the fields, this time entering the **Reference Letter Confirmation #** with the previous submission's confirmation number. Continue, attach the new letter, and submit again.

For more information, refer to our tutorial on You Tube titled [Submit Reference Letters in Commons](#).

22 Understanding Grant Numbers

A grant number provides unique identification for the grant. The figure below shows an example of a complete NIH grant number.

Sample Grant Number: 1 R01 CA 123456-01A1

Application Type	Activity Code	Institute/Center (IC)	Serial Number	Support Year	Extension
1	R01	CA	123456	01	A1

The grant number is comprised of the following parts:

Application Type: Indicates the type of application (e.g., new, renewal, non-competing, etc.)

Activity Code: Represents the specific category of support (e.g., research projects, fellowships, etc.)

Institute/Center Code: The code for the NIH Institute/Center (IC) associated with the grant

Serial Number: The unique number - assigned by the NIH Center for Scientific Research (CSR)- identifying the specific application

Support Year: Indicates the current year of support (e.g., an 01 support year is a new grant)

Suffix Code: An optional code used for supplements, amendments, or fellowship institutional allowances

For additional information, access the Grants & Funding website listing the types of grant programs (**Policy:** https://grants.nih.gov/grants/funding/funding_program.htm).

22 ORCID

The *Open Researcher and Contributor ID* (ORCID) is used within NIH and GRANTS.GOV to relate publications to grants. You can associate or create your ORCID from the Commons [Personal Profile](#) Module.

For more information regarding ORCID please visit <https://orcid.org> .