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Office of Extramural Research

eRA Commons User Guide

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CONTACT US

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No data shown in illustrations represents any real account, project, or individual. Any resemblance to actual accounts, projects, or individuals is purely coincidental.

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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 progress report 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

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 35.](#)

- **What's New**

Check here for links to information about new features for Commons and its modules. These links change as new features are added.

- **Commons Resources**

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 'Welcome to the Commons' page. At the top, there is a header with the 'eRA Commons' logo and 'Sponsored by National Institutes of Health'. To the right are logos for the National Institutes of Health and OIR, along with 'Contact Us | Help' links.

The main content area is divided into several sections:

- Commons Login:** A form with fields for *Username and *Password, and buttons for Login and Reset. Below it is a link for 'Forgot Password/Unlock Account?'.
- Federated Institutions/Organizations:** A dropdown menu currently showing 'N/A'.
- Federal User Login:** A link labeled 'Here'.
- eRA Commons Help Desk:** Contact information including hours (Mon-Fri, 7AM-8PM EDT/EST), web address (http://its.servicedesk.nih.gov/eRA/), toll-free number (866-504-9552), phone number (301-402-7469), and TTY number (301-451-5939). It also includes a note about contact outside business hours.
- System Notification Message:** A message stating 'All systems are currently available.' and an 'Alert' regarding system unavailability on Saturday, June 8, 2013, from 5 p.m. to 9 p.m. due to network maintenance. It also mentions a 'Scheduled Commons Maintenance' link.
- Support Related Resources:** A list of links including 'Electronic Submission', 'Online Resources', 'Electronic Application Submission', and 'eRA Home Page'.
- Commons Related Resources:** Links for 'Reference Letters' and 'Demo Facility'.
- Warning Notice:** A disclaimer stating that the system is a U.S. Government computer system and that unauthorized access or use may result in criminal, civil, and/or administrative action. It also mentions that information on the system may be intercepted, recorded, read, copied, and disclosed.
- Register Grantee Organization:** A link to register a new organization.
- What's New:** A list of recent updates, including 'New in RPPR' and 'New Help Desk System'.
- Commons Resources:** A list of various resources such as 'Frequently Asked Questions', 'Latest Release Notes', 'Commons Login Tutorial', 'Commons Support Page', 'eRA Training', 'Enter eRA NIH Commons Demo', 'User Guides', 'Grantee Organization Registration', 'eRA Visiting', and 'Archiving Electronically'.
- Additional Links:** A list of external links including 'eRA Contacts', 'RePORT', 'Grants.gov', 'iEdison', 'National Institutes of Health', 'Public Access Policy Page', 'Loan Repayment Program', and 'Like This'.

Figure 1: Welcome to the Commons

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 15 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,

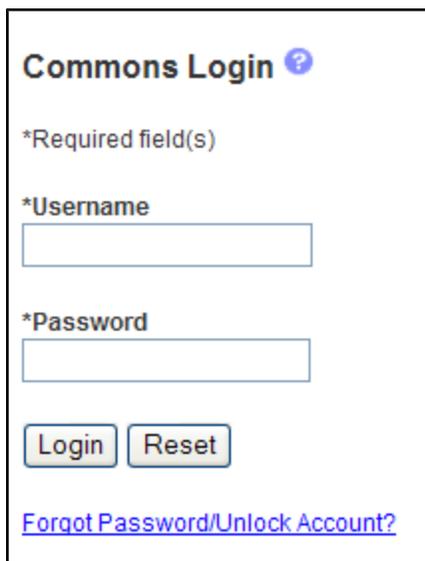
please refer to the section of this document titled [Accessing Commons with a Commons User ID](#). For steps related to internal users (such as NIH, SRO, agency users, etc.) please refer to the section of this document titled [Accessing Commons with a Network ID \(NIH or Agency\)](#).

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 web form titled "Commons Login" with a help icon. Below the title is a note "*Required field(s)". There are two input fields: "*Username" and "*Password". Below the fields are two buttons: "Login" and "Reset". At the bottom, there is a blue hyperlink that says "Forgot Password/Unlock Account?".

Figure 2: Commons Login

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.

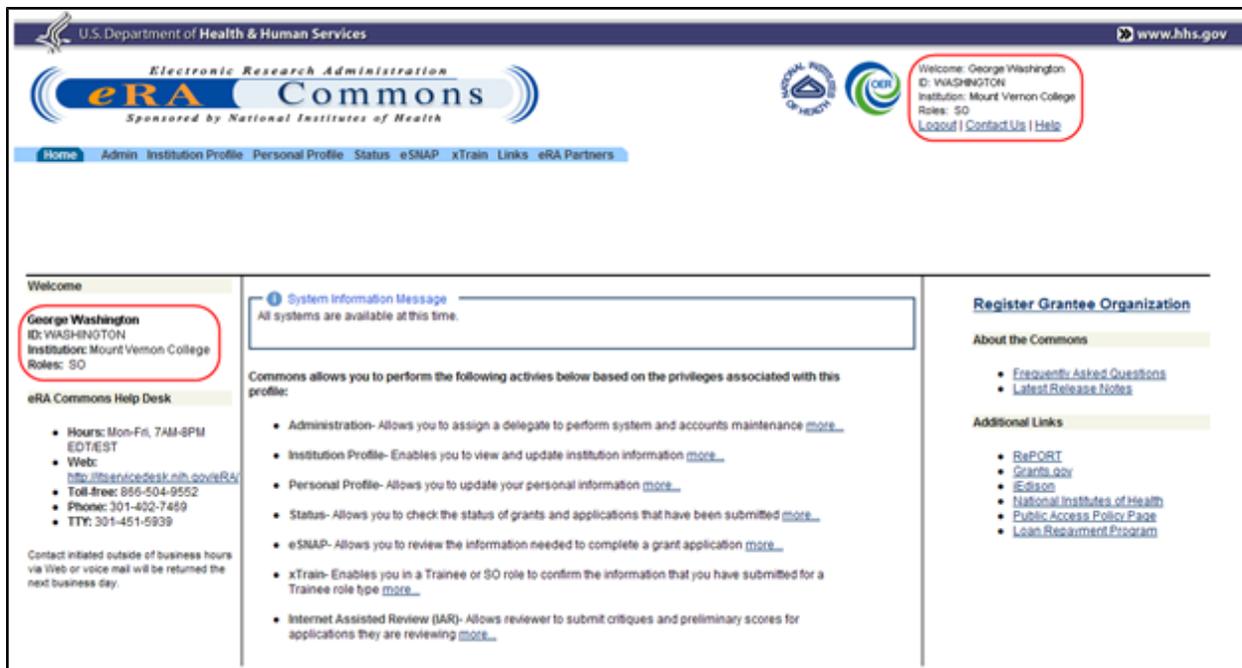


Figure 3: Commons Home Page

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 9](#) 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.



Figure 4: User Information and Assigned Access Tabs

2.1.2 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.

The screenshot shows the Commons Login interface. At the top, it says "Commons Login" with a help icon. Below that, it lists "*Required field(s)". There are two input fields: "*Username" and "*Password". Below the password field are "Login" and "Reset" buttons. A link for "Forgot Password/Unlock Account?" is also present. A horizontal line separates this section from the "Federated Institutions/Organizations" section, which has a dropdown menu currently set to "N/A". At the bottom, a red oval highlights the text "Federal User Login Here", where "Here" is a blue hyperlink.

Figure 5: Federal User Login Link

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.

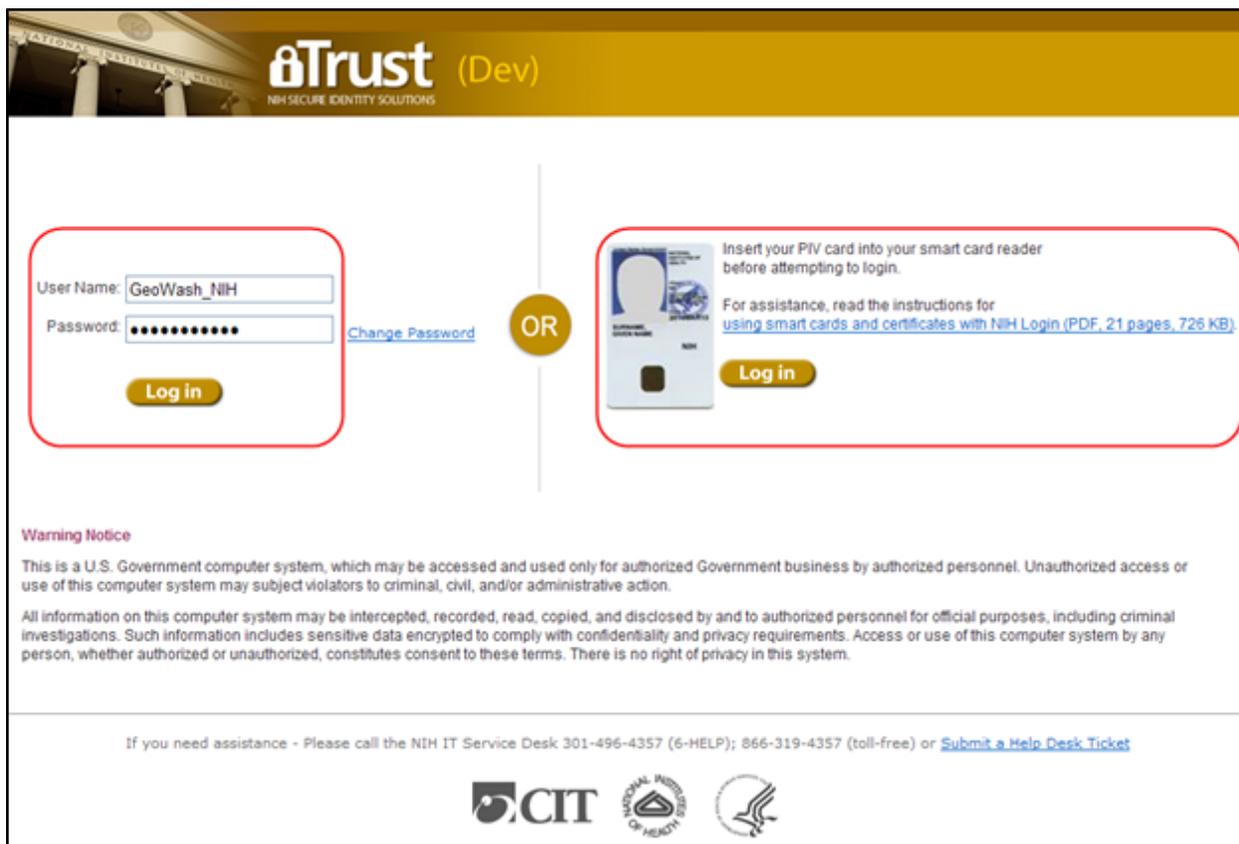


Figure 6: Network Login Screen for Agency and NIH Users

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.

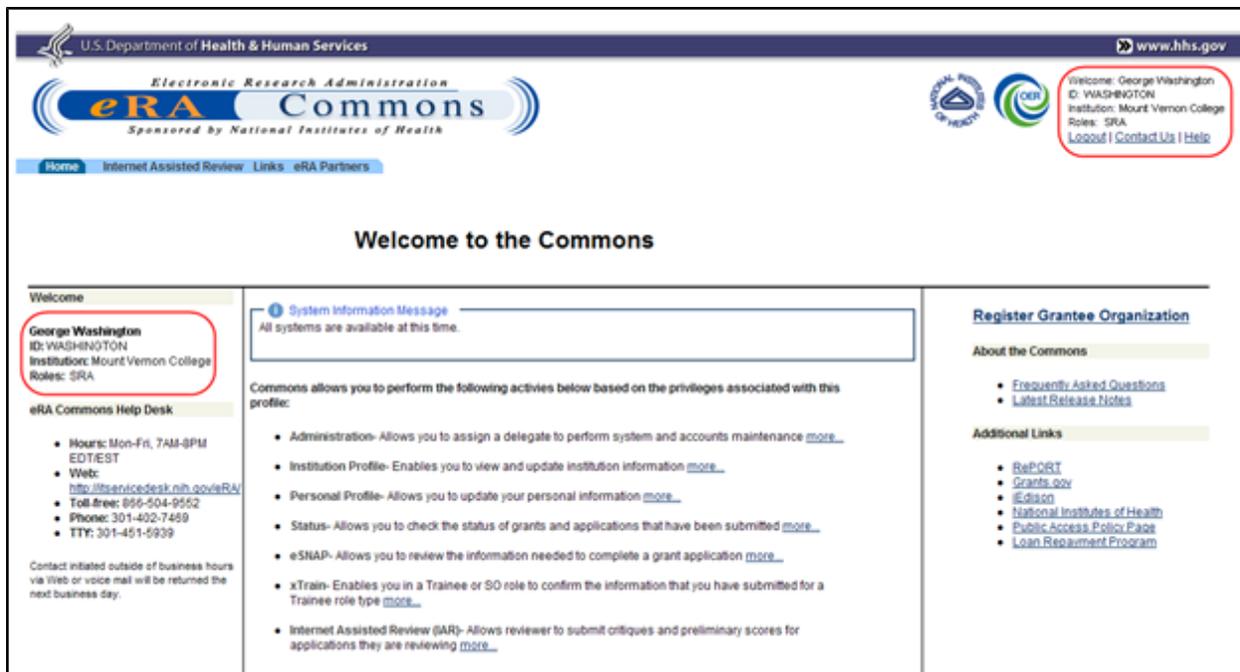


Figure 7: Commons Landing Page for Federal Users

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.

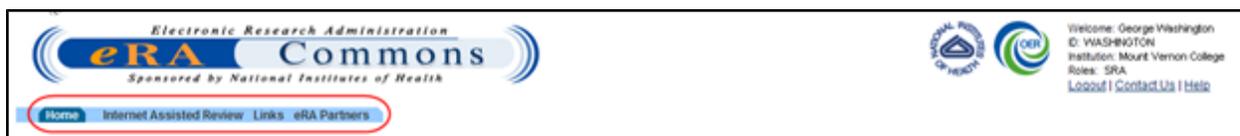


Figure 8: User Information and Assigned Access Tabs (SRO)

2.1.3 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:** http://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.



Figure 9: Institution Name Displayed as a Link for Multiple Affiliations

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.

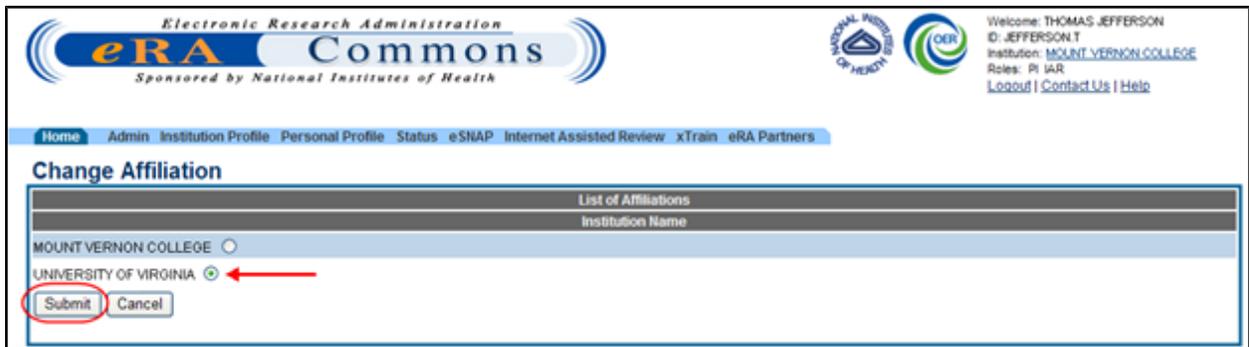


Figure 10: Change Affiliation Screen

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

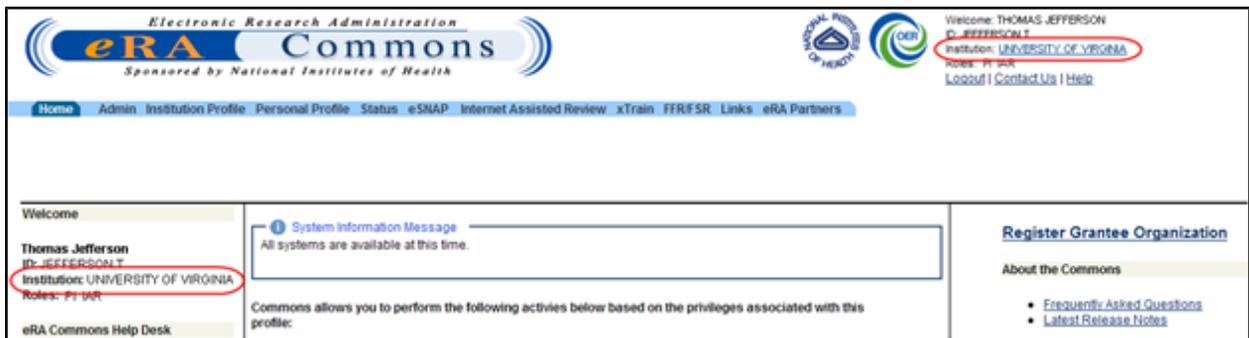


Figure 11: User Information with Updated Affiliated Institution

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.



Figure 12: Commons Logout Link

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.

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 13](#) 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 12](#).

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 12.

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 12.

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.

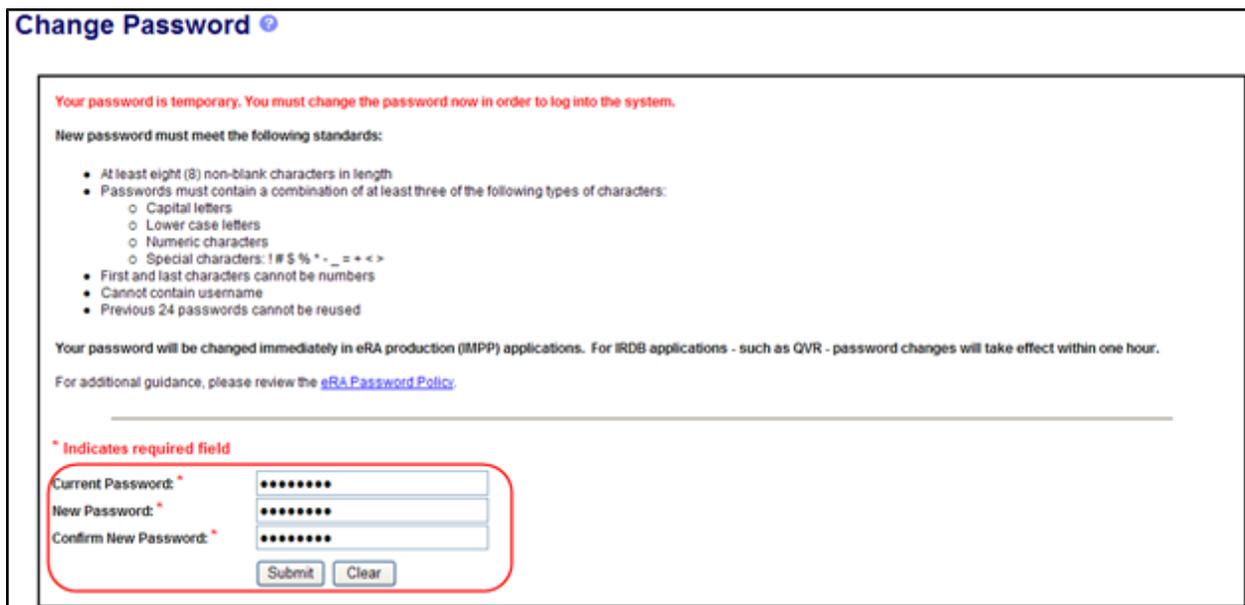
Policy: http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf.

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.



Change Password

Your password is temporary. 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

Current Password: *

New Password: *

Confirm New Password: *

Figure 13: Change Password Screen

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.

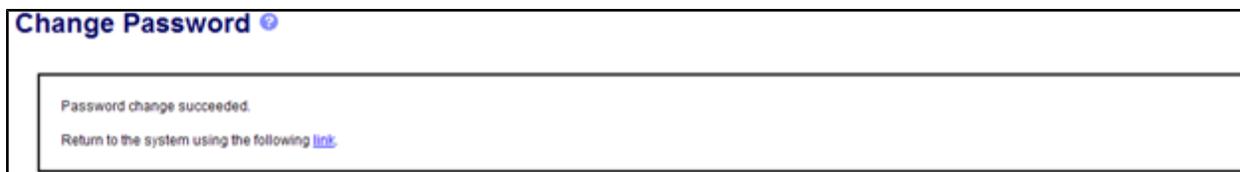


Figure 14: Change Password Confirmation

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 18.*](#)

To reset your password:

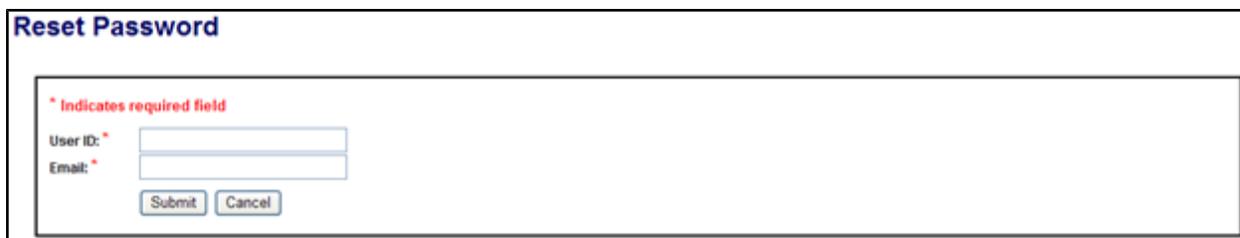
1. Select the **Forgot Password/Unlock Account?** link on the Commons home page.

The screenshot shows the eRA Commons home page. The header includes the eRA Commons logo and navigation links. The main content area is divided into several sections:

- Commons Login:** Contains fields for Username and Password, Login and Reset buttons, and a circled link for [Forgot Password/Unlock Account?](#)
- Welcome to the Commons:** Features a System Notification Message, Scheduled Commons Maintenance information, and Support Related Resources.
- Commons Related Resources:** Lists Reference Letters and Demo Facility links.
- Warning Notice:** A disclaimer about the system's security and data handling.
- Right Sidebar:** Includes links for Register Grantee Organization, About the Commons, and Additional Links.
- Footer:** Provides contact information for the eRA Commons Help Desk.

Figure 15: Forgot Password/Unlock Account Link

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



The screenshot shows a web form titled "Reset Password". At the top left of the form area, there is a red asterisk followed by the text "* Indicates required field". Below this, there are two input fields. The first is labeled "User ID:" and the second is labeled "Email:". Both labels have a red asterisk next to them. Below the input fields, there are two buttons: "Submit" and "Cancel".

Figure 16: 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

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

Current Password: *

New Password: *

Confirm New Password: *

Figure 17: Change Password Screen

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.

Figure 18: Changing an Expired Password

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:

[Unlocking an Account](#)

[Resetting a Locked Account](#)

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 17.](#)

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: <http://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: <http://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: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.

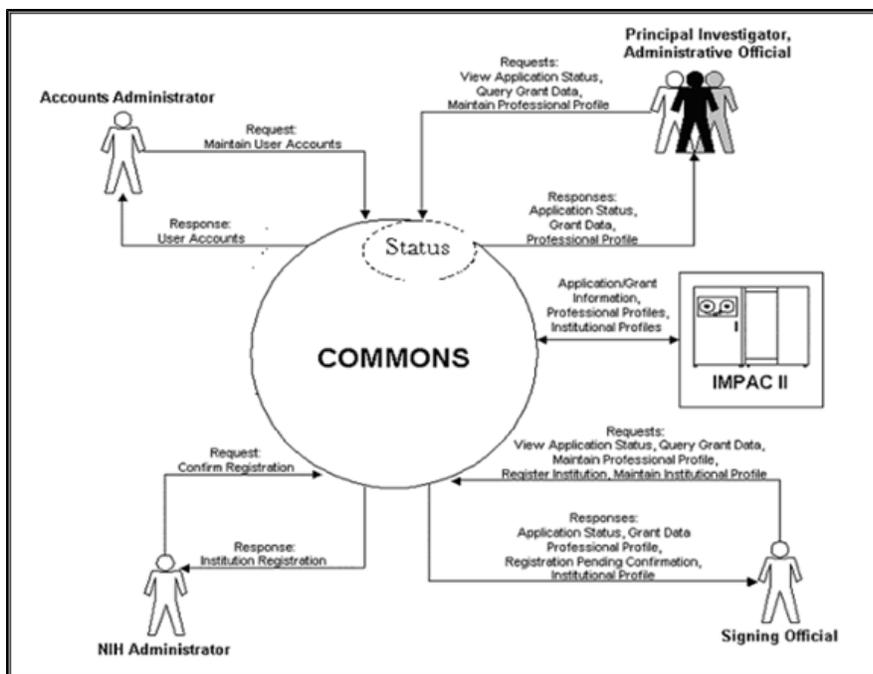


Figure 19: Commons User Roles Diagram

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.

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 Progress Reports (FPRs)
- 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.



Figure 20: Commons Navigation Bar

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, titled 'Welcome to the Commons', contains a 'System Notification Message' box, a 'Scheduled Commons Maintenance' link, 'Support Related Resources' (including links for Electronic Submission, Online Resources, and Electronic Application Submission), 'Commons Related Resources' (including 'Reference Letters' and 'Demo Facility'), and a 'Warning Notice' section. The 'Demo Facility' link is circled in red. The right column contains a 'Register Grantee Organization' link and 'Additional Links' such as 'RePORT', 'Grants.gov', and 'Loan Repayment Program'.

Figure 21: Commons Demo Facility Link

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 33.](#)

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' form. At the top, it says 'Electronic Research Administration eRA Commons Sponsored by National Institutes of Health'. There are navigation links: Home, Links, eRA Partners, Help. On the right, there are logos for the National Institutes of Health and the Office of Research and Biomedical Services, along with a welcome message: 'Welcome: ID: Guest Institution: Not Affiliated Roles: Logout | Contact Us | Help'.

The form is titled 'Create a New Demo Account' and is divided into 'Account Information'. It includes the following fields and options:

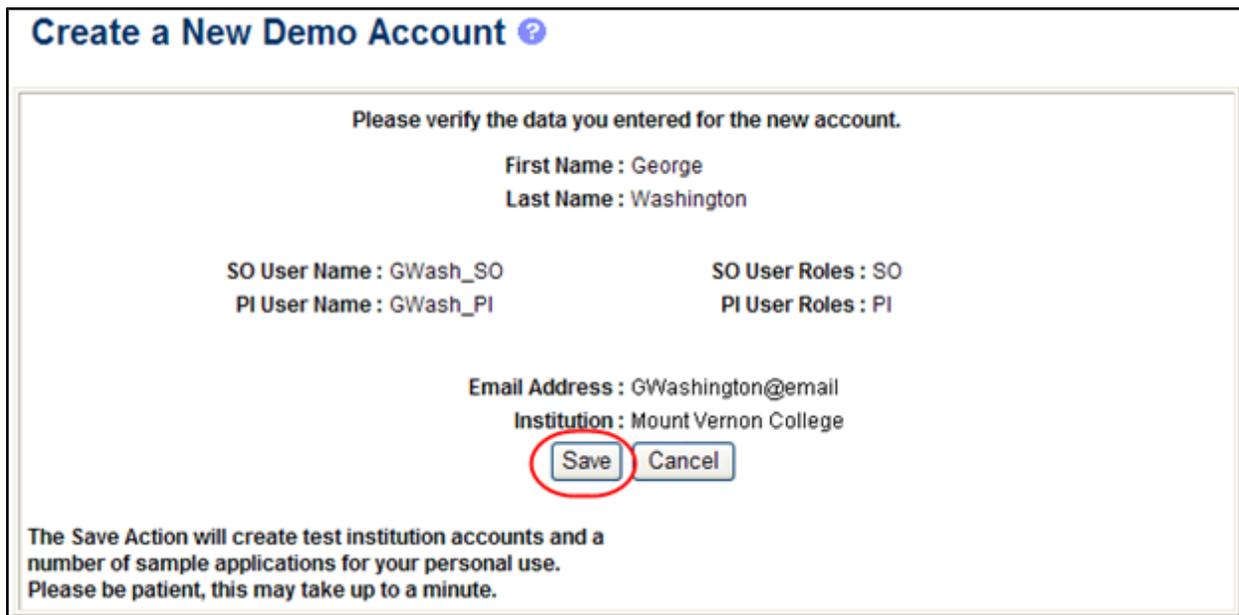
- First Name***: George
- Last Name***: Washington
- User Name**: GWash_SO (for SO Account) and GWash_PI (for PI Account). A note states: 'User Name must be a minimum of 6 characters and must not already be in use'.
- SO Account***: SO
- PI Account***: PI
- Optional Roles for SO and PI**: FSR, IAR
- BO Account**: BO
- Trainee Account**: Trainee
- E-mail Address***: GWashington@email.com
- Institution***: Mount Vernon College

At the bottom of the form, there are two buttons: 'Submit' (circled in red) and 'Reset'.

Figure 22: Create a New Demo Account Screen

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

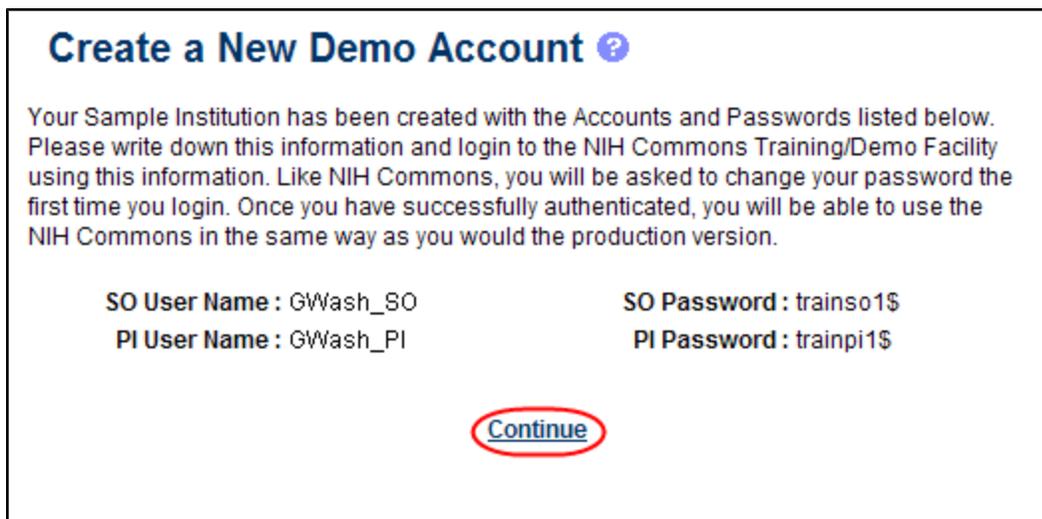
[Save](#) [Cancel](#)

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.

Figure 23: Confirm the New Demo Account

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](#)

Figure 24: Demo Account Created

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

8 Registering Institutions and Organizations

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

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

To access Commons, there is a one-time registration process for Commons Extramural (external) institutions and researching 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. 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.



Figure 25: Register Grantee Organization Link

The *Online Registration* screen displays.

2. Read the instructional steps and click the **Register Now** button.

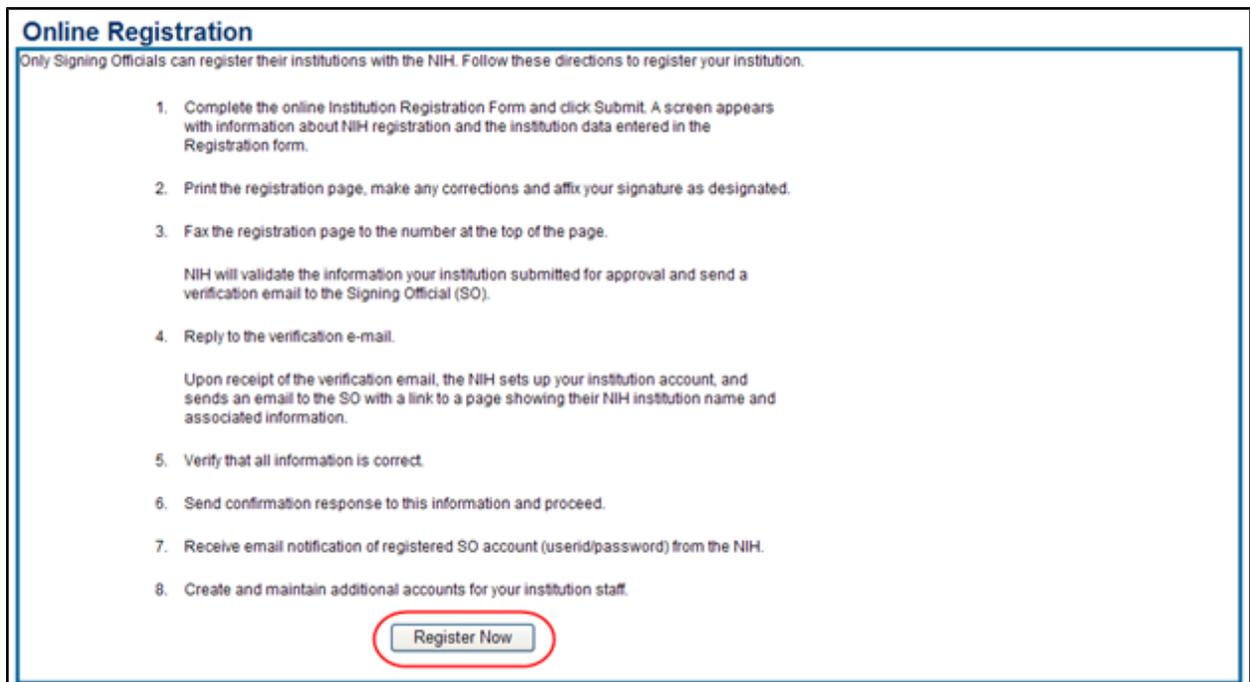


Figure 26: Online Registration Screen

The *Register Institution* screen displays with required fields for institution and account information.

3. Complete the information fields for the **Institution Information** and **Accounts Information** sections noting the following:

- All fields followed by a red asterisk (*) are required
- 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.
- 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

NOTE: More information about DUNS Numbers is located online at <http://www.dnb.com/us/>.

The screenshot displays the 'Register Institution' web form. At the top, it says 'Online Registration' and 'Welcome to the ERA Commons On-Line Registration Process'. Below this, there is a warning: '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.' A red asterisk indicates required fields.

The form is divided into two main sections:

- Institution Information:** This section contains fields for Institution Name, DUNS Number, Street 1, Street 2, Street 3, Street 4, Closeout E-mail, NoA E-mail, City, State (a dropdown menu), Zip Code (with a note '(20873) or (208733423)'), and Country (a dropdown menu set to 'UNITED STATES').
- Accounts Information:** This section is optional and contains two columns of fields. The left column is for the 'Principal Signing Official' and the right column is for the 'Accounts Administrator'. Both columns have fields for Name Prefix, First Name, Middle Name, Last Name, Title, User Name, Phone, Fax, and E-mail.

At the bottom of the form, there are three buttons: 'Save', 'Reset', and 'Cancel'.

Figure 27: Register Institution Screen

4. Verify that all entered information is correct before selecting **Save**, which generates a completed registration form with signature and date lines.
5. Print, sign, and date the registration form.

NOTE: Only the SO may sign the form.

6. Fax the completed registration form to NIH at (301) 451-5675.

NIH will send an e-mail to the designated SO that contains a hyperlink to verify the SOs e-mail address.

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

The E-mail verification screen confirms that the e-mail address provided for the SO is valid. NIH then reviews the registration, which is now pending approval.

NOTE: The signed form must be faxed in and the e-mail must be verified, before the registration process begins.

8.2 Institution Registration Confirmation

Once the SOs email address is confirmed and the registration request is reviewed by the NIH, a second email is sent stating the status of the application (either approved or rejected) and, if applicable, providing a hyperlink to confirm and complete the registration process.

If approved, select the hyperlink in the message to finalize the registration process. Once the institution information is confirmed, the last two registration e-mails are sent with the Commons user name in one and a temporary password for logging into the Commons system in another.

After successfully logging into Commons using the temporary password provided in the final email, the user is prompted to change the password to one of his choosing in accordance with the NIH password policy.

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.

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 39](#) for help with this feature.

For more information on creating and managing user accounts, refer to the Accounts Module Online Help System (<http://era.nih.gov/erahelp/ams>) or the *Accounts Management User Guide* (http://era.nih.gov/files/AMS_user_guide.pdf).

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.

The screenshot shows the 'Account List' interface. At the top, there is a 'Search Criteria' section with four input fields: 'Commons ID' (containing 'jausten1775'), 'Last Name', 'First Name', and 'Middle Name'. Below these fields is a checkbox labeled 'Search within your institution' which is checked. There are 'Search' and 'Clear' buttons. Below the search section is a table titled 'Account Search Results 1- 1 out of 1 records'. The table has columns for User Name, User ID, Email Address, Account Status, Role, CS Eligibility Details, Address, and Institution. The data row shows: 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.

| 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 |

Figure 28: Account List Screen

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](#)

Figure 29: Continuous Submission Eligibility Screen for Selected PI

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: PD/Pis cannot create their own accounts. Only an SO or AA Commons user can create this account.

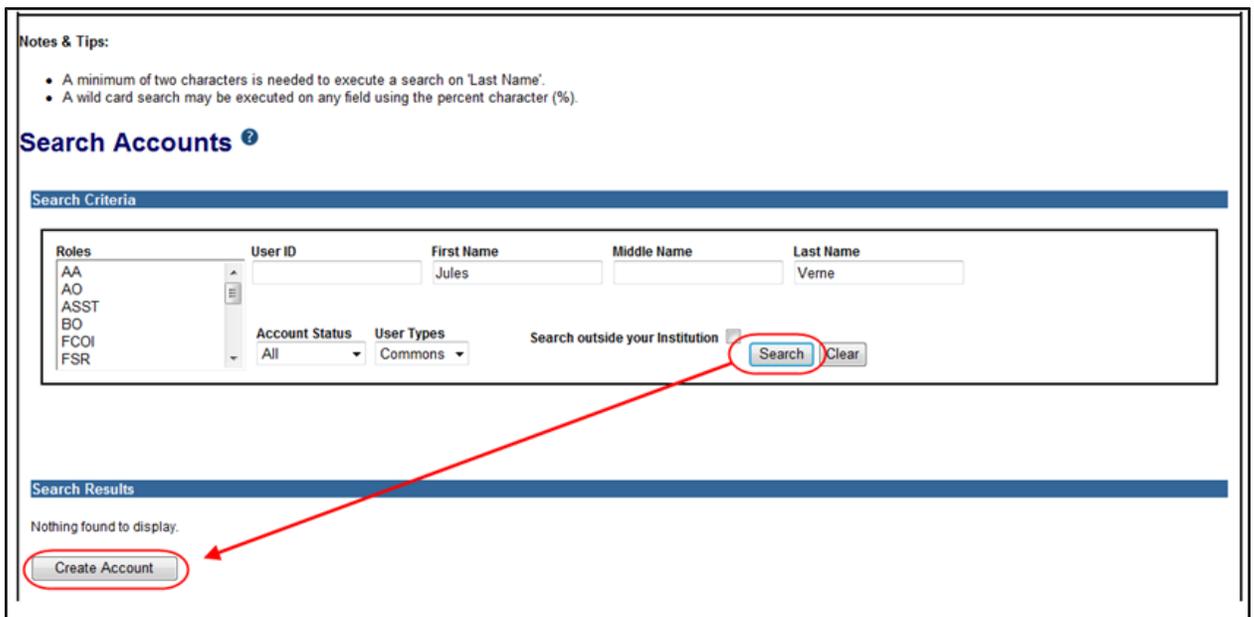
To create a new account:

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



The *Search Accounts* screen opens in a separate window. You'll notice that the **Create Account** button is disabled. You cannot create a new account until you perform a search on the account first. This measure is in place to help avoid the creation of duplicate accounts.

3. Search for the person (**Last Name, First Name**) whose account you are creating. After performing the search, the **Create Account** button becomes enabled.
4. Select the **Create Account** button.



Notes & Tips:

- A minimum of two characters is needed to execute a search on 'Last Name'.
- A wild card search may be executed on any field using the percent character (%).

Search Accounts ?

Search Criteria

| Roles | User ID | First Name | Middle Name | Last Name |
|---------------------------------------|----------------------|------------|----------------------|-----------|
| AA AO ASST BO FCOI FSR | <input type="text"/> | Jules | <input type="text"/> | Verne |

Account Status: All | User Types: Commons | Search outside your institution:

Search Results

Nothing found to display.

Figure 30: Create Account Button – Enabled After a Search is Performed

The *Create Account* screen displays. The User Type should be defaulted to **Commons** and the **Organization** should default to that of your own. These fields can be updated if necessary.

The screenshot shows the 'Create Account' interface. At the top, there is a 'Create Account' header with a help icon. Below it is a 'Personal Information' section with the following fields:

- User Type:** A dropdown menu currently set to 'Commons'.
- User ID:** A text input field.
- Organization:** A text input field containing 'UNIVERSITY OF THE CENTER OF THE EARTH' and a magnifying glass icon for search.
- First Name:** A text input field.
- Middle Name:** A text input field.
- Last Name:** A text input field.
- E-mail:** A text input field.
- Confirm e-mail:** A text input field.

 Below the 'Personal Information' section is a 'Roles' section. It features a table with three columns: 'Role', 'Organization', and 'Action'. The 'Role' and 'Organization' columns have search icons. The 'Action' column contains an 'Add' link. At the bottom of the form are three buttons: 'Save', 'Clear', and 'Cancel'.

Figure 31: Create Account Screen Upon Initial Entry

- 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:** As the SO, your organization should default in this field, however, you can use the look-up tool to enter an organization (if necessary) by clicking on the icon next to the field.

To search for and select an organization, enter the **Organization ID** and click **Search**. If you don't know the ID, search on the **Organization Name** using the percent sign (%) as a wildcard. When the organization is displayed in the results box, click its **Select** link.

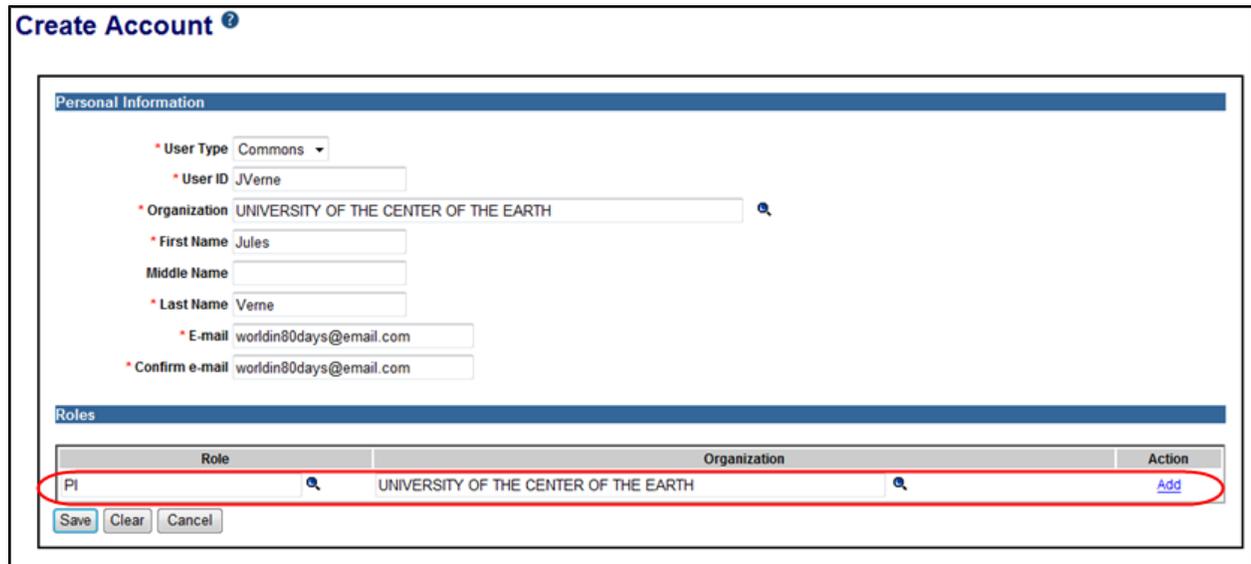
- First Name**
 - Middle Name**
 - Last Name**
 - E-mail**
 - Confirm e-mail**
- After entering **Personal Information**, you can assign a role to the account. Use the look-up tool for **Role** by selecting the magnifying glass for that field.

In a separate window, the *Select Role* screen opens showing all roles available for assigning to that user type.

- a. Click the **Select** link next to the appropriate role.

The role displays on the *Create Account* screen.

- b. As the SO, your organization should default in this field when you select the role, but you can enter an **Organization Name** using the look-up tool.
- c. Once the **Role** and **Organization** are displayed, click the **Add** link in the **Action** column.



The screenshot shows the 'Create Account' interface. The 'Personal Information' section includes fields for User Type (Commons), User ID (JVerne), Organization (UNIVERSITY OF THE CENTER OF THE EARTH), First Name (Jules), Middle Name, Last Name (Verne), E-mail (worldin80days@email.com), and Confirm e-mail (worldin80days@email.com). Below this is a 'Roles' table with columns for Role, Organization, and Action. The first row shows 'PI' as the role and 'UNIVERSITY OF THE CENTER OF THE EARTH' as the organization, with an 'Add' link in the Action column. A red oval highlights the 'Add' link. At the bottom of the roles section are 'Save', 'Clear', and 'Cancel' buttons.

| Role | Organization | Action |
|------|---------------------------------------|---------------------|
| PI | UNIVERSITY OF THE CENTER OF THE EARTH | Add |

Figure 32: Select Add Link After Selecting Role Information

- d. Add additional roles following the same steps.
7. Select the **Save** button to complete the process.
8. *Optional:* If necessary, you can use the **Delete** link to remove unwanted roles.

Click here for a sample image of a completed *Create Account* screen.

The screenshot shows the 'Create Account' interface. It is divided into two main sections: 'Personal Information' and 'Roles'.

Personal Information:

- User Type: Commons (dropdown)
- User ID: JVerne
- Organization: UNIVERSITY OF THE CENTER OF THE EARTH
- First Name: Jules
- Middle Name: (empty)
- Last Name: Verne
- E-mail: worldin80days@email.com
- Confirm e-mail: worldin80days@email.com

Roles:

| Role | Organization | Action |
|------|---------------------------------------|---------------|
| PI | UNIVERSITY OF THE CENTER OF THE EARTH | Delete Add |

At the bottom left, there are three buttons: 'Save' (circled in red), 'Clear', and 'Cancel'.

Figure 33: Sample User Info in Create Account screen.

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 submit progress reports for another PI |
| Progress Report | PI | Any active user | Enables the authorized user to submit |

| Authority Type | Delegated By | Delegated To | Description |
|----------------|----------------------------------|------------------------|--|
| | | within the Institution | progress reports for the PI |
| 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 Commons users | All Commons users | Enables another user to edit someone else's personal profile |
| Submit | SO, BO | PI | Enables the PI to submit RPPR and MYPR reports |
| 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 64*](#) 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**.

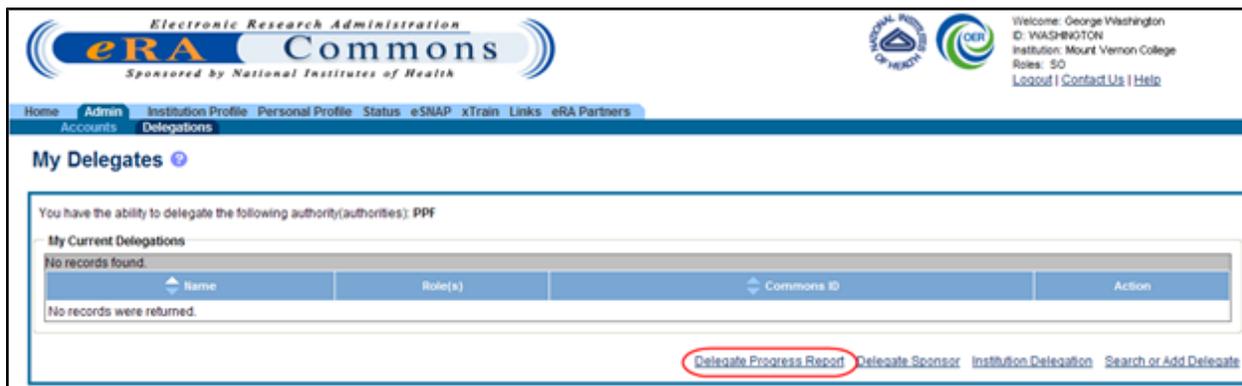


Figure 34: *My Delegates* Screen - *Delegate Progress Report* Link

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.

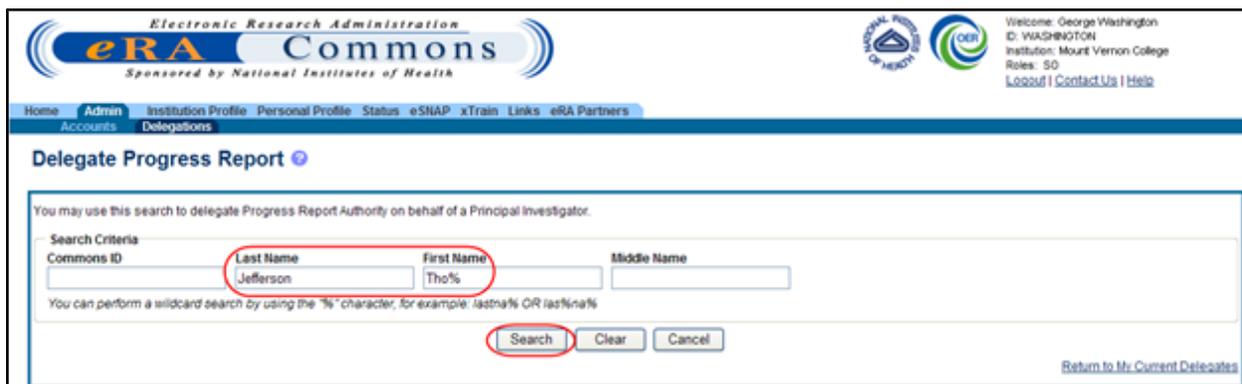


Figure 35: *Search to Delegate Progress Report Authority on Behalf of a PI*

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

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

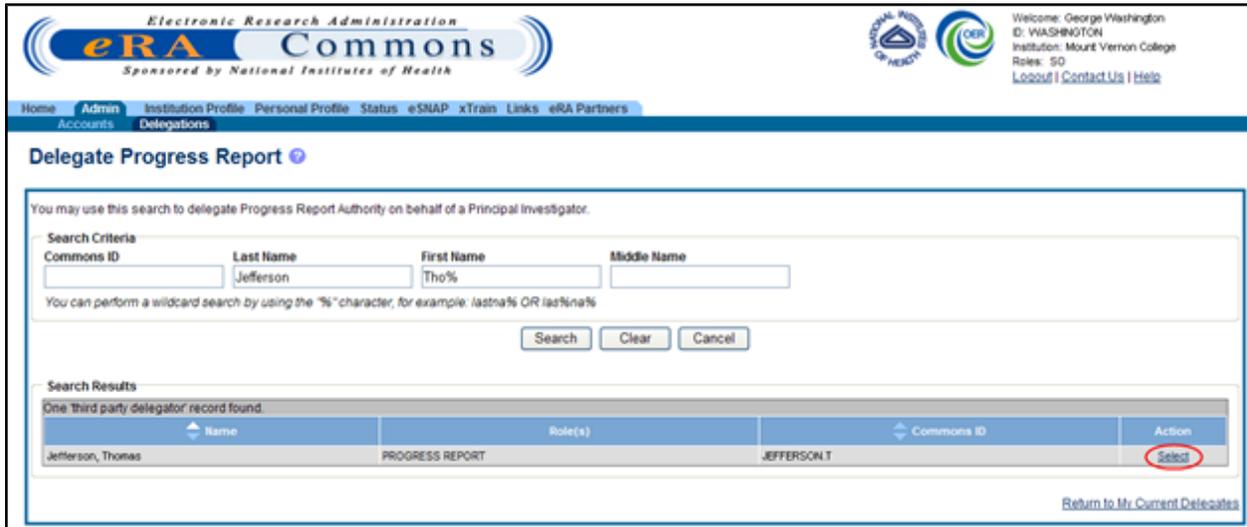


Figure 36: Delegate Progress Report Third Party Delegator Search Results

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.

- 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.

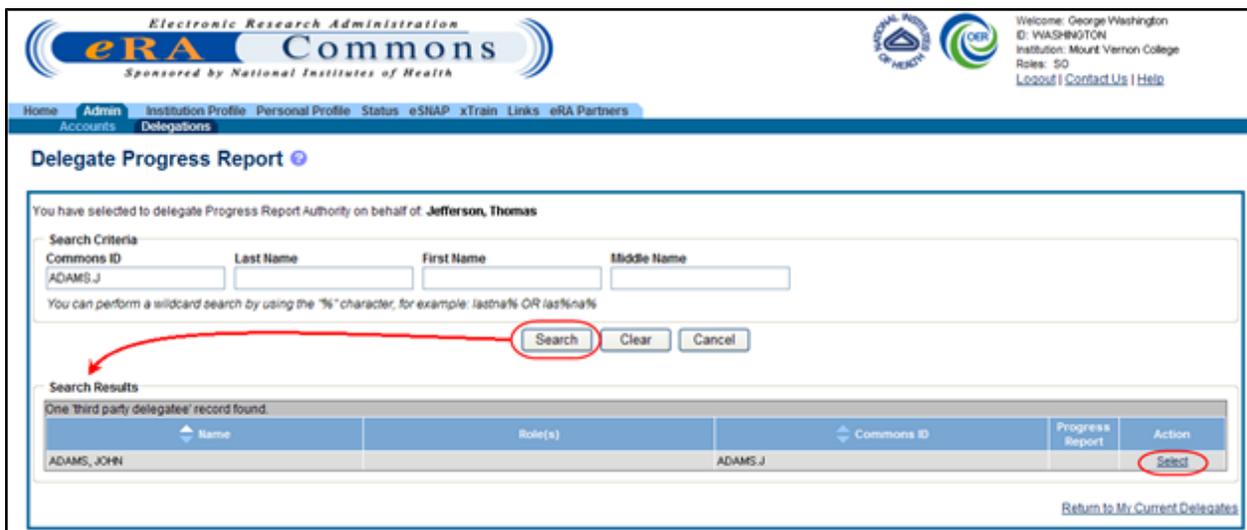


Figure 37: Delegate Progress Report Third Party Delegatee Search Results

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

9. Check the **Progress Report** box.
10. Select the **Save** button.

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

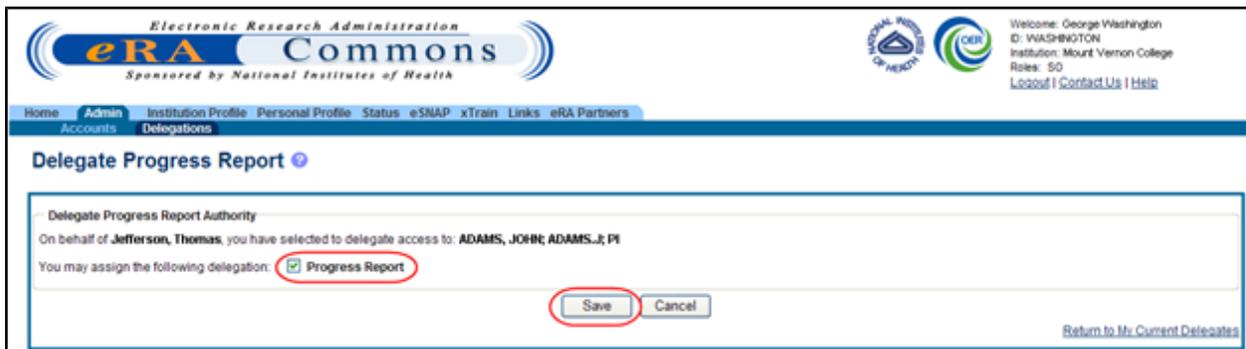


Figure 38: Delegate Progress Report Screen and Checkbox

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.

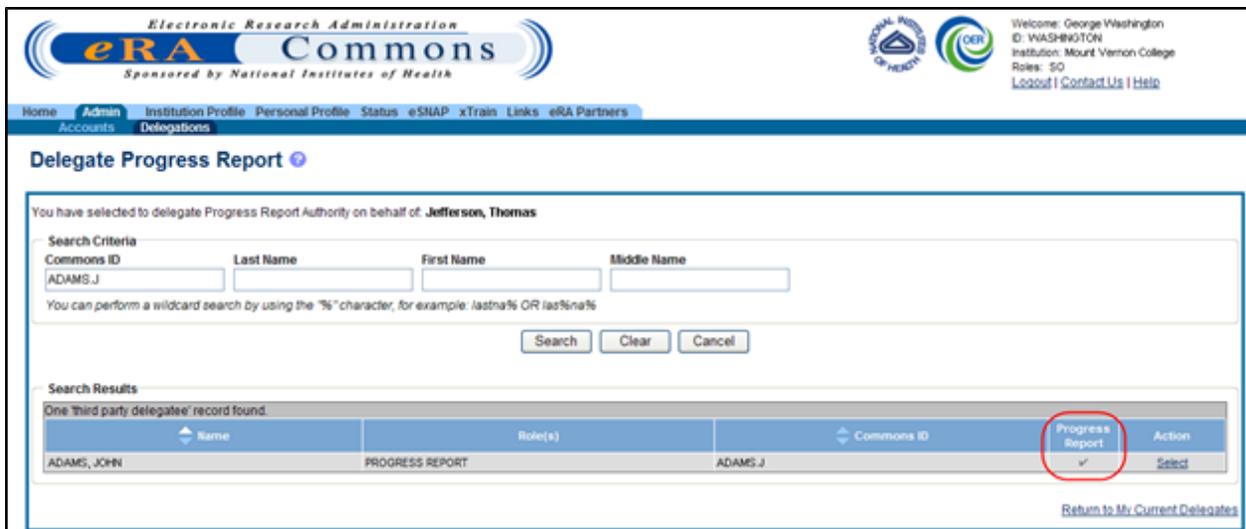


Figure 39: Updated Search Results Show Progress Report Authority for Selected User

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 64* 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**.

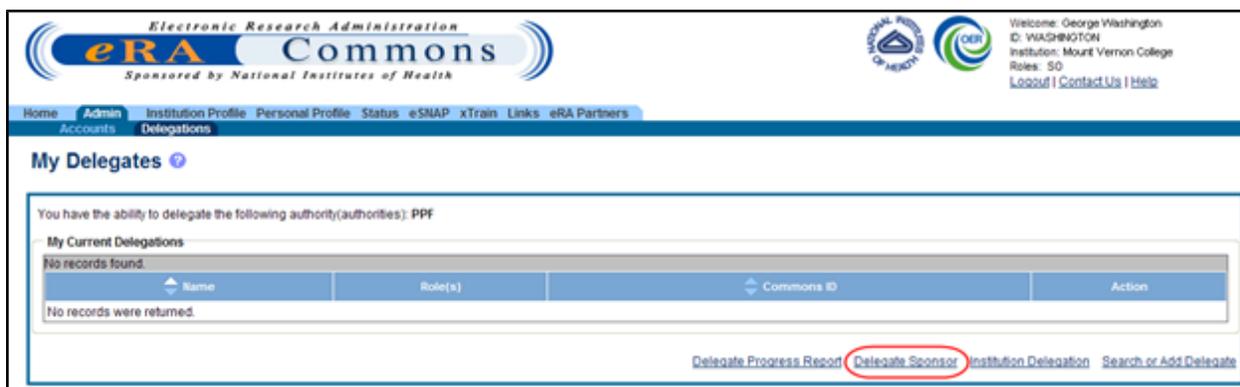


Figure 40: My Delegates - Delegate Sponsor Link

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 Delegations** 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 Sponsor' 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 heading is 'Delegate Sponsor'. Below this, a message states: 'You may use this search to delegate Sponsor Authority on behalf of a Sponsor User.' The search criteria section contains four input fields: Commons ID, Last Name (containing 'Madison'), First Name (containing 'Ja%'), and Middle Name. A note below the fields explains wildcard search: 'You can perform a wildcard search by using the "%" character, for example: lastname OR lastname%'. A 'Search' button is highlighted with a red circle, along with 'Clear' and 'Cancel' buttons. A 'Return to My Current Delegates' link is located at the bottom right.

Figure 41: Search to Delegate Sponsor Authority on Behalf of a Sponsor User

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.

The screenshot shows the 'Delegate Sponsor' page after a search. The search criteria remain the same. Below the search form, a 'Search Results' section displays 'One third party delegator record found'. A table lists the results:

| Name | Role(s) | Commons ID | Action |
|----------------|--------------------------|------------|--------|
| Madison, James | PROGRESS REPORT, SPONSOR | JMADISON | Select |

The 'Select' button in the Action column is highlighted with a red circle. A 'Return to My Current Delegates' link is at the bottom right.

Figure 42: Delegate Sponsor Third Party Delegator Search Results

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.

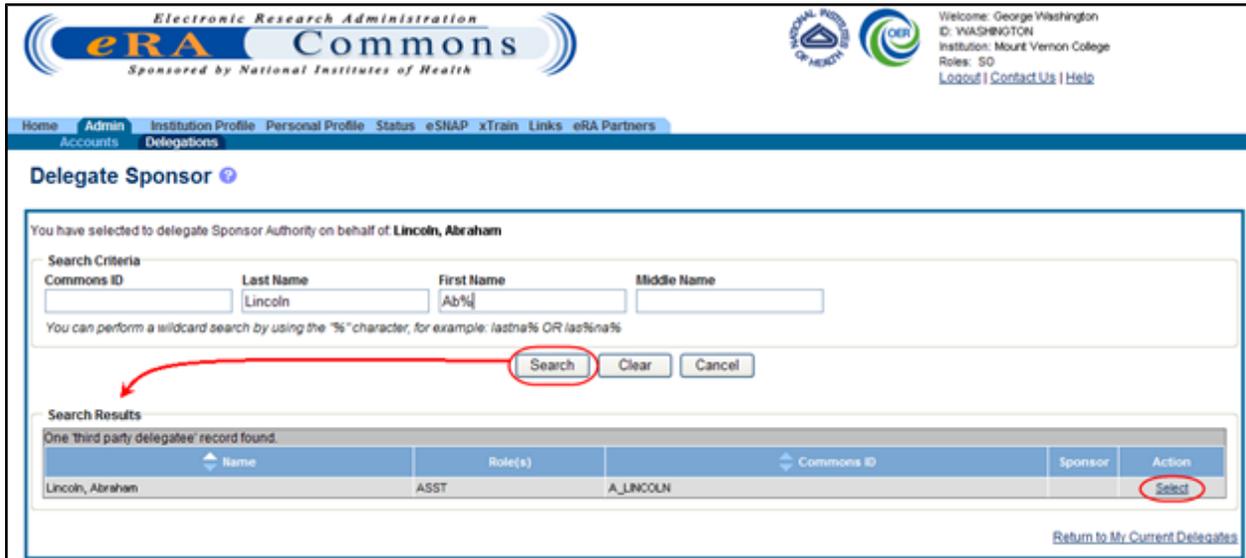


Figure 43: Delegate Sponsor Third Party Delegatee Search Results

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.

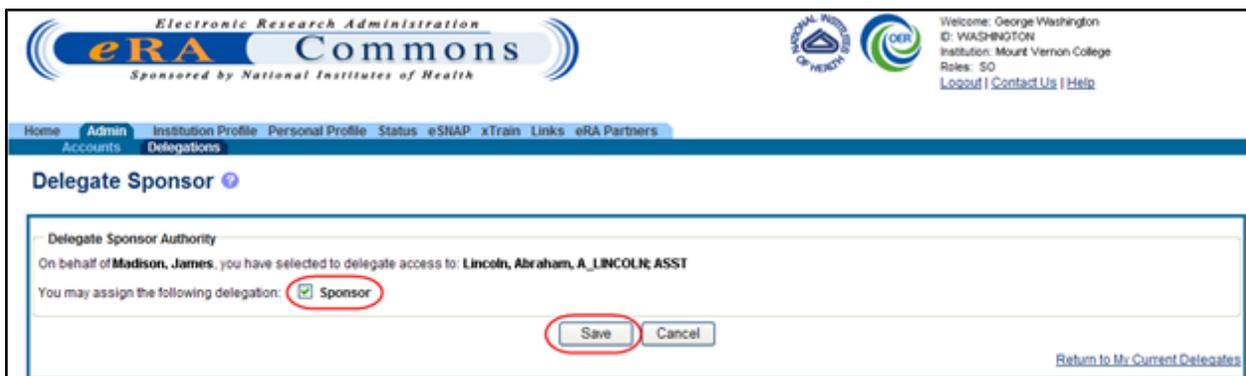


Figure 44: Delegate Sponsor Screen and Checkbox

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.

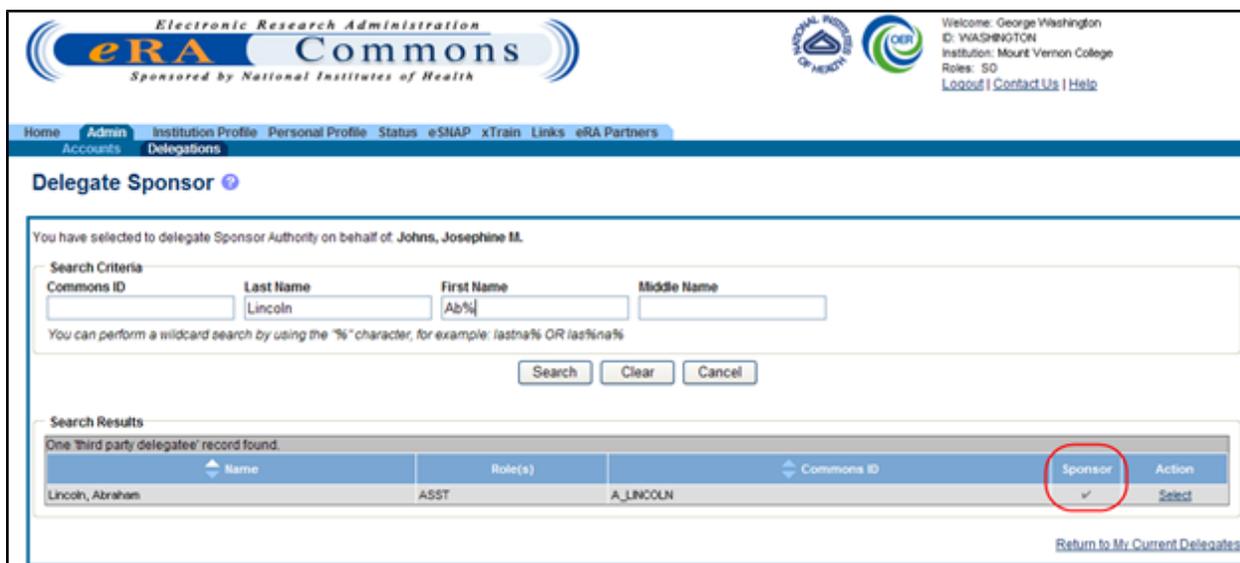


Figure 45: Updated Search Results Show Sponsor Authority for Selected User

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 64](#) 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.

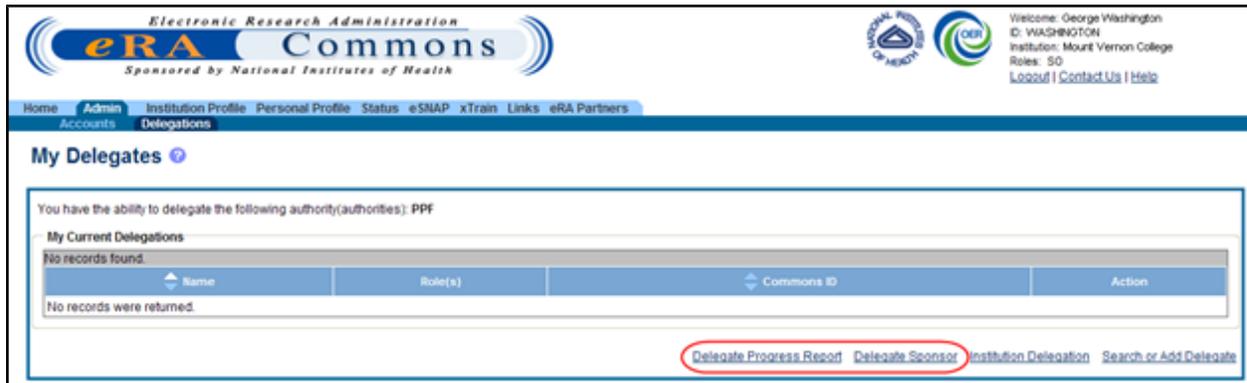


Figure 46: Delegate Progress Report And Delegate Sponsor Links

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.

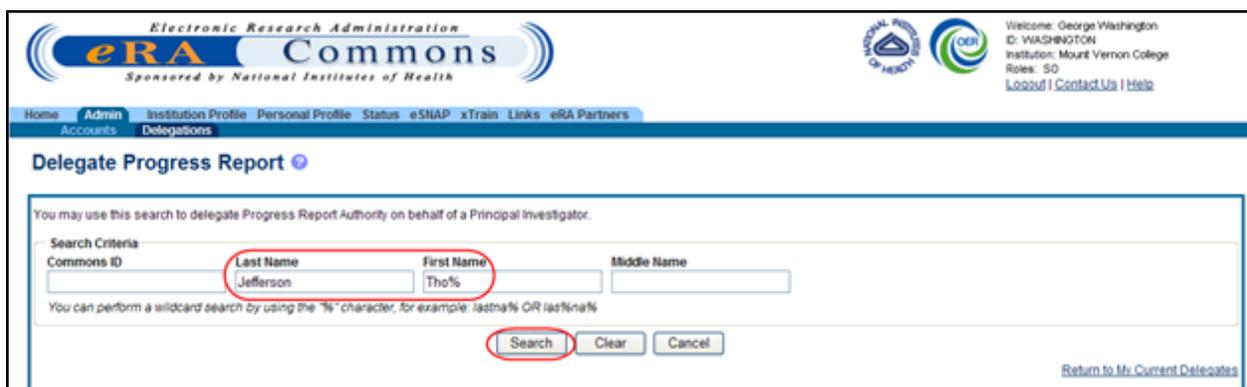


Figure 47: Search to Revoke Progress Report Authority on Behalf of a PI

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

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

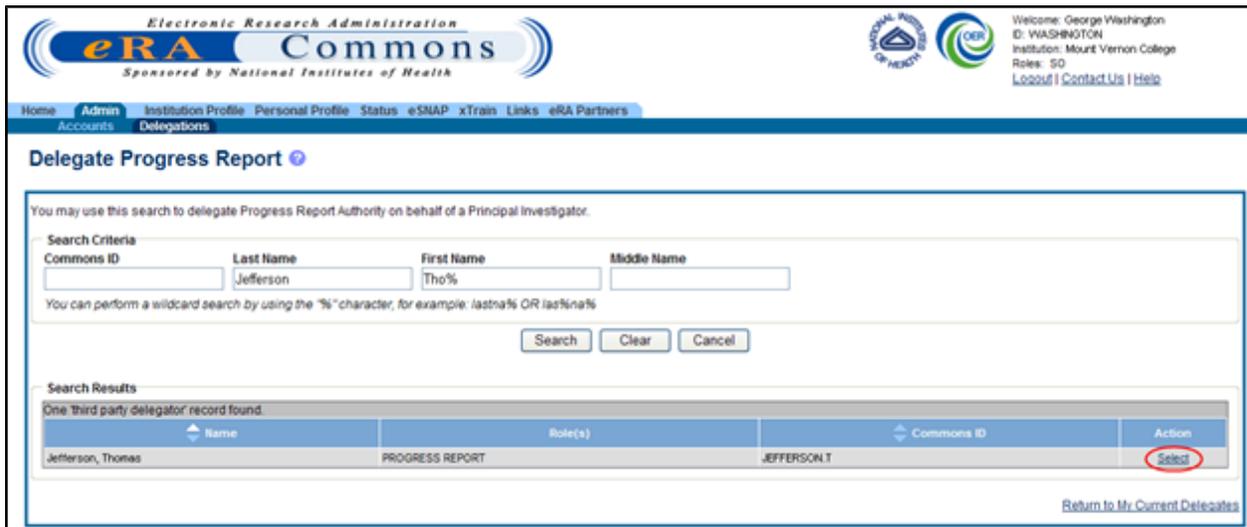


Figure 48: Third Party Delegator Search Results for Revoking Authority

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

- Enter the search parameters necessary for locating the appropriate user 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.

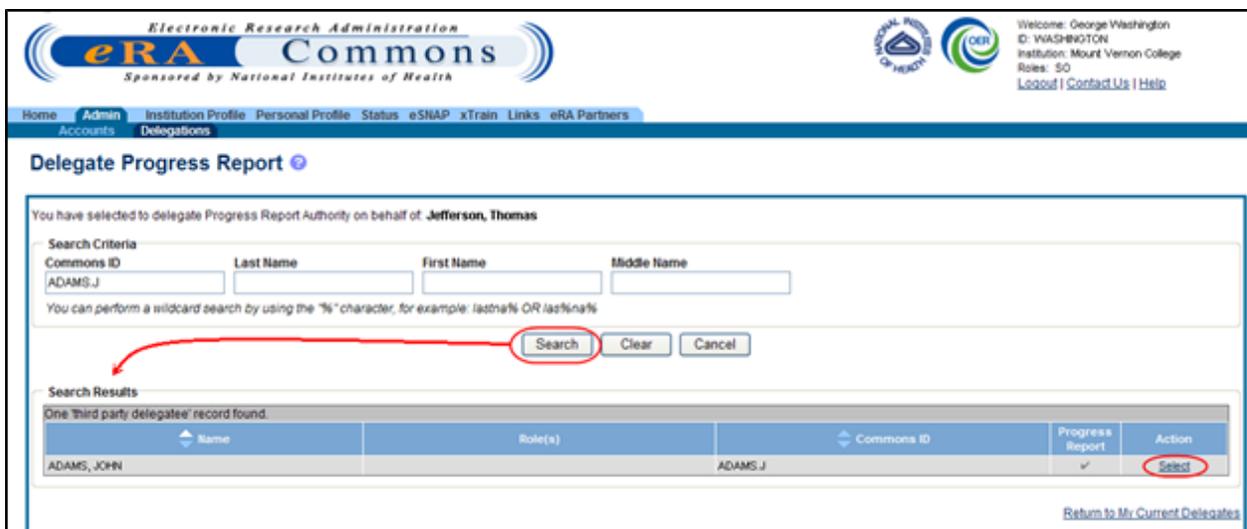


Figure 49: Third Party Delegatee Search Results

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.



Figure 50: Unchecked Progress Report Box for Revoking Authority

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 Progress Report (FPR) 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**.

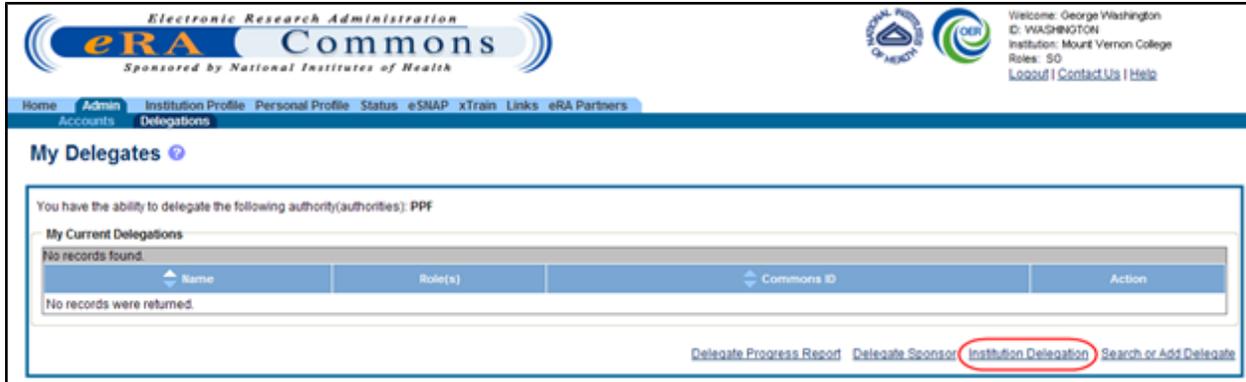


Figure 51: Institution Delegation Link for Granting Submit Progress Report Authority

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 60](#) for the steps on revoking the authority.

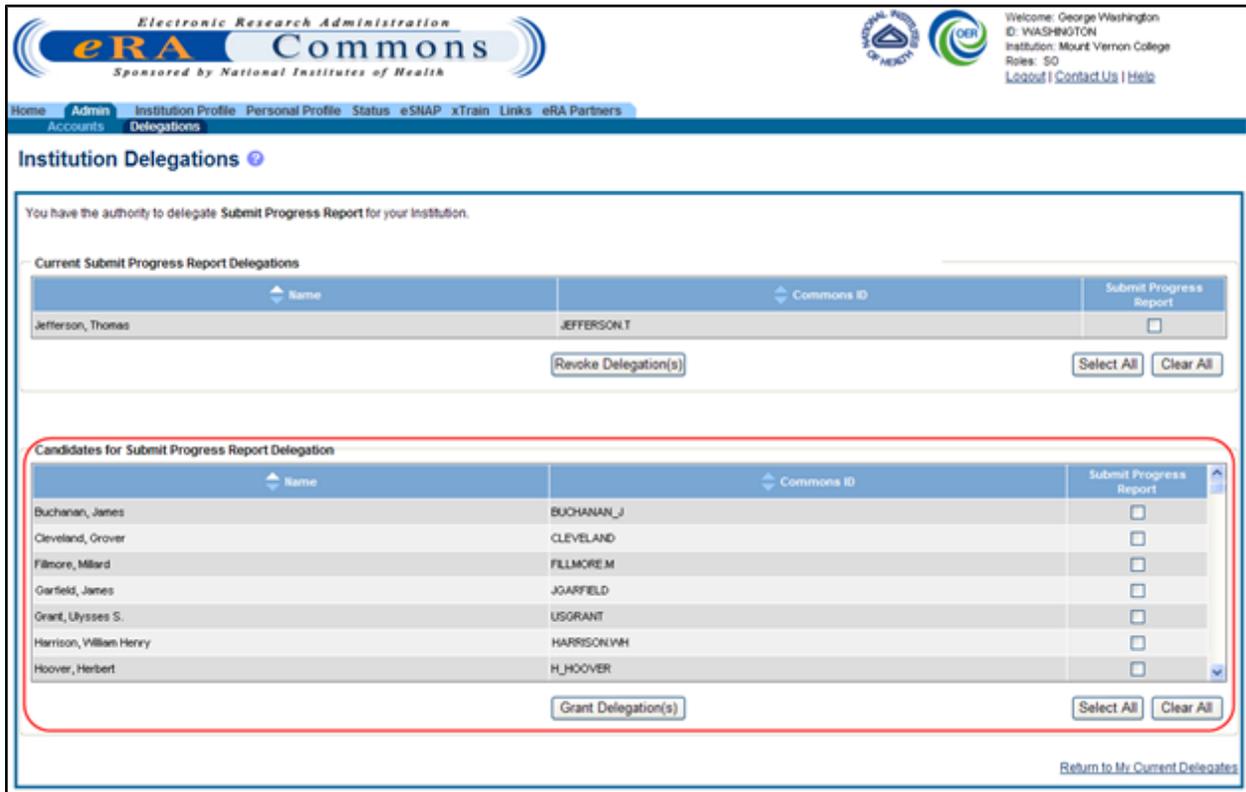


Figure 52: Candidates for Submit Progress Report Delegation

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.

4. 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.

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

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 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 contains one row for 'Jefferson, Thomas' with Commons ID 'JEFFERSON.T' and an unchecked checkbox. Below the 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 seven candidates: Buchanan, James; Cleveland, Grover; Fillmore, Milard; Garfield, James; Grant, Ulysses S.; Harrison, William Henry; and Hoover, Herbert. The 'Grant Delegation(s)' button is circled in red. The checkbox for 'Buchanan, James' is also circled in red. Below the table are 'Select All' and 'Clear All' buttons.

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

Figure 53: Grant Delegation(s) Button

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.

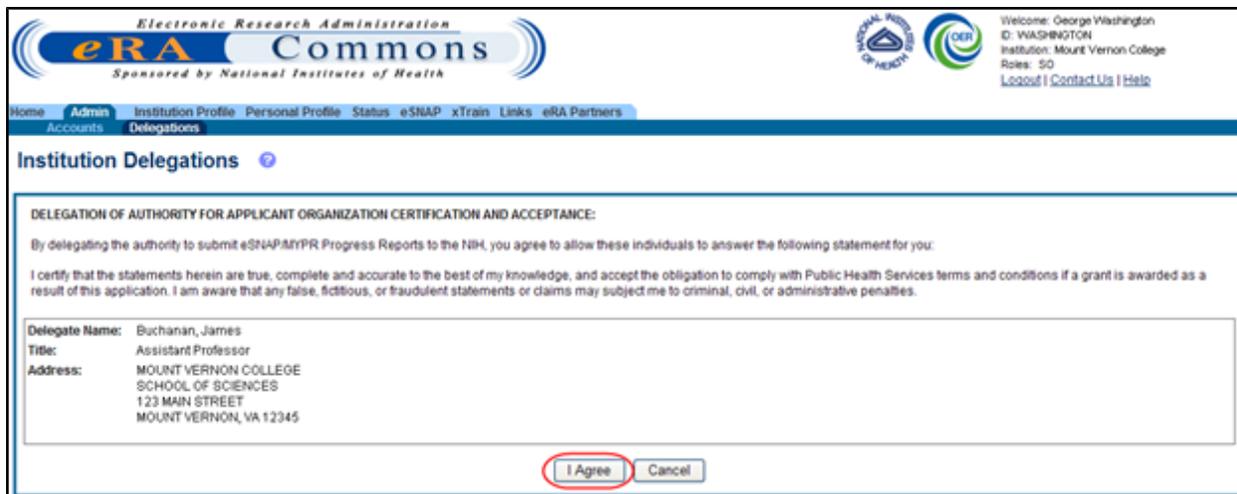


Figure 54: Delegation of Authority for Applicant Organization Certification and Acceptance

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.

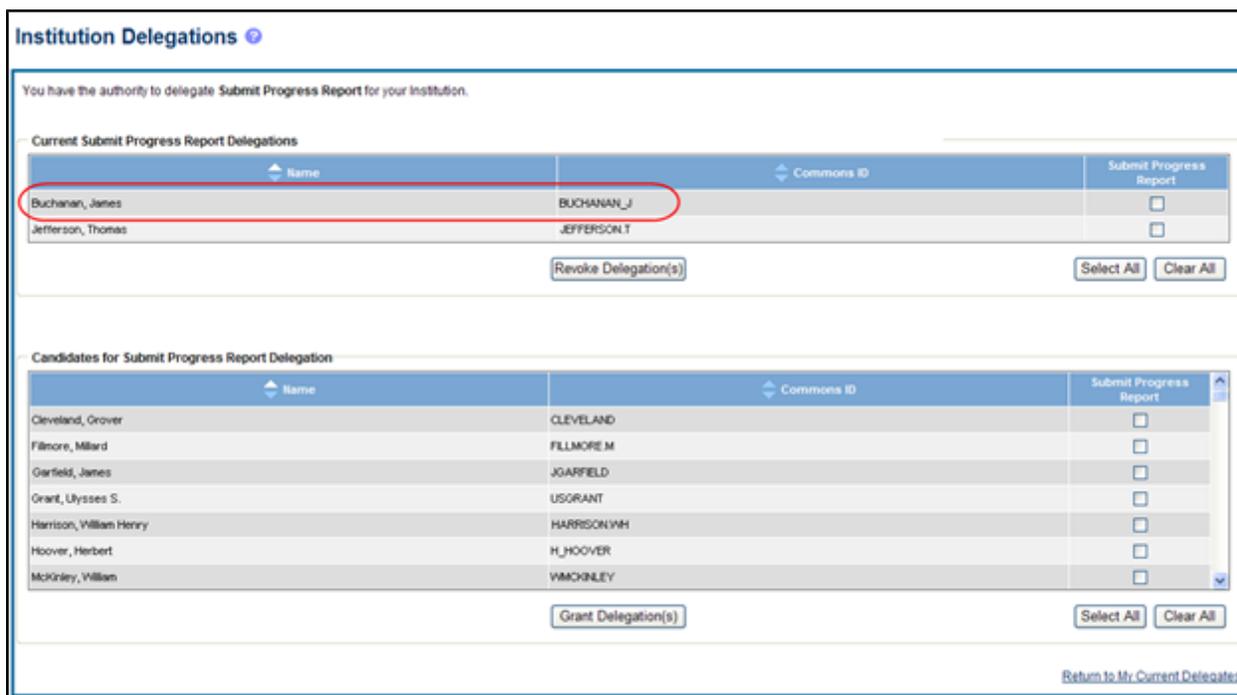


Figure 55: Institution Delegations Screen with Updated Current Submit Progress Report Delegations

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**.

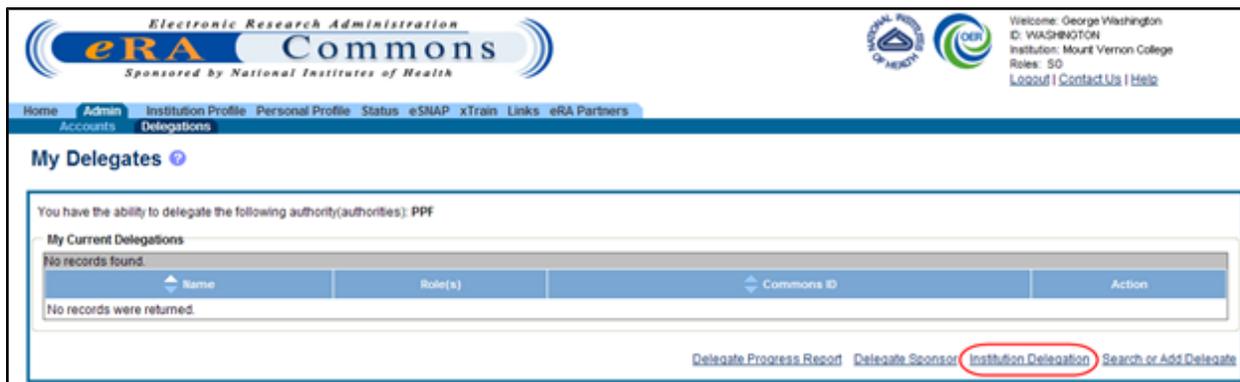


Figure 56: Institution Delegation Link for Revoking Submit Progress Report Authority

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 56](#) 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.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

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

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

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"/> |

[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, Millard | FILMORE_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"/> |
| McKinley, William | WMCKINLEY | <input type="checkbox"/> |

[Grant Delegation\(s\)](#) [Select All](#) [Clear All](#)

[Return to My Current Delegates](#)

Figure 57: Current Submit Progress Report Delegations

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 **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.

- 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 | GARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <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](#)

Figure 58: Revoke Delegation(s) Button

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**

Figure 59: Confirmation for Revoking Submit Progress Report Authority

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' screen. 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"/> |
| Fillmore, Milard | FILLMORE M | <input type="checkbox"/> |
| Garfield, James | JGARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harizon, William Henry | HARRISONWH | <input type="checkbox"/> |
| Hoover, Herbert | H_HOOVER | <input type="checkbox"/> |
| Jefferson, Thomas | JEFFERSONT | <input type="checkbox"/> |

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

Return to My Current Delegates

Figure 60: Institution Delegations Screen after Revoking User's Delegation

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 46* 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 70* 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**.

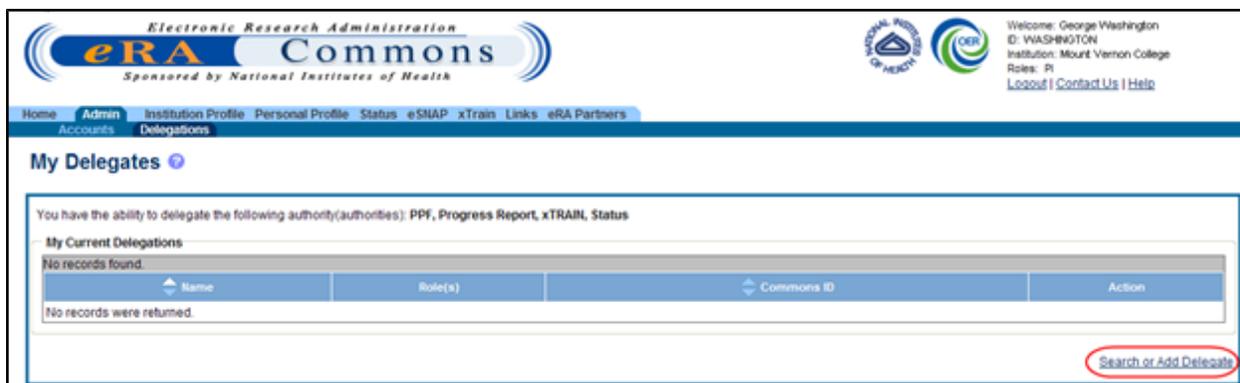


Figure 61: My Delegates Screen - Search or Add Delegate Link

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.

Figure 62: Search for 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.

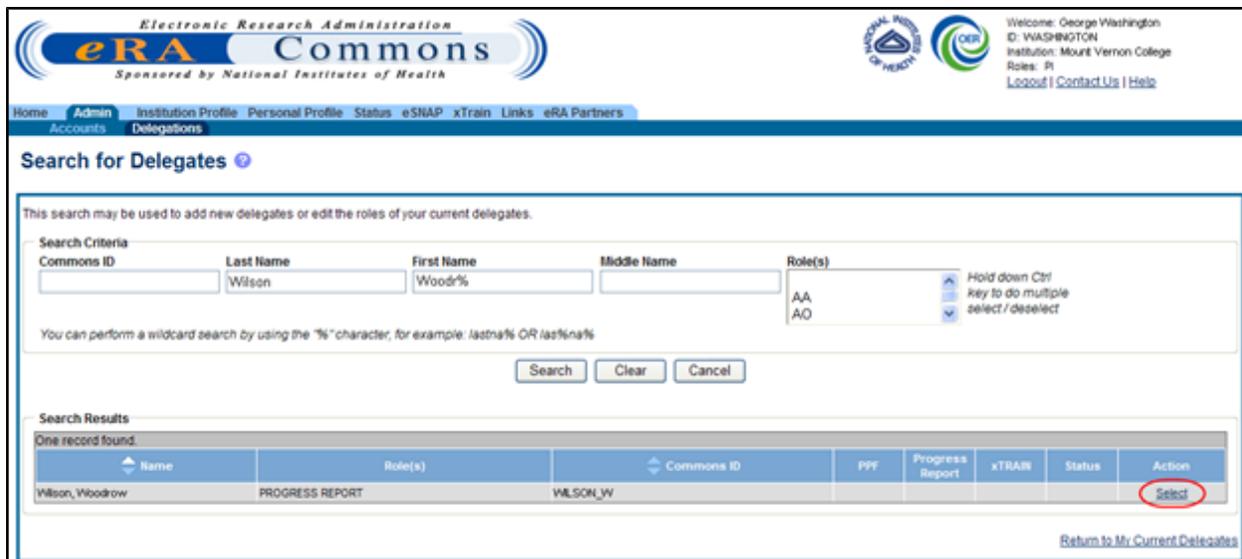


Figure 63: Select Link on the Search for Delegates Search Results

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.



Figure 64: Delegate Authority (Authorities) Screen

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: [Wilson] First Name: [Woodr%] Middle Name: [] Role(s): [AA, AO] 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] [Clear] [Cancel]

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](#)

Figure 65: Delegated Authorities Displayed in Search Results

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
Role: IR
[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](#)

Figure 66: My Current Delegations with Added Delegates

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**.

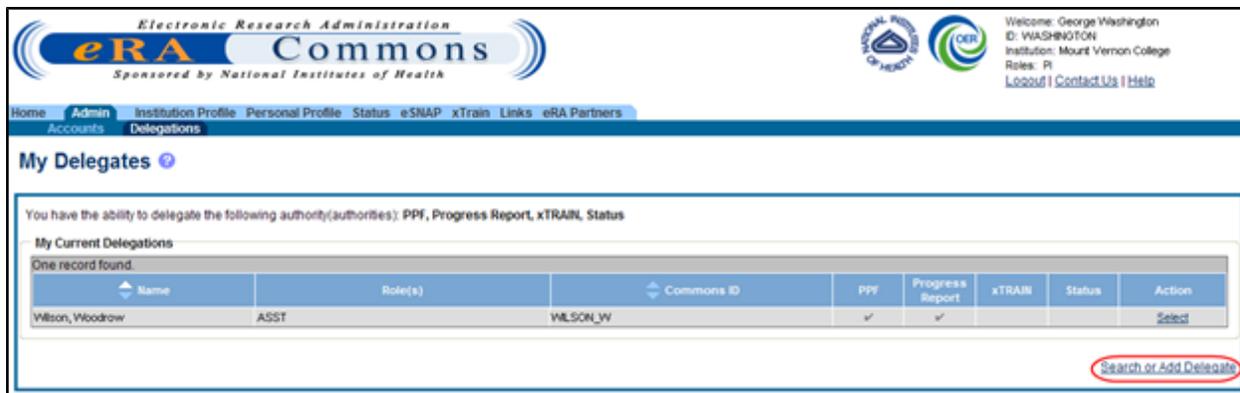


Figure 67: Search or Add Delegates Link

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.

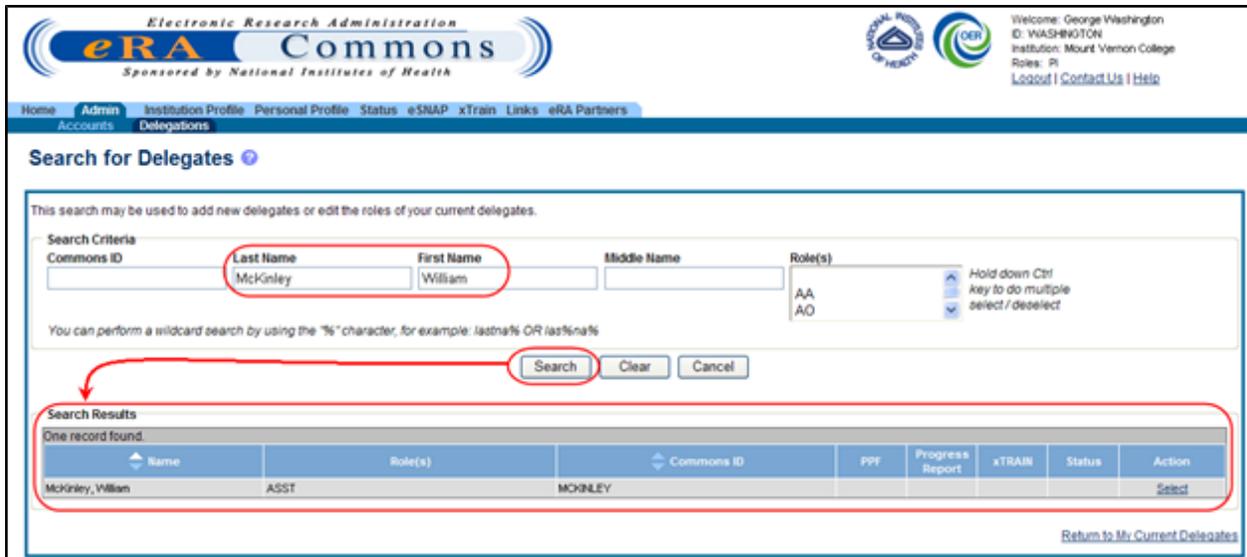


Figure 68: Search for Delegates Search Results

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.

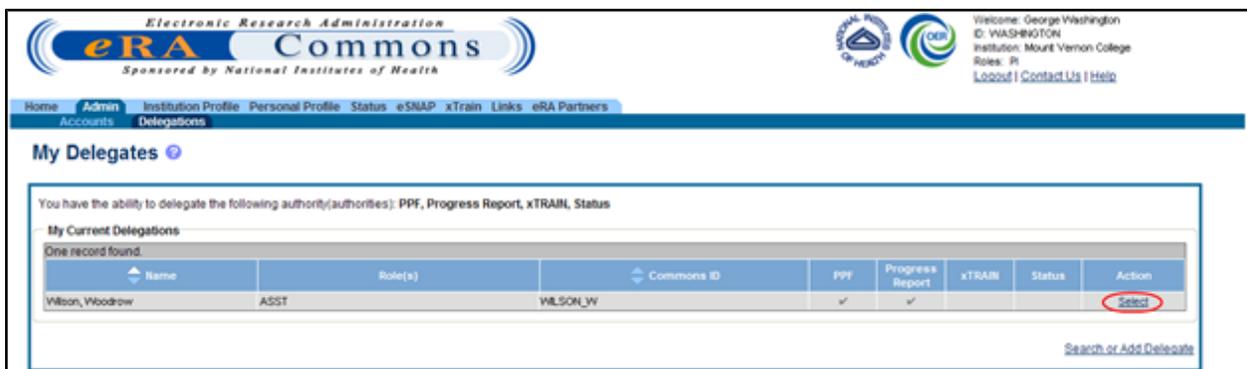


Figure 69: My Current Delegates - Select Link

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.

Figure 70: Delegated Authorities are Updated by Selecting or Unselecting Checkboxes

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_W | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | 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.

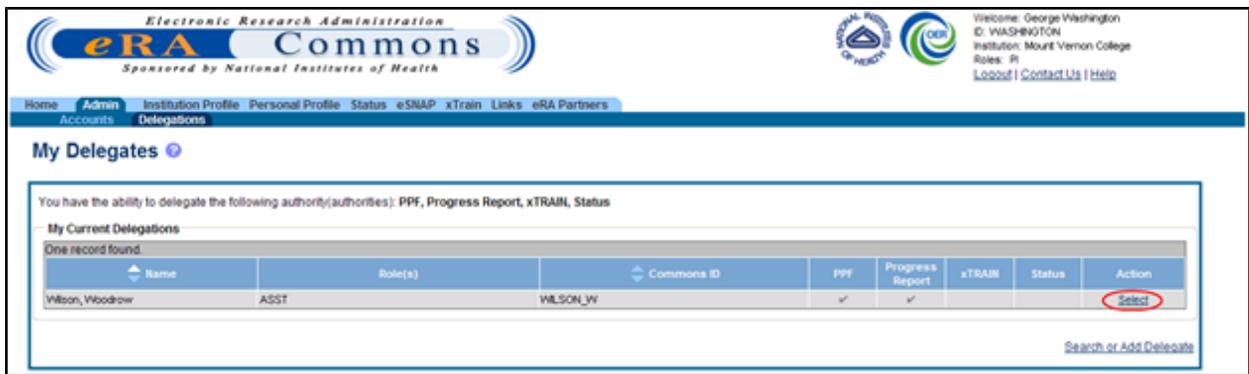


Figure 71: My Current Delegates

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.

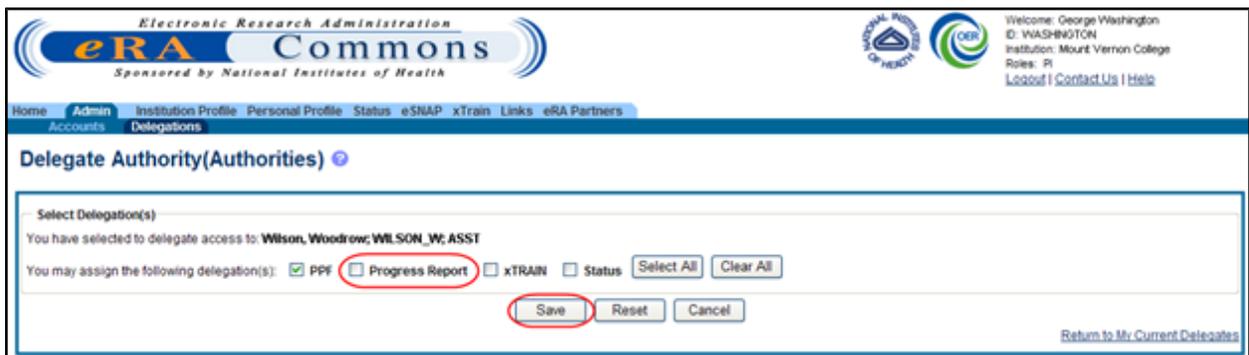


Figure 72: Unselecting the Checkbox Removes the Delegation

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.

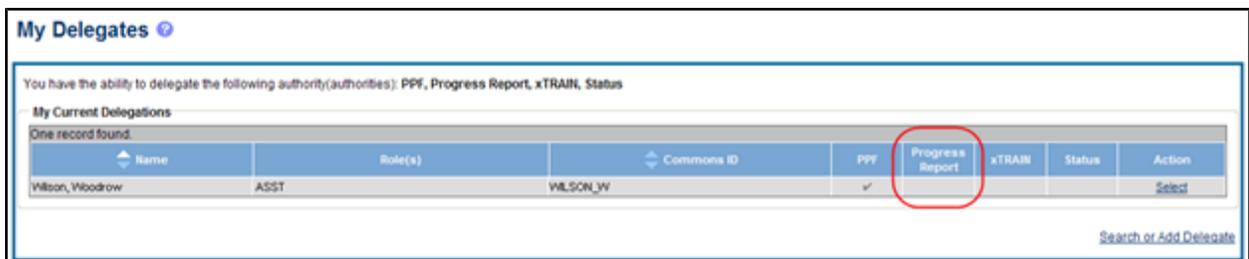


Figure 73: Revoked Authorities are Removed from My Current Delegations

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.

Figure 74: Sample Institution Profile

10.2 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.

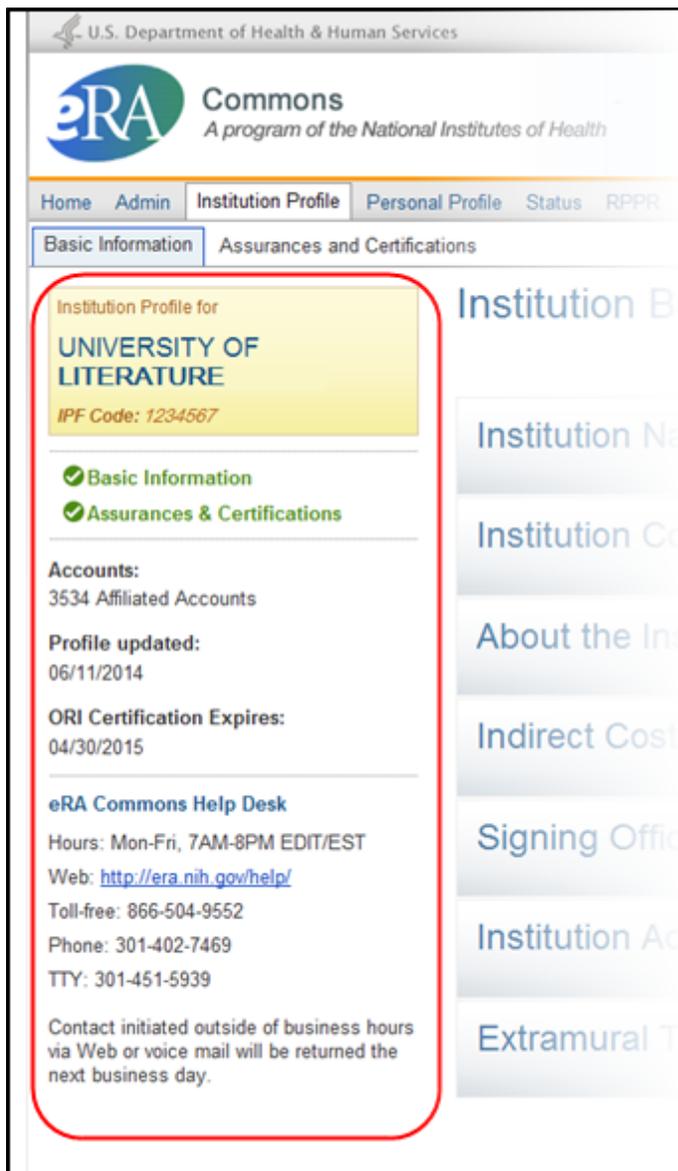


Figure 75: Institution Profile Dashboard

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

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.

10.2.1 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.

10.2.2 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).



Figure 76: Personal Profile Online Help Icons

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>

10.3 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.

10.3.1 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)

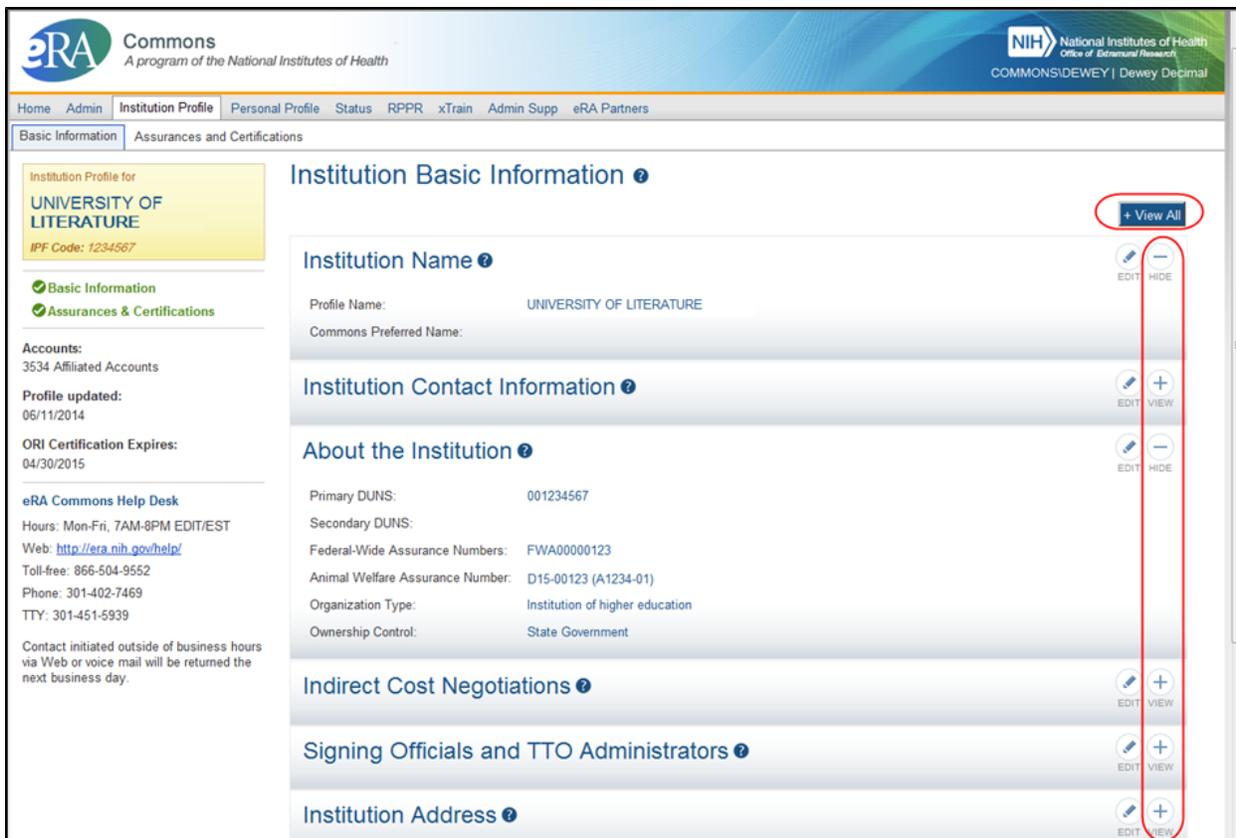


Figure 77: Institution Profile (Basic Information) View Options

10.3.2 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.

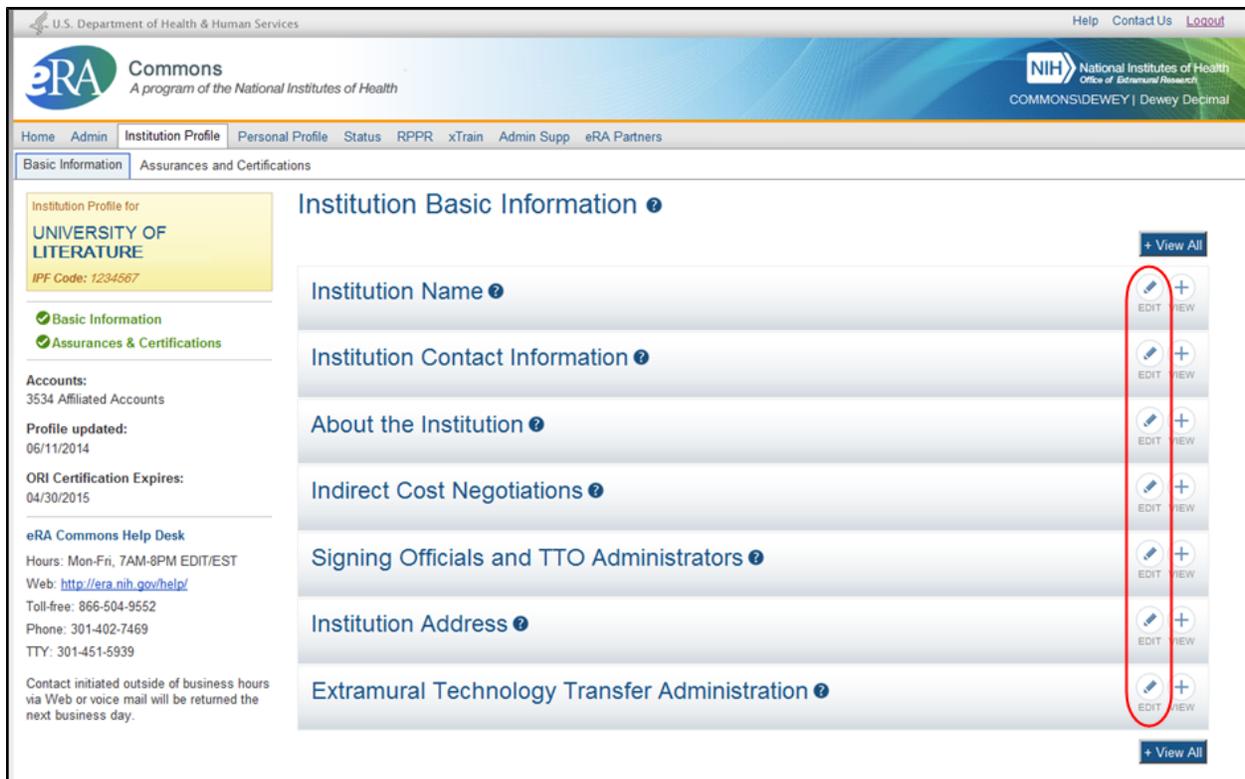


Figure 78: Institution Profile Edit Options

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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eRA Commons
A program of the National Institutes of Health

NIH National Institutes of Health
Office of Extramural Research
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

+ 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

Figure 79: Institution Profile (Basic Information) in Edit Mode

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.

10.4 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.

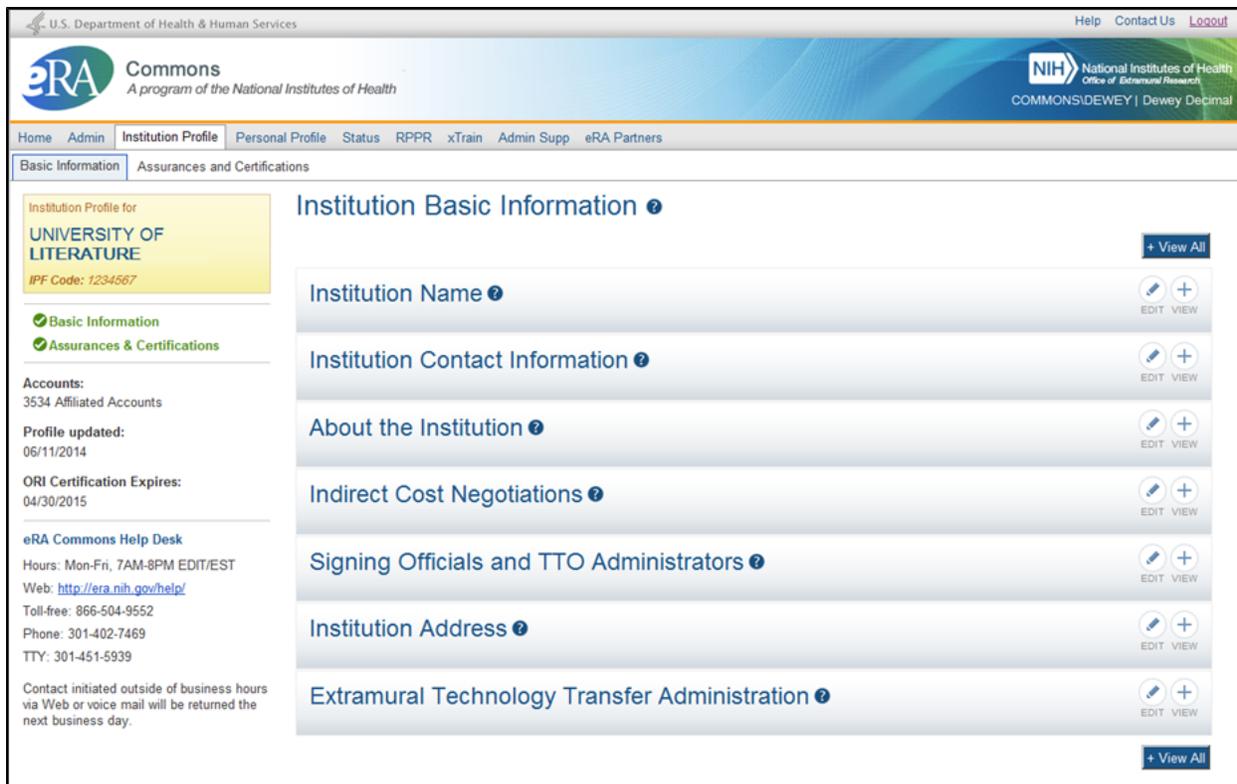


Figure 80: Institution Basic Information

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.

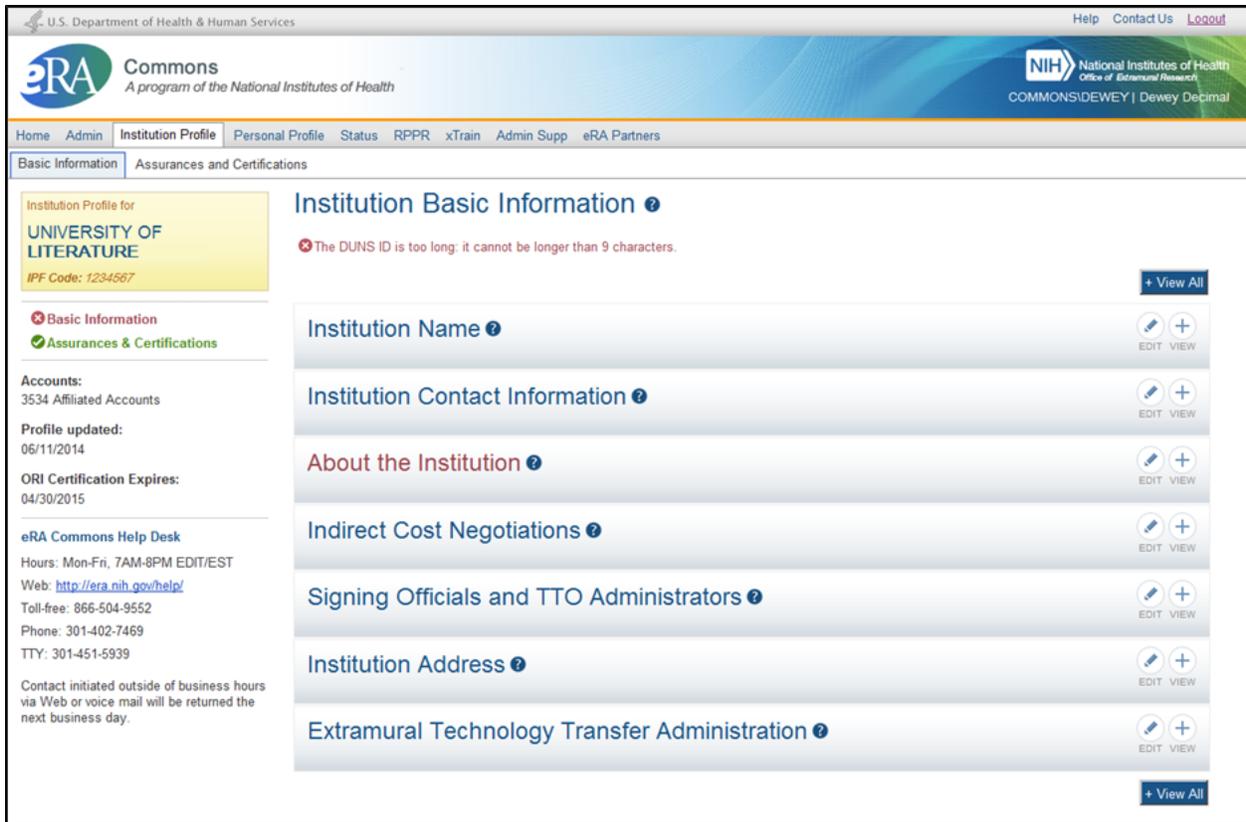


Figure 81: Institution Profile Summary Indicating Missing Information

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

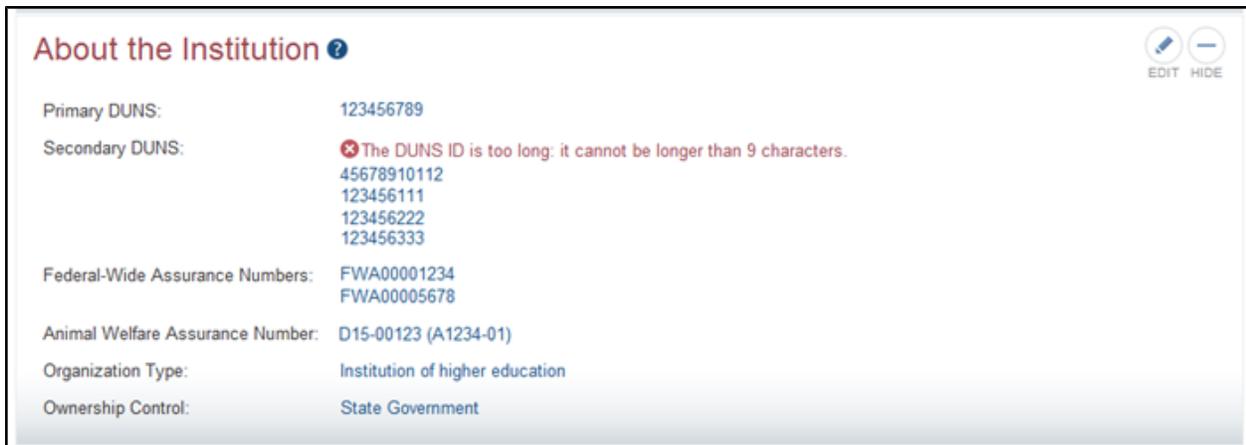


Figure 82: Institution Profile Error Message Within the Specific Component

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)



Figure 83: View, View All, & Edit Buttons on Institution Profile (Basic Information)

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 74](#).

10.4.1 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**.

10.4.1.1 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)

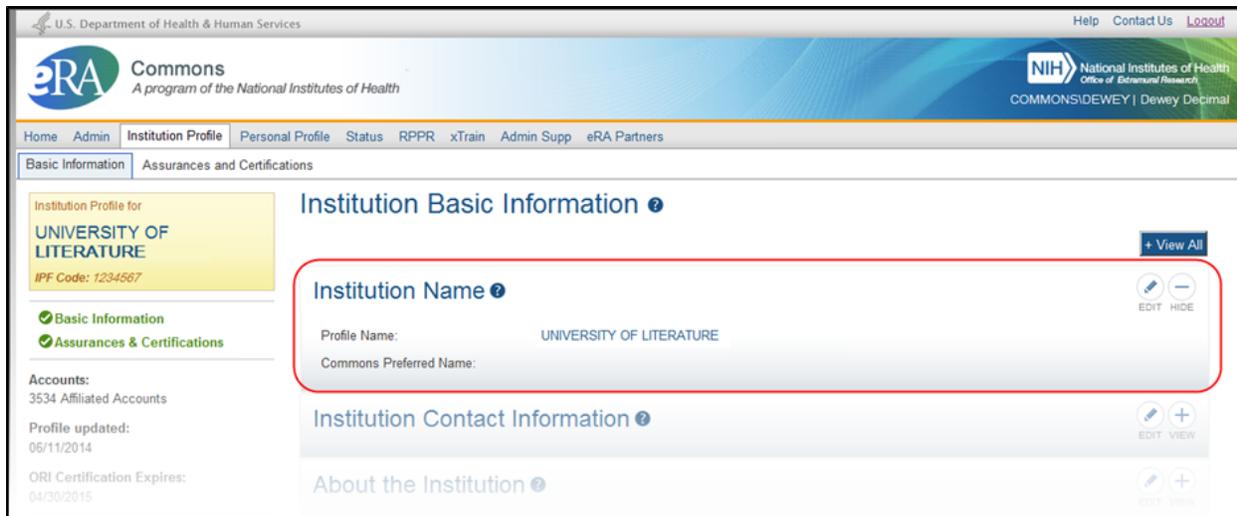


Figure 84: Institution Name Component of IPF in View Mode

10.4.1.2 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.

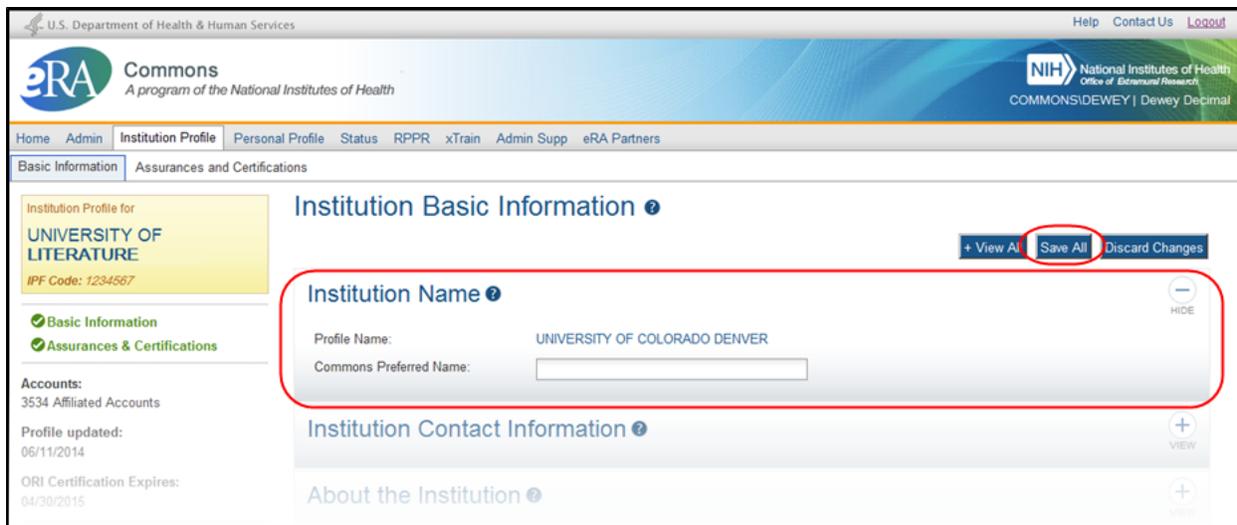


Figure 85: Institution Name Component of IPF in Edit Mode

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.

10.4.2 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.

10.4.2.1 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
COMMONSIDEWAY | 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

Institution Name

Institution Contact Information

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

Figure 86: Institution Contact Information Component of IPF in View Mode

10.4.2.2 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:

U.S. Department of Health & Human Services | Help | Contact Us | Logout

eRA Commons
A program of the National Institutes of Health

National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | 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

Figure 87: Institution Contact Information Component of IPF in Edit Mode

- **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.

10.4.3 About the Institution

IMPORTANT: This topic is in the process of being revised. To read about changes to this screen, please refer to the [Commons Release Notes for the April 17, 2015 Quarterly Release](#).

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.

10.4.3.1 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**

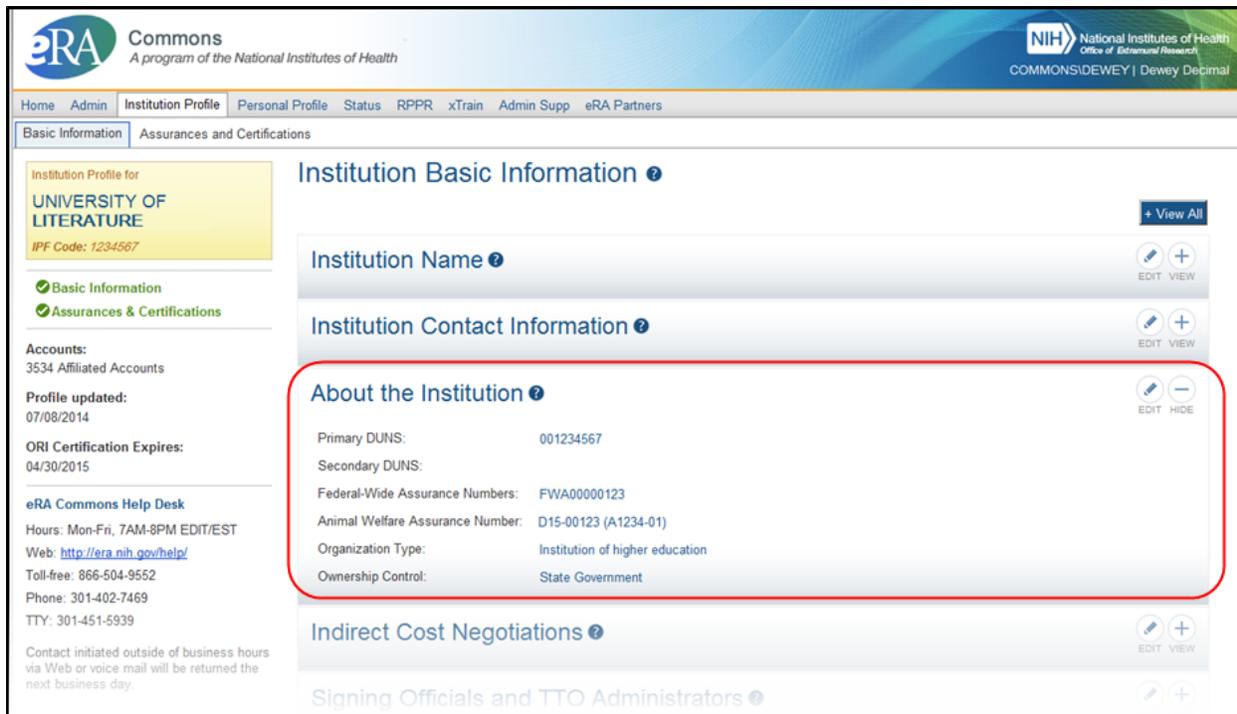


Figure 88: About the Institution Component of IPF in View Mode

10.4.3.2 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.

U.S. Department of Health & Human Services | Help | Contact Us | Logout

eRA Commons
A program of the National Institutes of Health

National Institutes of Health
Office of Extramural Research
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:
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 ⓘ + VIEW

About the Institution ⓘ - HIDE

Primary DUNS: 001234567

Secondary DUNS: Add

Federal-Wide Assurance Numbers: FWA00000123 Remove
Add

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

Organization Type: Institution of higher education

Ownership Control: State Government

Indirect Cost Negotiations ⓘ + VIEW

Figure 89: About the Institution Component of IPF in Edit Mode

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.

Figure 90: Secondary DUNS Text Fields Display when Add Button is Selected

- 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.

Figure 91: Removing a Secondary DUNS

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 information:

- Primary DUNS: 001234567
- Secondary DUNS: Add
- Federal-Wide Assurance Numbers:
 - FWA00001234 Remove
 - [Empty text field] Remove
 - Add (highlighted with a red circle and arrow)
- Animal Welfare Assurance Number: D15-00123 (A1234-01)
- Organization Type: Institution of higher education
- Ownership Control: State Government

Figure 92: Federal-Wide Assurance Number Text Field Displays when Add Button is Selected

- 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.

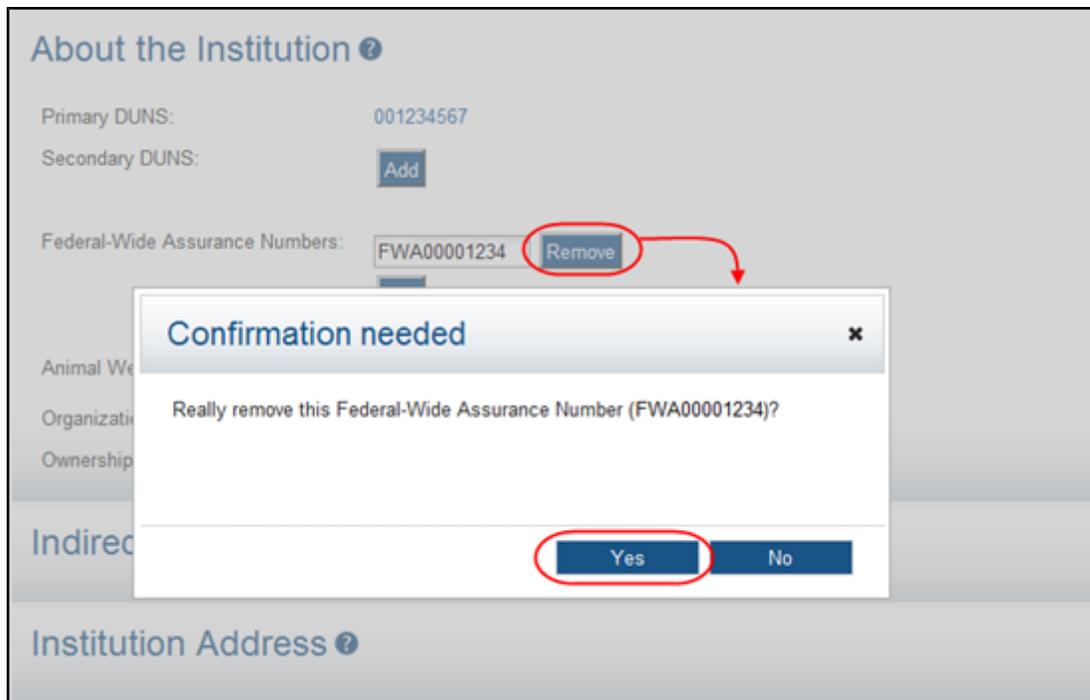


Figure 93: Removing an FWA Number

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.

10.4.4 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.

10.4.4.1 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**

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 displays several sections: "Institution Name", "Institution Contact Information", "About the Institution", and "Indirect Cost Negotiations". The "Indirect Cost Negotiations" section is highlighted with a red box and contains the following information:

| | | |
|------------------------|-------------------|---|
| 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 | |

Below this section is the "Signing Officials and TTO Administrators" section.

Figure 94: Indirect Cost Negotiations Component of IPF in View Mode

10.4.4.2 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.

The screenshot displays the 'Institution Basic Information' page for the University of Literature (IPF Code: 1234567). The 'Indirect Cost Negotiations' section is highlighted with a red border and contains the following fields:

- Negotiator Name:** A text input field.
- Last Negotiation Date:** A date input field with the format MM/DD/YYYY.

Help text for the Negotiator Name field: "The name of the agent who negotiated the most recent indirect cost agreement, and the date of that negotiation."

Figure 95: Indirect Cost Negotiations Component of IPF in Edit Mode

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.

10.4.5 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**

The screenshot displays the 'Institution Profile for UNIVERSITY OF LITERATURE' with IPF Code: 1234567. The left sidebar includes sections for 'Basic Information', 'Assurances & Certifications', 'Accounts' (3534 Affiliated Accounts), 'Profile updated: 07/09/2014', 'ORI Certification Expires: 04/30/2015', and '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). The main content area features several component tiles: 'About the Institution', 'Indirect Cost Negotiations', 'Signing Officials and TTO Administrators' (highlighted with a red box), 'Institution Address', and 'Extramural Technology Transfer Administration'. The 'Signing Officials and TTO Administrators' tile lists the following individuals:

| | | |
|-------------------------------------|---------------|----------------------------|
| 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 |

At the bottom right of the profile, there is a '+ View All' button.

Figure 96: Signing Official & TTO Administrator Component of IPF

10.4.6 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.

10.4.6.1 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**

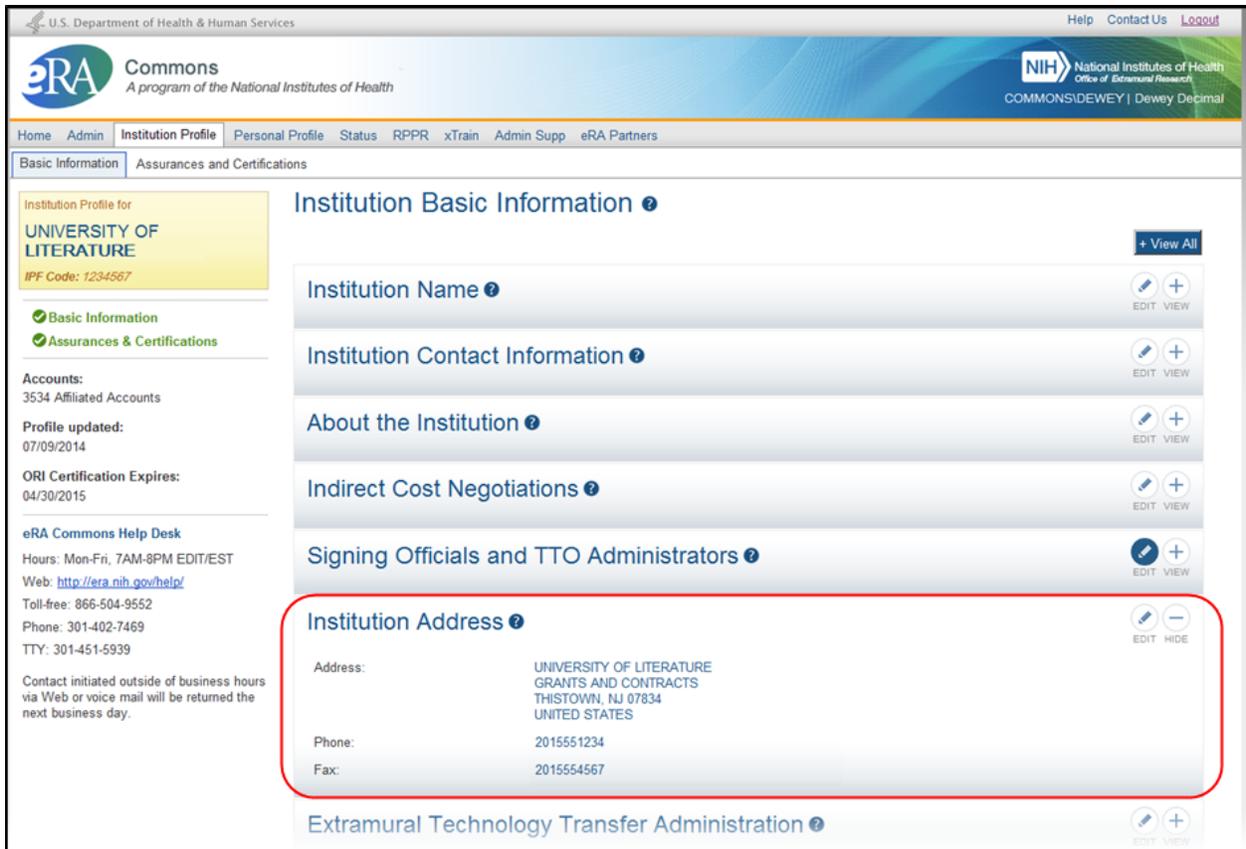


Figure 97: Institution Address Component of IPF in View Mode

10.4.6.2 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.

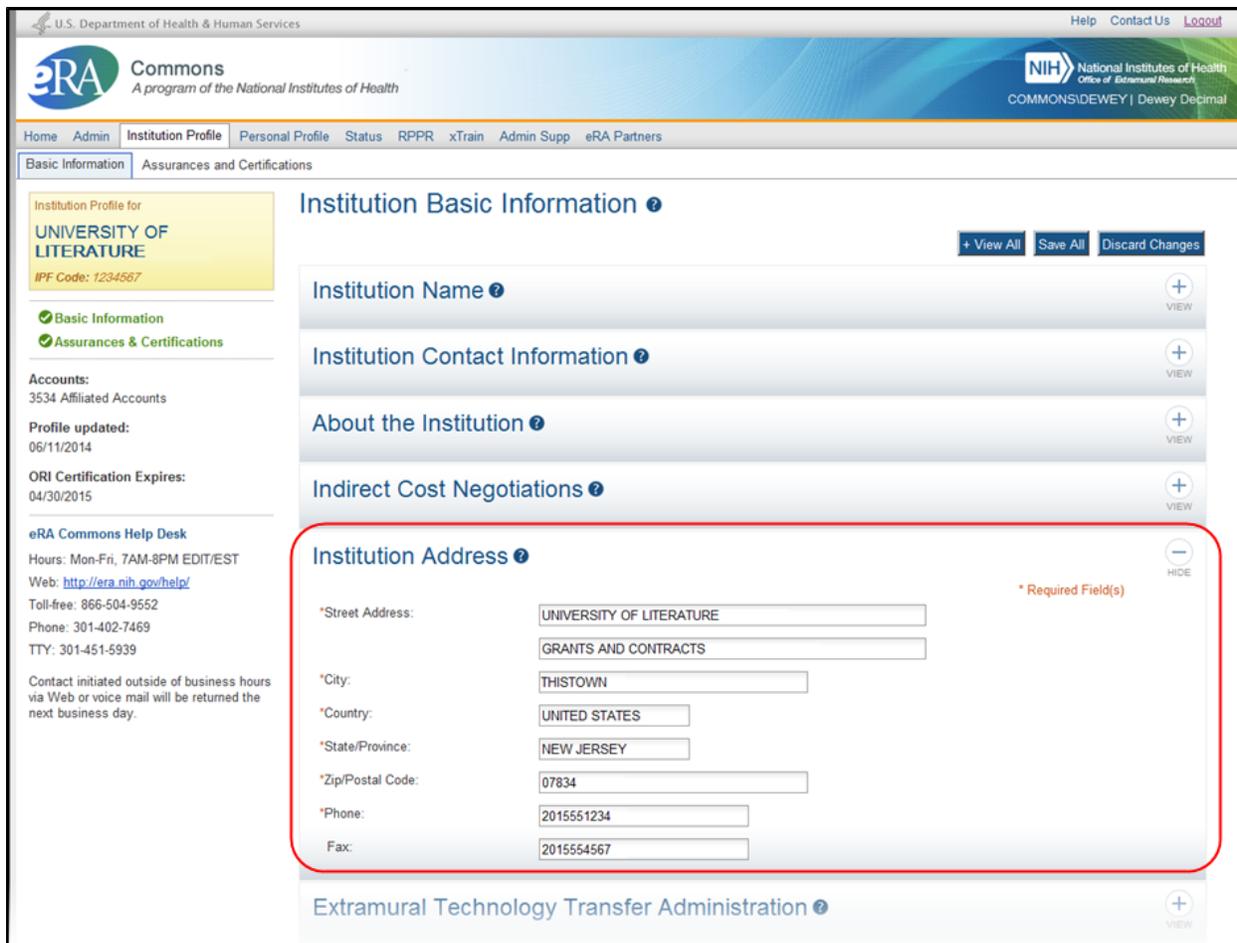


Figure 98: Institution Address Component of IPF in Edit Mode

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.

10.4.7 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.

10.4.7.1 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 shows the 'Extramural Technology Transfer Administration' component of an Institution Profile for the University of Literature. The component is highlighted with a red border. It displays 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

Other components visible in the profile include 'About the Institution', 'Indirect Cost Negotiations', 'Signing Officials and TTO Administrators', and 'Institution Address'. The left sidebar shows 'Basic Information' and 'Assurances & Certifications' tabs, along with account and profile update details.

Figure 99: Extramural Technology Transfer Administration Component of IPF in View Mode

10.4.7.2 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.

Figure 100: Extramural Technology Transfer Administration Component of IPF in Edit Mode

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.

10.5 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.

The screenshot shows the 'Institutional Assurances and Certifications' page for the University of Literature. The page is titled 'Institutional Assurances and Certifications' and includes a navigation menu with options like Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, and eRA Partners. The main content area is divided into two sections: 'Status' and 'Assurances and Certifications'. The 'Status' section indicates that the Office of Research and Integrity Certification Status is 'Assurance OK' and that the certification expires on 04/30/2015. The 'Assurances and Certifications' section lists various policies that the institution complies with, including Age Discrimination Assurance, Civil Rights Assurance, Handicapped Individuals Assurance, Inclusion of Children Policy, Sex Discrimination Assurance, and Women and Minority Inclusion Policy. Each policy has a date and a checked checkbox indicating compliance.

Figure 101: Institutional Assurances and Certifications in View Mode

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](#).

10.5.0.1 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.

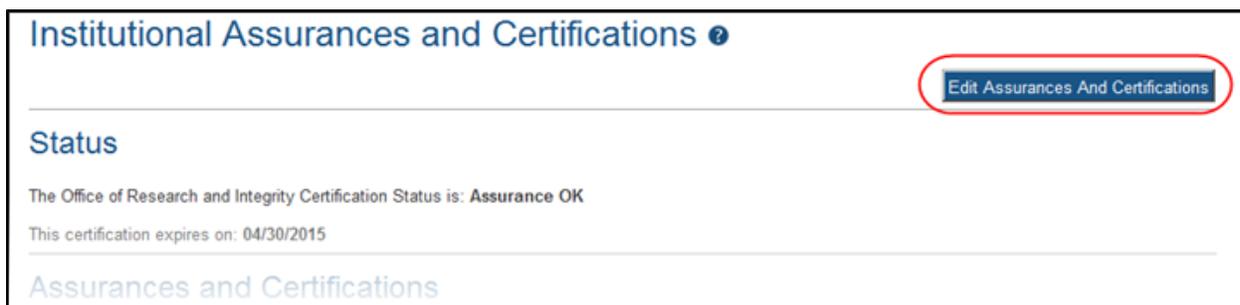


Figure 102: Edit Assurances and Certifications Button

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.

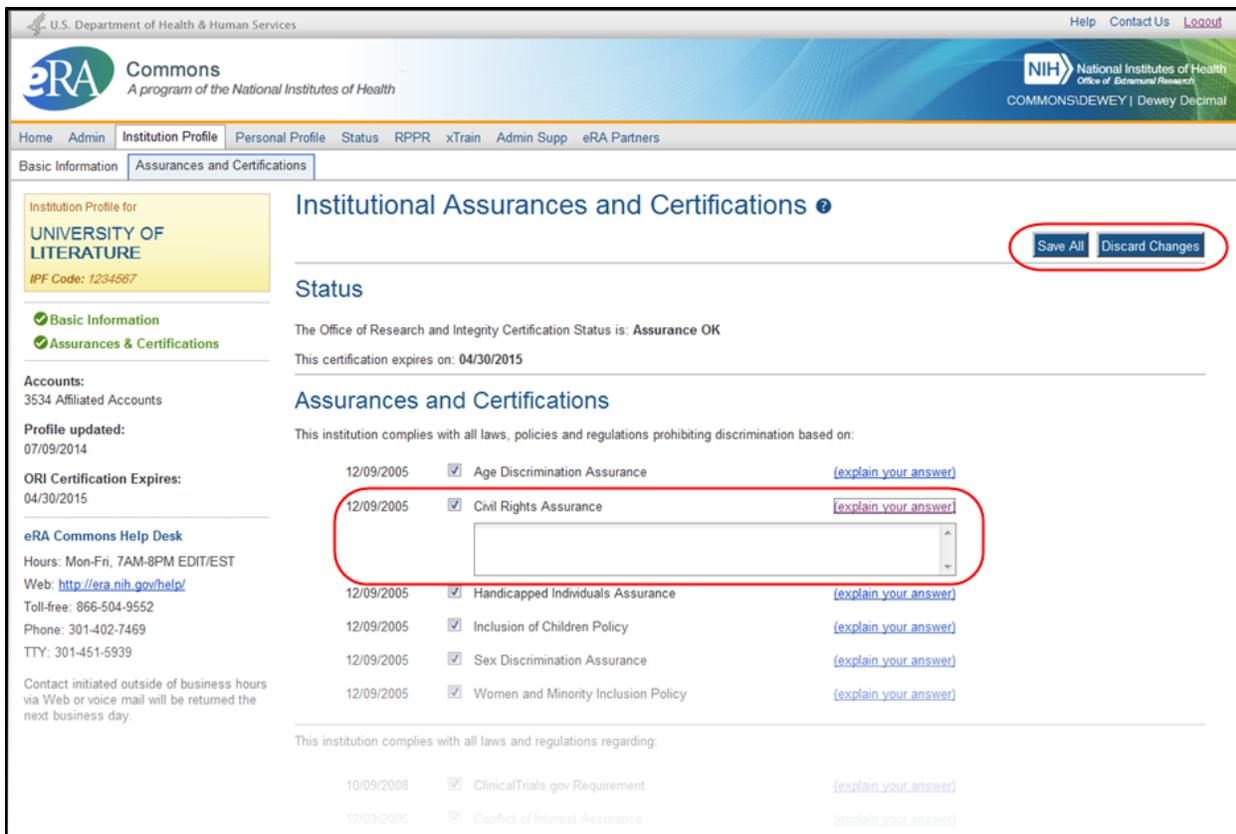


Figure 103: Editing Institutional Assurances and Certifications

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 residency 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 (<http://era.nih.gov/erahelp/ppf/>) or the *eRA Commons Personal Profile Module User Guide* (http://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

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 *Status Screen for Signing Officials (SO Role)* on Page 109 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 128 if you have a PI role.

12.1 Status Screen for Signing Officials (SO Role)

If you have an SO (or AO) role in Commons, you can query for specific grant(s) using the Status module. Your view of the *Status* screen defaults to the *General Search*, but includes links for performing the following types of queries:

- **General Search**
- **Just in Time**
- **Pending Progress Reports**
- **Recently Awarded**
- **Recent/Pending eSubmissions**
- **Closeout**
- **Change of Institution**
- **Pending Inclusion Action**

All queries are performed in the same manner, by entering query parameters on the appropriate search screen and selecting the **Search** button. Select the links on the main *Status* screen to access the corresponding search screen.

12.1.1 General Search

The *General Search* screen is the default search feature for a general search of grants or applications. The corresponding search results provide links for launching grant-specific functionality such as RPPR, JIT, and No-Cost Extensions, etc., when available for a particular

grant. Refer to the section of this document titled *Status Result - General Search on Page 123* for more information.

Enter one or more of the query parameters to narrow the search results.

Status ?

Important Note:
Please provide additional search parameters to narrow down your searches by PI First and Last name. This will enable search results to retrieve data promptly and avoid existing issue of delay in data retrieval.

- [General Search](#)
- [Just In Time](#)
- [Pending Progress Report](#)
- [Recently Awarded](#)
- [Recent/Pending eSubmissions](#)
- [Closeout](#)
- [Change of Institution](#)
- [Pending Inclusion Action](#)

| General Search | | | | | | | |
|--|--------------------------|--------------------------|----------------------|----------------------|----------------------|--------------------------|--|
| Grant Number | Type | Activity Code | Institution Code | Serial Num. | Support Yr. | Suffix | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <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 | First | | | | <input type="text"/> | |
| Application Status | All <input type="text"/> | | | | | | |
| Eligible for FFATA Reporting | <input type="checkbox"/> | | | | | | |
| Eligible for Hurricane Sandy Reporting | <input type="checkbox"/> | | | | | | |
| Budget Start Date | From | 09/16/2013 | <input type="text"/> | To | 03/16/2015 | <input type="text"/> | |
| Budget End Date | From | <input type="text"/> | <input type="text"/> | To | <input type="text"/> | <input type="text"/> | |
| Organization Hierarchy | School | ALL <input type="text"/> | | | | | |
| | Division | ALL <input type="text"/> | | | | Department | |
| | ALL <input type="text"/> | | | | | ALL <input type="text"/> | |
| <input type="button" value="Search"/> <input type="button" value="Clear"/> | | | | | | | |

Figure 104: Status - General Search for SOs

The query parameters in General Search are as follows:

- **Grant Number**
- **Accession Number**

Accession number is a unique value assigned by the Center for Scientific Review (CSR) to applications before being assigned with an NIH grant number.

- **Grants.gov Tracking #**
- **PI Name**
- **Application Status**

Select from the drop-down list.

- **Eligible for FFATA Reporting**

Selecting this checkbox returns matching grants eligible for Federal Funding Accountability and Transparency Act reporting.

- **Eligible for Hurricane Sandy Reporting**

Selecting this checkbox returns only matching grants designated as NIH Hurricane Sandy Recovery awards.

- **Budget Start Date and Budget End Date**

You can enter a range of dates for the budget start and end dates 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.

- **Organization Hierarchy**

Select **School**, **Division**, and/or **Department** from the drop-down lists.

12.1.2 Just in Time

Commons provides the **JIT** (Just in Time) link 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. SOs can search for applications with the **JIT** link using the *Just in Time* search feature.

Enter one or more of the query parameters to narrow the search results. The query parameters in Just in Time search are as follows:

- **Grant Number**

- **PI Name**

- **Application Status**

Select from the drop-down box.

- **Organization Hierarchy**

Select **School**, **Division**, and/or **Department** from the drop-down lists.

Status ?

- General Search
- Just In Time
- Pending Progress Report
- Recently Awarded
- Recent/Pending eSubmissions
- Closeout
- Change of Institution
- Pending Inclusion Action

| Just In Time | | | | | | |
|--|----------|---------------|------------------|-------------|-------------|--------|
| Grant Number | Type | Activity Code | Institution Code | Serial Num. | Support Yr. | Suffix |
| | | | | | | |
| PI Name | Last | | First | | | |
| | | | | | | |
| Application Status | Pending | | | | | |
| Organization Hierarchy | School | | | | | |
| | ALL | | | | | |
| | Division | | Department | | | |
| | ALL | | ALL | | | |
| <input type="button" value="Search"/> <input type="button" value="Clear"/> | | | | | | |

Figure 105: Status - Just in Time Search for SOs

The corresponding search results include links for accessing the Just in Time module. These are the same links that appear in the *Status Result - General Search* results. [Refer to the section of this document titled *Status Result - General Search* on Page 123](#) for information on search results.

For the purpose of JIT, perform the following from the search results:

- Select the **JIT** link from the **Action** column to open the *Just In Time* screen. [Refer to the section of this document titled *Just in Time \(JIT\)* on Page 171](#) for more information on this screen.

12.1.3 Pending Progress Report

Commons provides the **RPPR** link for applications requiring a Research Performance Progress Report (RPPR). SOs can search for these applications using the *Pending Progress Report* search feature.

Enter one or more of the query parameters to narrow the search results. The query parameters in Pending Progress Report search are as follows:

- **Grant Number**
- **Late Progress Report** (checkbox)
- **Due Date**

You can enter a range of dates for the due 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.

- **PI Name**

- **Application Status**

Select from the drop-down box.

- **Organization Hierarchy**

Select **School**, **Division**, and/or **Department** from the drop-down lists.

The screenshot displays a search interface titled "Pending Progress Report". On the left, a sidebar menu under "Status" includes links for "General Search", "Just in Time", "Pending Progress Report" (highlighted with a red arrow), "Recently Awarded", "Recent/Pending eSubmissions", "Closeout", "Change of Institution", and "Pending Inclusion Action". The main search form contains the following fields and controls:

- Grant Number**: Input field
- Type**: Input field
- Activity Code**: Input field
- Institution Code**: Input field
- Serial Num.**: Input field
- Support Yr.**: Input field
- Suffix**: Input field
- Late Progress Report**:
- Due Date**: From (MM/DD/YYYY) To (MM/DD/YYYY)
- PI Name**: Last First
- Application Status**: Pending (dropdown menu)
- Organization Hierarchy**: School (dropdown menu)
 - Division: ALL (dropdown menu)
 - Department: ALL (dropdown menu)
- Search** and **Clear** buttons at the bottom.

Figure 106: Status - Pending Progress Report Search for SOs

The corresponding search results include links for accessing the RPPR module. These are the same links that appear in the *Status Result - General Search* results. Refer to the section of this document titled *Status Result - General Search on Page 123* for information on search results.

For the purpose of pending progress reports, perform the following from the search results:

- Select the **RPPR** link from the **Action** column to access the *RPPR Menu* screen to review and submit Research Performance Progress Reports (RPPR). Refer to the section of this document titled *Research Performance Progress Report (RPPR) Module on Page 181* for more information.
- Select the **Closed** link to access the *Closeout Status* screen for submitting a Final Progress Report. Refer to the section of this document titled *Submitting Your Final Progress Report on Page 163*.

12.1.4 Recently Awarded

SOs can perform a query on recently awarded grants using the Recently Awarded search feature. The corresponding search results include all appropriate links for the grants. These are the same

links that appear in the *Status Result - General Search* results. [Refer to the section of this document titled *Status Result - General Search on Page 123*](#) for information on search results.

Enter one or more of the query parameters to narrow the search results. The query parameters in Recently Awarded search are as follows:

- **Grant Number**
- **PI Name**
- **Organization Hierarchy**

Select **School**, **Division**, and/or **Department** from the drop-down lists.

- **Days Since Award**

The screenshot shows a search interface titled "Status ?" with a navigation menu on the left. The main search form is titled "Recently Awarded" and contains the following fields:

| Grant Number | Type | Activity Code | Institution Code | Serial Num. | Support Yr. | Suffix |
|--|----------------------|--------------------------|----------------------|--------------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| PI Name | | | | | | |
| Last | | First | | | | |
| <input type="text"/> | | <input type="text"/> | | | | |
| Organization Hierarchy | | School | | | | |
| | | ALL <input type="text"/> | | | | |
| | | Division | | Department | | |
| | | ALL <input type="text"/> | | ALL <input type="text"/> | | |
| Days Since Award | | 15 <input type="text"/> | | | | |
| <input type="button" value="Search"/> <input type="button" value="Clear"/> | | | | | | |

Figure 107: Status - Recently Awarded Search for SOs

12.1.5 Recent/Pending eSubmissions

SOs can perform a query on eSubmissions using the Recent/Pending eSubmissions search feature.

Enter one or more of the query parameters to narrow the search results. The query parameters in **Recent/Pending eSubmissions** search are as follows:

- **Accession Number**
- **Grants.gov Tracking #**
- **eSubmission Status**

Select from drop-down.

- **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.

Figure 108: Status - Recent/Pending eSubmissions Search for SOs

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 section of this document titled *Status Result - General Search on Page 123* for information on search results.](#)

For the purposes of eSubmission tracking, perform the following from the search results:

- Select the **Show All Prior Errors** link from the **Action** column to open the *Errors/Warnings for Prior Failed eSubmissions* screen, providing any errors or warnings received for the application during eSubmission.
- 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 136* for more information on this screen.](#)
- Select **Reject eApplication** to reject the eSubmission of an application. [Refer to the section of this document titled *Rejecting the eApplication on Page 179*.](#)

12.1.6 Closeout

SOs can perform a query on applications having gone through closeout or requiring closeout by using the Closeout search feature.

Enter one or more of the query parameters to narrow the search results. The query parameters in Closeout search are as follows:

- **Grant Number**
- **PI Name**
- **Project End Date**

You can enter a range of dates for the project end 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.

- **Closeout Status**

Select from the drop-down list.

- **Organization Hierarchy**

Select **School**, **Division**, and/or **Department** from the drop-down lists.

- **Requires FFR/FSR** (checkbox)

To include grants requiring FFR/FSR in the search results, keep this box checked.

- **Requires Final Progress Report** (checkbox)

To include grants requiring a final progress report in the search results, keep this box checked.

- **Requires Final Invention Statement** (checkbox)

To include grants requiring a final invention statement in the search results, keep this box checked.

- **Requires FRAM** (checkbox)

To include grants with a FRAM request in the search results, keep this box checked.

Figure 109: Status - Closeout Search for SOs

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 section of this document titled *Status Result - General Search on Page 123* for information on search results.

For the purpose of Closeout, perform the following from the search results:

- Select the **Requires Closeout** link from the **Action** column to access the *Closeout Status* screen. Refer to the section of this document titled *Closeout Status on Page 152* for more information on the Closeout module.

12.1.7 Change of Institution

SOs can perform a query on applications with relinquishing statements by using the Change of Institution search feature. The corresponding search results include all appropriate links for the applications.

Enter one or more of the query parameters to narrow the search results. The query parameters in Change of Institution search are as follows:

Search for Grants

- **Grant Number** (Institution Code and Serial Number are required)
- **PI Name**

Search for Relinquishing Statements

- **Grant Number**

The screenshot shows the 'Status' page with a navigation menu on the left and two search forms on the right. The navigation menu includes links for General Search, Just In Time, Pending Progress Report, Recently Awarded, Recent/Pending eSubmissions, Closeout, Change of Institution (highlighted with an orange arrow), and Pending Inclusion Action. The top search 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). The bottom search form is titled 'Search for Relinquishing Statements' and has fields for Grant Number, Type, Activity Code, Institution Code, Serial Num., Support Yr., and Suffix. Both forms have 'Search' and 'Clear' buttons.

Figure 110: Status - Change of Institution Search for SOs

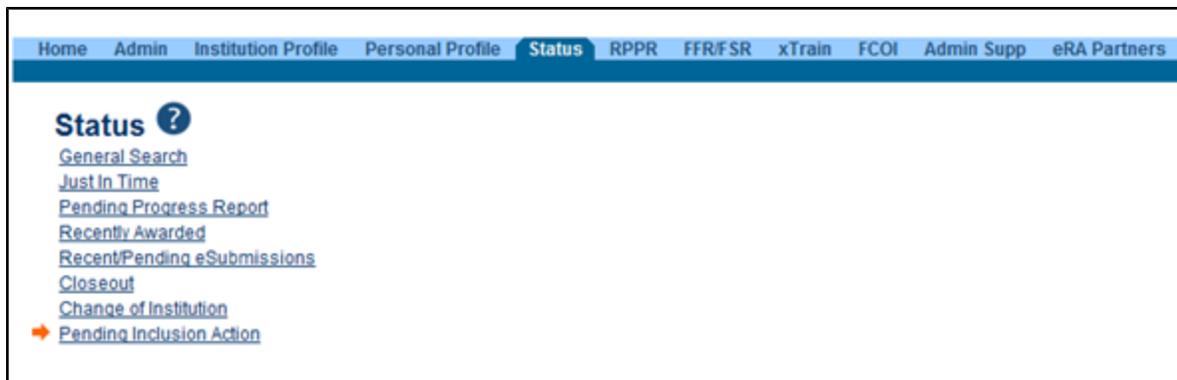
These are the same links that appear in the *Status Result - General Search* results. Refer to the section of this document titled *Status Result - General Search on Page 123* for information on search results.

For the purpose of completing a change of institution, perform the following from the search results:

- Select the **Managing Relinquishing Statement** link from the **Action** column to access the *Managing Relinquishing Statement* screen. [Refer to the Change of Institution online help for more information.](#)

12.1.8 Pending Inclusion Action

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



To view or manage these IDR's, select the **Inclusion** link from the results screen. After selecting the link, you will be taken to the Inclusion Management System (IMS). For more information about IMS via Status, refer to the separate [Inclusion Management System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, IMS 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.

The screenshot shows the 'Pending Inclusion Action' table. The table has a search result header indicating 2 records found. The table columns are: Grant Number, Accession Number, Grants.gov Tracking #, Proposal Title, PI Name, Application Status, Budget Start Date, Budget End Date, FFATA Flag, Sandy Eligible, and Action. Two records are displayed:

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

Figure 111: Status – Pending Inclusion Action for SOs

12.1.9 Re-Assign Grant

SOs can re-assign grants to specific schools and departments within their institutions using the *Re-Assign Grant* feature. SOs search for and select single or multiple grants and assign them to specific schools and departments from a list of existing ones. This information is then reflected in the general information of the grant wherever it is displayed (such as in *Status Information*).

Certain restrictions apply to the use of this feature and are as follows:

- The feature is available only to institutions of higher education
- Only Commons users with the SO role have access to the feature
- SOs can only search and select grants within their institutions

- Only parent grants can be re-assigned
- Any revisions and supplements associated with grants being moved will also be moved
- Grants must be in an awarded or pending status

To re-assign grants, select the **Re-Assign Grants** option from the left-side panel of the Status screen and follow the steps below.

1. Search and choose grants.
 - a. *Optional:* Use the parameters to narrow your search for grant(s) to be re-assigned. Parameters include:

- Grant number
- Contact PI first and last names

NOTE: For grants with multiple PD/PIs (MPIs), you can only search for the Contact PI.

- School (select from list)
- Department (select from list)

- b. Select the **Search** button.

A list of matching grants displays on the screen. The information includes the name of the school and department to which the grant is currently assigned.

If more than 10 matching grants exist, the records will display over multiple pages. You can adjust the number of records displayed on each page by choosing an option in the **Show <xx> entries** field at the top of the record list.

- c. Check the box of the grant(s) you wish to re-assign. If selecting multiple grants, keep in mind that all of the selected grants will be re-assigned to the school or department you choose in the next step.

IMPORTANT: Selections are page-based and any selected grants will become unselected if you navigate to another page. In addition, choosing the select all check box at the top of the list will select and move only the grants currently displayed on the page.

If you need to select grants displayed over multiple pages, use the **Show <xx> entries** feature to display up to 100 grants on the page.

d. Select the **Next** button.

The screenshot shows the 'Re-assign Grant' interface. On the left is a sidebar with a 'Status' menu and a 'Re-assign Grant' button. The main area is titled 'Step 1: Search and choose grants' and includes a notification: 'You have selected 1 grant(s) for re-assignment'. Search filters include 'Type' (T), 'Act' (R01), 'IC' (MH), 'Serial #' (SERIAL #), and 'Year' (YR). Fields for 'Contact PI Last Name' (McCulloch), 'Contact PI First Name' (First Name), 'School' (GENERAL CAMPUS), and 'Department' (Select a department) are present. A 'Clear' button and a 'Search' button are circled in red. Below the filters is a table of grants with columns for Grant #, Project Title, PD/PI Name, Appl. Status, Budget Period, School Name, and Department. The row for grant R01MH654321-04 is selected, with its checkbox circled in red. At the bottom, there are 'Previous', '1', and 'Next' navigation buttons, and a 'Next' button circled in red.

| Grant # | Project Title | PD/PI Name | Appl. Status | Budget Period | School Name | Department |
|--|--|----------------|--------------|--------------------------|----------------|------------|
| R01MH123456-01A1 | Using Songs to Heal: Advancements in Musical Therapy | McCulloch, Mac | 05 | 05/01/2000 To 04/30/2001 | GENERAL CAMPUS | PHYSICS |
| R01MH123456-02 | Using Songs to Heal: Advancements in Musical Therapy | McCulloch, Mac | 05 | 05/01/2001 To 04/30/2002 | GENERAL CAMPUS | PHYSICS |
| <input checked="" type="checkbox"/> R01MH654321-04 | Bedbugs and Ballyhoo: Navigating the Stormy Weather of Mental Health | McCulloch, Mac | 05 | 07/01/2011 To 06/30/2012 | GENERAL CAMPUS | NONE |
| R01MH123456-03 | Using Songs to Heal: Advancements in Musical Therapy | McCulloch, Mac | 05 | 05/01/2002 To 04/30/2003 | GENERAL CAMPUS | PHYSICS |
| R01MH654321-03 | Bedbugs and Ballyhoo: Navigating the Stormy Weather of Mental Health | McCulloch, Mac | 05 | 07/01/2010 To 06/30/2011 | GENERAL CAMPUS | NONE |
| R01MH654321-01 | Bedbugs and Ballyhoo: Navigating the Stormy Weather of Mental Health | McCulloch, Mac | 05 | 09/01/2008 To 06/30/2009 | GENERAL CAMPUS | NONE |
| R01MH654321-02 | Bedbugs and Ballyhoo: Navigating the Stormy Weather of Mental Health | McCulloch, Mac | 05 | 07/01/2009 To 06/30/2010 | GENERAL CAMPUS | NONE |
| R01MH123456-04 | Using Songs to Heal: Advancements in Musical Therapy | McCulloch, Mac | 05 | 05/01/2003 To 04/30/2005 | GENERAL CAMPUS | PHYSICS |

Figure 112: Search and Choose Grants to Re-assign

2. Choose department.
 - a. Select a **School** from the drop-down list.
 - b. Select a **Department** from the drop-down list. Type ahead is enabled for this field.

You must select a school before you can select a department. The school you select determines which departments are included in the **Department** list.

The screenshot shows the 'Re-assign Grant' interface. On the left is a navigation menu with options: Status (?), General Search, Just In Time, Pending Progress Report, Recently Awarded, Recent/Pending eSubmissions, Closeout, Change of Institution, Pending Inclusion Action, and Re-assign Grant. The main content area is titled 'Re-assign Grant' and shows two steps: 'Step 1: Search and choose grants' (with a status 'You have selected 1 grant(s) for re-assignment') and 'Step 2: Choose department' (with a status 'You have selected GENERAL CAMPUS, PSYCHOLOGY'). Under Step 2, there are two dropdown menus: 'School' (set to 'GENERAL CAMPUS') and 'Department' (set to 'PSYCHOLOGY'). A 'Next' button is located at the bottom right of the Step 2 section.

Figure 113: Choose Department for Re-assigning Grant

3. Review a summary and submit.
 - a. Review your choices in the **Summary** section of the screen.

At any point before submitting your changes, you can go back to a previous step by clicking the step number. The selected step expands to show the information you had selected in that step. You can then change the information, including the selected grants and the assigned schools and departments.

The screenshot shows the 'Re-assign Grant' interface with Step 2 expanded. The 'School' dropdown is set to 'GENERAL CAMPUS' and the 'Department' dropdown is set to 'PSYCHOLOGY'. A 'Next' button is located at the bottom right of the Step 2 section. Below Step 2, Step 3: Summary is visible. The navigation menu on the left is the same as in Figure 113.

Figure 114: Expand Previous Steps in Re-Assign Grant

- b. Select the **Submit** button.

The screenshot shows the 'Re-assign Grant' interface. On the left is a navigation menu with 'Re-assign Grant' selected. The main content area is titled 'Re-assign Grant' and shows three steps: Step 1 (Search and choose grants), Step 2 (Choose department), and Step 3 (Summary). Step 3 is circled in red. Below the steps, there is a confirmation message: 'Please verify the information and press the 'Submit' button to save. Number of grants selected for re-assignment: 1 (Note: You can see the full list of grants in "Step 1"). Grants will be re-assigned to: School: GENERAL CAMPUS, Department: PSYCHOLOGY'. At the bottom right, the 'Submit' button is circled in red.

Figure 115: Submit the Grant Assignment

A confirmation of the grant assignment displays as a pop-up message on the screen. If successful, the grant's new assignment will be reflected wherever detailed grant information is displayed, such as on the *Status Information* screen.

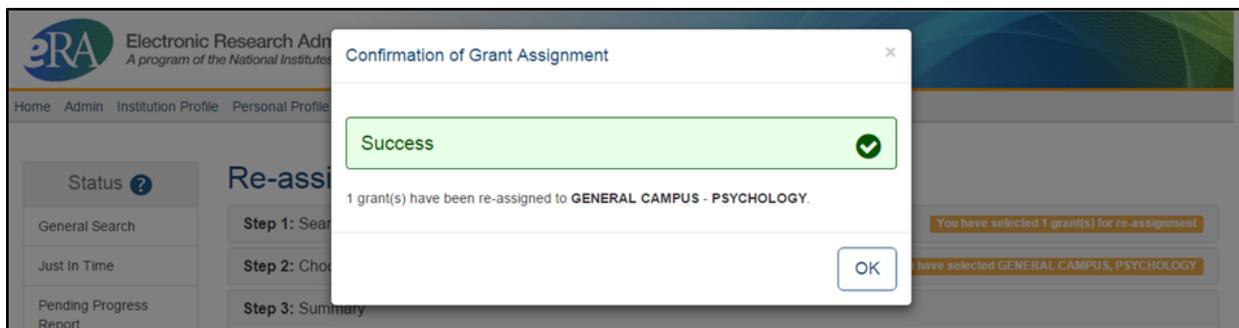


Figure 116: Grant Assignment Success Message

12.2 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 128 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.

Status Result - General Search

Tips and Notes:

- PDI/PI column shows Contact PI for multi-PI grants.

1-100 of 1275 1 2 3 4 5 6 7 8 9 10 11 12 13

| Application ID | Grants.gov Tracking # | Proposal Title | PDI/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
|---------------------------------------|-----------------------|---|----------------------|-------------------------------|-------------------|-------|---------------------------------------|---|
| 1R01EY000001-01 | GRANT10000000P | My Groundbreaking, Life-saving, Medical Research Study | SAWYER, TOM | Withdrawn | 07/01/2012 | Yes | Show All Prior Errors | Transmittal Sheet |
| 3R01DK000004-01S1 | | Hypertensive kidney disease: A New Study | CAULFIELD, HOLDEN | Awarded, Non-fellowships only | 06/15/2012 | Yes | | Extension |
| 5R01GM000001-07 | | The Curious Case of Benjamin Button Syndrome | FITZGERALD, F SCOTT | Awarded, Non-fellowships only | 01/01/2013 | | | RPPR |
| 5R01EY000002-05 | | Study on Genetics and Age-Related Degeneration | FINCH, ATTICUS | Awarded, Non-fellowships only | 08/01/2012 | | | Extension Admin Supplements |
| 5R01GM000002-31 | | A Study in Scarlet Fever | DOYLE, ARTHUR C | Awarded, Non-fellowships only | 07/01/2012 | | | Closed |
| 5R01NS000001-13 | | Scientific Research Study that Will Change the World | FINN, HUCK | Awarded, Non-fellowships only | 09/01/2012 | | Show All Prior Errors | Requires Closeout Transmittal Sheet |
| 5R01EY000003-07 | | This is a Title of a Sample Grant Proposal and Project | TORRANCE, JACK | Awarded, Non-fellowships only | 09/01/2012 | | | |
| 5R01EY000004-03 (MPI) | | To Kill a Mockingbird with Contagious Diseases | LEE, HARPER | Awarded, Non-fellowships only | 09/01/2012 | | | Admin Supplements |
| 5R01EY000005-03 | | The Taming of the Flu | SHAKESPEARE, WILLIAM | Awarded, Non-fellowships only | 01/01/2013 | Yes | | |
| 1R01CA000001-01 (MPI) | GRANT10000002P | Portrait of the Artist as a Young Man through Adulthood | JOYCE, JAMES | Council review completed | 07/01/2012 | Yes | Show All Prior Errors | JIT Times Revised (1) Transmittal Sheet |
| 5R01FD000001-04 | | Pride and Prejudice and the Human Psyche | BENNET, LIZZIE | No IRG Recommendation | 08/01/2012 | | Show All Prior Errors | Transmittal Sheet |
| 5R01MH000001-23 | | Lord of the Flies and Other Disease Carrying Insects | GOLDING, WILLIAM | No IRG Recommendation | 12/01/2012 | | Show All Prior Errors | Transmittal Sheet |

Export to Excel Show Query Print Hitlist

Figure 117: Status Result - General Search

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 136* 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 181.](#)

- **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 181](#)

- **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 181.](#)

- **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 *Just in Time \(JIT\)* on Page 171.](#)

- **Extension**

This link opens the No-Cost Extension (NCE) feature. [Refer to the section of this document titled *No-Cost Extension \(NCE\)* on Page 177.](#)

- **Closed**

This link opens the *Closeout Status* screen, which provides information on a closed grant. [Refer to the section of this document titled *Closeout Status* on Page 152.](#)

- **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 *Closeout Status* on Page 152.](#)

- **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 section of this document titled *Rejecting the eApplication* on Page 179.](#)

- **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.

- **Inclusion**

Provides access to the Inclusion Management System (IMS) 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 IMS via Status, refer to the separate [Inclusion Management System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, IMS 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.

12.3 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 *Status Screen for Signing Officials (SO Role)* on Page 109 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:** A link for accessing the search for recent or pending electronic submissions of grant applications
- **List of Applications/Grants:** A link for accessing a general search of applications/grants on which the PI user is the contact PI or one of multiple PIs (MPI)
- **Grants.gov Tracking Number:** A field for searching for a specific grant application by tracking number

These same links are available at the top of the screen in the navigation menu.

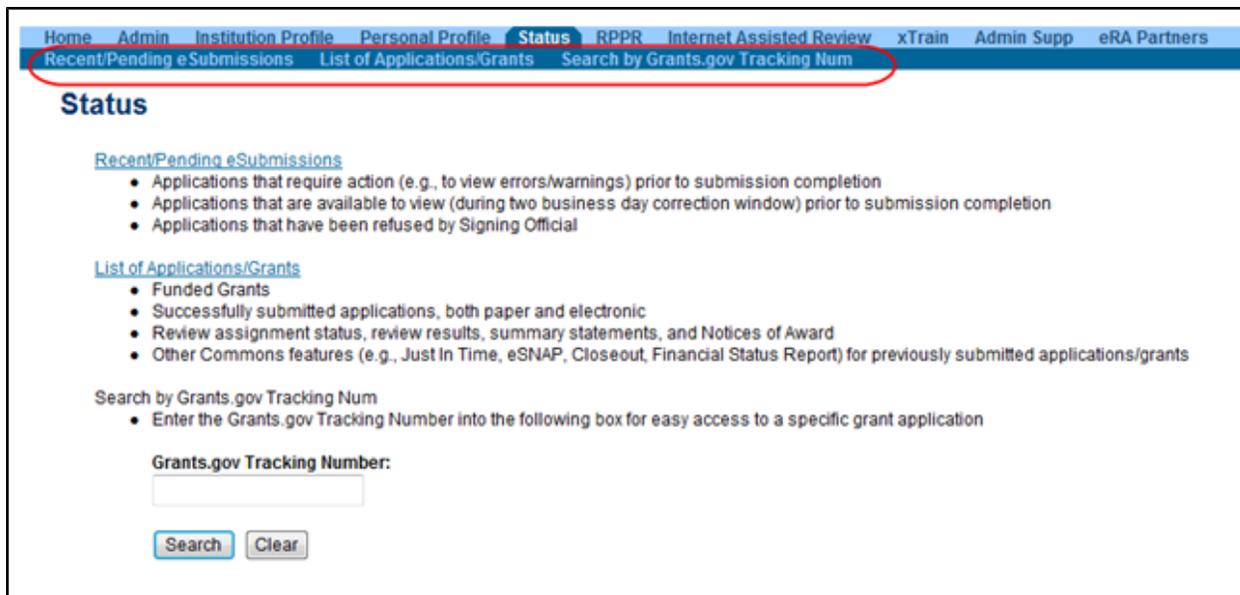


Figure 118: Status Screen for PI Users

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 64](#) for information on delegating Status.

12.3.1 Viewing Recent/Pending eSubmissions

You can select the **Recent/Pending eSubmissions** link or menu tab of the same name 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

Home Admin Institution Profile Personal Profile **Status** RPPR Internet Assisted Review xTrain Admin Supp eRA Partners

[Recent/Pending eSubmissions](#) [List of Applications/Grants](#) Search by Grants.gov Tracking Num

Status

[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 refused 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

Grants.gov Tracking Number:

Figure 119: Recent/Pending eSubmissions Link in Status

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. 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.

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 | PDI/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 |

Figure 120: Status Result - Recent/Pending eSubmissions

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 136](#) for more information.

If multiple PIs exist on the project, an *MPI* indicator appears next to the application ID.

- **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.

12.3.2 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, select the **List of Applications/Grants** link or menu tab.

Home Admin Institution Profile Personal Profile **Status** RPPR Internet Assisted Review xTrain Admin Supp eRA Partners

Recent/Pending eSubmissions **List of Applications/Grants** Search by Grants.gov Tracking Num

Status

[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 refused 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

Grants.gov Tracking Number:

Figure 121: List of Applications/Grants Links in Status

The results display in 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. 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.

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 |
|---------------------------------------|-----------------------|--|----------------------|----------------------|--|-------------|-----------------------------------|
| 2R01NS010101-05A2 | | Measure for Measure & Other Scientific Methodologies | SHAKESPEARE, WILLIAM | Pending Verification | Administratively Withdrawn by IC | 11/01/2007 | |
| 1R01EB012345-01 | GRANT12300001P | AJ's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Administratively Withdrawn by IC | 03/01/2012 | Transmittal Sheet |
| 1X02OD000001-01 | GRANT10000005P | Much Ado About Childhood Obesity in the United States | SHAKESPEARE, WILLIAM | Submission Complete | Administratively Withdrawn by IC | 11/10/2011 | Transmittal Sheet |
| 5R21NS000002-02 | | A Midsummer Night's Dream and Other Known Sleeping Disorders | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 05/05/2008 | |
| 5R01EY000005-03 | | The Taming of the Flu | SHAKESPEARE, WILLIAM | | Awarded. Non-fellowships only | 01/01/2013 | |
| 1DP1OD001001-01 | GRANT00100100P | A Winter's Tale: A Comprehensive Study of the Common Cold | SHAKESPEARE, WILLIAM | Submission Complete | IRG NRFC - Not considered by Council | 06/05/2007 | Transmittal Sheet |
| 5R01DA020202-04 | | The Two Noble Kinsmen: A Study on Genetics and DNA | SHAKESPEARE, WILLIAM | | Pending | 04/27/2012 | RPPR |
| 5R01EB003003-09 (MPI) | | The Merry Hives of Windsor | SHAKESPEARE, WILLIAM | | Pending | 08/27/2012 | RPPR |
| AN10000005 | | The Life and Death of King John: A Medical Case Study | SHAKESPEARE, WILLIAM | | Application has been entered into computer | 02/14/2006 | |

Figure 122: Status Result - List of Applications/Grants

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 136* 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.

- **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 181*.](#)

- **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 181.](#)

- **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 181.](#)

- **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 *Just in Time \(JIT\)* on Page 171.](#)

- **Extension**

This link opens the No-Cost Extension (NCE) feature. [Refer to the section of this document titled *No-Cost Extension \(NCE\)* on Page 177.](#)

- **Closed**

This link opens the *Closeout Status* screen, which provides information on a closed grant. [Refer to the section of this document titled *Closeout Status* on Page 152.](#)

- **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 *Closeout Status* on Page 152.](#)

- **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 Inclusion Management System (IMS) 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 IMS via Status, refer to the separate [Inclusion Management System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, IMS 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.

12.3.3 Searching by Grants.gov Tracking Number

To search for an application by its Grants.gov tracking number, enter the tracking number into the **Grants.gov Tracking Number** field and select the **Search** button. The *Status Result - Recent/Pending eSubmissions* screen returns only the application matching the entered tracking number.

To return to the search screen, select the **Search by Grants.gov Tracking Num** tab on the navigation menu.

| Home Admin Institution Profile Personal Profile Status RPPR Internet Assisted Review xTrain Admin Supp eRA Partners | | | | | | |
|---|----------------|--------------------|--|----------------------|-------------------------|--|
| Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num | | | | | | |
| 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. | | | | | | |
| 1 - 1 of 1 | | | | | | |
| Grants.gov Tracking # | Application ID | eSubmission Status | Proposal Title | PI/PI Name | eSubmission Status Date | Show All Prior Errors |
| GRANT00000010 | AN2000010 | eSubmission Error | Scientific research that is groundbreaking | SHAKESPEARE, WILLIAM | 2007-02-14 16:15:31 | Show Prior Errors and Warnings |
| Export to Excel Show Query Print Hitlist | | | | | | |

Figure 123: Grants.gov Tracking Number Search Results in Status

12.4 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.

| Status Information | | | | | | | | | | | | | | | | | | |
|---|---|--|---|--|------------|--|------------------|---|------------|----------------------------------|--|--|---------------------|-----------------|---|------------|---|------------|
| General Grant Information | | Other Relevant Documents | | | | | | | | | | | | | | | | |
| Status: Application awarded Institution Name: THE UNIVERSITY OF STRATFORD UPON AVON School Name: GENERAL CAMPUS School Category: SCHOOLS OF ARTS AND SCIENCES Division Name: NONE Department Name: DIVISION OF SCIENCE PI Name: SHAKESPEARE, WILLIAM Application ID: 1R01EB012345-01 Proposal Title: AI's Well that Ends Well with Advancements in Medicine Proposal Receipt Date: 03/01/2012 Last Status Update Date: 09/18/2012 Current Award Notice Date: 09/18/2012 Application Source: Grants.gov Project Period Begin Date: 09/18/2012 Project Period End Date: 07/31/2014 eApplication Status: Submission Complete FOA: [PA00-000] - NIH EXPLORATORY/DEVELOPMENTAL RESEARCH GRANT PROGRAM NIH Appl. ID: 1234567 | e-Application Latest NGS Notice(s) of Grant Award (PDF) 09/18/2012 Just in Time 08/24/2012 Times Revised(1) eSubmission Cover Letter Additions for Review (0 documents) Correspondence <table border="1"> <thead> <tr> <th>Date</th> <th>Description</th> <th>Action</th> </tr> </thead> <tbody> <tr> <td>04/01/2012</td> <td>Need new FOA R21</td> <td>View</td> </tr> </tbody> </table> | | Date | Description | Action | 04/01/2012 | Need new FOA R21 | View | | | | | | | | | | |
| Date | Description | Action | | | | | | | | | | | | | | | | |
| 04/01/2012 | Need new FOA R21 | View | | | | | | | | | | | | | | | | |
| Status History | | Institute or Center Assignment | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th>Effective Date</th> <th>Status Message</th> </tr> </thead> <tbody> <tr> <td>09/14/2012</td> <td>Award prepared; refer questions to Grants Management Specialist.</td> </tr> <tr> <td>08/08/2012</td> <td>Scientific Review Group review completed. Council review pending. Refer any questions to the Program Official or Grants Management Specialist.</td> </tr> <tr> <td>05/18/2012</td> <td>Scientific Review Group review pending.</td> </tr> <tr> <td>05/04/2012</td> <td>Application entered into system.</td> </tr> </tbody> </table> | Effective Date | Status Message | 09/14/2012 | Award prepared; refer questions to Grants Management Specialist. | 08/08/2012 | Scientific Review Group review completed. Council review pending. Refer any questions to the Program Official or Grants Management Specialist. | 05/18/2012 | Scientific Review Group review pending. | 05/04/2012 | Application entered into system. | <table border="1"> <thead> <tr> <th>Institute or Center</th> <th>Assignment Date</th> </tr> </thead> <tbody> <tr> <td>NATIONAL INSTITUTE OF MENTAL HEALTH (Primary)</td> <td>06/04/2012</td> </tr> <tr> <td>NATIONAL INSTITUTE OF MENTAL HEALTH (Primary)</td> <td>06/15/2012</td> </tr> </tbody> </table> | | Institute or Center | Assignment Date | NATIONAL INSTITUTE OF MENTAL HEALTH (Primary) | 06/04/2012 | NATIONAL INSTITUTE OF MENTAL HEALTH (Primary) | 06/15/2012 |
| Effective Date | Status Message | | | | | | | | | | | | | | | | | |
| 09/14/2012 | Award prepared; refer questions to Grants Management Specialist. | | | | | | | | | | | | | | | | | |
| 08/08/2012 | Scientific Review Group review completed. Council review pending. Refer any questions to the Program Official or Grants Management Specialist. | | | | | | | | | | | | | | | | | |
| 05/18/2012 | Scientific Review Group review pending. | | | | | | | | | | | | | | | | | |
| 05/04/2012 | Application entered into system. | | | | | | | | | | | | | | | | | |
| Institute or Center | Assignment Date | | | | | | | | | | | | | | | | | |
| NATIONAL INSTITUTE OF MENTAL HEALTH (Primary) | 06/04/2012 | | | | | | | | | | | | | | | | | |
| NATIONAL INSTITUTE OF MENTAL HEALTH (Primary) | 06/15/2012 | | | | | | | | | | | | | | | | | |
| Application Information | | Study Section | | | | | | | | | | | | | | | | |
| Award Document Number: RMH000000A FSR Accepted Code: N Snap Indicator Code: Y Review Outcome Available: Yes Summary Statement Available: Yes Early Stage Investigator Eligible: New Investigator Eligible: Eligible for FFATA Reporting: Yes | Scientific Review Group: ZRG1 MDCN-G (02) Council Meeting Date(YYYYMM): 2012/10 Meeting Date: 08/06/2012 Meeting Time: 09:00 View Meeting Roster | Advisory Council(AC) Information Meeting Date: 09/13/2012 Meeting Time: 08:30 | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | |
| Scientific Review Administrator(SRA) Grants Management Specialist(GMS) Program Official(PO) | Decimal, Dewey Hathaway, Anne Marlowe, Christopher | | Phone 301-555-1234 301-555-4567 301-555-6789 | | | | | | | | | | | | | | | |
| Awards | | Email DDecimal@email.com AHath@email.com Marlowe@email.com | | | | | | | | | | | | | | | | |
| Direct Amount \$150,000 | Facilities And Administrative \$82,500 | Fee Amount \$0 | Total Amount \$232,500 | | | | | | | | | | | | | | | |
| * * Close | | | | | | | | | | | | | | | | | | |

Figure 124: Status Information Screen

If there are any unresolved errors or warnings associated with the selected application, you will see a message indicating the error(s) or warning(s). The **eSubmission Errors/Warning** messages display at the top of the Status Information screen.

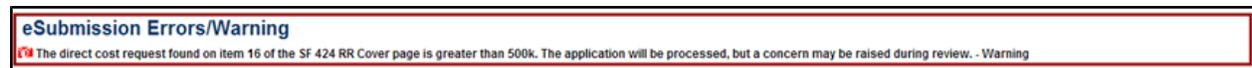


Figure 125: eSubmission Errors/Warning Messages on Status Information

The screen displays the following sections of information:

General Grant Information: Includes basic information such as institution, status, application number, etc.

The following information is included within **General Grant Information**:

- **Status**
- **Institution Name**
- **School Name**
- **School Category**
- **Division Name**
- **Department Name**
- **PI Name**
- **Application ID**
- **Proposal Title**
- **Proposal Receipt Date**
- **Last Status Update Date**
- **Current Award Notice Date**
- **Application Source**
- **Project Period Begin Date**
- **Project Period End Date**
- **eApplication Status**
- **FOA**
- **NIH Appl ID**

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.

| General Grant Information | |
|----------------------------|---|
| Status: | Application awarded. |
| Institution Name: | THE UNIVERSITY OF STRATFORD UPON AVON |
| School Name: | GENERAL CAMPUS |
| School Category: | SCHOOLS OF ARTS AND SCIENCES |
| Division Name: | NONE |
| Department Name: | DIVISION OF SCIENCE |
| PI Name: | SHAKESPEARE, WILLIAM |
| Application ID: | 1R01EB012345-01 |
| Proposal Title: | All's Well that Ends Well with Advancements in Medicine |
| Proposal Receipt Date: | 03/01/2012 |
| Last Status Update Date: | 09/18/2012 |
| Current Award Notice Date: | 09/18/2012 |
| Application Source: | Grants.gov |
| Project Period Begin Date: | 09/18/2012 |
| Project Period End Date: | 07/31/2014 |
| eApplication Status: | Submission Complete |
| FOA: | [PA00-000] - NIH EXPLORATORY/DEVELOPMENTAL RESEARCH GRANT PROGRAM |
| NIH Appl. ID: | 1234567 |

Figure 126: General Grant Information Section of Status Information

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**
- **Additions for Review (<X> Documents)**
- **Administrative Supplement(s)**
- **Appendix 1 – 10 Submitted File Name**
- **Closeout Final Report Additional Material Request (FRAM)**
- **Component Appendices**
- **e-Application**
- **Final Invention Statement**
- **Final Progress Report**
- **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 | |
| Latest NGA | |
| Notice(s) of Grant Award (PDF) | 09/18/2012 |
| Just In Time | 08/24/2012 Times Revised(1) |
| eSubmission Cover Letter | |
| Additions for Review (0 documents) | |

Figure 127: Sample of the Other Relevant Documents Section of Status Information

Correspondence: Links for viewing grant-related correspondence.

If letters or emails regarding the application or grant were sent to the PI or SO, they are listed here with a link for viewing a PDF version of the correspondence. Correspondence is broken into several categories: Referral, Closeout, and Other.

The following is provided in this section:

- **Date**
- **Description**
- **View** (select the link to open the PDF version of the correspondence)

| Correspondence | | |
|----------------|------------------|----------------------|
| Referral | | |
| Date | Description | Action |
| 04/01/2012 | Need new FOA R21 | View |

Figure 128: Correspondence Section of Status Information

Status History: Provides a history of the life of the application from submitted to awarded.

The following is displayed within **Status History**:

- **Effective Date**
- **Status Message**

| Status History | |
|----------------|--|
| Effective Date | Status Message |
| 09/14/2012 | Award prepared: refer questions to Grants Management Specialist. |
| 08/08/2012 | Scientific Review Group review completed: Council review pending. Refer any questions to the Program Official or Grants Management Specialist. |
| 06/18/2012 | Scientific Review Group review pending. |
| 06/04/2012 | Application entered into system |

Figure 129: Status History on Status Information

Institute or Center Assignment: Displays a history of assignments for the application.

The following information is displayed within **Institute or Center Assignment**:

- **Institute or Center**
- **Assignment Date**

| Institute or Center Assignment | |
|--|-----------------|
| Institute or Center | Assignment Date |
| NATIONAL INSTITUTE OF MENTAL HEALTH (Primary) | 06/04/2012 |
| NATIONAL INSTITUTE OF MENTAL HEALTH (Primary) | 06/15/2012 |

Figure 130: Institute or Center Assignment on Status Information

Application Information: Provides additional information for the application

The following is available within **Application Information**:

- **Award Document Number**
- **FRS Accepted Code**
- **Snap Indicator Code**
- **Review Outcome Available**
- **Summary Statement Available**
- **Early Stage Investigator Eligible**
- **New Investigator Eligible**
- **Eligible for FFATA Reporting**

| Application Information | |
|------------------------------------|------------|
| Award Document Number: | RMH000000A |
| FSR Accepted Code: | N |
| Snap Indicator Code: | Y |
| Review Outcome Available: | Yes |
| Summary Statement Available: | Yes |
| Early Stage Investigator Eligible: | |
| New Investigator Eligible: | |
| Eligible for FFATA Reporting: | Yes |

Figure 131: Application Information on Status Information

Study Section: Provides details on the assigned Study Section

The following Study Section information is available:

- **Scientific Review Group**
- **Council Meeting Date**
- **Meeting Date**
- **Meeting Time**
- **Study Roster** (View Meeting Roster link opens the *Meeting Roster* in a separate window)

| Study Section | |
|--------------------------------|-------------------------------------|
| Scientific Review Group: | ZRG1 MDCN-G (02) |
| Council Meeting Date(YYYY/MM): | 2012/10 |
| Meeting Date: | 08/06/2012 |
| Meeting Time: | 09:00 |
| Study Roster: | View Meeting Roster |

Figure 132: Study Section on Status Information

Advisory Council (AC) Information: Provides details on the Advisory Council.

The following information is available:

- **Meeting Date**
- **Meeting Time**

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**

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.

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)

| Contacts | | | |
|--------------------------------------|----------------------|--------------|--|
| Administration | Name | Phone | Email |
| Scientific Review Administrator(SRA) | Decimal, Dewey | 301-555-1234 | DDecimal@email.com |
| Grants Management Specialist(GMS) | Hathaway, Anne | 301-555-4567 | AHath@email.com |
| Program Official(PO) | Marlowe, Christopher | 301-555-6789 | Marlowe@email.com |

Figure 133: Contacts Section of Status Information

Awards: Details on awarded dollar amounts.

The following award dollar information is available:

- **Direct Amount**
- **Facilities and Administrative**
- **Fee Amount**
- **Total Amount**

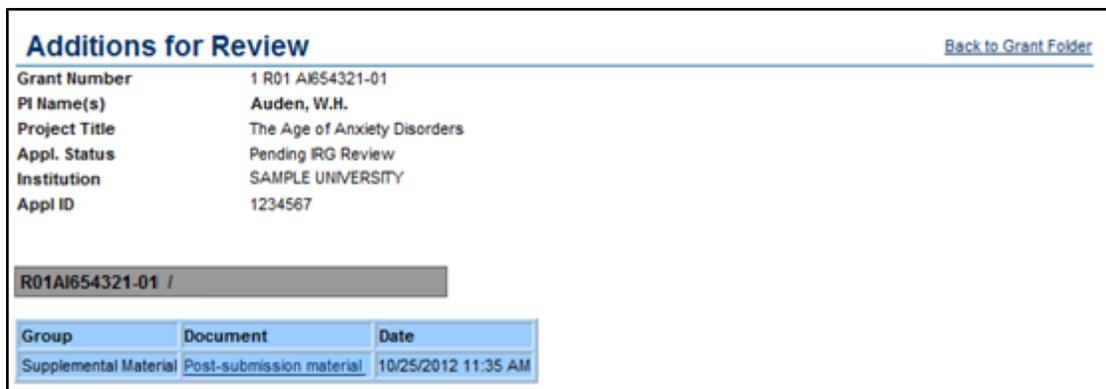
| Awards | | | |
|---------------|-------------------------------|------------|--------------|
| Direct Amount | Facilities And Administrative | Fee Amount | Total Amount |
| \$150,000 | \$82,500 | \$0 | \$232,500 |

Figure 134: Awards Section of Status Information

12.4.1 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.



The screenshot shows the 'Additions for Review' screen. At the top left is the title 'Additions for Review' and at the top right is a link 'Back to Grant Folder'. Below the title is a list of grant information: Grant Number (1 R01 AI654321-01), PI Name(s) (Auden, W.H.), Project Title (The Age of Anxiety Disorders), Appl. Status (Pending IRG Review), Institution (SAMPLE UNIVERSITY), and Appl ID (1234567). Below this is a search bar containing 'R01AI654321-01 /'. At the bottom is a table with three columns: Group, Document, and Date. The table contains one row: Supplemental Material, Post-submission material, 10/25/2012 11:35 AM.

| Group | Document | Date |
|-----------------------|--------------------------|---------------------|
| Supplemental Material | Post-submission material | 10/25/2012 11:35 AM |

Figure 135: Additions for Review from Status Information

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.

12.4.2 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.

The screenshot shows the 'Administrative Supplements' screen. At the top, there is a header 'Administrative Supplements'. Below it, a summary of grant information is displayed:

- 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

Below the summary, there are two radio buttons: 'Show Current Support Year Admin Supplements' (selected) and 'Show All Support Years Admin Supplements'.

A table with the following columns is displayed:

| 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! |

A 'Close' button is located at the bottom right of the table.

Figure 136: Administrative Supplements from Status Information

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.

12.4.3 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> | | | |

Figure 137: Institute/Center PRAM Requests from Status Information

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.

12.4.4 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](#)

Figure 138: Relinquishing Statements from Status Information

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.

12.4.5 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 | |

Figure 139: Closeout FRAM Requests from Status Information

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**

12.5 Viewing Summary Statements from Status Information

Summary 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.

To view your Summary Statement:

1. Log into Commons.
2. Select the **Status** tab from the Commons menu.
3. Select the **List of Applications/Grants** link or menu tab.

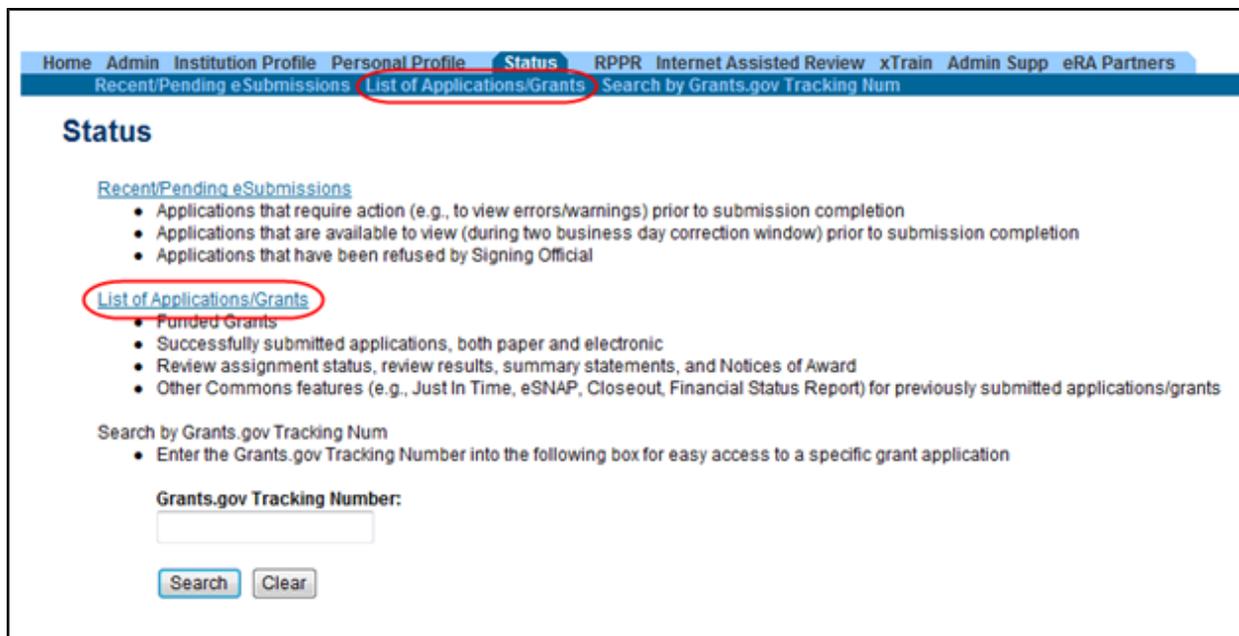


Figure 140: List of Applications/Grants Links in Status

The results display in table format. The application ID within this table is provided as a link, which when selected opens the *Status Information* screen.

Status Result - List of Applications/Grants

Notes & Tips:

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

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

| Application ID | Grants.gov Tracking # | Proposal Title | PI/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|---|----------------------|----------------------|----------------------------------|-------------|-----------------------------------|
| 2R01NS010101-05A2 | | Measure for Measure & Other Scientific Methodologies | SHAKESPEARE, WILLIAM | Pending Verification | Administratively Withdrawn by IC | 11/01/2007 | |
| 1R01EB012345-01 | GRANT12300001P | All's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 03/01/2012 | Transmittal Sheet |
| 1X02OD000001-01 | GRANT10000005P | Much Ado About Childhood Obesity in the United States | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 11/10/2011 | Transmittal Sheet |

Figure 141: Application ID Link

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 Summary Statement.

5. Select the link titled **Summary Statement**. It will open in a separate window.

| Status Information | |
|--|---|
| General Grant Information | |
| Status: | Application awarded. |
| Institution Name: | THE UNIVERSITY OF STRATFORD UPON AVON |
| School Name: | GENERAL CAMPUS |
| School Category: | SCHOOLS OF ARTS AND SCIENCES |
| Division Name: | NONE |
| Department Name: | DIVISION OF SCIENCE |
| PI Name: | SHAKESPEARE, WILLIAM |
| Application ID: | 1R01EB012345-01 |
| Proposal Title: | All's Well that Ends Well with Advancements in Medicine |
| Proposal Receipt Date: | 03/01/2012 |
| Last Status Update Date: | 09/18/2012 |
| Current Award Notice Date: | 09/18/2012 |
| Application Source: | Grants.gov |
| Project Period Begin Date: | 09/18/2012 |
| Project Period End Date: | 07/31/2014 |
| eApplication Status: | Submission Complete |
| FOA: | (PA00-000) - NIH EXPLORATORY/DEVELOPMENTAL RESEARCH GRANT PROGRAM |
| NIH Appl. ID: | 1234567 |
| Other Relevant Documents | |
| Application | |
| Summary Statement | |
| Latest NOAs | |
| Notice(s) of Grant Award (PDF) | 09/18/2012 |
| Abstract (Awarded Grant) | |
| Just in Time | 08/24/2012 Times Revised(1) |
| Submission Cover Letter | |
| Additions for Review (0 documents) | |
| Correspondence | |
| Referral | |
| Date | Description Action |
| | |

Figure 142: Summary Statement Link in Status Information

12.6 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 the **Status** tab from the Commons menu.

3. Select the **List of Applications/Grants** link or menu tab.

The screenshot shows the 'Status' page in the eRA Commons system. The navigation bar at the top includes links for Home, Admin, Institution Profile, Personal Profile, Status, RPPR, Internet Assisted Review, xTrain, Admin Supp, and eRA Partners. The 'Status' link is highlighted. Below the navigation bar, there are three main sections: 'Recent/Pending eSubmissions', 'List of Applications/Grants', and 'Search by Grants.gov Tracking Num'. The 'List of Applications/Grants' section is circled in red and contains a bulleted list of options: 'Purged 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) for previously submitted applications/grants'. Below this, there is a search box for 'Grants.gov Tracking Number' with 'Search' and 'Clear' buttons.

Figure 143: List of Applications/Grants Links in Status

The results display in table format. The application ID within this table is provided as a link, which when selected opens the *Status Information* screen.

The screenshot shows a table titled 'Status Result - List of Applications/Grants'. The table has columns for Application ID, Grants.gov Tracking #, Proposal Title, PD/PI Name, eSubmission Status, Current Application Status, Status Date, and Action. The application ID '1R01EB012345-01' is circled in red. The table also includes a 'Notes & Tips' section and a search bar.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-------------------|-----------------------|--|----------------------|----------------------|----------------------------------|-------------|-----------------------------------|
| 2R01NS010101-05A2 | | Measure for Measure & Other Scientific Methodologies | SHAKESPEARE, WILLIAM | Pending Verification | Administratively Withdrawn by IC | 11/01/2007 | |
| 1R01EB012345-01 | GRANT12300001P | AJ's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 03/01/2012 | Transmittal Sheet |
| 1X02OD000001-01 | GRANT10000005P | Much Ado About Childhood Obesity in the United States | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 11/10/2011 | Transmittal Sheet |

Figure 144: Application ID Link

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.

| Status Information | | |
|--|---|---------------|
| General Grant Information | | |
| Status: | Application awarded | |
| Institution Name: | THE UNIVERSITY OF STRATFORD UPON AVON | |
| School Name: | GENERAL CAMPUS | |
| School Category: | SCHOOLS OF ARTS AND SCIENCES | |
| Division Name: | NONE | |
| Department Name: | DIVISION OF SCIENCE | |
| PI Name: | SHAKESPEARE, WILLIAM | |
| Application ID: | 1R01EB012345-01 | |
| Proposal Title: | All's Well that Ends Well with Advancements in Medicine | |
| Proposal Receipt Date: | 03/01/2012 | |
| Last Status Update Date: | 09/18/2012 | |
| Current Award Notice Date: | 09/18/2012 | |
| Application Source: | Grants.gov | |
| Project Period Begin Date: | 09/18/2012 | |
| Project Period End Date: | 07/31/2014 | |
| eApplication Status: | Submission Complete | |
| FOA: | [PA00-000] - NIH EXPLORATORY/DEVELOPMENTAL RESEARCH GRANT PROGRAM | |
| NIH Appl. ID: | 1234567 | |
| Other Relevant Documents | | |
| #Application | | |
| Summary Statement | | |
| Latest NGA | | |
| Notice(s) of Grant Award (PDF) | 09/18/2012 | |
| #Submission Cover Letter | | |
| Just in Time | 08/24/2012 Times Revised(1) | |
| #Submission Cover Letter | | |
| Additions for Review (0 documents) | | |
| Correspondence | | |
| Referral | | |
| Date | Description | Action |

Figure 145: Notice of Award Link in Status Information

12.7 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 progress report
- Access the FFR module of Commons to initiate and submit Federal Financial Reports (you must hold an FSR role)

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.

Status Result - General Search

Tips and Notes:

- PDI/PI column shows Contact PI for multi-PI grants.

| Application ID | Grants.gov Tracking # | Proposal Title | PDI/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
|-----------------------------------|-----------------------|--|---------------------|-------------------------------|-------------------|-------|---------------------------------------|--|
| 1R01EY000001-01 | GRANT10000000P | My Groundbreaking, Life-saving, Medical Research Study | SAWYER, TOM | Withdrawn | 07/01/2012 | Yes | Show All Prior Errors | Transmittal Sheet |
| 3R01DK000004-01S1 | | Hypertensive kidney disease: A New Study | CAULFIELD, HOLDEN | Awarded, Non-fellowships only | 06/15/2012 | Yes | | Extension |
| 5R01GM000001-07 | | The Curious Case of Benjamin Button Syndrome | FITZGERALD, F SCOTT | Awarded, Non-fellowships only | 01/01/2013 | | | RPPR |
| 5R01EY000002-05 | | Study on Genetics and Age-Related Degeneration | FINCH, ATTICUS | Awarded, Non-fellowships only | 08/01/2012 | | | Extension Admin Supplements |
| 5R01GM000002-31 | | A Study in Scarlet Fever | DOYLE, ARTHUR C | Awarded, Non-fellowships only | 07/01/2012 | | | Closed |
| 5R01NS000001-13 | | Scientific Research Study that Will Change the World | FINN, HUCK | Awarded, Non-fellowships only | 09/01/2012 | | Show All Prior Errors | Requires Closeout! Transmittal Sheet |
| 5R01EY000003-07 | | This is a Title of a Sample Grant Proposal and Project | TORRANCE, JACK | Awarded, Non-fellowships only | 09/01/2012 | | | |

Figure 146: Accessing Closeout from Status Results

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 Progress Report (**Process Final Progress Report**; **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 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.

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 |

[Back](#)

Figure 147: Closeout Status Screen

12.7.1 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.

12.7.2 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.

12.7.2.1 Reporting Inventions on Your FIS

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**.

- 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 |

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Figure 148: Process Final Invention Statement Link

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 158* 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.

Figure 149: Select the Yes Button to Report an Invention

- 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.
6. *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 |

Figure 150: FIS Saved Invention

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 161*](#) 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 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 | Saved | Submitted by BECKY THATCHER (SO) | 06/17/2013 | Process Final Invention Statement |

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Figure 151: Saved FIS on Closeout Status

12.7.2.2 Claiming No Inventions on Your FIS

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 |

[Back](#)

Figure 152: Process Final Invention Statement Link

The *Submit Final Invention Statement* screen displays.

3. Select the **No** button.

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

Yes No Cancel

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.

Figure 153: Selecting the No Button to Indicate No 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 161* for more information.

12.7.2.3 Updating Your Saved FIS

If you hold an SO or PI 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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Figure 154: Process Final Invention Statement Link

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 \(Inventions reported\)](#)

Figure 155: Select the Change Button to Update Your FIS

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 155*.

12.7.2.4 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 |

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Figure 156: Process Final Invention Statement Link

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)

Figure 157: Submit Button for FIS

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 |
| Back | | | | | |

Figure 158: Closeout Status Showing Submitted FIS

12.7.3 Submitting Your Final Progress Report

A Final Progress Report 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.

At a minimum, the Final Progress Report should include:

- A statement of progress made towards the achievement of originally stated aims
- A list of results (positive and/or negative) considered significant
- A list of publications resulting from the project, including plans, if any, for further publication.

A copy of reprints or publications not previously submitted should accompany the Final Progress Report. If publications have been submitted to the PubMed Central (PMC) archive, a reference to the PMC submission identification number may be included in lieu of submitting a hard copy.

- Reports on the inclusion of gender and minority study subjects (using the gender and minority inclusion table as provided in the PHS2590)
- Indication of whether children were involved in the study or how the study was relevant for conditions affecting children
- Description of data, research materials (e.g., cell lines, DNA probes, and animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed

If a competitive renewal (Type 2) has been submitted, whether funded or not, the progress report contained in that application may serve in lieu of a separate Final Progress Report. In addition, at the discretion of the awarding unit, a reprint or pre-print may be used for this purpose. Grantees should contact the assigned Grants Management Specialist for information on these alternatives.

The Final Progress Report is accessible via the *Closeout Status* screen. To submit your Final Progress Report:

1. Select the **Requires Closeout** link for the grant from Status search results.

The *Closeout Status* screen displays. Final Progress Report is listed in the **Closeout Submission Requirement** column. The **Action** column should include a link for **Process Final Progress Report**.

- From *Closeout Status*, select the **Process Final Progress Report** 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 | Received | Verified by BECKY THATCHER (SO) | 06/17/2013 | View |

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Figure 159: Process Final Progress Report Link on Closeout Status

The *Closeout - Upload Final Progress Report* screen opens. From this screen, you can upload your report. Note that the report must be in a Adobe PDF format.

Closeout - Upload Final Progress Report [?](#) Form Approved OMB No. 0925-0002

Notes and Tips:

- Only Adobe format documents are supported (files with PDF extension). Files uploaded in other formats will result in an error message.

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

Select File

File Name: [Choose File](#) Sample Document.pdf

[Submit](#) [Cancel](#)

Figure 160: Closeout - Upload Final Progress Report screen

- Select the **Choose File** button to search for and select your progress report file. This file must be in PDF format.
- Select the **Submit** button.

In a separate window, a certification statement displays.

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: 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.

- Select the **OK** button to continue.

You can select **Cancel** if you have made a mistake and need to return to the *Closeout - Upload Final Progress Report* screen.

- When you save the report, the status of the report updates to *Received* and the **Action** column contains only the **View FPR** link for viewing the report. You can see this status on the *Closeout Status* screen.

The screenshot shows the 'Closeout Status' page with the following application information:

- Grant Number: 5R01NS000001-13 PDI/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

The table below lists submission requirements:

| 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 | Received | Submitted by HUCK FINN (PI) | 08/02/2013 | View |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Awaiting SO Verification | Submitted by HUCK FINN (PI) | 06/17/2013 | Process Final Invention Statement |

A red circle highlights the 'Final Progress Report' row.

Figure 161: Closeout Status Showing Received Final Progress Report

Upon review of the final progress report, the Program Officer (PO) may determine that additional information is needed from the grantee institution and will make a request for this information. This is referred to as a Final Progress Report Additional Material (FRAM) request. In this event, a **FRAM Update** link will appear in the **Action** column providing a means for submitting the additional material. Refer to the topic titled *Final Progress Report Additional Materials (FRAM) on Page 165* for information and the steps for completing this request.

12.7.3.1 Final Progress Report Additional Materials (FRAM)

A Final Progress Report 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 Progress Report on Page 163* for information related to the Final Progress Report.

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 Progress Report (FPR).

While reviewing a submitted FPR, 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 Progress Report 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 Progress Report** line for **Closeout Submission Requirement**.

This topic discusses the steps for uploading, viewing, and submitting FRAM.

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 Progress Report** line item under the **Closeout Submission Requirement** column.

If a PO has requested additional material related to the final progress report, 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 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 FRAM Requested | Submitted by W.H. AUDEN (PI) | 09/18/2014 | View 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 | | | | | |

Figure 162: FRAM Update Link

The *Final Progress Report Additional Materials (FRAM)* screen appears. From this screen, the PI has the ability to upload an attachment meeting the requirements of the requested information.

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

View Submit Back

Figure 163: Add Attachment Button for FRAM

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: Sample Document.pdf Add Attachment Delete Attachment View Attachment

View Submit Back

Figure 164: FRAM Successfully Uploaded

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 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 |
|---------------------------------|--|---------------|-----------------------------------|------------|---|
| 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](#)

Figure 165: FRAM Uploaded Status on Closeout

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 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 |
|---------------------------------|--|---------------|-----------------------------------|------------|---|
| 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](#)

Figure 166: FRAM Update Link on Uploaded FRAM

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: [Sample Document.pdf](#) [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

[View](#) [Submit](#) [Back](#)

Figure 167: Submit Button on FRAM Screen

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 |

Figure 168: FRAM Submission Certification

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:

Figure 169: FRAM Submission Success Message

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 Progress Report 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 FPR). Any subsequent documents will be added to the PDF generated by Commons.

12.8 *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)

Status Result - General Search

Tips and Notes:

- PDI/PI column shows Contact PI for multi-PI grants.

1-100 of 1275 1 2 3 4 5 6 7 8 9 10 11 12 13

| Application ID | Grants.gov Tracking # | Proposal Title | PDI/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
|---------------------------------------|-----------------------|---|----------------------|-------------------------------|-------------------|-------|---------------------------------------|---|
| 1R01EY000001-01 | GRANT10000000P | My Groundbreaking, Life-saving, Medical Research Study | SAWYER, TOM | Withdrawn | 07/01/2012 | Yes | Show All Prior Errors | Transmittal Sheet |
| 3R01DK000004-01S1 | | Hypertensive kidney disease: A New Study | CAULFIELD, HOLDEN | Awarded, Non-fellowships only | 06/15/2012 | Yes | | Extension |
| 5R01GM000001-07 | | The Curious Case of Benjamin Button Syndrome | FITZGERALD, F SCOTT | Awarded, Non-fellowships only | 01/01/2013 | | | RPPR |
| 5R01EY000002-05 | | Study on Genetics and Age-Related Degeneration | FINCH, ATTICUS | Awarded, Non-fellowships only | 08/01/2012 | | | Extension Admin Supplements |
| 5R01GM000002-31 | | A Study in Scarlet Fever | DOYLE, ARTHUR C | Awarded, Non-fellowships only | 07/01/2012 | | | Closed |
| 5R01NS000001-13 | | Scientific Research Study that Will Change the World | FINN, HUCK | Awarded, Non-fellowships only | 09/01/2012 | | Show All Prior Errors | Requires Closeout Transmittal Sheet |
| 5R01EY000003-07 | | This is a Title of a Sample Grant Proposal and Project | TORRANCE, JACK | Awarded, Non-fellowships only | 09/01/2012 | | | |
| 5R01EY000004-03 (MPI) | | To Kill a Mockingbird with Contagious Diseases | LEE, HARPER | Awarded, Non-fellowships only | 09/01/2012 | | | Admin Supplements |
| 5R01EY000005-03 | | The Taming of the Flu | SHAKESPEARE, WILLIAM | Awarded, Non-fellowships only | 01/01/2013 | Yes | | |
| 1R01CA000001-01 (MPI) | GRANT10000002P | Portrait of the Artist as a Young Man through Adulthood | JOYCE, JAMES | Council review completed | 07/01/2012 | Yes | Show All Prior Errors | JIT Times Revised (1) Transmittal Sheet |
| 5R01FD000001-04 | | Pride and Prejudice and the Human Psyche | BENNET, LIZZIE | No IRG Recommendation | 08/01/2012 | | Show All Prior Errors | Transmittal Sheet |
| 5R01MH000001-23 | | Lord of the Flies and Other Disease Carrying Insects | GOLDING, WILLIAM | No IRG Recommendation | 12/01/2012 | | Show All Prior Errors | Transmittal Sheet |

Export to Excel Show Query Print History

Figure 170: JIT Link on a Status Result Screen

12.8.1 Uploading & Saving JIT Information

PI and 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)
 - [Status Result - List of Applications/Grants](#) (PI)

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

Grant Number: 1R01CA000001-01
PI Name: JOYCE, JAMES
Proposal Title: Portrait of the Artist as a Young Man through Adulthood

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/ohs398/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"/> |

IRB Date in MM/DD/YYYY format **Number of Submissions** 1

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 ▼

Human Subject Education. This document is required for key personnel (all individuals responsible for the design and conduct of the study) that are involved in human subject research. Please upload a PDF file that includes the following: the names of the key personnel who are responsible for the design and conduct of the study; the title of the education program completed by each named person plus a brief description of the program. Note: If research meeting the criteria for Exemption 4 is proposed, documentation is recommended, but not required.

| Files | File Name | Date Created | Status | Number of Submissions |
|--------------------------|-----------|--------------|--------------|---------------------------------------|
| Human Subject Education: | | | NOT UPLOADED | <input type="button" value="Import"/> |

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://gds.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://gds.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 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.

| Files | File Name | Date Created | Status | Number of Submissions |
|------------------------------------|-----------|--------------|--------------|---------------------------------------|
| Genome Data Sharing Certification: | | | NOT UPLOADED | <input type="button" value="Import"/> |

Figure 171: Just in Time Screen

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.

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.

Figure 172: Uploading Files for JIT

The uploaded file displays under the **File Name** column with a status of *Completed*.

| Files | 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 | |

IACUC Date in MM/DD/YYYY format: (MM/DD/YYYY) 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 granted 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 A3033-01.

Figure 173: File Uploaded for JIT

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.

12.8.2 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 136.](#)

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/ahs388/other-support.doc> and upload the document using the Import button provided below.

| Files | File Name | Date Created | Status | Import | 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

Figure 174: Number of Submissions for JIT

When a resubmission has occurred, the Status result screens display the **JIT** link with an indication of the number of times revised.

12.8.3 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 at the bottom of the screen.

Figure 175: View Just In Time Report Button

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 136*.

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 \(0 documents\)](#)

Figure 176: Just In Time Report Link Within Status Information

12.9 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.

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 the 'Extension' screen. At the top, it states: '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.' Below this is a section titled 'Application Information' with the following details: Grant Number: 5R01EY000002-05, PI Name: FINCH, ATTICUS, and Proposal Title: Study on Genetics and Age-Related Degeneration. A message reads: 'To extend the period, select the number of months for which you would like to extend the project period for this grant.' The 'Project End Date' is 8/31/2013. The 'Extend' dropdown menu is set to 3. Below this, it says 'This will extend the project to 11/30/2013'. At the bottom are two buttons: 'Extend Project Date' and 'Cancel'.

Figure 177: Extension Screen

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 the 'Extension Confirmation' screen. It displays the same application information as Figure 177. A red box highlights a message: 'You have selected to extend the period of performance of this grant by 3 months.' Below this is a checked checkbox with the text: '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 are two buttons: 'Confirm' and 'Cancel'.

Figure 178: Extension Confirmation

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.

12.10 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).

12.11 Rejecting the eApplication

SOs can request to reject the eSubmission of an application using the *Reject eApplication* screen. Only SOs have this option, and the application must not have been previously verified or rejected by the SO.

To reject an eApplication:

1. Use the *Recent/Pending eSubmissions* (or General Search) Status search screen to locate the application being rejected.
2. From the result screen, select the **Reject eApplication** link from the **Action** column.

| Application ID | Grants.gov Tracking # | eSubmission Status | Proposal Title | PD/PI Name | eSubmission Status Date | Show All Prior Errors | Action |
|----------------|-----------------------|----------------------|---|----------------------|-------------------------|--------------------------------|--|
| AN1234567 | GRANT00123456 | Pending Verification | All's Well That Ends Well with Advancements in Medicine | Shakespeare, William | 2013-11-06 10:18:18 | Show Prior Errors and Warnings | Transmittal Sheet Reject eApplication |

Export to Excel Show Query Print Hitlist

Figure 179: Reject eApplication Link

The *Reject eApplication* screen displays.

3. Enter the required comment in the provided text box.
4. Select the **Reject** button (select **Cancel** if you need to cancel the action).

Reject eApplication ?

Application Information

| | |
|-----------------|---|
| Grant Number: | AN 1234567 |
| PI Name: | Shakespeare, William |
| Proposal Title: | All's Well That Ends Well with Advancements in Medicine |

Reject eApplication

Required Comment: I'm rejecting this application because etc. etc. etc.

Reject Cancel

Figure 180: Reject eApplication Screen

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
- Ability for an SO can 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).

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 http://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.

Figure 181: Commons Status Screen Displaying Change of Institution Link

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.

Figure 182: Status - Change of Institution Search Screen

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.

| Application ID | Proposal Title | PI/PI Name | Budget Start Date | Budget End Date | Action |
|------------------|---|--------------|-------------------|-----------------|--------------------------------|
| CR011M-123456-11 | Principles of Behavior Change: Choice and Context | FANTINO, SAM | 07/01/2010 | 06/30/2011 | Manage Relinquishing Statement |

Figure 183: Status Result - Change of Institution Screen

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.

- 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*.

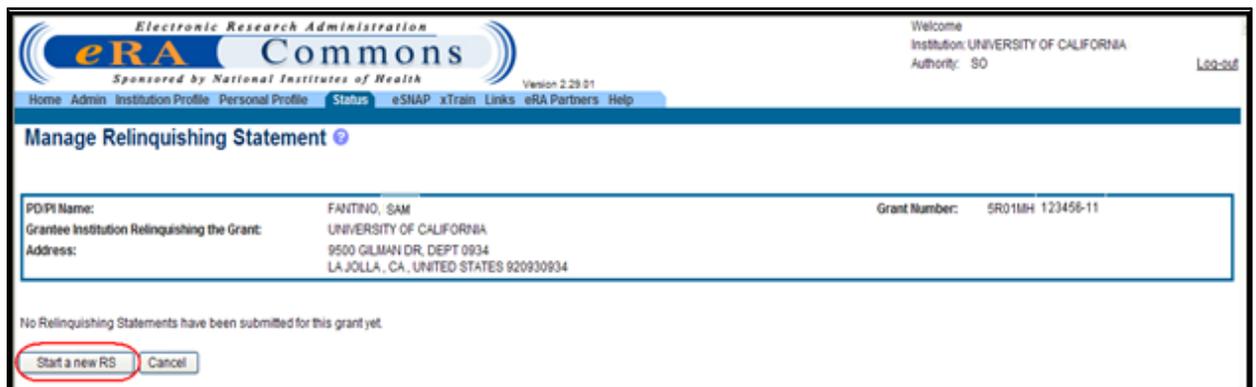


Figure 184: Starting a New Relinquishing Statement

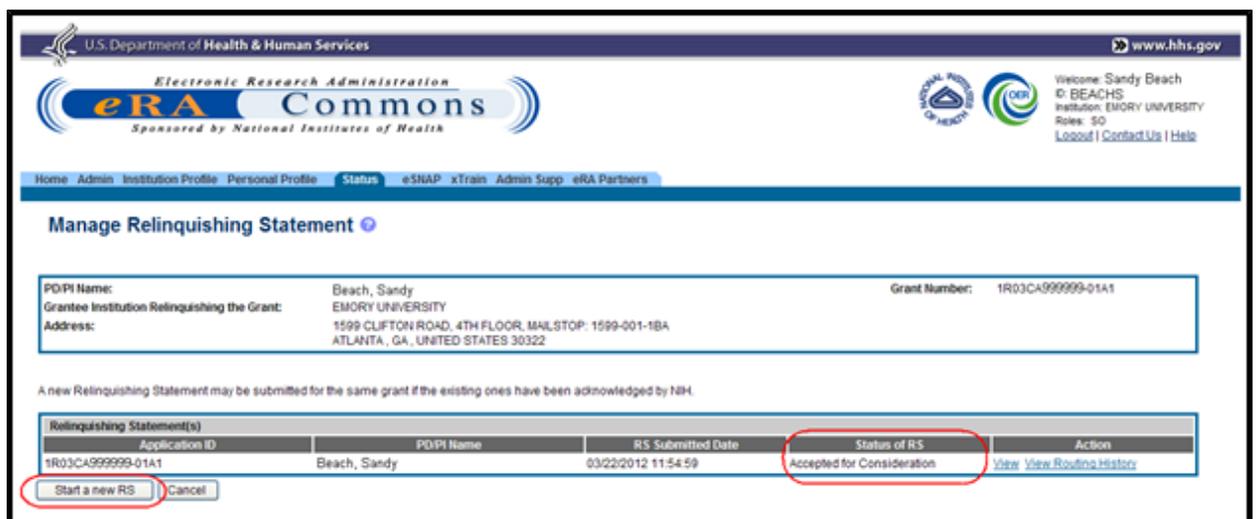


Figure 185: RS in Accepted for Consideration Status

- 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.

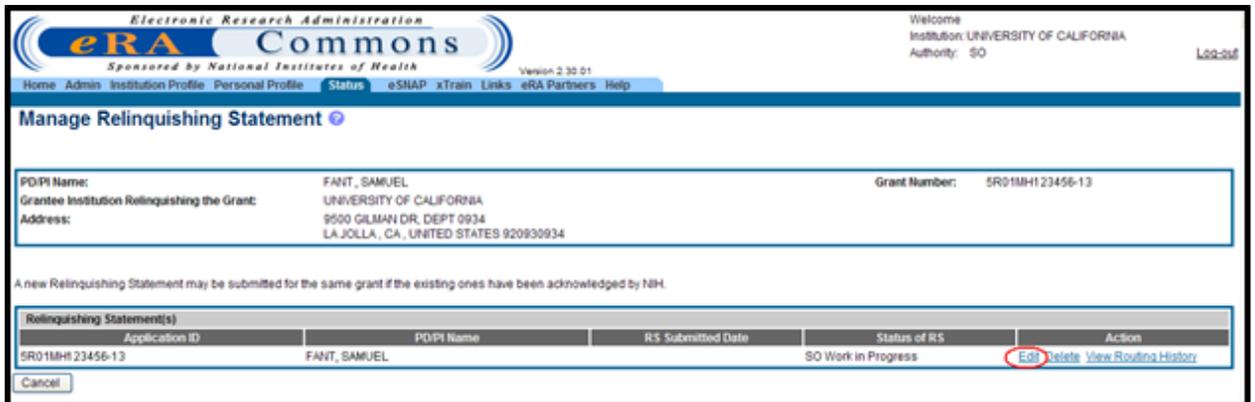


Figure 186: Manage Relinquishing Statement Screen Displaying Edit Feature

When either the **Start a new RS** button or **Edit** link is selected, the system displays the *Relinquishing Statement* screen.

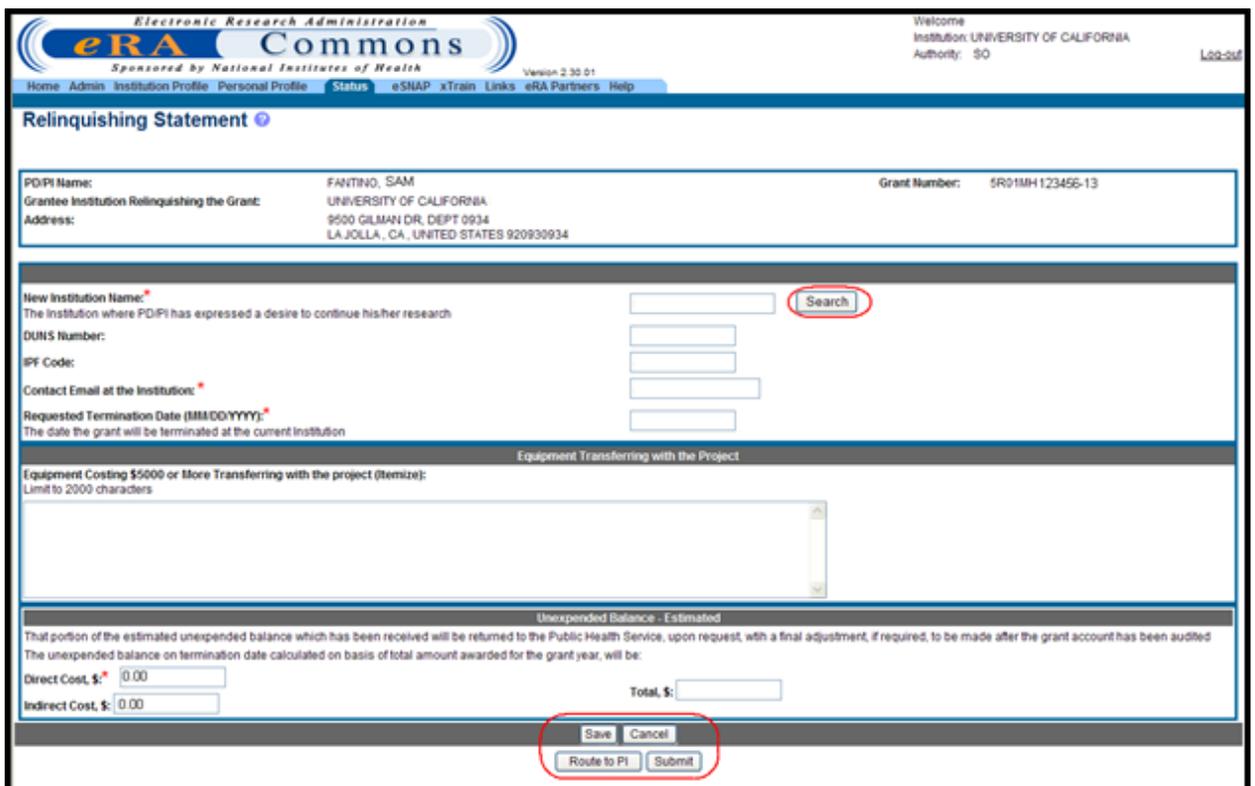


Figure 187: Relinquishing Statement Screen

- 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 192*.
 - 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 shows the 'New Institution - Search' screen. At the top, there is a navigation bar with 'Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help'. The main content area has a title 'New Institution - Search' and a message 'At least one search criteria is required.' Below this are three input fields: 'Institution Name: keuka', 'IPF Number:', and 'DUNS Number:'. A 'Search' button is next to the Institution Name field. Below the search fields is a table with the following data:

| Organization | IPF Code | DUNS Number | Location |
|---------------|----------|-------------|-----------------------|
| KEUKA COLLEGE | 4256001 | | KEUKA PARK, NY, 14478 |

Below the table, there is 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.' This is followed by a 'New Institution Name:' field and 'Insert' and 'Cancel' buttons.

Figure 188: New Institution - Search Screen

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.

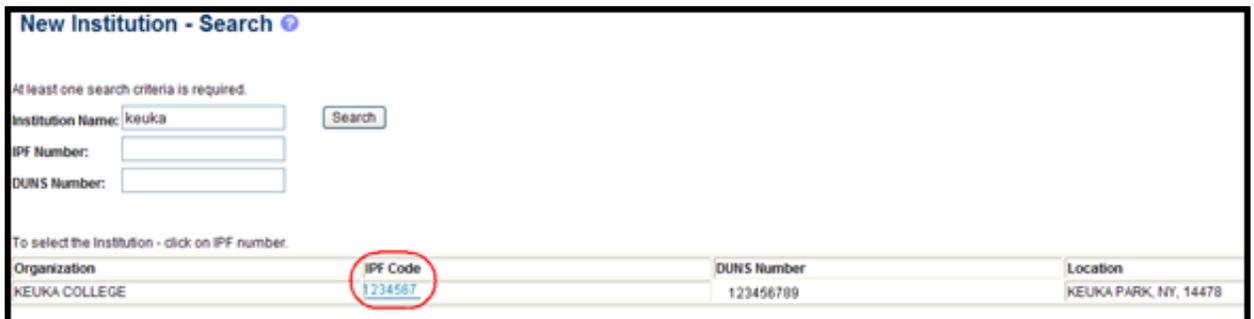
Institution Name: keuka

IPF Number:

DUNS Number:

Figure 189: New Institution - Search Screen

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 | 123456789 | KEUKA PARK, NY, 14478 |

Figure 190: New Institution - Search Result Screen

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:

Figure 191: Inserting New Institution

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
eRA Commons
Sponsored by National Institutes of Health

Welcome
Institution UNIVERSITY OF CALIFORNIA
Authority: SO [Log-out](#)

Version 2.30.01
[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 Relinq. History |

Figure 192: Manage Relinquishing Statement Screen Displaying Delete Feature

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.

Figure 193: Delete Relinquishing Statement Screen Displaying Delete Message

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.

The screenshot shows the 'Route Relinquishing Statement' screen in the eRA Commons system. The header includes the eRA Commons logo and navigation links. The main content area displays the following information:

- PO/PI Name:** FANTINO, SAM
- Grantee Institution Relinquishing the Grant:** UNIVERSITY OF CALIFORNIA
- Address:** 9500 GILMAN DR, DEPT 0934, LA JOLLA, CA, UNITED STATES 920930934
- Grant Number:** 5R01MH123456-11

The 'Next Reviewer' field is populated with 'FANTINO, SAM'. Below this field is a 'Comments' text area. At the bottom of the screen, there are two buttons: 'Route to PI' and 'Cancel'.

Figure 194: Route Relinquishing Statement Screen

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](#).

The screenshot shows the 'Route Relinquishing Statement' screen with a confirmation message. The message text is: 'The relinquishing statement was routed to FANTINO, SAM'. Below the message is an 'OK' button.

Figure 195: Route Relinquishing Statement Screen

4. Click the **OK** button to go back to the *Manage Relinquishing Statement* screen.

The system returns to the *Manage Relinquishing Statement* screen.

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

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](#)

Figure 196: Manage Relinquishing Statement Screen

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.

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

Relinquishing Statement

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

New Institution Name*
 The institution where PD/PI has expressed a desire to continue his/her research
 COLLEGES OF THE SENECA, DBA HOBART AND WILLIAM SMITH CO

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

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, \$: **Total, \$:**

Indirect Cost, \$:

Figure 197: Relinquishing Statement Screen

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.

The screenshot shows the 'Submit Relinquishing Statement to NIH' screen. At the top, there is a navigation bar with 'eRA Commons' and 'Sponsored by National Institutes of Health'. The main content area displays the following information:

| | | | |
|--|--|---------------|-----------------|
| POPI 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 | | |

Below the table is the 'APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE' section, which contains the text from Figure 197. At the bottom of the form, there are two buttons: 'I Agree' and 'Cancel', both of which are circled in red.

Figure 198: Submit Relinquishing Statement To NIH Screen

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.

Figure 199: Manage Relinquishing Statement Screen

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 204](#) or [PD/PI Search/View Relinquishing Statement on Page 211](#) for more information.

17.5 Program Director/Principle 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:

1. Find the appropriate grant on the *Status Result – List of Applications* screen and click the **Relinquishing Statement** link.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|------------------|-----------------------|---|--------------|----------------------|--------------------------------|-------------|-------------------------|
| SR01MH-123456-05 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded - Non-fellowships only | 07/16/2002 | |
| SR01MH-123456-12 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded - Non-fellowships only | 07/30/2009 | |
| SR01MH-123456-04 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded - Non-fellowships only | 09/18/2001 | |
| SR01MH-123456-13 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded - Non-fellowships only | 06/29/2010 | Relinquishing Statement |
| SR01MH-123456-11 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded - Non-fellowships only | 06/24/2008 | |
| SR01MH-123456-08 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | Submission Complete | Awarded - Non-fellowships only | 06/27/2005 | |
| SR01MH-123456-06 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded - Non-fellowships only | 07/16/2003 | |
| SR01MH-123456-02 | | NONOPTIMAL AND COUNTERINTUITIVE CHOICE | FANTINO, SAM | | Awarded - Non-fellowships only | | |
| SR01MH-123456-09 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Pending Verification | Awarded - Non-fellowships only | 05/05/2006 | |
| SR01MH-123456-03 | | NONOPTIMAL AND COUNTERINTUITIVE CHOICE | FANTINO, SAM | | Awarded - Non-fellowships only | 06/27/2000 | |
| SR01MH-123456-07 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded - Non-fellowships only | 06/29/2004 | |
| SR01MH-123456-10 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded - Non-fellowships only | 06/26/2007 | |

Figure 200: Status Result - List of Applications/Grants Screen

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.

2. *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.

Figure 201: Relinquishing Statement Screen

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.

Figure 202: Relinquishing Statement Screen

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 shows the 'Route Relinquishing Statement' screen in the eRA Commons system. The page header includes the eRA Commons logo and navigation links. The main content area shows the PDR Name (FANTKE SAM), Grant Number (5R01MH123456-13), and the Grant Institution Relinquishing the Grant (UNIVERSITY OF CALIFORNIA SAN DIEGO). The Next Reviewer dropdown menu is set to KHAZMUTDINOVA MARY. The Route to SO and Cancel buttons are highlighted with red circles.

Figure 203: Route Relinquishing Statement Screen

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>.*

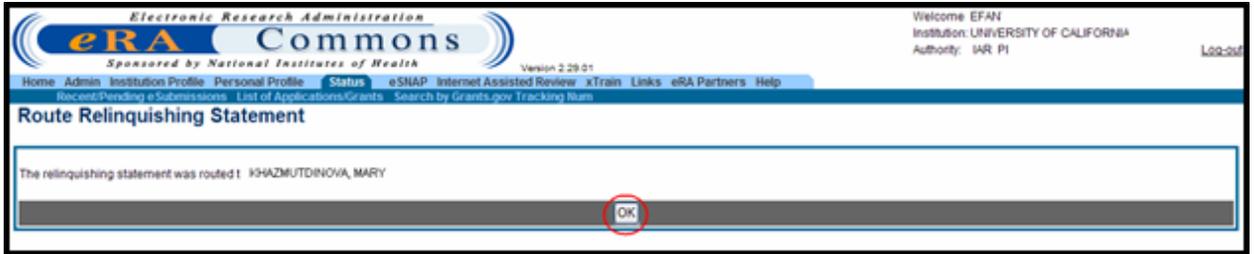


Figure 204: Route Relinquishing Statement Screen with OK Button

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.

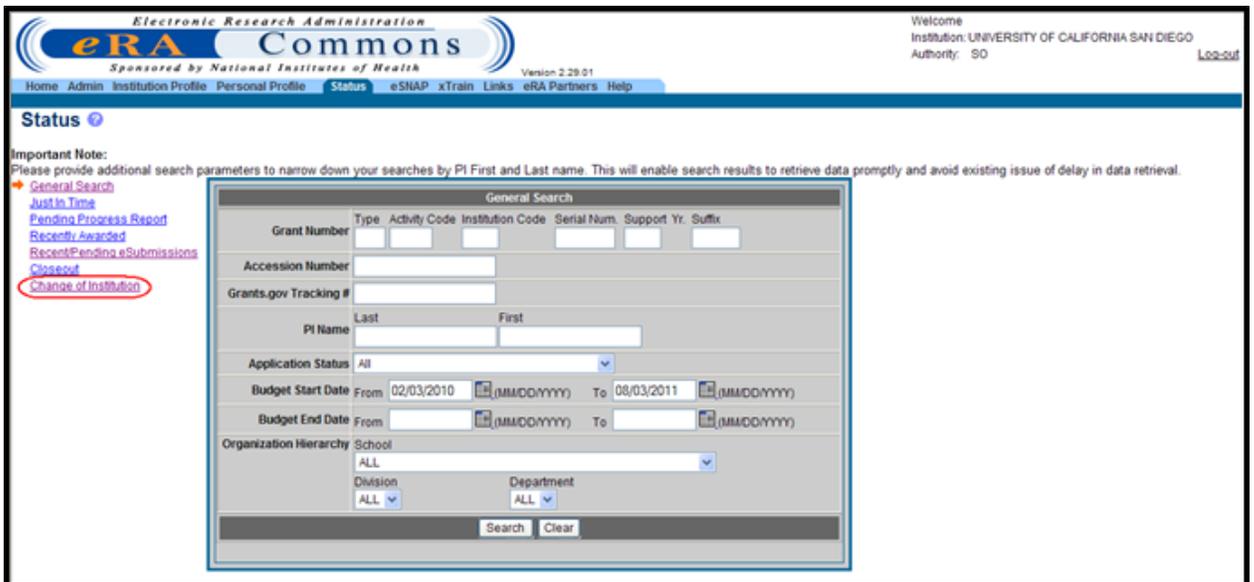


Figure 205: Status Screen Displaying Change of Institution Link

The system displays the *Status – Change of Institution* screen.

Figure 206: Status – Change of Institution Screen

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 211](#).

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.

Figure 207: Search for Grants Section on Status Results – Change of Institution Screen

The system displays the *Status Results – Change of Institution* screen.

2. Click on the *Manage Relinquishing Statement* link.

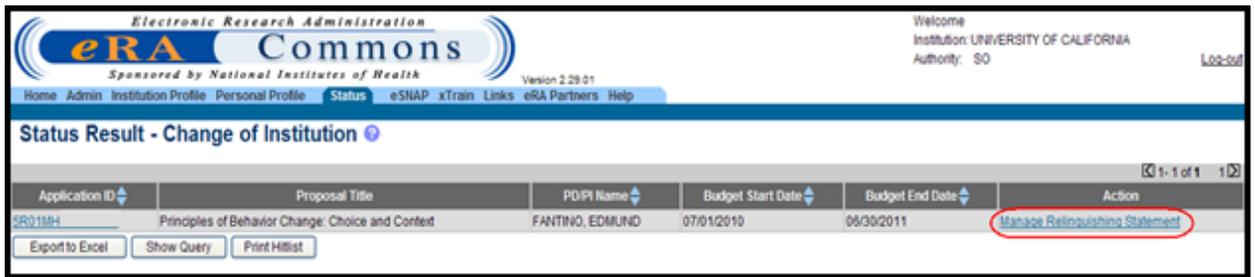


Figure 208: Status Result - Change of Institution Screen

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.

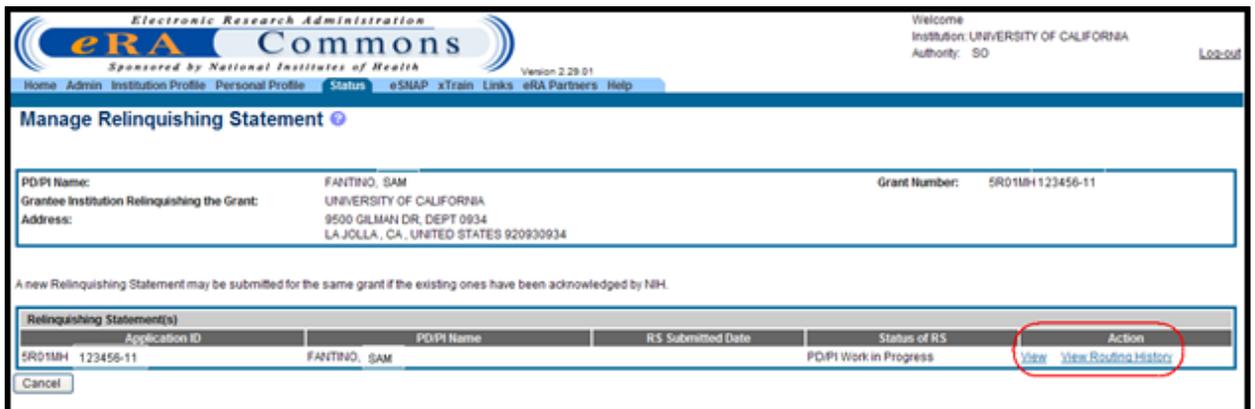


Figure 209: Manage Relinquishing Statement Screen

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.

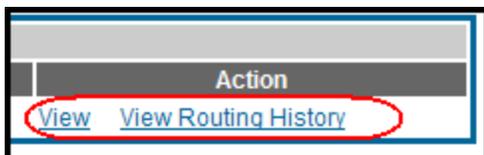


Figure 210: Action Column on Manage Relinquishing Statement Screen

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.

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

Relinquishing Statement

PO/PI Name: FANTINO, 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 PO/PI has expressed a desire to continue his/her research
DUNS Number:
IPF Code: 4256001
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

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

Figure 211: Relinquishing Statement Screen

If the RS has been submitted to NIH, then the system displays the RS in PDF format in a separate window.

Approved for use through 06/30/2012
OMB No. 0925-0001

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 | |

Figure 212: Relinquishing Statement PDF

4. *Optional:* To view the RS routing history, click the **View Routing History** link.

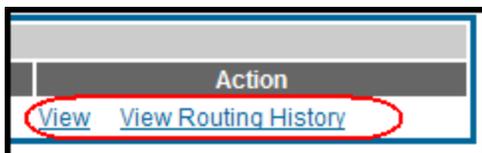


Figure 213: Action Column on Manage Relinquishing Statement Screen

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*.

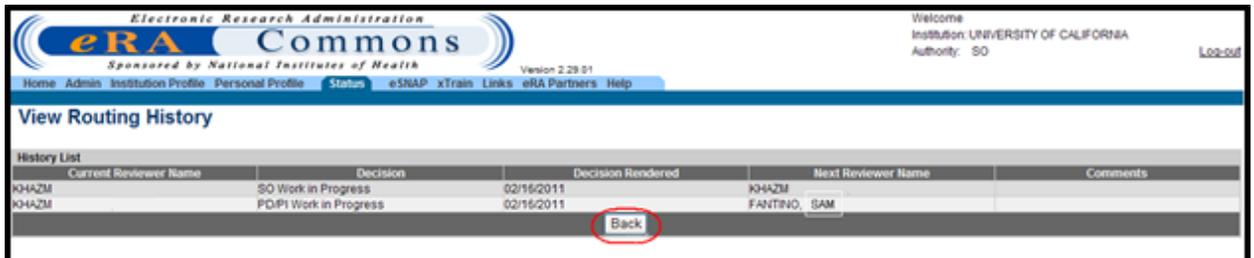


Figure 214: View Routing History Screen

- 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:

- Enter the appropriate grant information in the **Search for Relinquishing Statements** search fields and select the **Search** button.

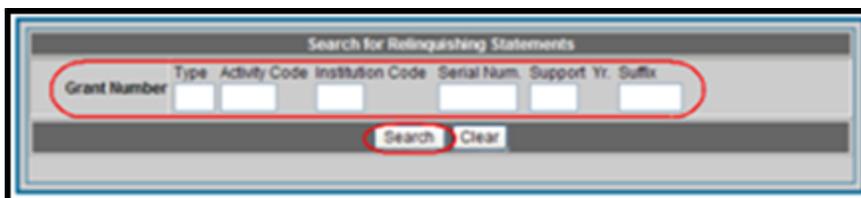


Figure 215: Searching for Relinquishing Statements Submitted by the Former Institution

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.



Figure 216: Status Results - Search for Relinquishing Statements Screen

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.

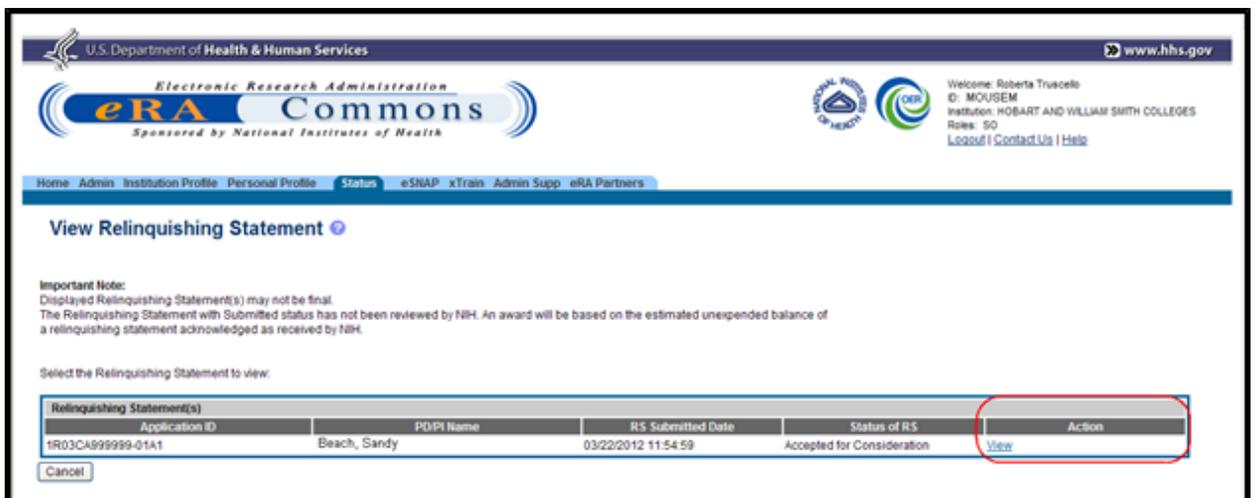


Figure 217: View Relinquishing Statement Screen

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 http://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 |
|-----------------------------------|-----------------------|--|---------------|---------------------|-------------------------------------|-------------|--------|
| IR01MH073991-01 | | Sp4 pathway in hippocampus modulates sensorimotor gating | GEYER, MARK A | | Application withdrawn for amendment | 03/19/2005 | |
| IR01MH074697-01 | | Stress and CRF system effects on information processing | GEYER, MARK A | | Application withdrawn for amendment | 07/14/2005 | |
| IR01MH052885-13S2 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | | Awarded. Non-fellowships only | 09/16/2009 | |
| IR01MH052885-14 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | Submission Complete | Awarded. Non-fellowships only | 04/09/2010 | |
| IR01MH073991-04 | | Sp4 pathway in hippocampus modulates sensorimotor gating | GEYER, MARK A | Submission Complete | Awarded. Non-fellowships only | 01/15/2009 | |
| IR01MH052885-13S1 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | | Awarded. Non-fellowships only | 07/07/2009 | |
| IR01MH052885-13 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | Submission Complete | Awarded. Non-fellowships only | 04/06/2009 | |

Figure 218: Status Result - List of Applications/Grants Screen

The system displays the *Status Information* screen.

- From the *Status Information* screen, click on the **Relinquishing Statement** link in the upper right hand corner.

Figure 219: Status Information Screen Displaying the Relinquishing Statement Hyperlink

The system displays the *Relinquishing Statements* screen.

Figure 220: Relinquishing Statements Screen

3. 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 <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.

17.6.7.2 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 (<http://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: 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.

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 <http://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 (<http://era.nih.gov/erahelp/commons/>) or the *Financial Conflict of Interest (FCOI) External User Guide* (http://era.nih.gov/files/fcoi_user_guide.pdf).

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](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html) (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html>)
- xTRACT Online Help: <http://dev.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.

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.

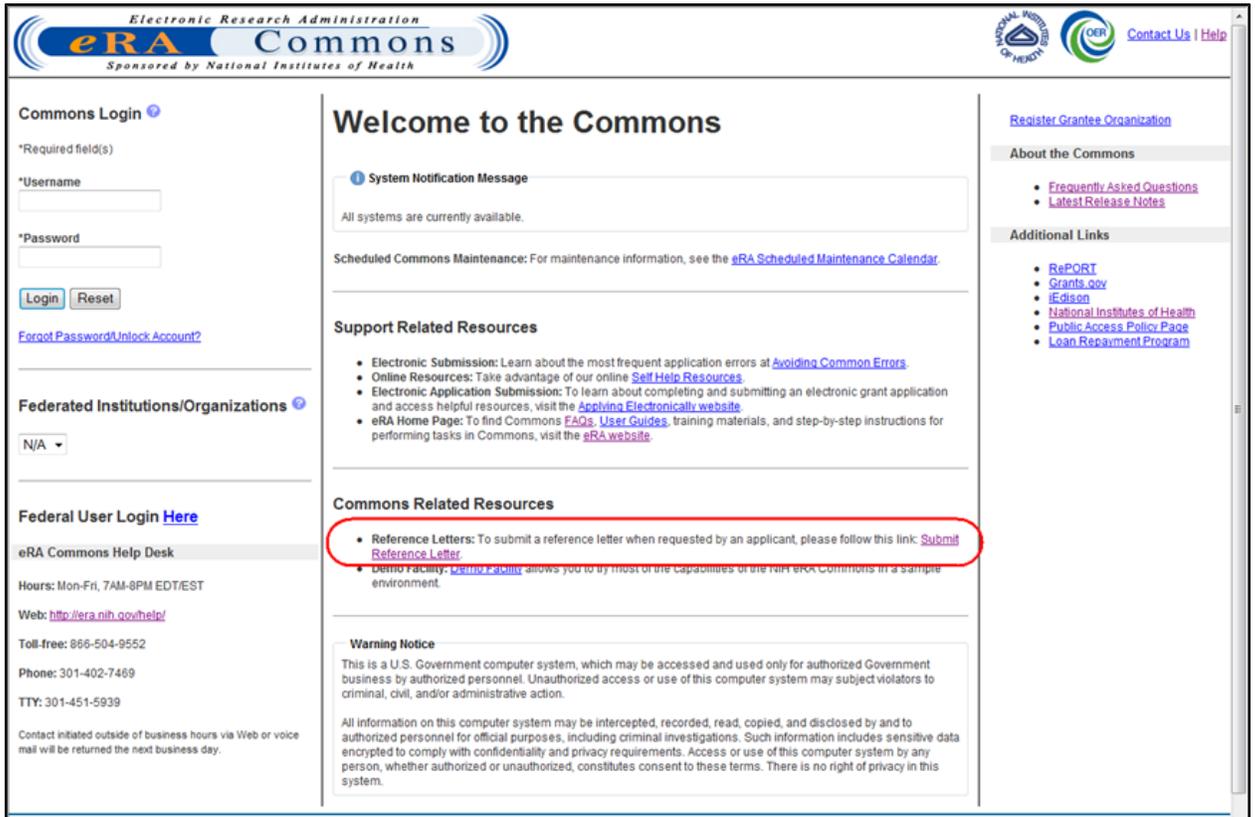


Figure 221: Submit Reference Letter Link

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 that you are using the [Fellowship Reference Form](#) that has ratings, evaluation, and referee information. Write down and keep the confirmation number you are assigned in case you need to resubmit the reference form. Previously submitted document will be overwritten if you resubmit.
- 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.

* 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):

Figure 222: Submit Reference Letter Screen

3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*). If the applicant is applying for a fellowship program, click on the **Fellowship Reference Form** link at the top of the page for the reference form.

Remember that reference forms must be converted to PDF before being submitted via Commons.

4. Select the **Continue** button.

The screen updates providing you a place for uploading your letter or form.

5. Attach the reference form or letter using the **Browse** button.
6. After attaching your PDF form or 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 [Submitting Reference Letters Through eRA 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:** http://grants.nih.gov/grants/funding/funding_program.htm).