eRA Commons User Guide

March 25, 2025

NOTE: This user guide is an identical PDF version of the online help.

Contact Us

Additional Help Needed? Please contact the eRA Service Desk (https://www.era.nih.gov/need-help).

Toll-free: 1-866-504-9552; **Phone:** 301-402-7469

Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

Feedback on the user guide? Please email the eRA Communications Office (era-communications@mail.nih.gov).

Disclaimer STATEMENT

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

Table of Contents

Latest Updates

March 10, 2025

Added a new topic explaining the requirements and steps for an organization to request a new signing official (SO) account. See *Requesting a New Signing Official Account (If No SOs Available)* on page 167.

February 28, 25

Revised ORCID iD topic with updated instructions for linking your ORCID iD to eRA Commons; see *The ORCID iD*.

December 11, 2024

Updated the look of the *Re-Assign Award* screen (for signing officials only), and added instructions on how to use the re-designed error checks for RPPRs. See *Steps for SO to Re-assign an Award* on page 470 and *Checking for Errors and Warnings* on page 429.

October 15, 2024

Removed online help relating to Demo Commons environment, due to its retirement. See Commons Demo to be Retired October 14 for more information.

October 1, 2024

Updated the Just in Time (JIT) topic to show the Data Management and Sharing (DMS) section, which has been added to allow funding agencies to request DMS plan information from applicants. Also updated the JIT topic to no longer refer to the automated JIT email that is being retired. See *Just in Time (JIT) Screen* on page 540.

October 1, 2024

Updated screenshots for Research Performance Progress Report (RPPR) section C. Products, to align with new questions (C.5.c) for Data Management and Sharing progress. See *C. Products* on page 340.

October 1, 2024

Added a new request type to Prior Approval documentation. The new "DMS Request" type is intended for NIH recipients who are subject to the Final NIH Policy for Data Management and Sharing (DMS) Policy to submit revisions to their approved DMS Plan. See *Prior Approval - DMS Request* on page 295.

October 1, 2024

Updated Closeout documentation to include Agency for Healthcare Research and Quality (AHRQ). AHRQ awardees will use the eRA Commons closeout screens and procedures to fulfill closeout requirements starting October 1, 2024. See *Closeout for AHRQ Awards* on page 606.

August 22, 2024

As part of the transition from DUNS number to Unique Entity Identifiers (UEIs), the DUNS number has been removed from Register Your Institution application. The DUNS number has been replaced with the Unique Entity Identifier (UEI), which is a registration available from SAM.gov. See *Registering Institutions and Organizations* on page 50.

August 9, 2024

As part of the transition from DUNS number to Unique Entity Identifiers (UEIs), the DUNS number has been removed from the *About This Institution* section of the Institutional Profile. A DUNS field has also been removed from the **A. Cover Page** of Research Performance Progress Reports (RPPRs). The DUNS number has been replaced with the Unique Entity Identifier (UEI), which is a registration available from SAM.gov. See *About the Institution* on page 250.

July 30, 2024

Rewrote instructions on how to fill out the final invention statement for closeout due to changes in the *Process Final Invention Statement* screen; see *Closeout—Final Invention Statement* on page 697.

June 24, 2024

Added a new topic describing how to search for awards pending closeout, awards with RPPRs due soon, and recently issued Noticed of Awards; see *Finding Recent NoAs, Awards with RPPRs Due, or Awards Pending Closeout* on page 773.

June 11, 2024

Added a new topic describing the Additional Materials closeout task which can appear for awards granted by the CDC; see *Closeout—Additional Materials (CDC)* on page 642.

June 5, 2024

Updated topics for submitting a reference letter to align help with screen updates and the new terminology of Notice of Funding Opportunity (NOFO) rather than Funding Opportunity Announcement (FOA); see *Submitting Reference Letters* on page 766.

June 4, 2024

Updated Welcome topic that describes eRA Commons login/landing pages to align with screen changes and the retirement of Quick Queries; see *Welcome to eRA Commons!* on page 42.

May 9, 2024

Updated topic for skipping the two-day viewing window for administrative supplements to align help with the refreshed look of related screens. See *Bypassing the 2-Business-Day Application Viewing Window for Administrative Supplements* on page 489.

May 8, 2024

Updated topic for submitting *Final Progress Report Additional Materials* (FRAM) to align help with the refreshed look of the FRAM screen. See *Closeout—Final Progress Report Additional Materials (FRAM)* on page 704.

May 6, 2024

Updated topics that relate to logging in to align help with the refreshed look of those screens. See *Logging into eRA Commons* on page 62.

May 2, 2024

Updated the topic for submitting Public Access PRAM to align help with the refreshed look of the Public Access *Progress Report Additional Material (PRAM*) screen. See *Responding to Public Access PRAM* on page 439.

May 1, 2024

Updated the topic for changing password to align help with the refreshed look of the *Change Password*screen. See *Changing Your Password* on page 145.

April 30, 2024

Updated the topic for switching to a different affiliated institution to align help with the refreshed look of the *Change Organization* screen. See *Changing to a Different Affiliated Organization* on page 135.

April 29, 2024

Updated the topic for submitting agency-requested PRAM to align help with the refreshed look of the *Progress Report Additional Material (PRAM*) screen. See *Responding to Agency Requested PRAM* on page 448.

April 26, 2024

Updated topics related to Status for principal investigators to align help with the refreshed look of those screens. See *Status for Program Directors/Principal Investigators (PI Role)* on page 475.

April 25, 2024

Updated topics related to Closeout tasks— *Closeout—Additional Closeout Documentation* on page 656and *Closeout—Final Progress Report (FPR)* on page 678to align help with the refreshed look of those screens.

April 24, 2024

Updated all topics for the Personal Profile module to align help with the refreshed look of the module; see *Personal Profile Module* on page 270.

April 23, 2024

Updated the topic for the Admin module, which includes creating/editing an account, advanced search, and delegations, to align help with the refreshed look of the Admin module; see *Create or Edit a Commons Account* on page 152, *Advanced Search for PIs with Continuous Submission Eligibility* on page 165, and *Delegations* on page 169.

April 19, 2024

Updated the topic on Interim Request for Additional Materials to align help with the refreshed look of the *Interim Request for Additional Materials* screen; see *Interim Report Additional Materials (IRAM)* on page 393.

April 10, 2024

Updated the topic on the Just in Time (JIT) screen to align help with the refreshed look of that screen; see *Just in Time (JIT) Screen* on page 540 and *Just in Time (JIT) for VA Applicants* on page 551.

April 2, 2024

Updated the topic on the *Foreign Disclosure Request for Additional Materials* screen to align help with the refreshed look of that screen; see *SBIR/STTR Foreign Disclosure Form—Request for Additional Materials* on page 577.

April 1, 2024

Updated the topic on the *OTA Request for Additional Materials* screen to align help with the refreshed look of the *OTA Submitting Additional Materials* screen; see *Responding to Additional Materials Requests from the Funding Agency* on page 567.

March 28, 2024

Updated all topics for Institutional Profile module to align help with the refreshed look of the module; see *Institution Profile Module (IPF)* on page 240.

March 11, 2024

Updated topic on re-assigning a grant to another department/office within an institution to align help with the refreshed look of the *Re-Assign Grant* screen; see *Steps for SO to Re-assign an Award* on page 470.

March 6, 2024

Due to a screen update to the *Recent/Pending eSubmissions* screen, updated topics that refer to that screen, where SOs and PIs can check the status of recent eSubmissions. See *How Does an AOR or SO Check Submission Status?* on page 465.

March 5, 2024

Added a new topic with information on the closeout process and options for Department of Commerce (DOC) awards. See *Closeout Status for DOC Awards* on page 645.

February 1, 2024

Added a new topic describing how to initiate an RPPR for a Department of Commerce (DOC) award; see *Initiating the Department of Commerce RPPR* on page 522. Added general information and updates to RPPR topics regarding DOC RPPRs. Added caveats to RPPR, Delegation, and Role help topics that do not apply to DOC awards.

January 31, 2024

The *ESI Eligibility* screen was updated to a new visual appearance. Added a topic on using the updated *ESI Eligibility* screen; see *ESI Eligibility Search* on page 208.

January 24, 2024

Updated Basics and Navigation topic, as the header, Main Menu, tables, and table tools have undergone minor visual updates. No functionality was changed.

January 4, 2024

Added a new topic describing how to submit a Foreign Disclosure Form. For details on this requirement and to find a blank form, see Required Disclosures of Foreign Affiliations or Relationships to Foreign Countries. For instructions on uploading the form, see *SBIR/STTR Foreign Disclosure Form—Request for Additional Materials* on page 577.

January 3, 2023

Updated Locked Account topic to reflect that the Unlock Account capability was removed from the Admin module.

November 16, 2023

Revamped the topic on Just In Time (JIT) submissions, and added information on a new SBIR/STTR file upload section for the Foreign Interference Form on the JIT screen. See *Just in Time (JIT) Screen* on page 540.

November 8, 2023

Added documentation on Payment Request Module for DOC awardees. See *Payment Request Overview* on page 229.

October 30, 2023

Several changes have been made to eRA Commons modules as part of Department of Commerce (DOC) rollout. In October of 2023, several DOC bureaus will begin using eRA to manage the award and post-award grant lifecycle. DOC-specific documentation has been added as follows:

- DOC awardees (SOs) can submit revision requests for awards; see *Revision Requests for DOC Awards* on page 512.
- DOC awardees (SOs) can accept or decline an award, starting with a Status search; see *Accepting or Declining a DOC Award* on page 509.

Agency-Specific Instructions: Department of Commerce (DOC) users: Please see Applicant and Grantee Training for more information (https://www.-commerce.gov/ocio/programs/gems/applicant-and-grantee-training).

October 30, 2023

Users searching for awards in Status (SOs), RPPR, and FFR can use the new Awarding Office/IC search criteria feature to limit search results to only specific grantor organizations. See *Searching for Awards by Awarding Office/IC (Search Criteria)* on page 116.

October 12, 2023

As of October 12, 2023, requests to revise approved Data Management and Sharing (DMS) Plans for NIH awards must be submitted via Prior Approval's “Other Request” type. The online help topic, *Prior Approval - Other Request* on page 286, was updated with specific instructions for using the Other Request type in Prior Approval for DMS change requests.

About eRA Commons

eRA Commons is a Web-based system for applicants and institutions to participate in the electronic grant administration process.

In eRA Commons (Commons), grant applicants, grantees, and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants. If you are registering a new institution, see https://www.era.nih.gov/register-accounts/register-in-era-commons.htm. If you are affiliated with a registered institution and need an eRA Commons account, contact your institution's signing official or account administrator.

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 can perform a variety of functions in Commons, including:

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

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

See:

Welcome to eRA Commons! on page 42

First-Time Login With Temporary Password on page 139

Logging into eRA Commons on page 62

Registering Institutions and Organizations on page 50

Welcome to eRA Commons!

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

https://public.era.nih.gov/commonsplus

eRA Commons Login Screen (Before Logging In)

The eRA Commons login screen displays., which contains the following elements:

Figure 1: eRA Commons login screen

Login Section

There are four login methods in the login section to access eRA Commons .

Principal investigators, reviewers, and key personnel associated with an application or an RPPR are required to use two factor authentication for enhanced security. This can be through a federated (institution) account if it meets NIH required security requirements, or through the use of Login.gov, the federal secure login system. If a user is required to transition to a more secure login system, they receive a message upon login guiding them through using Login.gov with eRA Commons. See *Transitioning To and Using Login.gov* on page 67.

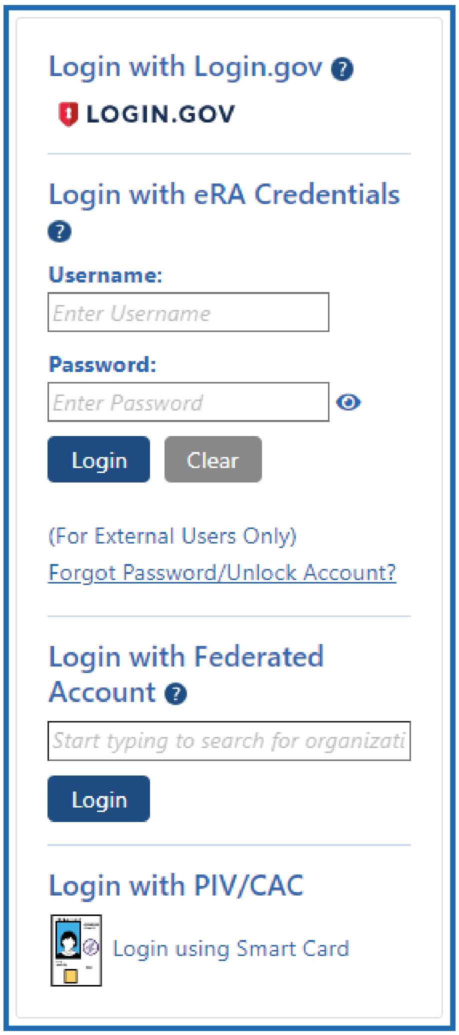


Figure 2: Four login methods on upper left of eRA Commons login screen, including Login.gov, eRA Credentials, Federated Account, and PIV/CAC smartcard

Service Desk Section

Service desk phone numbers and hours are listed in the upper right.

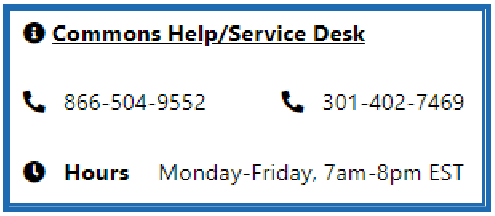


Figure 3: Service desk section in upper right of login screen, listing phone numbers and hours

Recent News Section

Read the recent news to find important announcements of upcoming or ongoing activities that might affect your work.

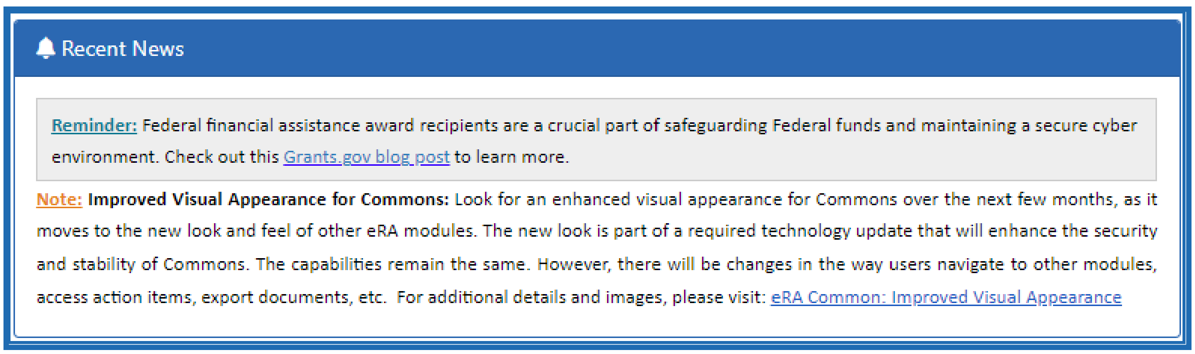


Figure 4: The Recent News section, below the Service Desk section, lists upcoming or ongoing activities that might affect your work in eRA Commons

Important Links Section

Below the Recent News section are links to help you:

- Register a new organization with eRA Commons--no eRA account required.
- Create accounts for your organization's users.
- Learn about and Submit a Reference Letter--no eRA account required.
- Jump to the iEdison system maintained by NIST to register and manage inventions.
- Connect to the LikeThis system, where you can enter queries to find similar projects.

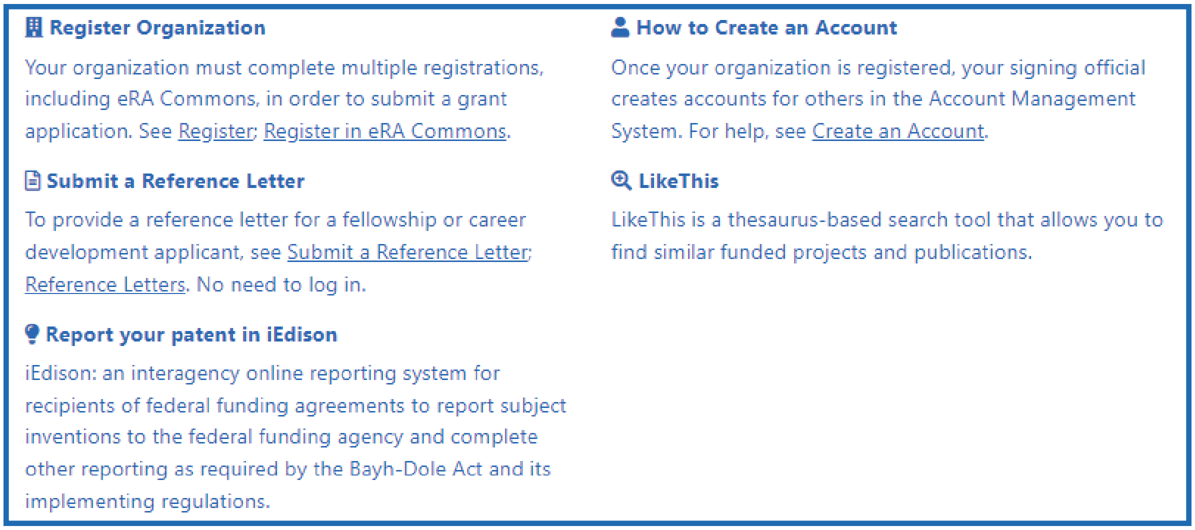


Figure 5: Important links include those relating to registering an organization, submitting reference letters, reporting patents, creating accounts, and using the LikeThis search module

Learn How... Section

New to eRA Commons? Click buttons in the *Learn How to Use eRA Systems* section to see help for your specific situation, whether you're applying for an award, need to manage an award you've already received, or are evaluating award applications as a peer reviewer.

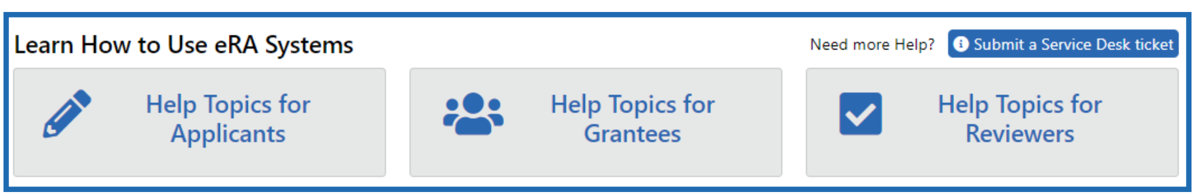
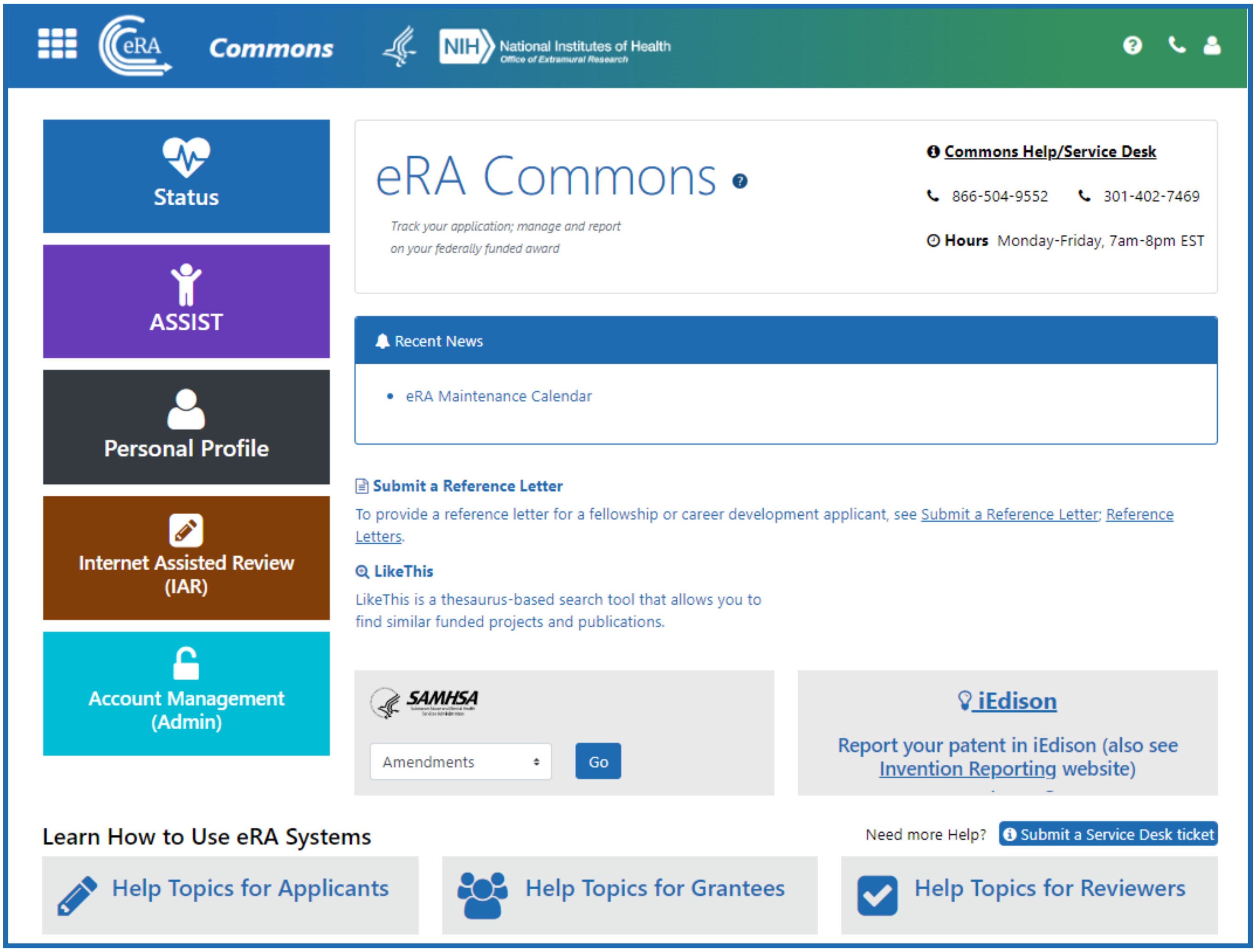


Figure 6: Learn How to Use eRA Systems buttons at bottom of eRA Commons login and landing screens, which link to helpful topics for a variety of user types

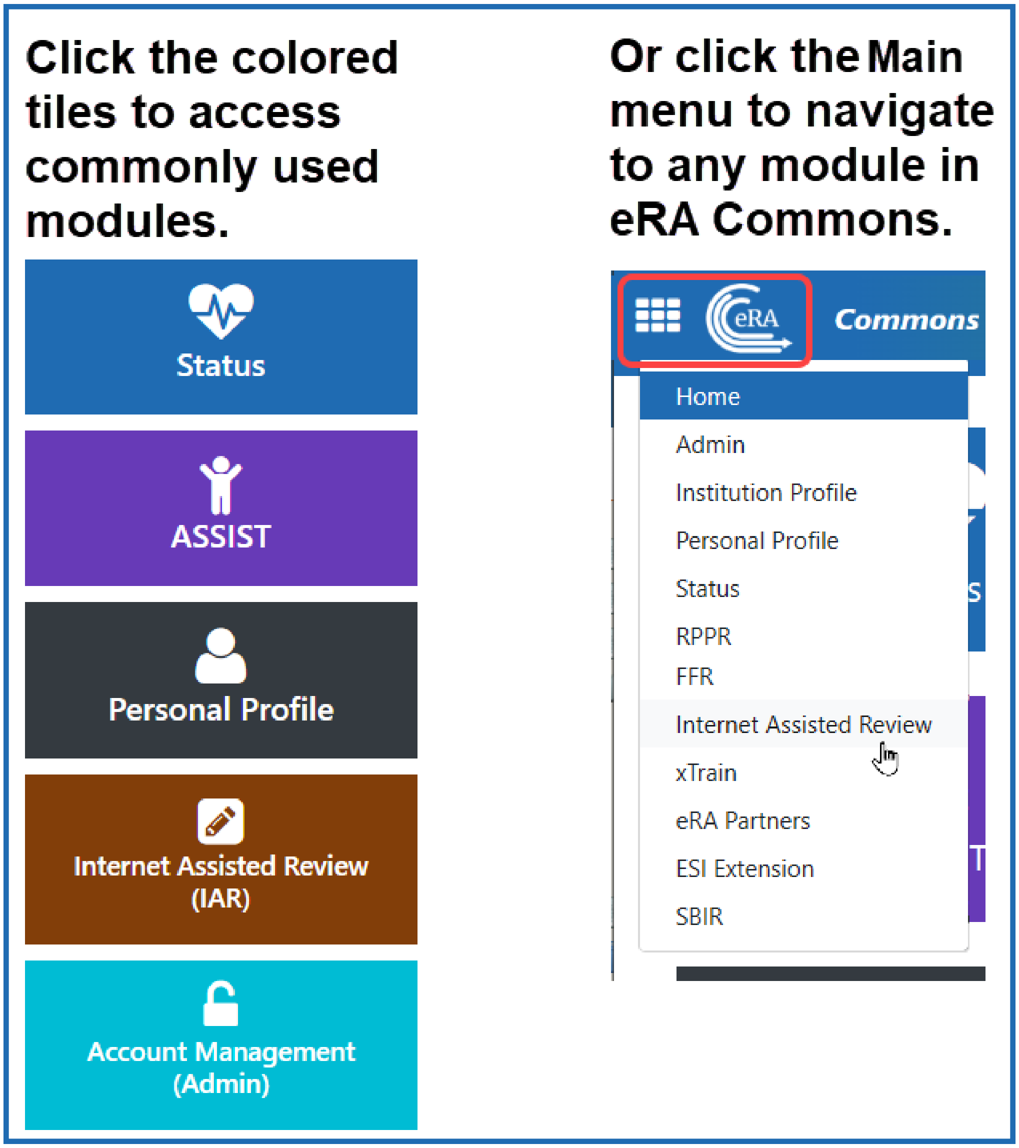
eRA Commons Landing Screen (After Logging In)

After logging in, you see the home, or landing, screen, which is similar to the login screen except that it has navigation to eRA modules.



eRA Commons Navigation Between Modules

Navigate to the most commonly used modules by clicking the module's colored tile or use the Main menu to access all modules:



See your login information, institution, roles, and a **Sign Out** link under the person icon  in the header. It also contains links to change your password or manage your email preferences. For more information about the header, see *Header and Footer Navigation* on page 102.

The grey panel labeled SAMSHA gives you direct access to the Non-Research searches for amendments, continuations, and supplements. See *Non-Research Amendments, Supplements, and Continuations (for Non-Research Agencies)* on page 741 for more information.

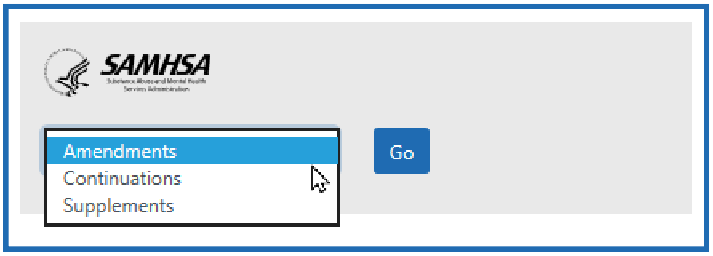


Figure 7: To proceed to SAMHSA management of amendments, supplements, and continuations, select an item in the SAMHSA panel and click Go.

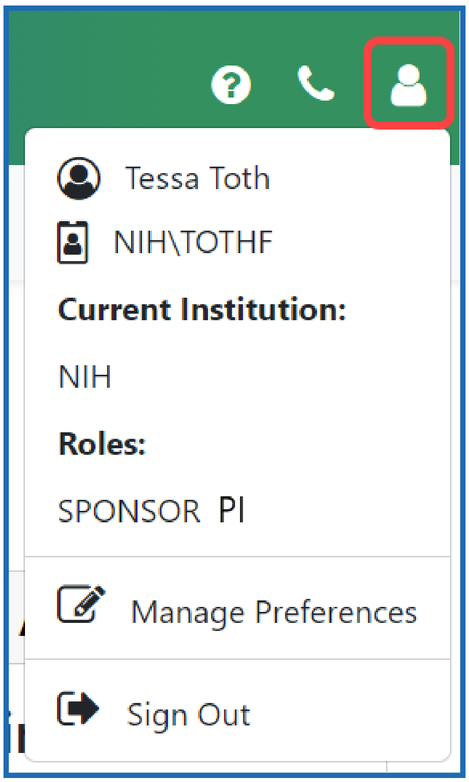


Figure 8: Click the person icon in upper right to see current institution and roles.

On any eRA Commons screen with a help icon, click it to access context sensitive help for the screen you are viewing.

Registering Institutions and Organizations

An institution (university, company, corporation, organization, or other research entity) is required to register in eRA Commons to electronically submit a grant application. There is a one-time registration process, during which initial accounts are created.

The institution must be registered by a person who has signature authority to legally bind the institution in grants administration matters, referred to as a signing official (SO). Only authorized organization officials can be deemed as SOs for their institutions. Examples of NIH-accepted signing officials include:

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

During registration, accounts for the signing official (SO) and account administrator (AA) are created. After registration becomes active, these two authorized individuals can then create new user accounts for personnel at their institution and can access Institution Profile information. The first signing official can create additional signing official accounts; see *Signing Official (SO)* on page 128.

You can access the eRA Commons Online Registration system at the following location:

https://public.era.nih.gov/commonsplus/public/registration/initRegistration.era

For applications due on or after January 25, 2022, applicants must have a UEI at the time of application submission. See the article titled, Unique Entity Identifier Update, on the GSA (U.S. General Services Administration) website for more information. (https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update)

NOTE: If your organization intends to only apply for Other Transaction Authority (OTA) opportunities, then a UEI number is not required for initial registration.

Before you Register

For new organizations needing to register to do business with NIH:

• Your organization must complete multiple registrations before registering with eRA Commons (see the Register webpage on the Grants & Funding website). NIH recommends starting the organization registration process six weeks prior to your deadline to allow plenty of time to address unforeseen issues along the way.

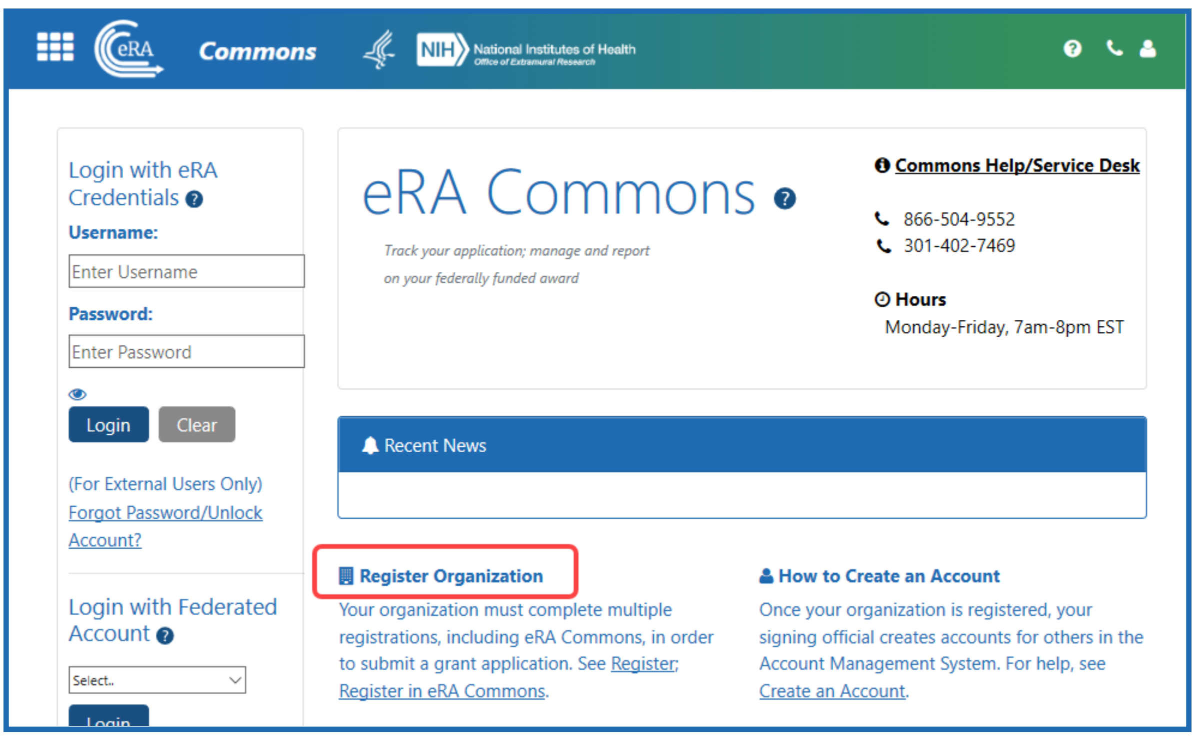
• Note that eRA Commons registration can take up to 10 business days to complete, so plan in advance.

• Note that the assignment of a UEI is sufficient to register in eRA Commons, while your full SAM.gov registration is being processed.

Registering an Institution

To register your institution:

1. On the Commons home page, click the Register Organization link.



You are presented with the *Step 1 Purpose* screen, the first of five wizard-like screens in the registration process.

2. Fill out each screen in the registration wizard and click **Next**. See the topics below for details on each step.

See *What Happens After You Submit Your Registration Request?* on page 57 for what happens after clicking the **Submit** button in the final of the five screens.

Step 1 Purpose

Choose the intent for the use of your eRA Commons registration. You can select checkboxes for all types that apply to your institution's needs. More opportunity types can be added later, after registration; see *Opportunity Type Eligibility* on page 253

NIH Grants/Contracts. This is the most common type of registration and is required for any application that is funded by NIH.

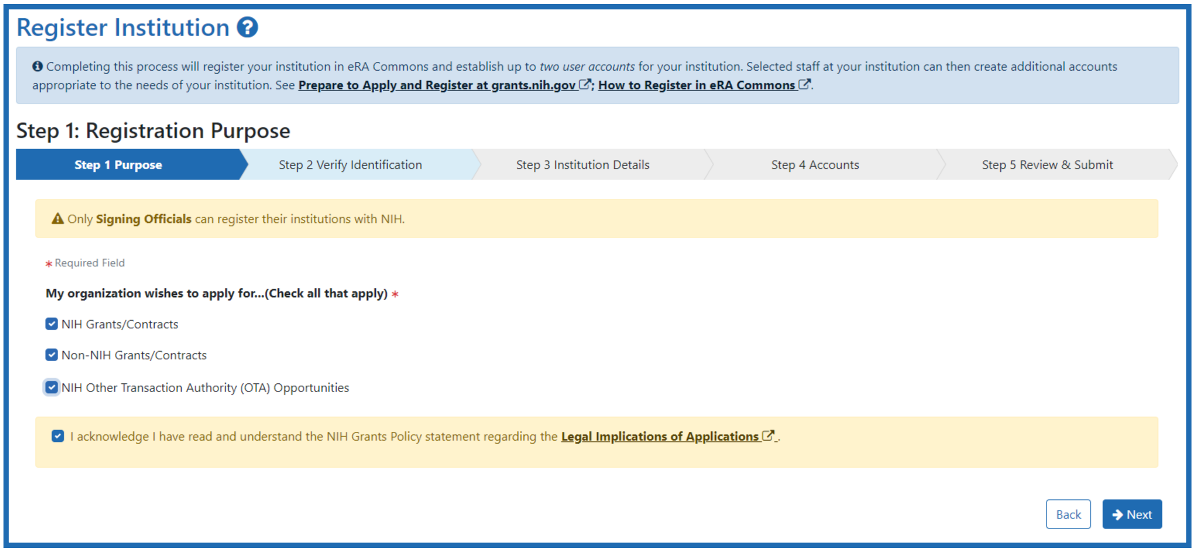
Non-NIH Grants/Contracts. Selecting this option lets you submit applications offered by partner agencies such has SAMHSA, AHRQ, etc.

NIH Other Transaction Authority (OTA) Opportunities. A type of funding that is neither grants nor contracts and is used across NIH.

If you choose NIH Grants or Non-NIH Grants, you must provide a Unique Entity Identifier (UEI) number on the next screen, which can be obtained from SAM.gov.

Additionally, if you choose the NIH Grants option, you must then acknowledge having read the **Legal Implications of Applications** of the NIH Grants Policy statement, which is linked for your convenience.

Click the **Next** button, which becomes enabled only when required options are completed.

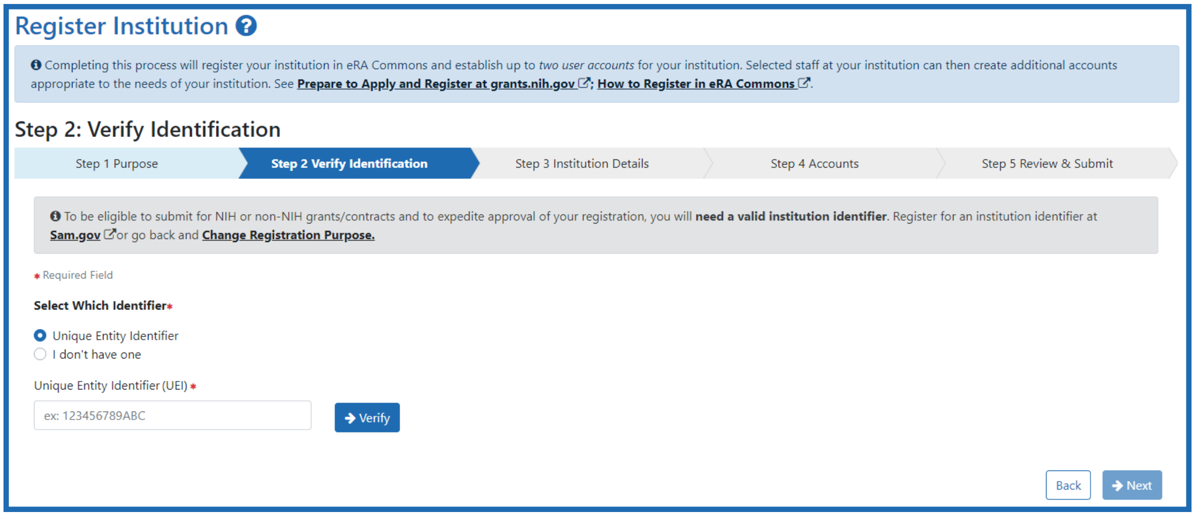


Step 2 Verify Identification

On the *Verify Identification* screen, what you see depends on what you chose on the *Purpose* screen:

- If you marked either NIH Grants or Non-NIH Grants on the *Purpose* screen, you see only a **Unique Entity Identifier** field, where you must provide your institution's UEI. To obtain a UEI, you must have previously registered in SAM.gov.
- If you marked the NIH Other Transaction Authority as the *Purpose* for registration, then you have the option to either enter the UEI or click "I don't have one" for the identifier.
- If you click "I don't have one," then an additional acknowledgment appears informing you that applications are not accepted without current, active SAM registration. Mark this checkbox if this message appears.

If you enter a Unique Entity Identifier, click the **Verify** button, which checks to see if the identifier has been registered in SAM.gov. After successful verification, or after clicking "I don't have one," click the **Next** button.



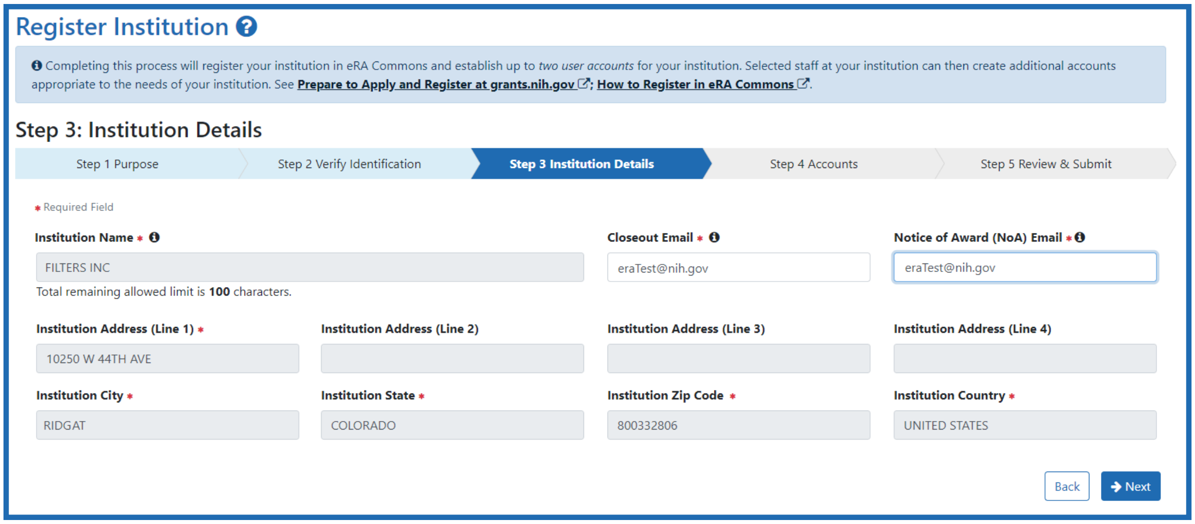
Step 3 Institution Details

In the following screen, fill out the fields if necessary. Note that if you are registered in SAM.gov and you provided a UEI number, many of the fields are automatically populated from SAM.gov data. Those fields are not editable. If the SAM.gov information is wrong, you must log into SAM.gov to correct it.

Not pre-populated are the **Closeout Email** and **Notice of Award Email** fields. Specify addresses where grant award decisions and closeout-related communications (at end of award) should be sent, then click **Next**. Most institution details on this page can be changed later in the eRA Commons *Institutional Profile* module.

If you did not specify a UEI earlier, then the fields are empty and editable; fill them out.

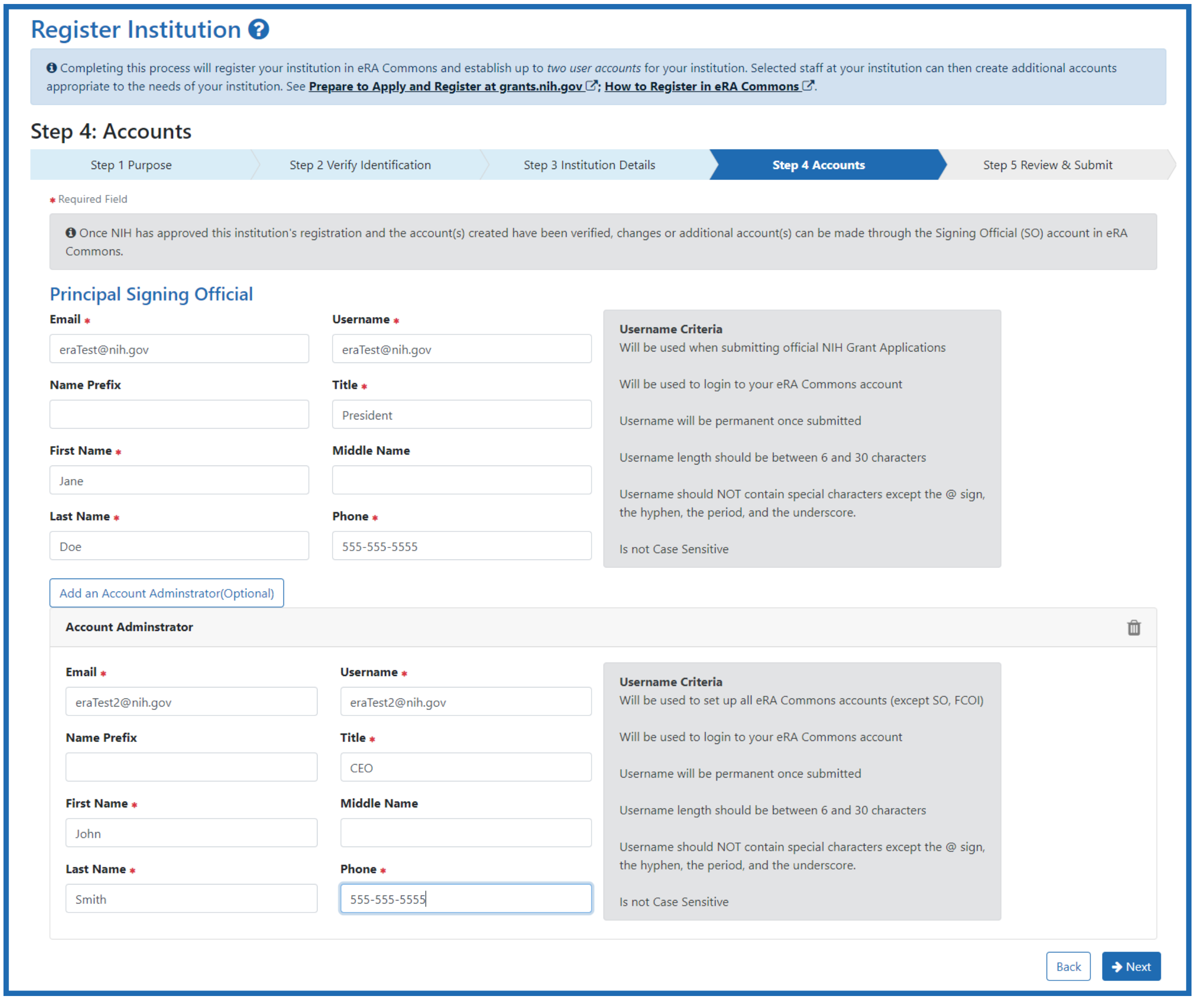
NOTE: If the **Institution State** field is grayed out/disabled, then first specify an **Institution Country**. If the country you choose has states/provinces, then those will now appear as type-ahead options in the **Institution State** field, which becomes enabled for countries that require it.



Step 4 Accounts

In the following screen, you must create a signing official (SO) account; see *Signing Official (SO)* on page 128 for details on this role. Optionally, click the **Add an Account Administrator (Optional)** button to also create an additional account; the account administrator (AA) is a person who can help with the creation and administration of eRA Commons accounts.

Read username criteria on the right in the gray box. Once submitted, your username is permanent and cannot be changed. After filling out at minimum the required (red asterisk) fields for the signing official, click **Next**.



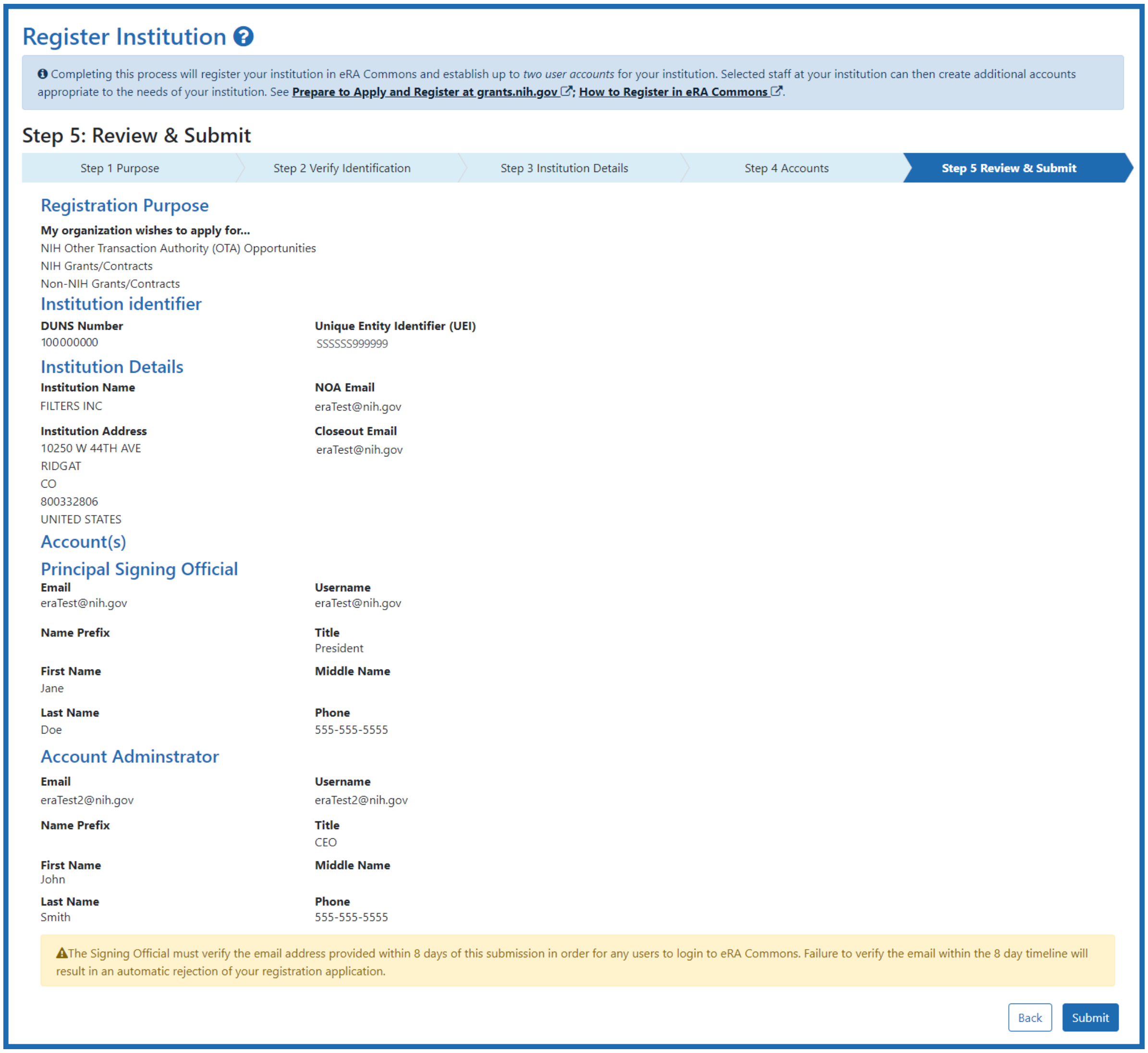
Step 5 Review & Submit

In the following screen, review all information; if you notice anything wrong, use the **Back** button to return to previous screens and correct mistakes.

When finished reviewing, click the **Submit** button.

You are NOT done with the registration process!

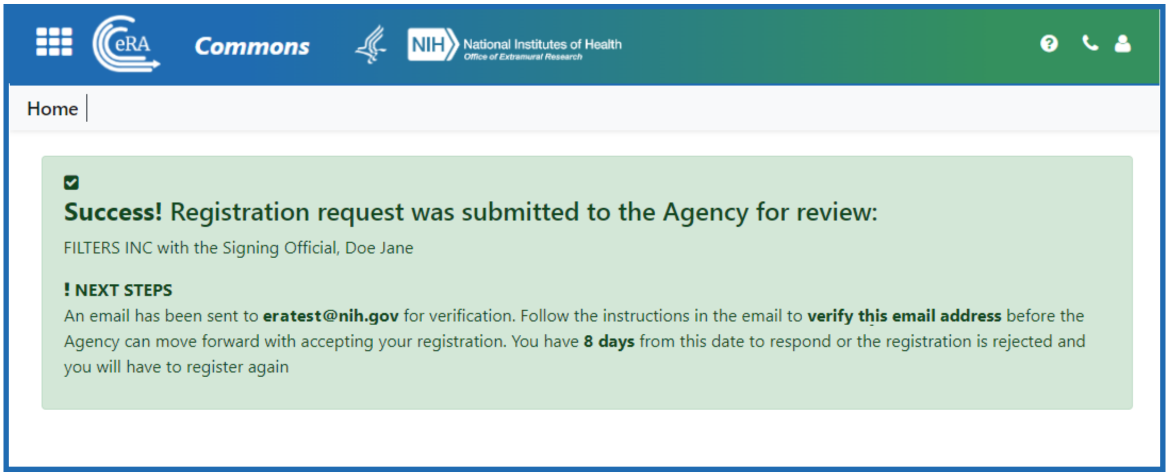
There are several other interactions between you and eRA that will occur after sub-mitting, so be sure to read the following section.



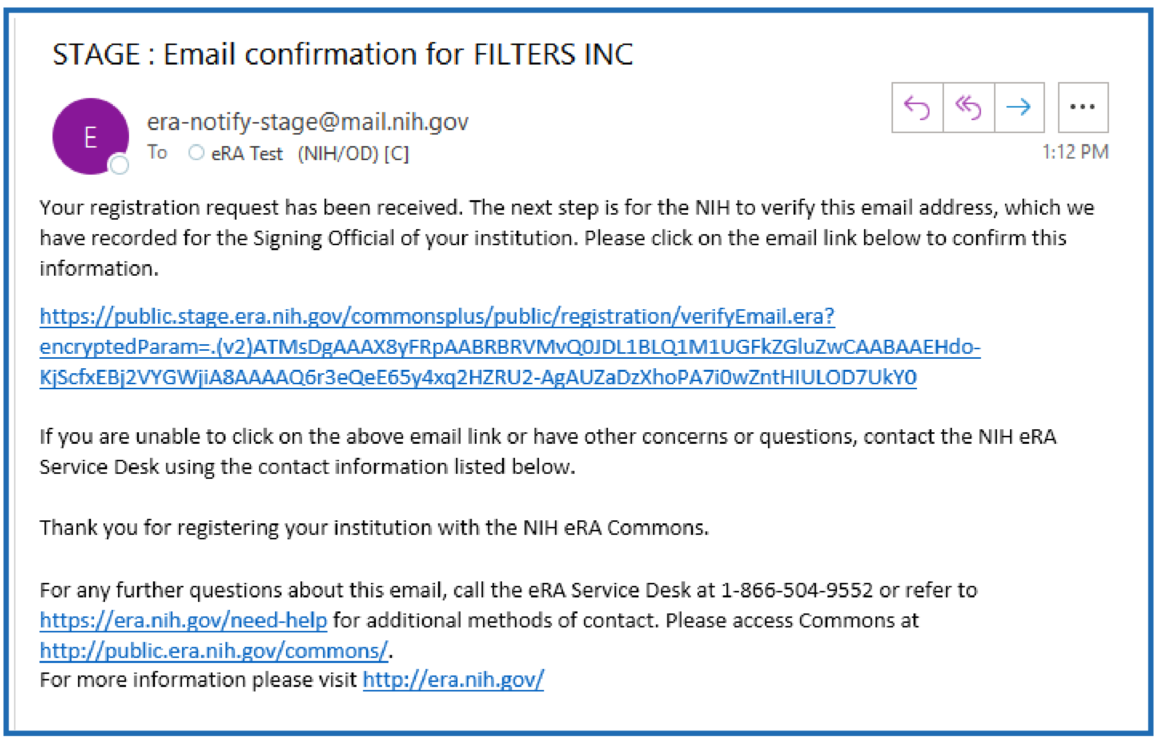
What Happens After You Submit Your Registration Request?

After you submit your request, there are a series of further communications and steps you need to take in a timely manner. If you don't receive the emails specified below, check your spam folders.

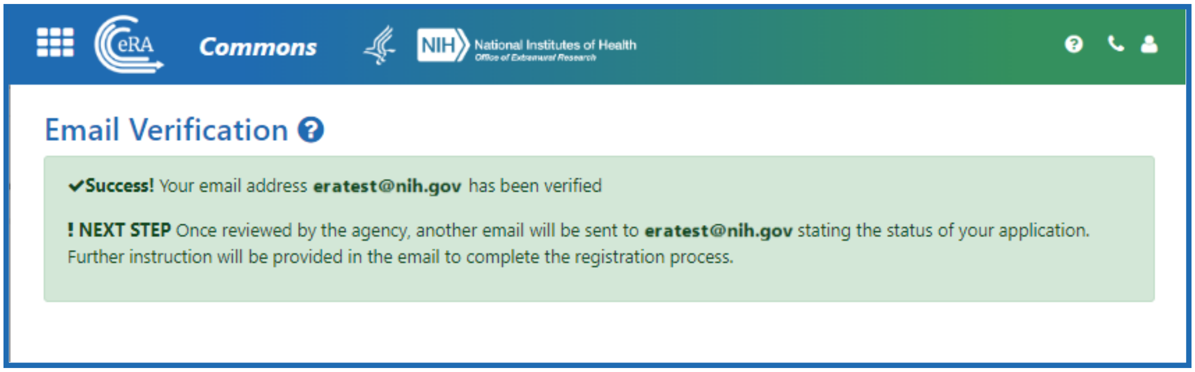
1. You see the following **Success** message in the browser immediately after submitting your registration request.



2. You receive the following email at the email address you used to register. You must click the link in the email to complete email verification. If you fail to verify your email within eight days, your registration request will be canceled.

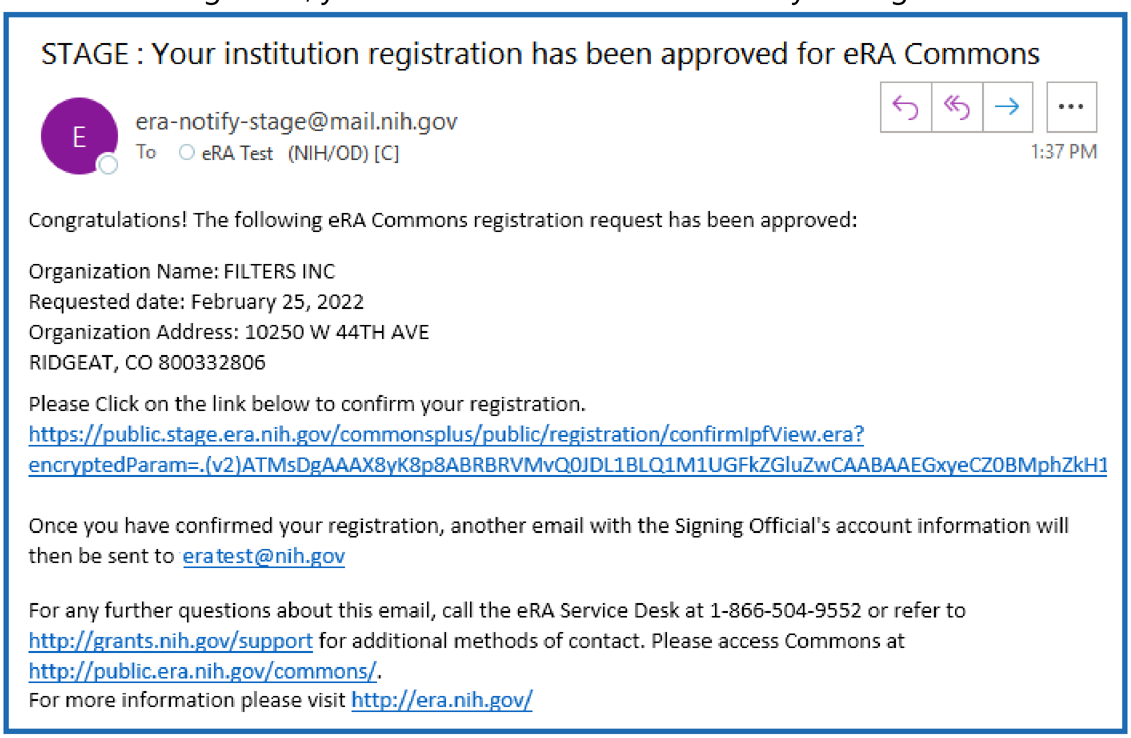


3. After you click the link in the above email, you see the following browser **Success** message for email verification, below.

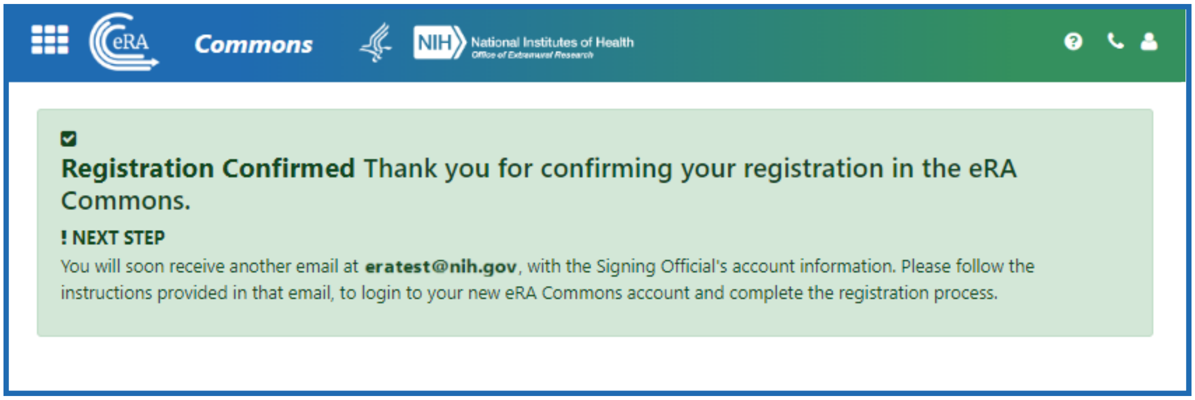


4. At a later date, after your registration request has been evaluated by agency personnel, you receive the following email if your registration was approved. If your registration request was rejected, you would instead receive an email notifying you of the rejection.

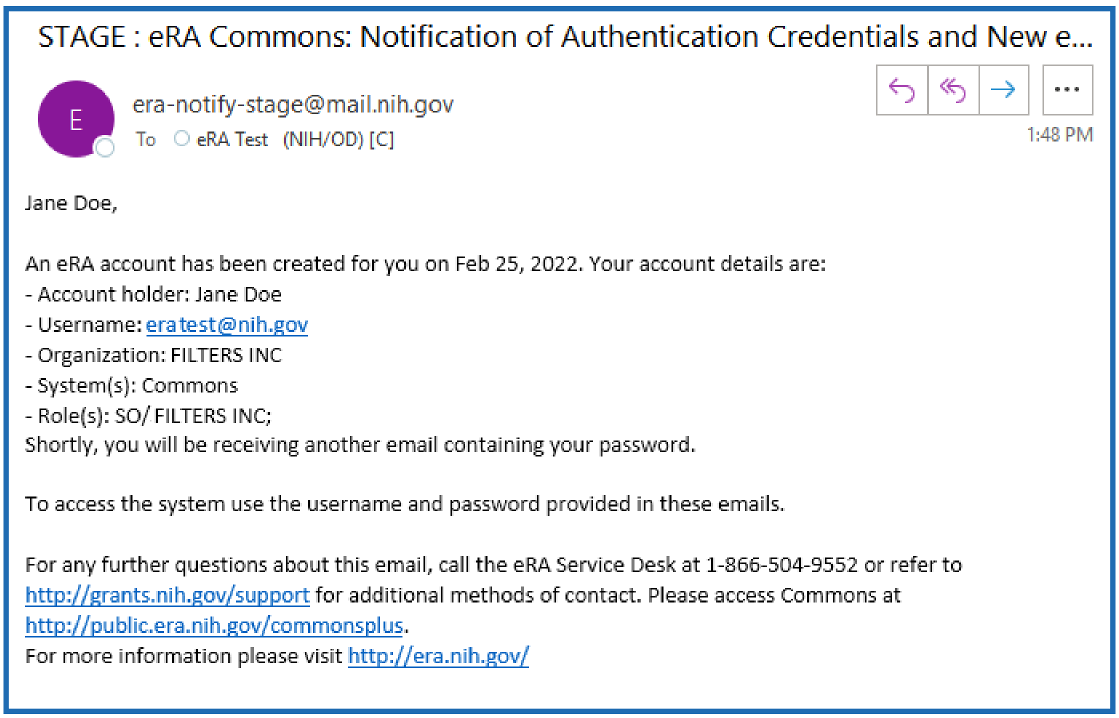
   In the following email, you must click the link to confirm your registration.



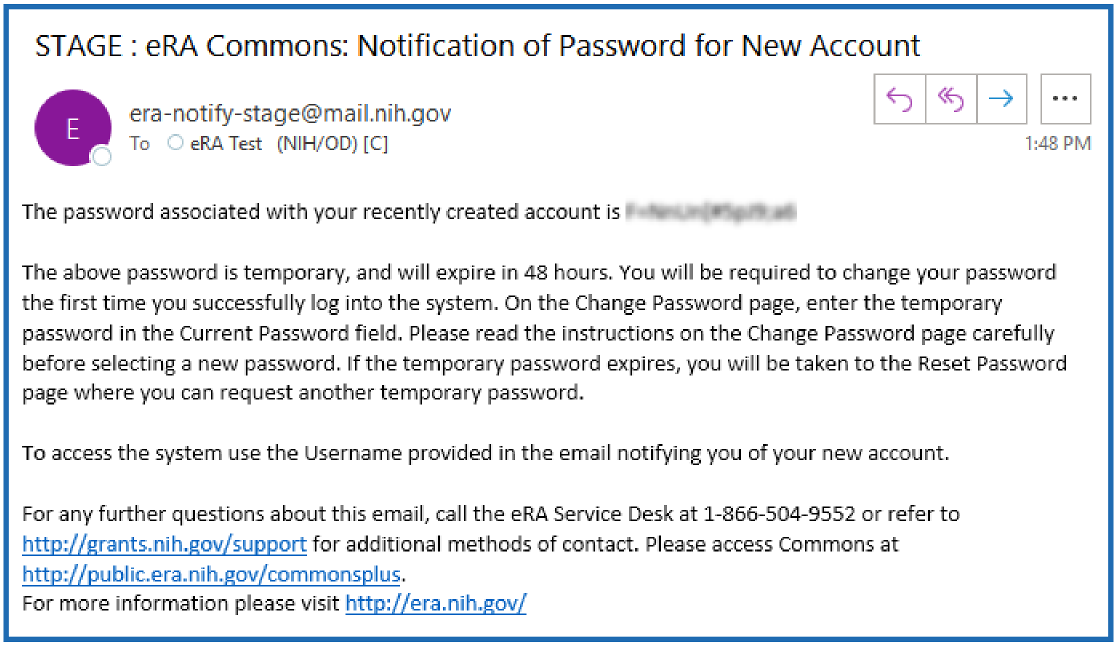
5. After clicking the link in the above email, you see the following browser **Registration Confirmed** message, below.



6. After you confirm your registration, you receive two more emails in quick succession. The first, below, notifies you of your account creation and lists your username. Take note of the username, as you will need it to log into eRA Commons.



7. The second email, below, notifies you of your account's temporary password, which is valid only for 48 hours. Take note of, or copy, the password, as you will need it to log into eRA Commons.



STAGE : eRA Commons: Notification of Password for New Account

era-notify-stage@mail.nih.gov
To eRA Test (NIH/OD) [C]
1:48 PM

The password associated with your recently created account is

The above password is temporary, and will expire in 48 hours. You will be required to change your password the first time you successfully log into the system. On the Change Password page, enter the temporary password in the Current Password field. Please read the instructions on the Change Password page carefully before selecting a new password. If the temporary password expires, you will be taken to the Reset Password page where you can request another temporary password.

To access the system use the Username provided in the email notifying you of your new account.

For any further questions about this email, call the eRA Service Desk at 1-866-504-9552 or refer to http://grants.nih.gov/support for additional methods of contact. Please access Commons at http://public.era.nih.gov/commonsplus.
For more information please visit http://era.nih.gov/

8. Within two days of receiving the above email, log into eRA Commons as described in *Logging into eRA Commons* on page 62. If you do not log in within two days, you will need to request a password reset; see *Reset Password* on page 142.

9. You will immediately be directed to change your temporary password; see *Reset Password* on page 142.

10. Once you change the temporary password, the system requires you to log back in, using your new credentials. As the SO, you are presented with an **Acknowledgment of Signing Official Responsibilities** form. Read and acknowledge the form.

11. At this point, you may be directed to associate your new Commons account with a Login.gov account; see *Transitioning To and Using Login.gov* on page 67.

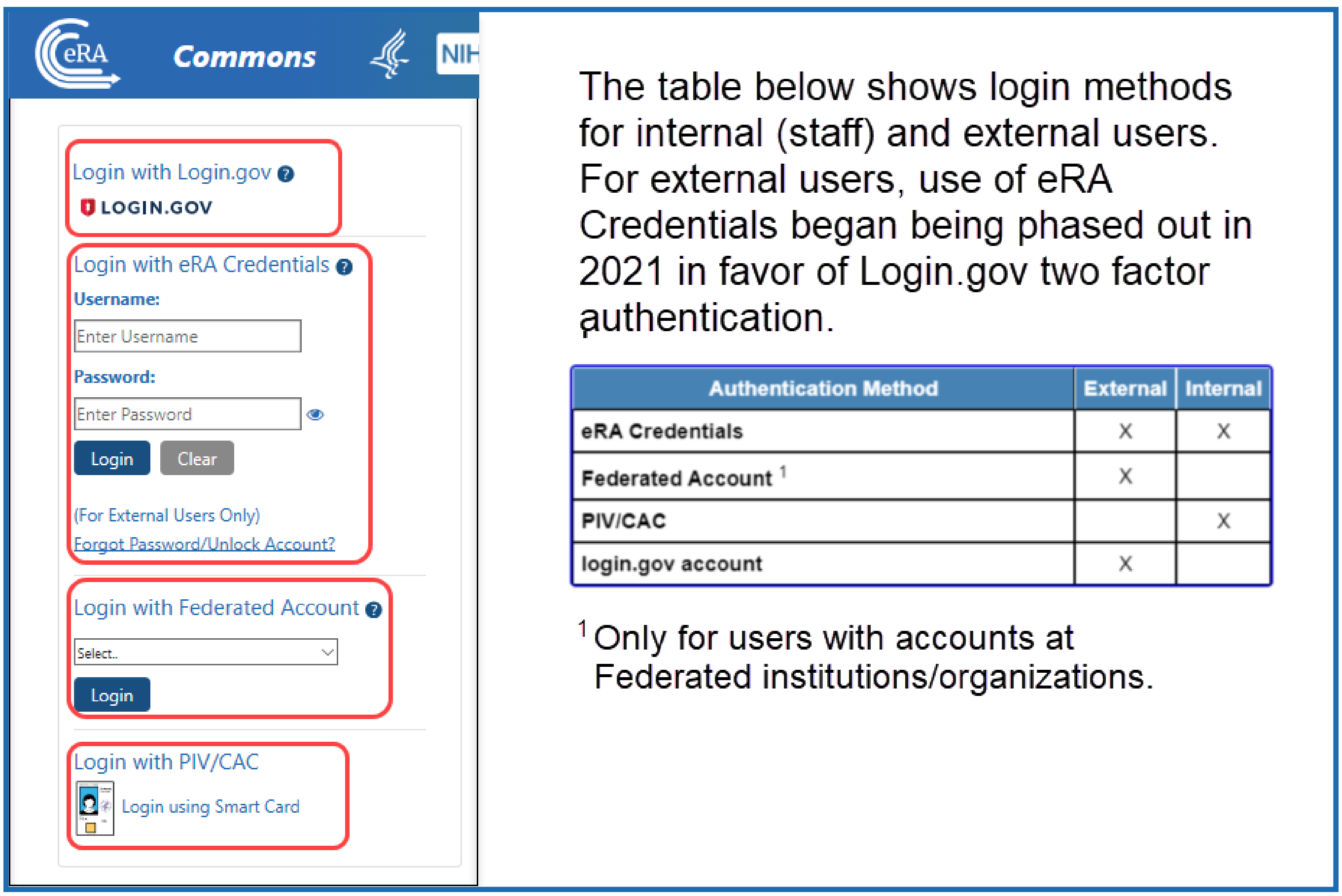
If you created an account administrator account, that person also receives emails with their username and password, and must log in, change their password, etc. Both the SO and the AA can now create eRA Commons accounts for others at your institution; see *Create or Edit a Commons Account* on page 152.

Changing Your Institution's Registration Details Later

Much of the information that you specify during registration of your institution can be changed later after your registration is approved by using the Institutional Profile module in eRA Commons. See the topics for the *Institution Profile Module (IPF)* on page 240.

Logging into eRA Commons

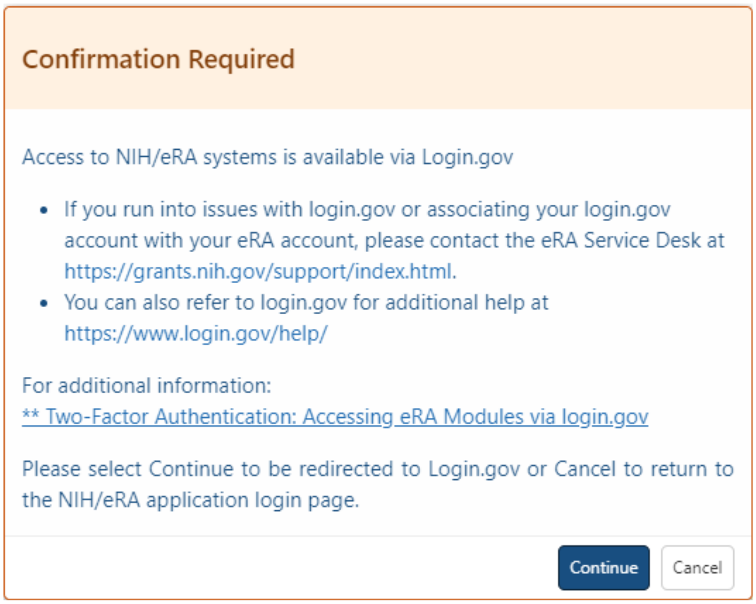
Access to eRA Commons depends on the type of user. The Commons user (applicant, signing official, NIH staff, etc.) can log in using one of four ways listed on the eRA Commons login screen:

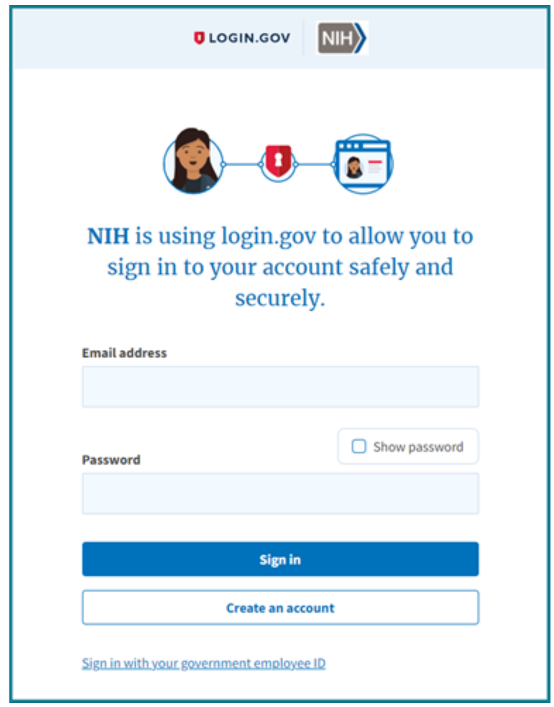


Log In with Login.gov

If switching to Login.gov, follow the instructions in *Transitioning To and Using Login.gov* on page 67.

If you attempt to log in with your normal eRA credentials, and you see one of the following screens, then you are being transitioned to mandatory use of Login.gov; see *Transitioning To and Using Login.gov* on page 67.





Log In with eRA Credentials

This method uses a username and password that is assigned and maintained by the eRA Commons system. This method is being phased out gradually and eventually all external users must create and associate a two-factor authentication account (Federated account or Login.gov) with their eRA account. Authentication will be accomplished with the two-factor authentication account, after which the user will be logged into the eRA account that was associated with the two-factor account. See below for instructions.

NOTE: If you are an NIH staff member who needs to log in with your NIH network account credentials and you have an active NIH PIV exemption, see Login Screen for

Internal Staff, and scroll down to the topic titled, *Log In Using NIH Network Account Credentials (Only available for NIH users who have an active NIH PIV exemption)*.

If you have been provided with a Commons User ID, you can log into Commons using the **Login with eRA Credentials** section of the login page. This access method is being gradually phased out starting in 2021, but you will retain the eRA credentials and continue to maintain them because they identify you throughout the Commons system.

To log into Commons:

1. Navigate to eRA Commons . (https://public.era.nih.gov/commonsplus/)
2. Under **Login with eRA Credentials**, enter your username in the **Username** field.
3. Enter your password in the **Password** field. By default, passwords display as bullet characters, but you can click the small 'eye' icon next to the password field to see the actual password in clear text.
4. Click the **Login** button.

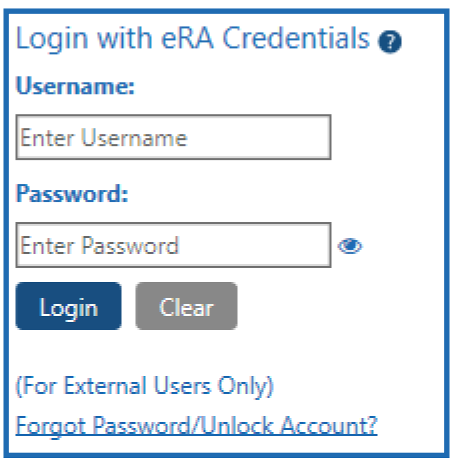


Figure 9: Commons Login

NOTE: Commons locks users out after three (3) unsuccessful login attempts.

If you successfully login, you see a Person icon at upper right. Clicking the Person icon shows your username, institution, and user roles.

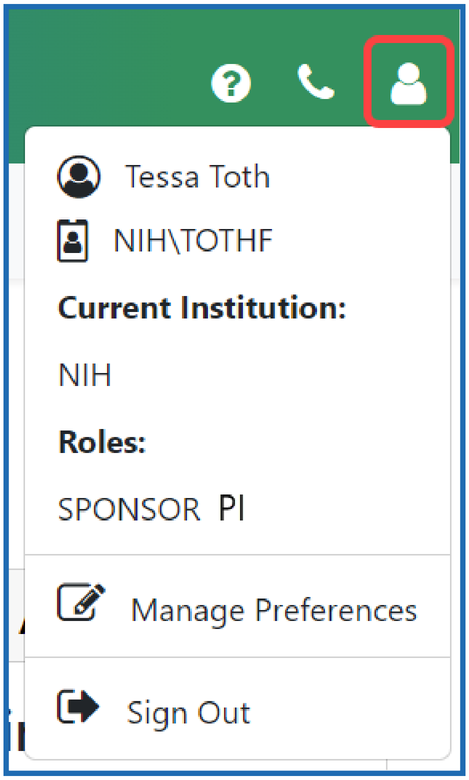


Figure 10: Commons Home Page shows a Person icon in upper right, which when clicked shows account information

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 Refer to *Changing to a Different Affiliated Organization* on page 135 for more information.

After you have signed into Commons, you can access the various modules, 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. See *Opening Modules* on page 137 for information on navigating to modules.

Log In with and InCommon Federated Account

This method uses an InCommon federated account (when a user's organization participates in the InCommon federated account login program, which involves using the organization's own credentials). See *Federated Institutions/Organizations Commons Login* on page 82 for instructions.

Log In with PIV/CAC or With Network Credentials+PIV Exemption

If you are an internal NIH or federal agency user accessing Commons, see the Login Screen for Internal Staff topic.

If you are an NIH staff member who needs to log in with network credentials and you have an active NIH PIV exemption, access the above topic, and scroll down to the topic titled, *Log In Using NIH Network Account Credentials (Only available for NIH users who have an active NIH PIV exemption)*.

Commons Landing Page

After logging in, you see the landing page. See *Welcome to eRA Commons!* on page 42 for details.

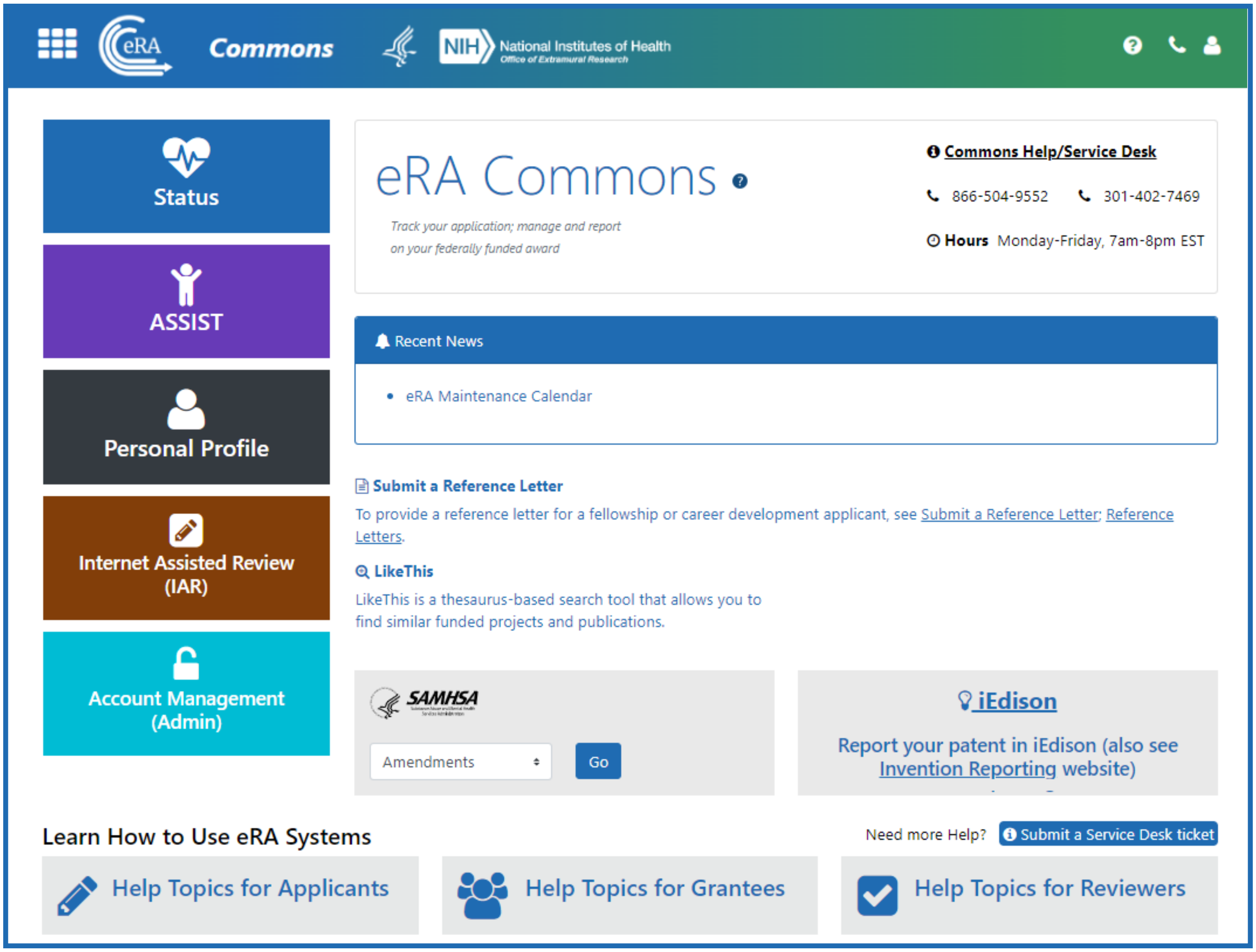


Figure 11: Commons Landing Page

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.

Transitioning To and Using Login.gov

As part of federal government security policies, eRA is moving to two-factor authentication for accessing its external modules, meaning that log-in will require something you know (password) and something you have (a phone or other device). If you see a message that states your account is required to use two-factor authentication to access NIH/eRA systems, then it is required that you transition to using login.gov or other two-factor authentication method (such as InCommon Federated). This topic outlines transitioning to using Login.gov for accessing eRA systems.

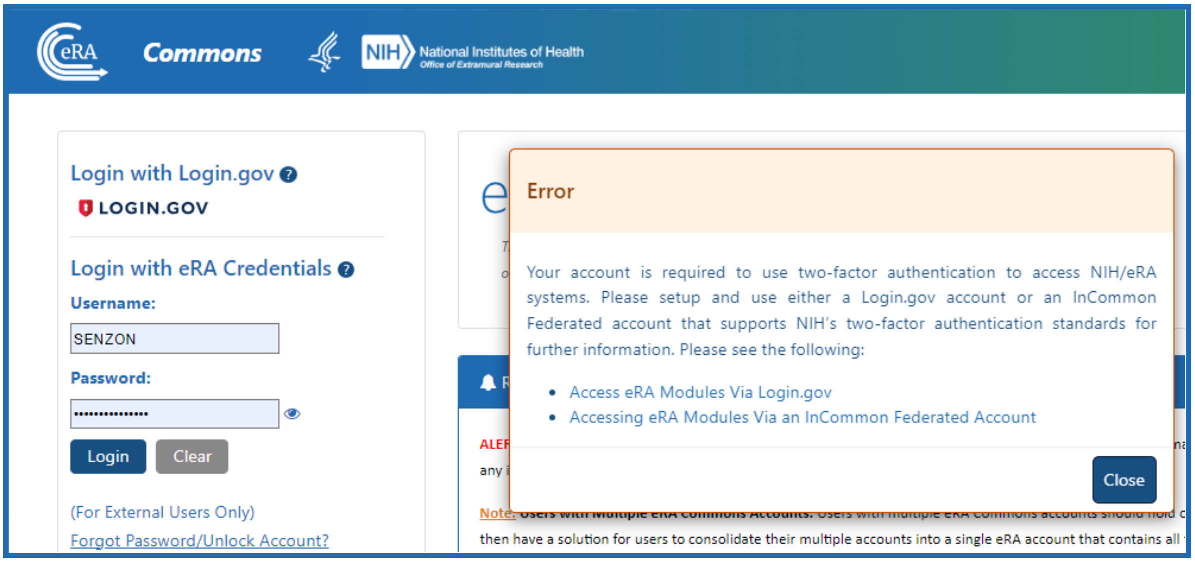


Figure 12: Message letting you know your account is required to use two-factor authentication to access NIH/eRA systems

Users of eRA Commons, IAR, and ASSIST must transition to the use of Login.gov credentials, instead of their Commons username and password, to log in (unless they have access to InCommon Federated login with their organization). eRA will begin a phased approach beginning on September 15, 2021 for enforcing the two-factor authentication requirement for the NIH recipient community as described in Two-Factor Authentication: Access eRA Modules via Login.gov (https://www.era.nih.gov/register-accounts/access-era-modules-via-login-gov.htm).

IMPORTANT: Please note that using Login.gov means you will have two separate accounts for eRA Commons.
- You will have an eRA Commons User ID and password
- You will additionally setup a Login.gov account ***with its own separate User ID and password***

After setting up Login.gov, you will still need to know and maintain your eRA Commons account credentials (and change the password once per year), but you will use Login.gov credentials to log in.

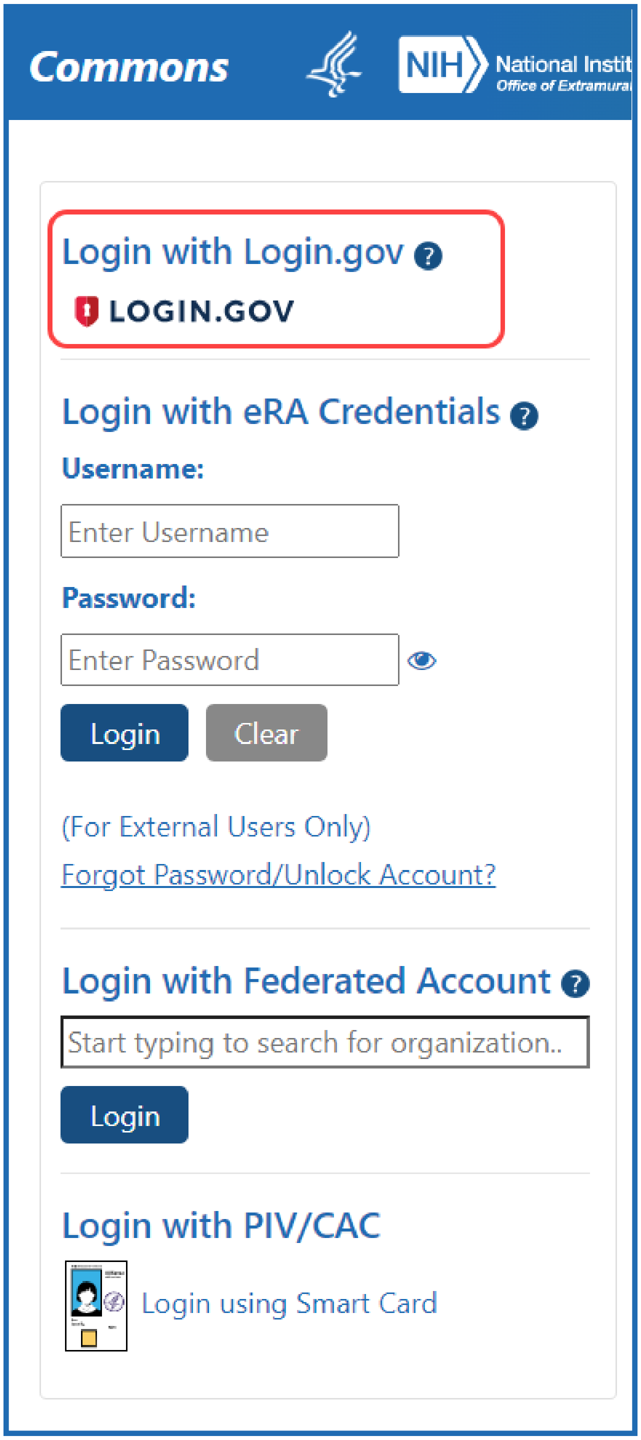


Figure 13: Login options on eRA Commons login screen

Log In with Login.gov

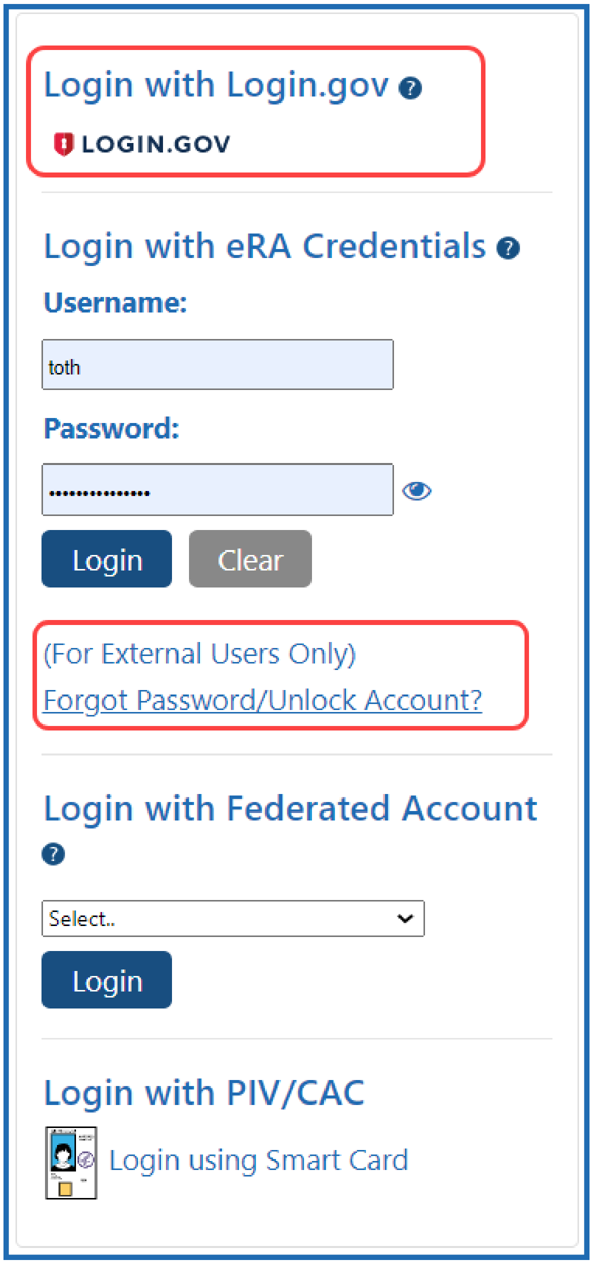
This method uses Login.gov, after a one-time associating of the Login.gov account with the eRA Commons account. If you attempt to log in and you are redirected to create a Login.gov account, that means that you are among a group currently being migrated to mandatory use of Login.gov. Other Commons and ASSIST users are encouraged to start using Login.gov as soon as possible.

If you have trouble with the Login.gov process, try these two support sources:

- Login.gov help center: https://Login.gov/help/
- eRA Commons Support Desk (https://www.era.nih.gov/need-help)

You will continue to retain and maintain the eRA username and password after registering with Login.gov; however you must always use Login.gov to log into eRA Commons after creating the Login.gov account creating and associating it with your eRA credentials. See https://www.era.nih.gov/faqs.htm#XXIV.

IMPORTANT: BEFORE YOU START THE PROCESS:
• Make sure your eRA Commons account is active and unlocked, and you know your account password; if you are unsure of the password, then use the Forgot Password/Unlock Account link located below the **Username** and **Password** fields on the eRA Commons home screen to change your password (see screenshot below).
• Also, ensure that you not are not using old bookmarked URLs to access eRA Commons. The URL for eRA Commons is https://public.era.nih.gov/commonsplus/
• Ensure your eRA Commons account is active. If your eRA Commons account is inactive, you must contact the eRA signing official/administrative official (SO/AO) at your institution for assistance to activate your account.



Detailed Login.gov Steps and Troubleshooting

Accessing eRA Commons with Login.gov for the first time

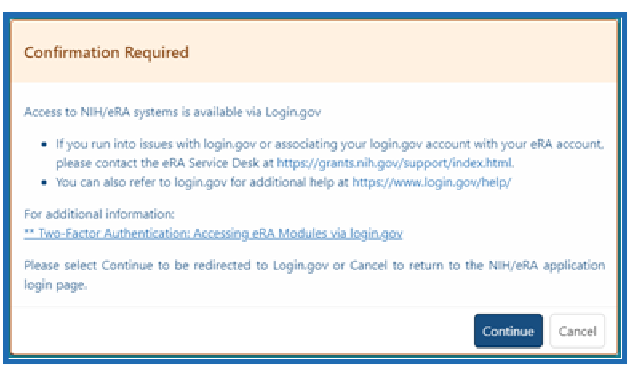
Steps for the Initial Setup at Login.gov

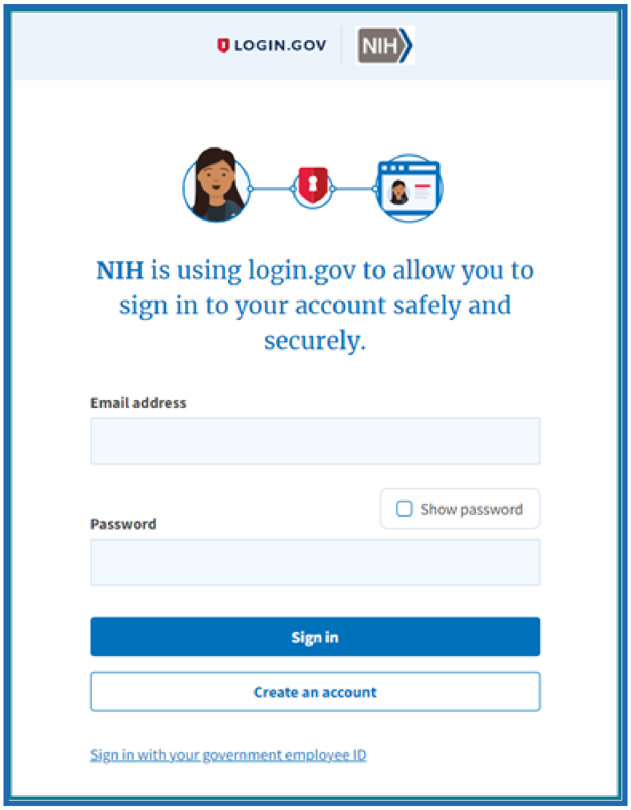
STEP ONE — Click the Login.gov option on eRA Commons

TIP: If Login.gov has become mandatory for you, then upon entering normal eRA credentials, you will be redirected automatically to the *Confirmation Required* popup below to start the Login.gov process, and will not be able to log in until you complete it.

1. On the eRA Commons login screen, click on the **Login.gov** logo in the login section.

2. You will be presented with a *Confirmation Required* dialog. Click **Continue** and you will be redirected to https://secure.Login.gov.

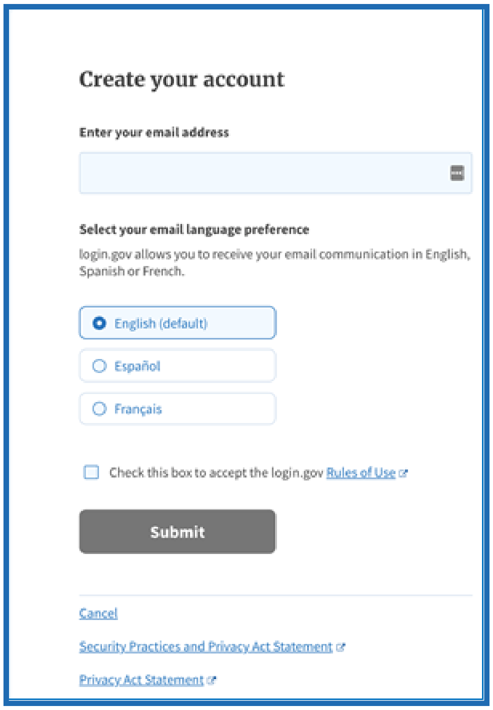




NOTE: If you already have a Login.gov account, enter your email address and password and click Sign In. Complete the two-factor authentication method that you have already configured for your Login.gov account (text message, authentication application, etc.) and you will go directly to STEP THREE below.

STEP TWO — Create a Login.gov account

1. Click the **Create an account** button on the initial Login.gov screen. You will be presented with the Login.gov *Create Your Account* screen.



2. Enter your email address and select the box to accept the Login.gov Rules of Use and click **Submit**.

NOTE: Use an email address that you will always have access to, not one that is dependent on your current institution, because you will need access if you ever reset your password. You use the same Login.gov account and eRA account regardless of your current institution.

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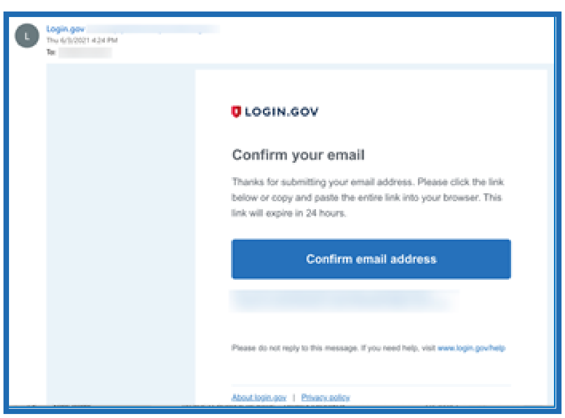
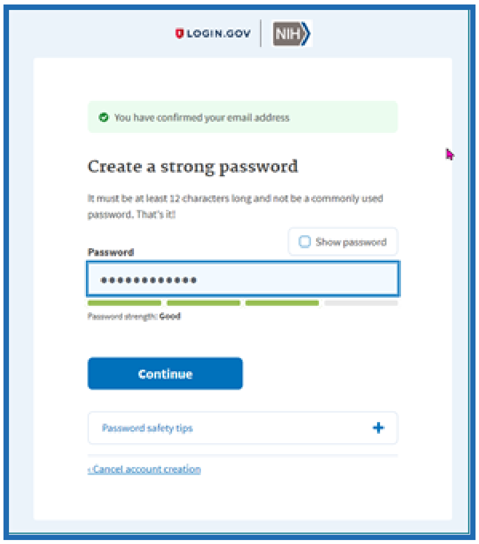
3. You will receive an email from Login.gov asking you to confirm your email address.

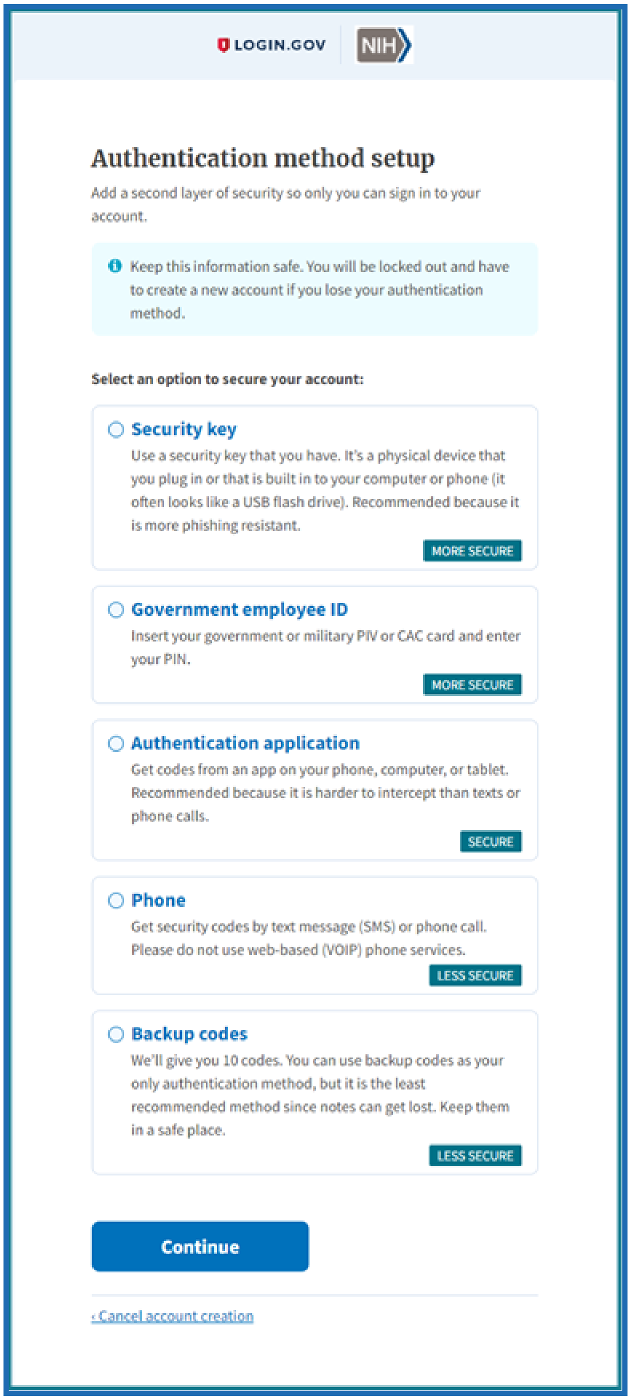


4. Complete the process to confirm your email address by selecting the “Confirm email address” link included in the Login.gov verification email.

5. You will be returned to the Login.gov site where you will be presented with the *Create a Strong Password* screen. Following the password guidelines, enter a new password you would like to use for your Login.gov account.



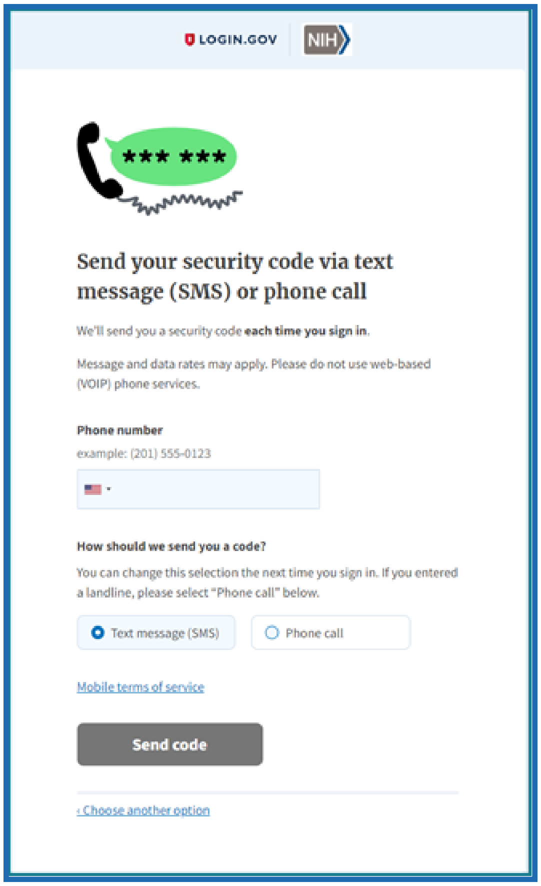
6. Choose an authentication method from the multiple authentication methods available to you (a security code to a phone, a list of codes, an authentication application, a security key, or a government employee ID).



7. If you select a phone, click the **Phone** radio button, and click **Continue**.

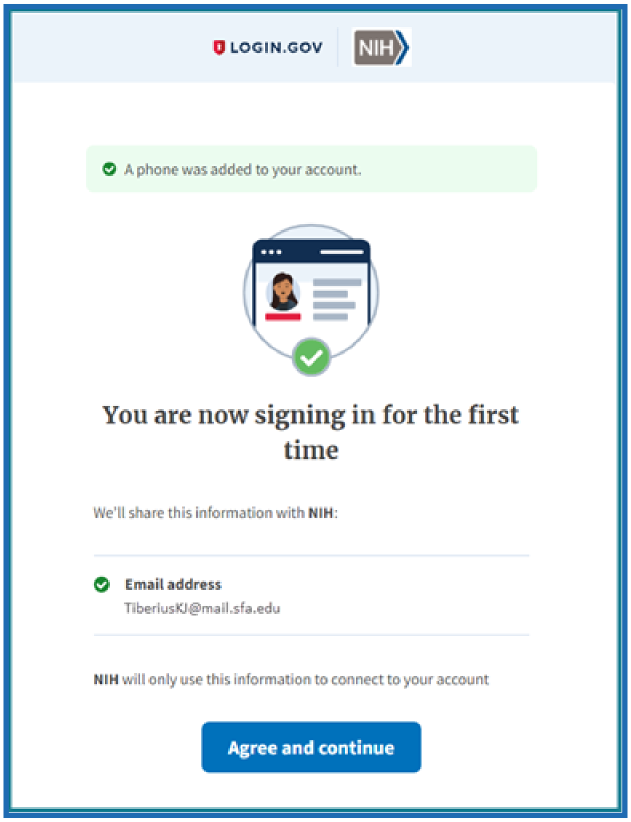
NOTE: If you are unsure if your phone is VOIP, then make sure to use a cell phone.

8. Enter your phone number and click **Send Code**.



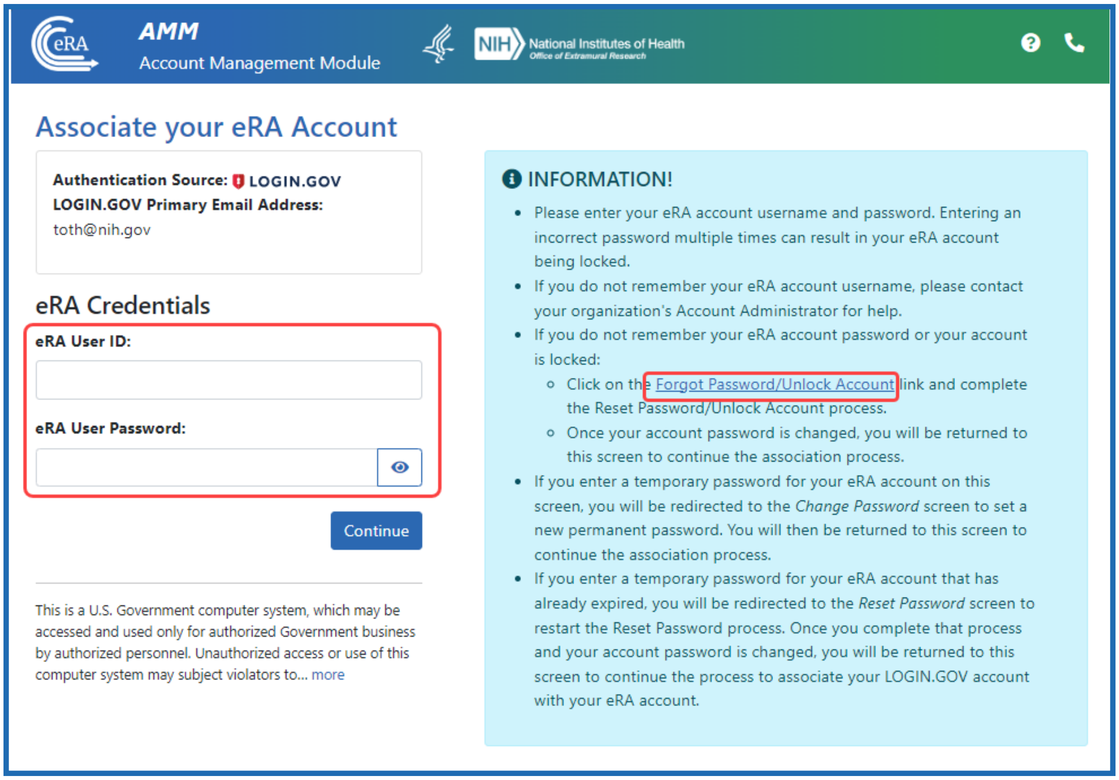
9. Enter the security code received by text message.

10. You will be presented with a confirmation screen showing that your phone was successfully added to your account. Your account creation at Login.gov is now completed. Click the **Agree and Continue** button and you will be redirected back to eRA Commons.



STEP THREE — Associate your Login.gov account with your eRA Commons account (one-time only)

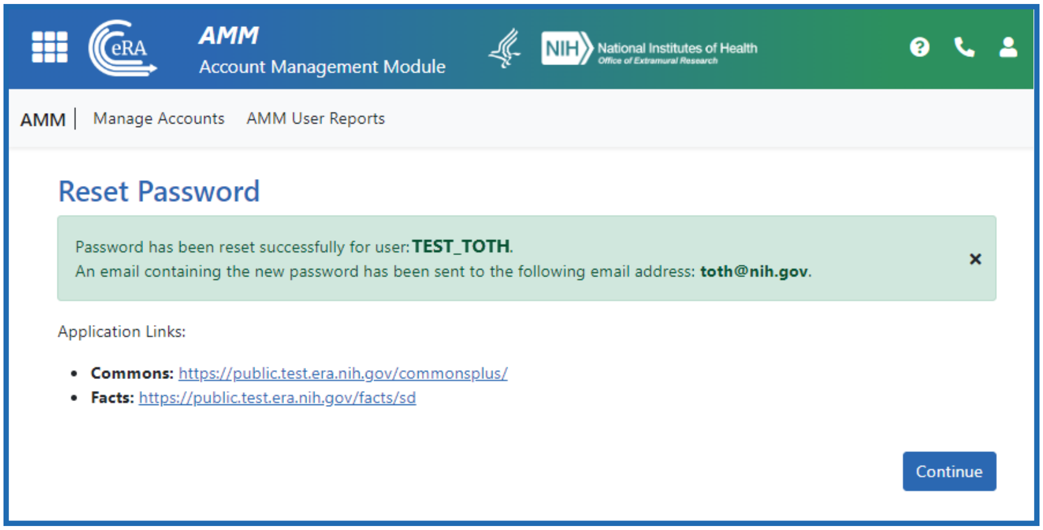
1. After following the STEP TWO procedures, you will be redirected back to eRA Commons and presented with the *Associate your eRA Account* screen (see below). Enter your eRA credentials – username and password – to associate your Login.gov account with your eRA Commons account. You will only do this once unless you decide to use a different Login.gov account. DO NOT use the new Login.gov credentials for this step--use the eRA Commons credentials you had prior to setting up Login.gov.



2. This association process will not work without the correct eRA credentials. If you are at all unsure of your password, click the **Forgot Password/Unlock Account** link in the blue INFORMATION box. Then follow the onscreen prompts to reset your password:

   i. First, submit your eRA Commons user ID and the email associated with it.

   ii. Check your email for a temporary password, then click **Continue** in the *Reset Password* screen below:



iii. You are presented with the *Change Password* screen; follow onscreen instructions to reset your password, then click the link for the Commons home page. Make sure to remember this new password.

iv. You are returned to the *Associate your eRA Account* screen, where you can now enter your correct eRA credentials.

v. If your eRA credentials are validated, then your Login.gov account will be successfully associated with your eRA Commons account, and you will directly access the eRA Commons.

YOU ARE DONE — You will be returned to eRA Commons. After completing the Login.gov process, you must use the Login.gov login method exclusively to log into eRA Commons from now on. The next time you log into eRA Commons using Login.gov, you will be automatically authenticated and re-directed to eRA Commons.

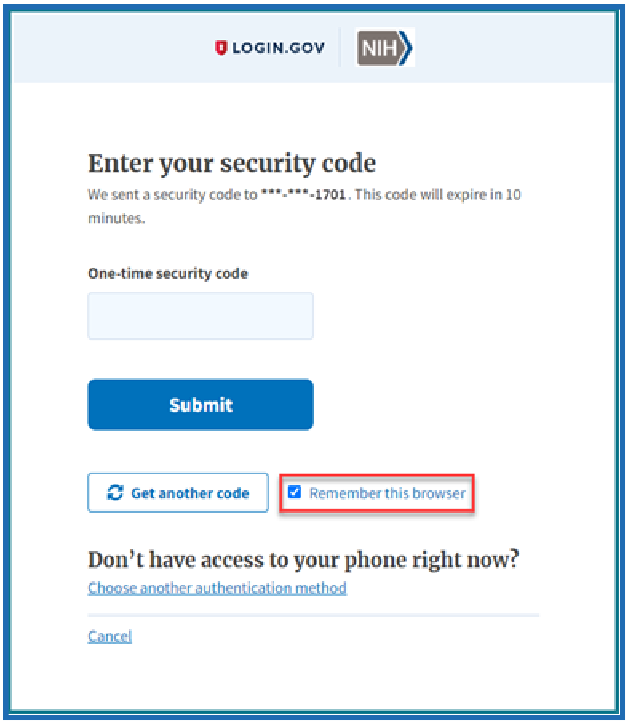
Accessing eRA Commons after completing Login.gov account creation and association to eRA account:

After you create a Login.gov account and associate your eRA Commons account with it, you must use the Login.gov option on the eRA Commons home screen.

1. On the eRA Commons home screen, click on the **Login.gov** logo in the login section.

2. Log in to eRA Commons with your Login.gov credentials (email and password) and the additional authentication method you set up with your Login.gov account. You will be automatically taken to the eRA Commons landing screen.

TIP: If you do not want to enter a code every time, click the box that states, '**Remember this browser**.' If you use the same browser and computer to log into eRA Commons, Login.gov will remember these settings and not require you to complete the two-factor authentication process each time you log in, and you will directly access the eRA Commons.



Troubleshooting login problems with Login.gov

IMPORTANT: Make sure your eRA Commons account is active and you know your account password before attempting to complete the Login.gov process; if you are unsure of either, then use the Forgot Password/Unlock Account link on the main Commons login screen to change your password prior to attempting to associate your Login.gov account with your eRA Commons account.

If you tried to log in using Login.gov, and it did not work, please perform the following before contacting the eRA Service Desk:

1. Clear your browser cache/history and then close and restart your browser.
2. Make sure you are not using a bookmark that points to an older URL address.

   Delete your bookmark and go to the main eRA system URL directly. For instance:
   a. https://public.era.nih.gov/commonsplus/
   b. https://public.era.nih.gov/assist/
   c. https://public.era.nih.gov/iar
3. If it still does not work, please contact the eRA Service Desk at https://www.era.nih.gov/need-help

Federated Institutions/Organizations Commons Login

This topic provides information on the following:

- Logging in with InCommon Federated Account
- Associating your eRA Commons account to your InCommon Federated account
- Troubleshooting issues when associating your InCommon Federated account to your eRA account
- Two-factor authentication for InCommon Federated Accounts (use of InCommon Federated accounts without two-factor authentication is not permitted)

Effective September 15, 2021, several thousand organizations are now available in the type-ahead search box for InCommon Federated accounts on the eRA Commons login screen. While many organizations appear in the list, they don't all support NIH’s two-factor authentication standards. To use an InCommon Federated account to login to Commons, your organization must support NIH’s two-factor authentication standards and you must have two-factor authentication setup for your organization’s account.

When you select an organization from the type-ahead search box and click the Login button, you will be redirected to the organization’s sign in site where you will complete the login process for the organization. If the organization supports NIH’s two-factor authentication standards, you will be prompted to complete their two-factor authentication login process, and if successful, you will automatically be redirected back to eRA Commons and automatically authenticated and logged in.

If your organization does not support NIH's two-factor authentication standards and you do not have two-factor authentication setup for your organization's account, you will not be able to login using your InCommon Federated account. There are several situations where you may receive an error message during the login process, and this depends upon the InCommon Federated organization and how they integrate with NIH Login.

- After you select an organization from the type-ahead search box and click the Login button, you might receive an error message from NIH that says your organization does not support NIH's two-factor authentication standards.
- After you 1) select an organization from the type-ahead search box, 2) click the Login button, 3) and are redirected to the organization's sign in site, you might receive an error message from the InCommon Federated organization that says your organization does not support two-factor authentication.
- After you complete the login process for your organization, you might receive an error message from the InCommon Federated organization that says you have not set up two-factor authentication for your organization's account.

If your InCommon Federated organization does not support NIH's two-factor authentication standards and you do not have two-factor authentication setup for your organization's account, you will be required to use Login.gov; see *Transitioning To and Using Login.gov* on page 67.

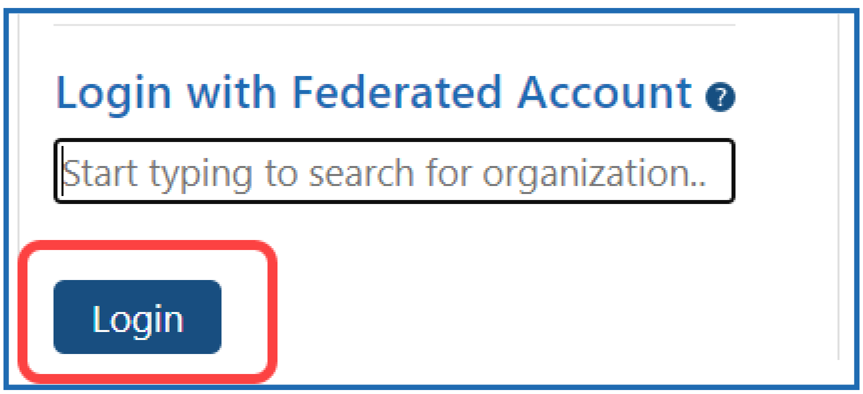
Note that the two-factor authentication process and software used to support two-factor authentication varies across InCommon Federated organizations. Specific questions about your organization's ability to support NIH's two-factor authentication standards or the availability of two-factor authentication for your InCommon Federated account can be directed to your Organization Administrators. Compliance and contact information can be found here: https://auth.nih.gov/CertAuthV3/forms/help/compliancecheckhelp.html

InCommon Federated accounts, previously limited to only eRA scientific accounts, is now opened up to eRA administrative accounts effective September 15, 2021. However, if you have more than one eRA administrative account, wait to switch any of your administrative accounts as eRA is working on a solution that will support users with multiple eRA accounts.

For further information, see Two-Factor Authentication: Access eRA Modules via an InCommon Federated Account.

Accessing Commons with Your Organization Credentials

1. Navigate to the Commons login page.
2. In the *Login with Federated Account* section of the login page, type part of your organization's name, then select the appropriate organization from the dropdown. Because the list is long, the dropdown is a type-ahead field, meaning you type all or part of your organization's name and a shorter list drops down, showing only those options that match the text you entered.
3. Click the **Login** button.



4. You are redirected to the InCommon Federated organization’s login site, where your organization's sign in page displays.

5. Enter your InCommon Federated organization account credentials (e.g., username and password).

   If two-factor authentication is setup and enabled for your account, you will be prompted to complete the two-factor authentication process for the InCommon Federated organization.

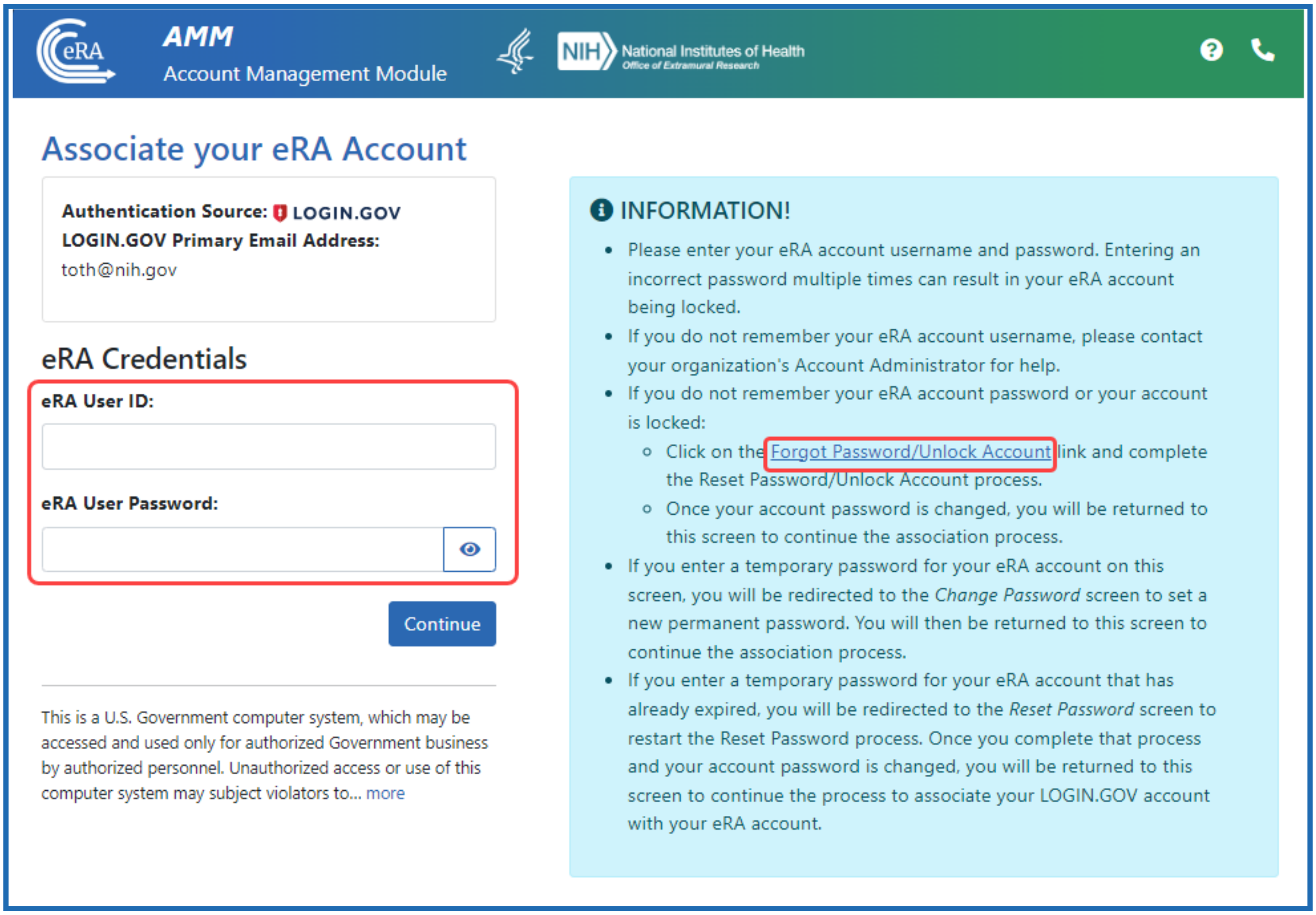
NOTE: The two-factor authentication process and screens are managed by your own organization and not by eRA. If you do not know your credentials at your organization or you are having trouble with your organization's login screen, you will need to contact your organization. The eRA service desk cannot help you with this screen.

After successfully logging into your organization's account using two-factor authentication, you will be redirected back to eRA Commons. If eRA determines that your organization's account is already associated with your eRA account, you will be successfully logged into Commons and can start using the system without having to log in again.

If your organization account is not linked to your eRA account, you will be prompted to associate your InCommon Federated account with your eRA account. See the next section.

If your InCommon Federated account is not associated with your eRA account:

If eRA determines that your organization's account is not associated with your eRA account, you will be prompted to do so via the *Associate your eRA Account* screen. This is a one-time process.



Before You Associate Your eRA Account With Your InCommon Federated Account

• Make sure your eRA Commons account is active and you know your account password; if you are unsure of either, then use the **Forgot Password/Unlock Account** link in the blue INFORMATION box of the screen; see screenshot above. The Reset Password screen displayed will ask for your User ID (your eRA Commons username that you use to log into Commons) and email address.

• Also, ensure that you not are not using old bookmarked URLs to access eRA Commons. The URL for eRA Commons is https://public.era.nih.gov/commonsplus/.

• Make sure you have an active account with an organization that participates with [the InCommon Federation](#) and you know your password. Your organization must support

NIH’s two-factor authentication standards and you must have two-factor authentication enabled for your account.

To associate your eRA account with your Incommon Federated Account:

1. In the *Associate Your eRA Account* screen, enter your eRA Commons User ID and password.
2. Click the **Continue** button.

   If successful, your eRA account will be associated with your organization's account, and you will be successfully logged into Commons and can start using the system without having to login again.

   Now that you have completed the one-time association process, you will be able to log into Commons using your InCommon Federated Account without having to enter your eRA account username and password. You will only need to sign into your organization’s account using two-factor authentication.

   If eRA 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 might prevent eRA from associating 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 Associate My InCommon Federated account to My eRA account?* on page 88.

Why Can't I Associate My InCommon Federated account to My eRA account?

If you are with an organization participating in the InCommon Federation, but you are having trouble associating your eRA account with your organization’s account, one of the following scenarios might be the issue:

Are you trying to use a temporary password?

If you have not yet created your own eRA account password and are attempting to associate your accounts using the system-assigned, temporary password for your eRA account, you will receive an error. You must change your eRA account password to one of your choosing before you can associate 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 eRA account password, log back in following the steps described in *Accessing Commons with Your Organization Credentials* on page 84.

Is your current eRA Account password expired?

You will not be able to associate your accounts if your eRA account 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 the password for your eRA account, log back in following the steps described in *Accessing Commons with Your Organization Credentials* on page 84.

Is your eRA account locked due to multiple unsuccessful logins?

You can reset your eRA 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 for your eRA account to one of your choosing, you can log back in following the steps described in *Accessing Commons with Your Organization Credentials* on page 84.

In all other cases, please contact the eRA Service Desk to resolve this issue.

Create or Edit a Commons Account

Only an organization's eRA Commons administrators can create an account. Individual principal investigators or other eRA users cannot create their own account. If you need a new account or need account assistance with passwords, contact an SO from your organization; see *Finding Signing Officials if You Don't Have an eRA Commons Account or Can't Login?* on page 257.

You can edit eRA Commons accounts, or create new ones (such as for a PD/PI), using the **Admin/Account Management** module if you have one of the following eRA Commons roles:

- SO (signing official). Can create accounts of any role type except IAR, including creating additional SO accounts. See *Signing Official (SO)* on page 128.
- AO (administrative official). Can create all accounts except SO, BO, FCOI accounts, and IAR accounts.
- AA (account administrator). Can create all Commons accounts except SO, FCOI accounts, and IAR accounts.
- BO (business official). Can create all accounts except SO, BO, FCOI accounts, and IAR accounts.

If you have one or the roles above, find more information about creating eRA Commons accounts via invitation, appointment, or institutional registration under additional links below.

The basic steps for creating an account for a new staff member at your organization are:

1. First search for the new person's account across all organizations to make sure the person does not yet have an eRA account. When you clear the **Search only within my organization** checkbox, a search in *Admin* searches users from all organizations.

2. If an existing eRA account cannot be found, click **Create New Account** and fill out contact info and assign roles to make a new account; see *Creating a New User Account* on page 93.

3. **If the person *does* exist, and they have a PI or other scientific role (example: trainee)**, you should affiliate the person to your institution instead of creating a

new account. PI and other scientific roles are intended to be used throughout the investigator's career regardless of their current institutional affiliation(s); see *Editing an Existing eRA User Account* on page 98.

Administering Accounts (Editing Roles, Affiliating Users, Helping Users with Login)

eRA users with administrative roles (listed in previous section) can do the following in Admin.

- **Edit a user's assigned roles.** For instance, you might want to change an AA or PD/PI account to a SO account in the case of a promotion to other duties. Some roles conflict; for instance, a PD/PI, which is a scientific role, cannot co-exist with an SO role, which is administrative, so you might have to delete some roles to add others.
- **Affiliate a non-administrative user (such as a PI) to your own institution.** Suppose a PI at another institution is going to work on one of your institute's awards, or suppose the PI is moving from another institution to your institution. In either case, you can use Admin to associate the existing PI account to your institution.
- **Help a user from your institution who is having trouble logging in with eRA credentials.** You can reset the user's password or change the user's email (where password reset emails go). The eRA credentials are different from Login.gov credentials; for Login.gov help, see *Detailed Login.gov Steps and Troubleshooting* on page 71.

Searching for an eRA Account

1. Navigate to the Admin module.
2. Select the **Account Management** menu option under Accounts.

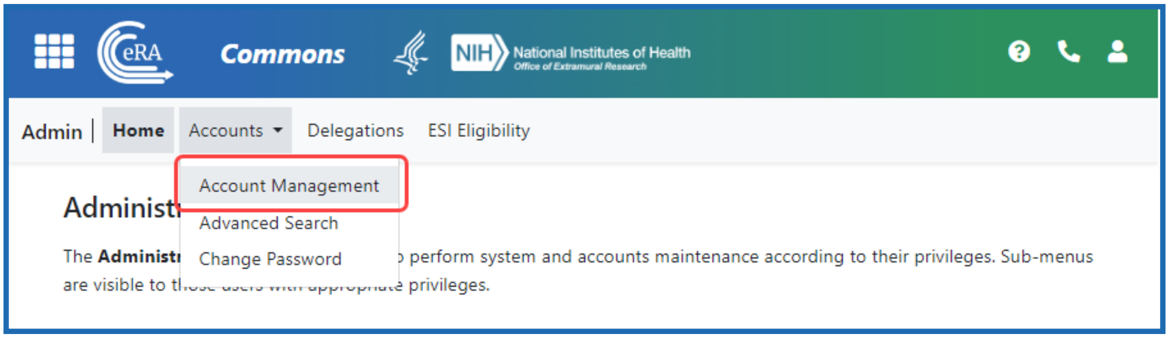


Figure 14: Admin navigation, showing Account Management

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

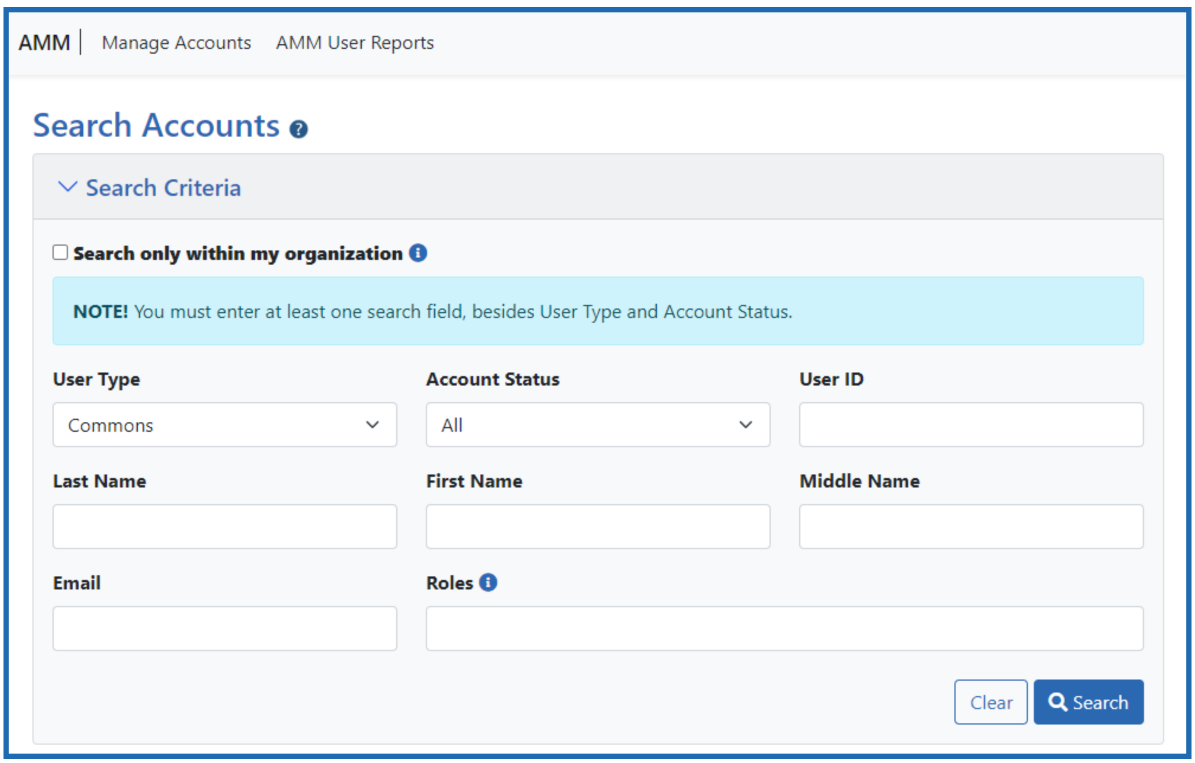


Figure 15: Admin Search Accounts screen, where you can search for users within your organization or across organizations. Searching is the first step to creating a new account.

3. Enter search criteria, such as the person's (**Last Name**, **First Name**), for the person you are seeking.
   Search even if you plan to make a new account, to ensure the person does not already have an account. By default, the **Search only within my organization** checkbox is *not* marked, which means you are searching ALL eRA Commons accounts for all organizations.

TIP: Use the percent character, %, as a wildcard.

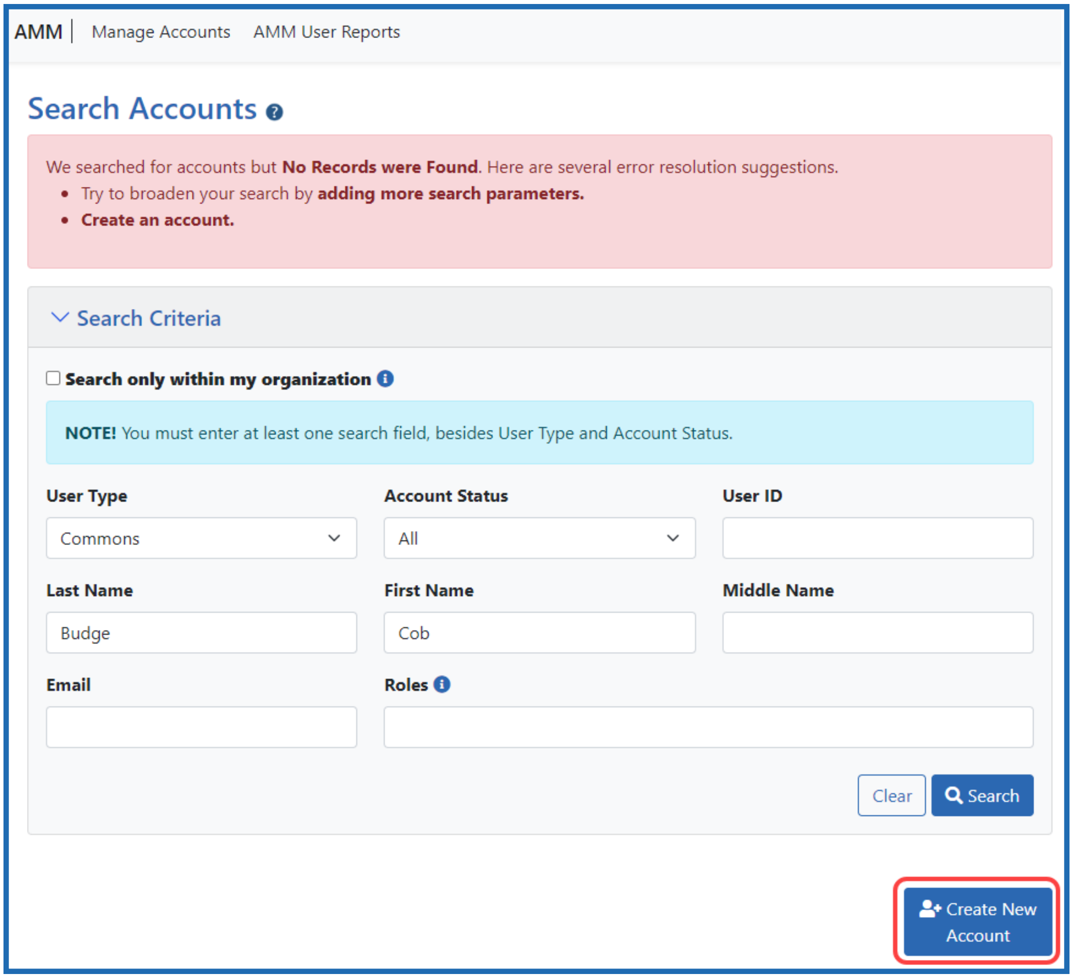
If accounts appear in the *Search Results*, you can:

- Click the linked **Name** to see *Funding Support*, which also includes employment history, for the user. This can help you positively identify a user in the case of duplicate names found.
- Click the **Manage** button to change affiliation, change roles, change the user's email (where their password reset emails go), or to reset their password (meaning they get a password reset email with a temporary password).
- If you find the person you are looking to add to your organization, click **Manage** and use the **Affiliate** button to affiliate the person to your institution. You can affiliate only those with scientific (research-related) accounts (such as PI), not those with administrative accounts (such as SO).
- Click **Create New Account** to create a new user (after searching to ensure the user does not already exist). After performing the search, the **Create New Account** button becomes enabled; see the next section.

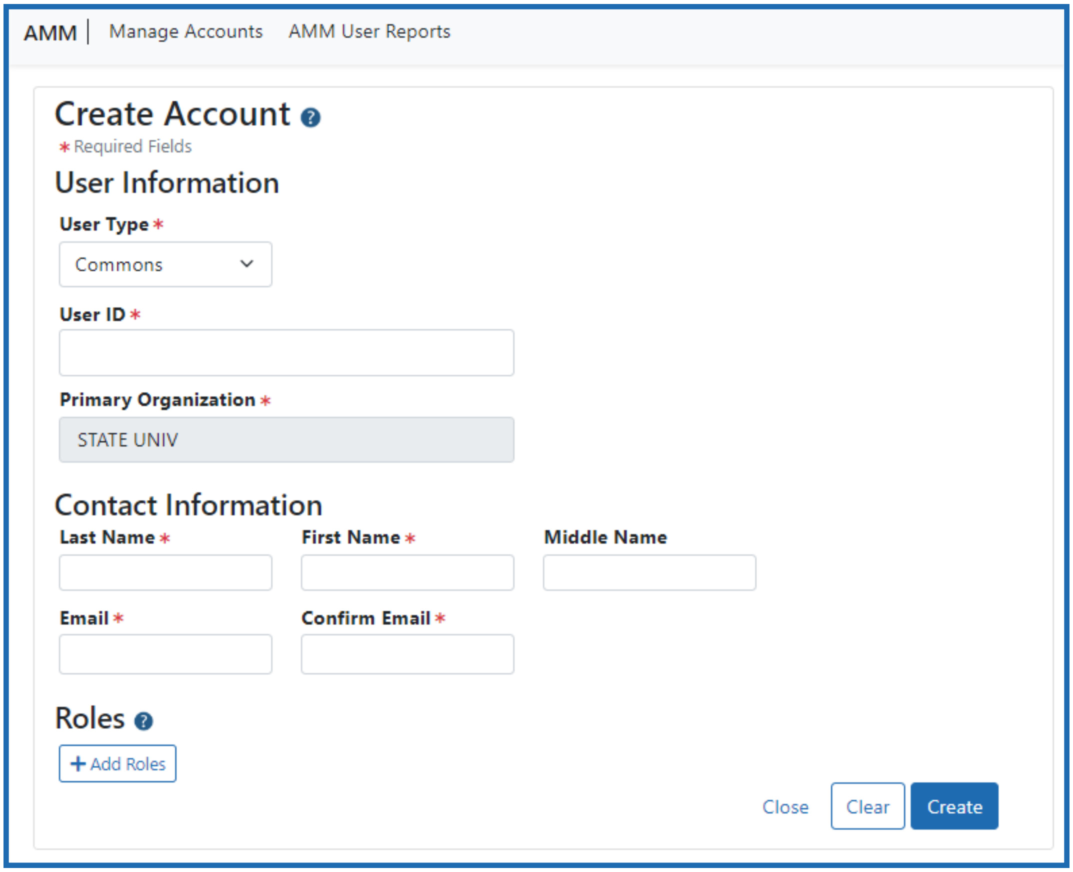
Creating a New User Account

If you search for a person who is coming onboard to your organization, but you do not find the person, you can create a new account for the person.

1. After you search for a person (see above section), click the Create New Account button.



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



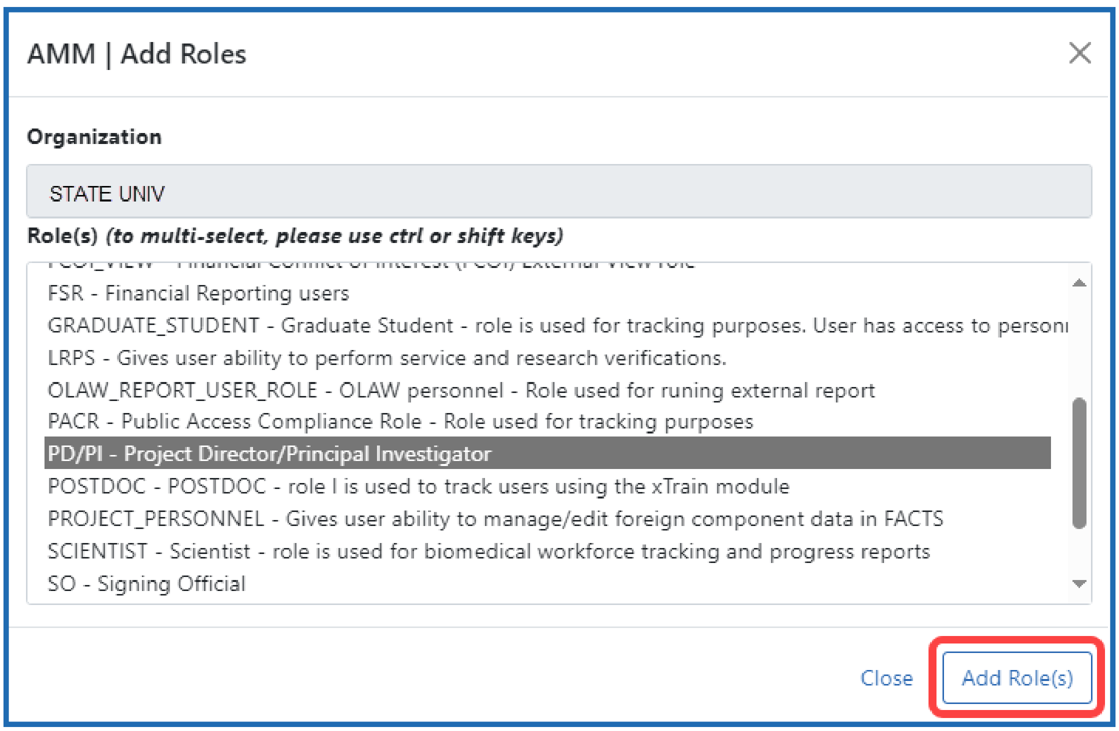
2. On the *Create Account* screen, fill out the fields. Note that all fields except **Middle Name** are required.
   - **User Type**: Select **Commons** from the drop-down list if it is not already displayed.
   - **User ID**: Enter a unique name as the system user ID. Take care with entering this ID, as it is not changeable after account creation.
   - **Primary Organization**: This field defaults to your organization and cannot be changed. If an individual needs to be affiliated with your organization and already has a non-administrative account with another institution (primarily Primary Investigators - PI), search for them outside of your organization and affiliate their existing account with your institution.
   - **Last Name**
   - **First Name**
   - **Middle Name**

- **Email**. This email will be used for password resets (i.e. when the user clicks 'Forgot Password' on the eRA Commons login screen). It is very important to enter an email that the user will ALWAYS have access to, which might be their personal email.
- **Confirm Email**

After entering contact information, you must assign a role to the account; if you do not add a role, you get an error when you try to save the new user.

3. Click the **+ Add Roles** button to open the *AMM | Add Roles* window.

   The organization defaults to your institution and cannot be changed. A list of available roles appears. Note that more roles appear if you are an SO vs. other administrative roles. For instance, only an SO can assign a SO role to another user.



4. Select the role(s) for the new account.

   Use Ctrl+click to select multiple roles. (Shift+click selects multiple contiguous roles.) Some roles conflict with one another and should not be assigned at the same time, such as PD/PI and SO, or any scientific role along with an administrative role. An error message will occur when you try to save the new user account if you assign conflicting roles.

5. Click the **Add Role(s)** button in the *Add Roles* popup. The *Create Account* screen now lists the roles you selected. If you made a mistake, you can click the **Remove** button in the **Action** column to remove a role.

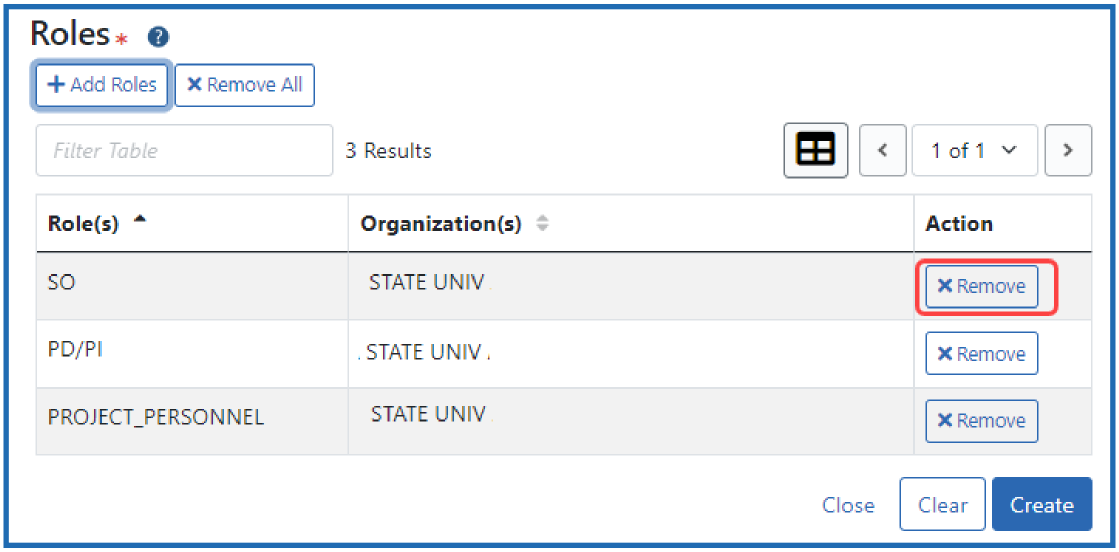


Figure 16: Roles section of Create Account screen showing Remove buttons next to roles

6. Click the **Create** button to create the new account.

A success message appears at top and the read-only *Account Details* screen appears. Alternatively, if there were errors, errors are listed at top; see the next section.

If you need to change the account you just created, click the **Manage** button. When editing an account, you can no longer change the User ID or name. You can, however, edit the email, roles, affiliation, or reset the password. See *Editing an Existing eRA User Account* on page 98 below.

The new account holder will get two emails at the email you specified; one contains a temporary password and the other contains the user ID.

The person for whom the account was created can edit all their personal and contact information using Personal Profile after they log in to Commons.

Possible Errors When Creating an Account

A variety of errors might appear when you click **Create** to save a new account. A red bar appears at the top listing errors.

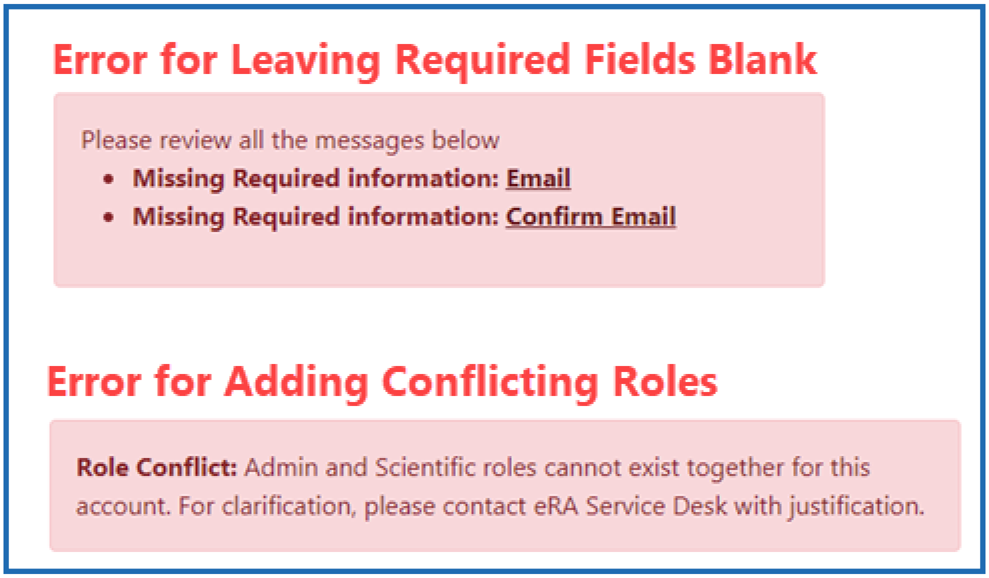


Figure 17: Possible errors you might receive after clicking Create to create a new account

Editing an Existing eRA User Account

Steps for an SO or account administrator to edit existing accounts:

1. Search for existing accounts as described in *Searching for an eRA Account* on page 91.
2. On the account you want to edit, click the **Manage** button.

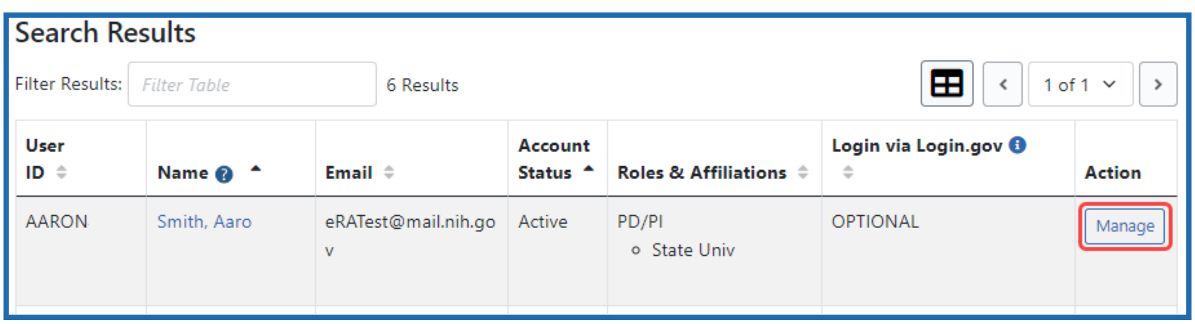


Figure 18: Search results in Admin module showing Manage button

The Manage Account screen opens.

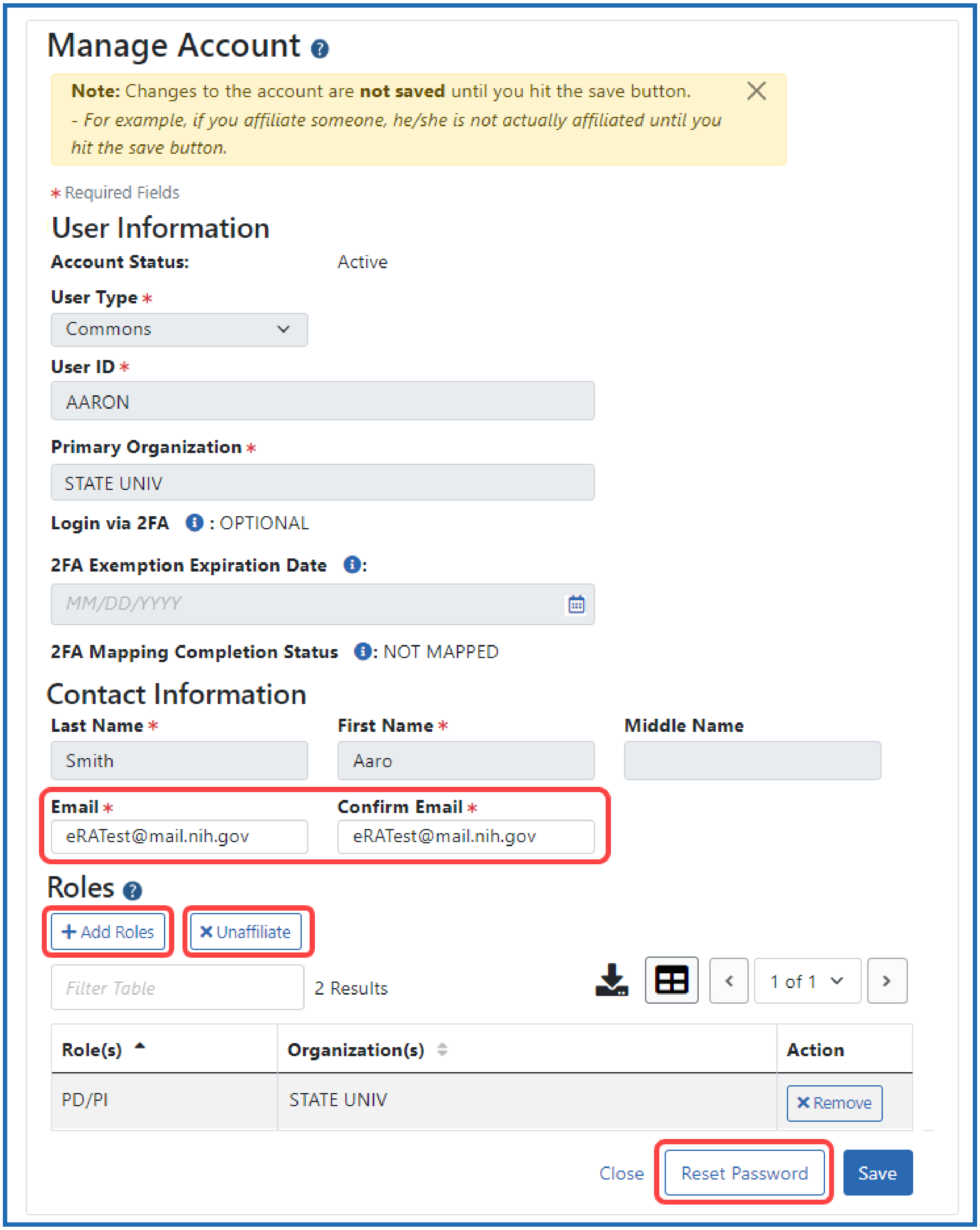


Figure 19: Manage Account screen, where an organization's administrator can edit roles, affiliate/unaffiliate user with this institution, reset password, and change the email for password resets.

- To edit roles, click the **Add Roles** button.
  Be sure to add ONLY scientific (PI, POSTDOC, etc) OR administrative (SO, AA, etc) to an account, but not both, as they are incompatible.

- To change the account holder's email, enter the new email in the **Email** fields.
  If the user then clicks '**Forgot Password**,' the password reset email will go to this email address.

- To affiliate the user with your institution, click **Affiliate**.
  The **Affiliate** button appears ONLY if the user you are viewing is NOT currently affiliated with your institution. If the user IS currently affiliated, then an '**Unaffiliate**' button appears instead. Use **Unaffiliate** to remove a user from your institution if they have changed institutions and no longer work at yours.

- To reset a user's password (available ONLY for users within your institution), click the **Reset Password** button.
  This triggers a password reset email to be sent to the email address in the **Email** fields.

Additional Information

- ***Account Management Module online help***
- ***Creating an Account to Access IAR (Internet Review Module)***
- ***eRA Commons Registration & Accounts***
- ***Understanding eRA Commons Accounts***
- ***Institution Registration and Account Creation*** (Training Videos)

About eRA Commons

eRA Commons is a Web-based system for applicants and institutions to participate in the electronic grant administration process.

In eRA Commons (Commons), grant applicants, grantees, and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants. If you are registering a new institution, see https://www.era.nih.gov/register-accounts/register-in-era-commons.htm. If you are affiliated with a registered institution and need an eRA Commons account, contact your institution's signing official or account administrator.

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 can perform a variety of functions in Commons, including:

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

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

See:

Welcome to eRA Commons! on page 42

First-Time Login With Temporary Password on page 139

Logging into eRA Commons on page 62

Registering Institutions and Organizations on page 50

Basics and Navigation for eRA Modules

For increased usability, eRA modules are gradually switching to a streamlined, modern, mobile-friendly look and feel for screens. The new look and the new navigation adjust dynamically for a variety of screen or font sizes, making your browsing experience more efficient on the device of your choice. New user interface elements offer a consistent set of tools that you can use across modules. A new header and footer conserve space, leaving more work area for you to accomplish your tasks.

This topic explores the new navigation and user interface elements that you might see on updated screens. All modules will eventually use the same framework for building the appearance and navigation for screens. Older style screens will co-exist with updated screens during the transition to the new look and feel. Not all screen elements shown here will appear in all modules.

Read this topic to learn about:

- Header/footer for eRA modules
- Navigation to and within modules
- Actions column and how it might be replaced by an ellipsis (three-dot) dropdown in a row
- Standard tools for tables
- How columns are hidden and shown on small screens

Header and Footer Navigation

The new header and footer use symbols to save screen real estate and dynamically adjust to fit smaller screens.

Figure 20: Full eRA Header with Main Menu at left, which displays module navigation, outlined

The first icon from left is the Main Menu. The Main Menu shows all apps available to the currently logged-in user, shown below:

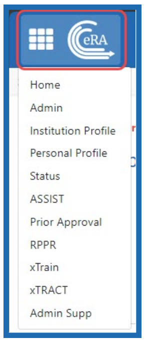


Figure 21: Expanded Main Menu, showing all modules to which you have access

Other Icons in Header

Links to the Department of Health and Human Services.

Links to grants.nih.gov.

Links to a general eRA Service Desk Support page.

Links to a general eRA Service Desk Support page.

The person icon shows your login information, institution, roles, email preferences, and sign out link:

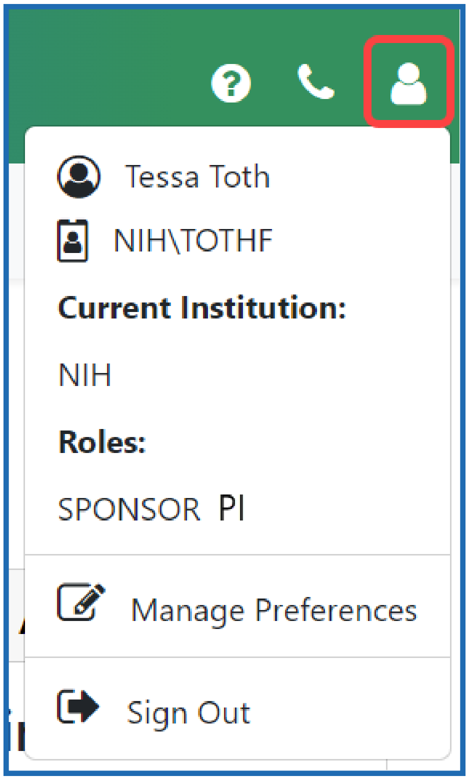


Figure 22: Person icon menu, showing name, user ID, institution, roles, and sign out link

Dynamic Header

Below, on a narrow screen, most items on the header are hidden, but they pop down when you click the grid icon in the upper right, outlined below.

Figure 23: Narrow eRA Header, which hides all banner options under a bento box icon, shown at right

Figure 24: Narrow eRA Header, which has been expanded to show all banner options after bento box icon is clicked

Redesigned Footer

The footer is clean and offers only essential information organized into columns.

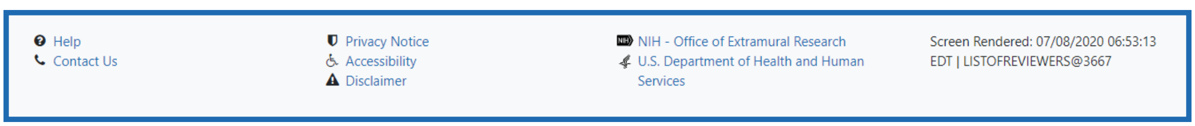


Figure 25: eRA Footer

Navigating Within a Module

The module abbreviation, circled below left, lets you quickly see which module you are working in.

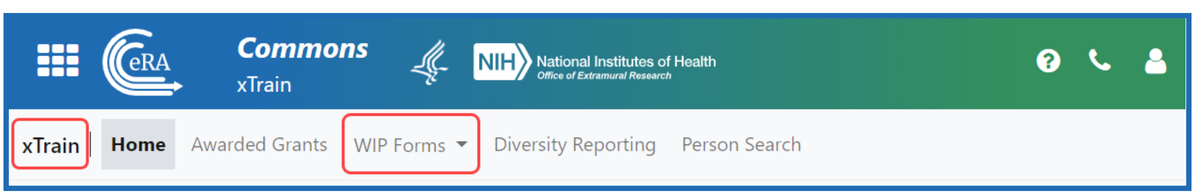


Figure 26: Navigation within a module, showing module name at left and module pages in navigation along top under banner

The sections of the modules are listed across the top, with the current section highlighted in gray, circled above.

To navigate to the screens available under each section, click the section name to see a dropdown that shows all screen names, as shown below.

Figure 27: Module Navigation with Dropdowns of Screen Names

If the screen size is small, all the app section names are collapsed under a three-line icon, shown below.

Figure 28: Module Navigation is collapsed when narrow, with bento box icon at right which when clicked shows all module top navigation

When clicked, the three-line icon shows all module navigation in vertical form, below.

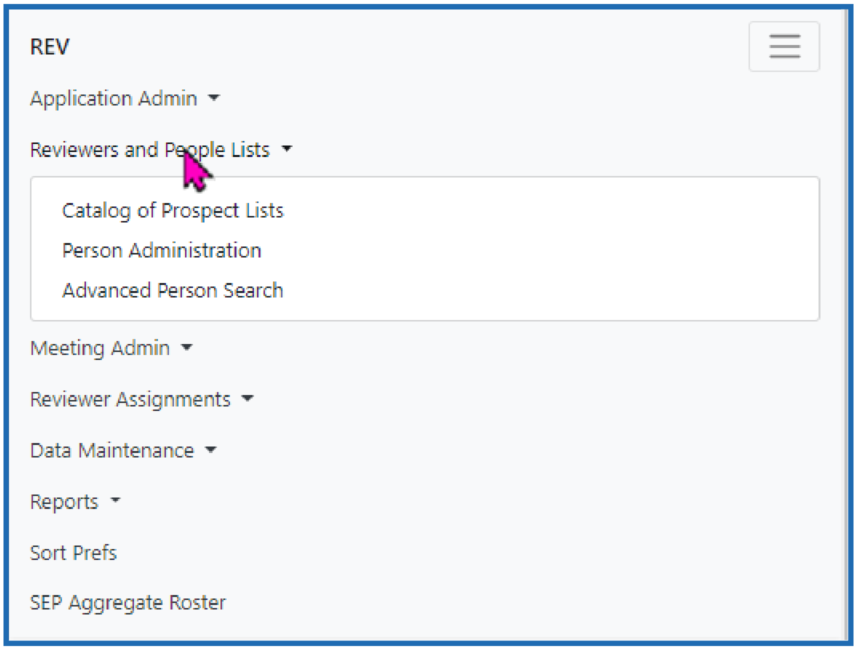


Figure 29: Module navigation expanded, when screen is narrow and all top navigation is under bento box icon at right

Actions Column Replaced by Ellipsis Menu

Actions that are available for each row in a table might be displayed under a three-dot ellipsis icon instead of an **Actions** column, as shown below. This happens if there are three or more actions to be displayed. If only one action item is listed, then the column will list that action as the header and have an 'x' in the body of the column.

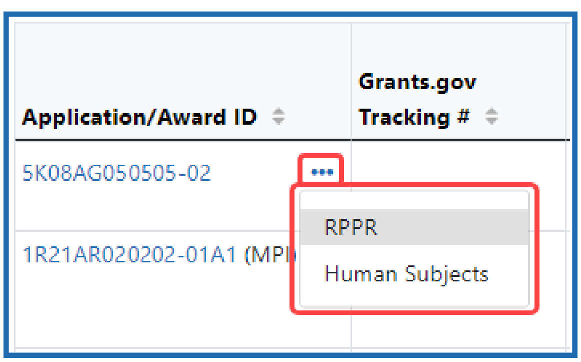


Figure 30: Three-dot ellipsis menu replaces action menu and displays actions that can be taken on a record in a table

Standard Tools for Tables

Tables are sleeker with tools for showing the data you want to see.

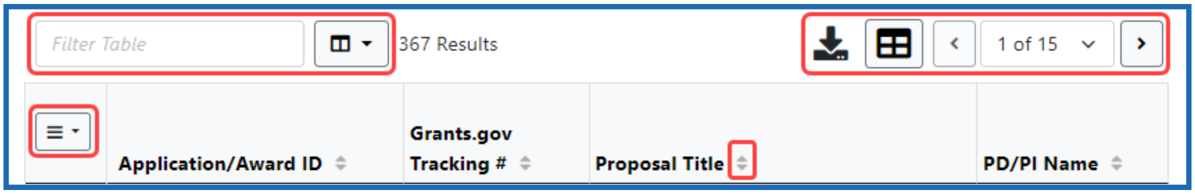


Figure 31: Section of a table header with standard table tools, shown outlined

Filter Table

Entering filter text features instant filtering of the list as you type, with the number of found results updated as you type. The text you type in the filter field is highlighted in the table.

Figure 32: Filter Table Field with Number of Found Results

Selecting Rows/Bulk Action Tool

Use the bulk actions tool to select or deselect all, and to show selected rows only or all rows. Other bulk action tools might also let you mark or clear the checkboxes of all currently visible rows (such as those found by typing filter text).

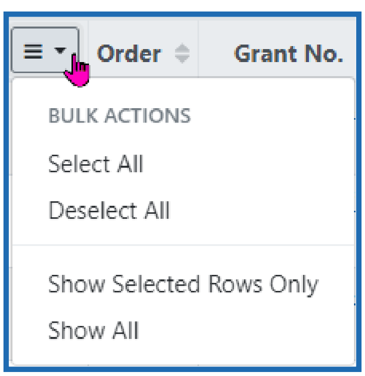


Figure 33: Bulk Actions Tool Lets you Show/Hide and Select/Unselect Rows

Check All marks all checkboxes regardless of the number of pages of records shown. In other words, if there are 10 pages of records available, with only the first page currently visible, **Check All** marks all enabled checkboxes on all pages. By contrast, **Check All Visible** marks only those enabled checkboxes on the currently visible page. See **Page Navigation** below for directions on how to navigate between pages of data.

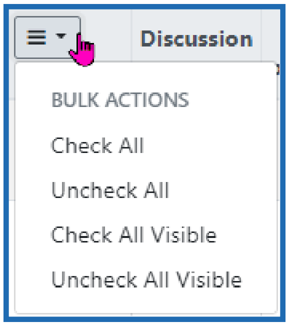
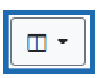


Figure 34: Bulk select tool example

Column Picker

Click to choose the visible columns in a table by selecting/deselecting their checkboxes. The column selection is only in effect until you navigate to another screen.



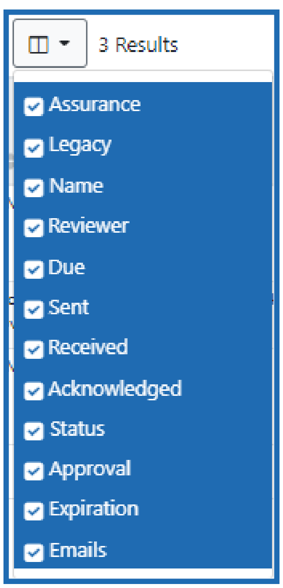


Figure 35: Expanded Column Picker, which lets you choose which columns are visible

Column Sorting

Click column headers to sort by that column.

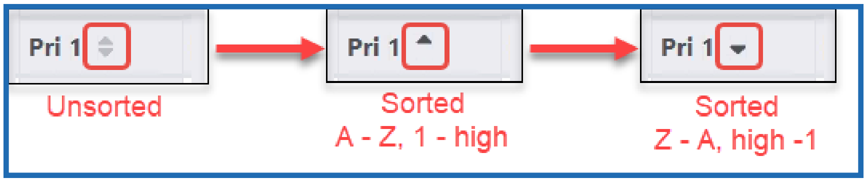
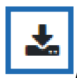


Figure 36: Sort indicators in table columns

Download and Print

Use the download tool , shown below, to export table data to Excel or PDF, or to print. Data from all columns is exported/printed even if only a subset of columns are visible.

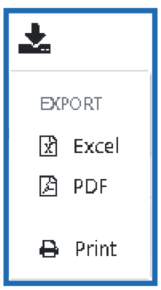
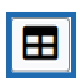


Figure 37: Download Tool lets you print or export to Excel or PDF

Rows Per Page

To help avoid scrolling, use the grid tool  to specify how many table rows appear per page.

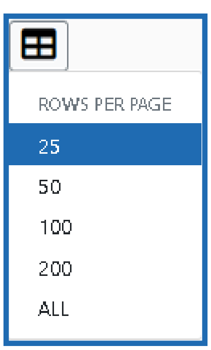


Figure 38: Grid Tool lets you choose number of rows displayed per page

Page Navigation

Navigate to each page of search results using the following tool:

Figure 39: Navigation to move between pages of search results

Instantly scroll back to the top of the page by clicking the "Back to Top" button, which appears on selected screens that show long search results. The button is an up arrow in a yellow rectangle and appears at the bottom right of the screen, when applicable:

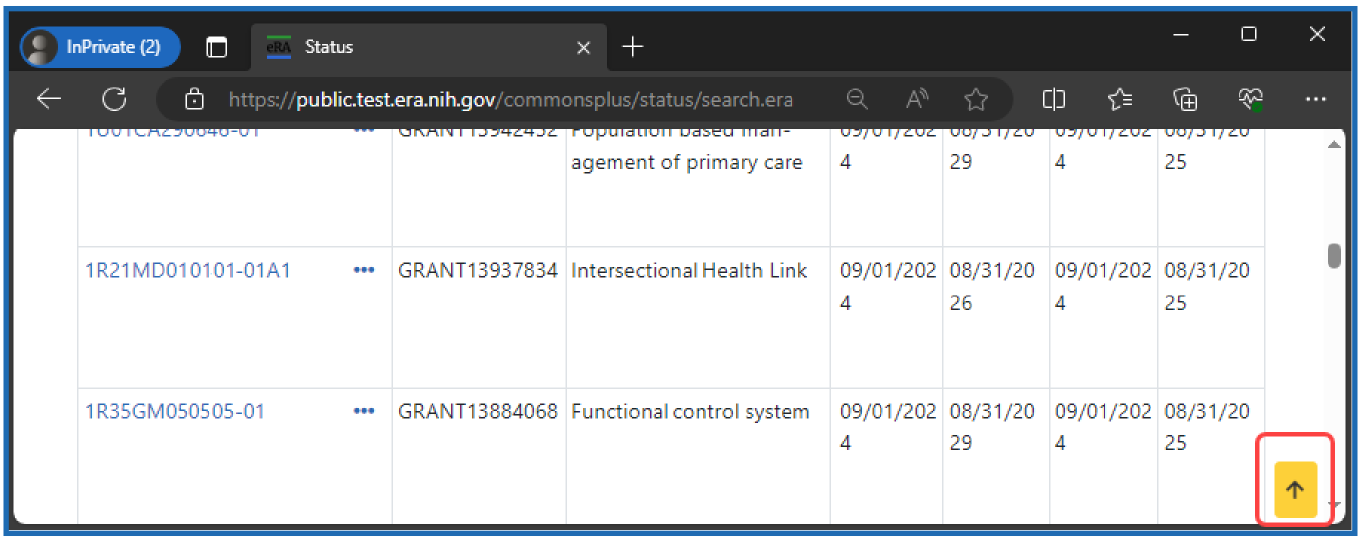


Figure 40: Yellow "back to top" button with up arrow in a yellow rectangle, used to instantly scroll to the top of search results

Expanding Table Rows to Reveal More Information

Some tables have an indicator at the beginning of each row that more information can be viewed for the row.

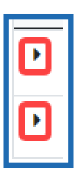


Figure 41: 'More Info' triangle icons at the beginning of rows in a table

If you see a triangle pointing to the right at the beginning of a row, click it for more information on the record.

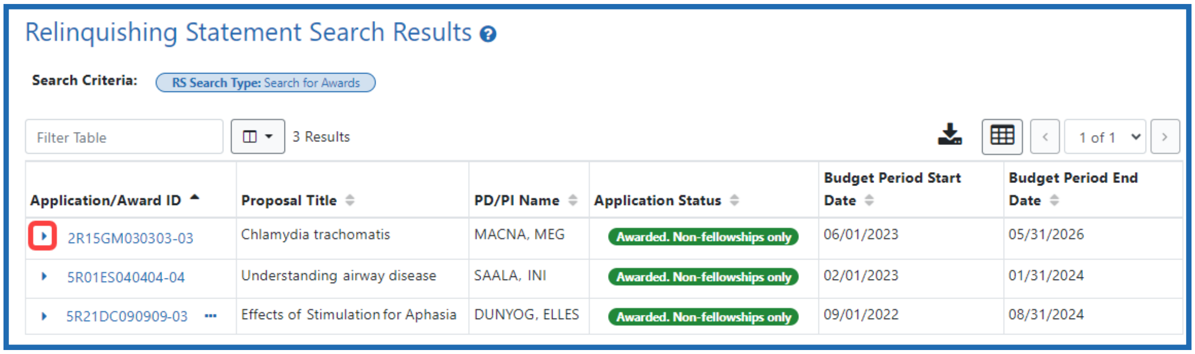


Figure 42: Triangle shown at beginning of table row indicates that there is hidden information for the row

The triangle turns downwards and expands the row to show additional information.

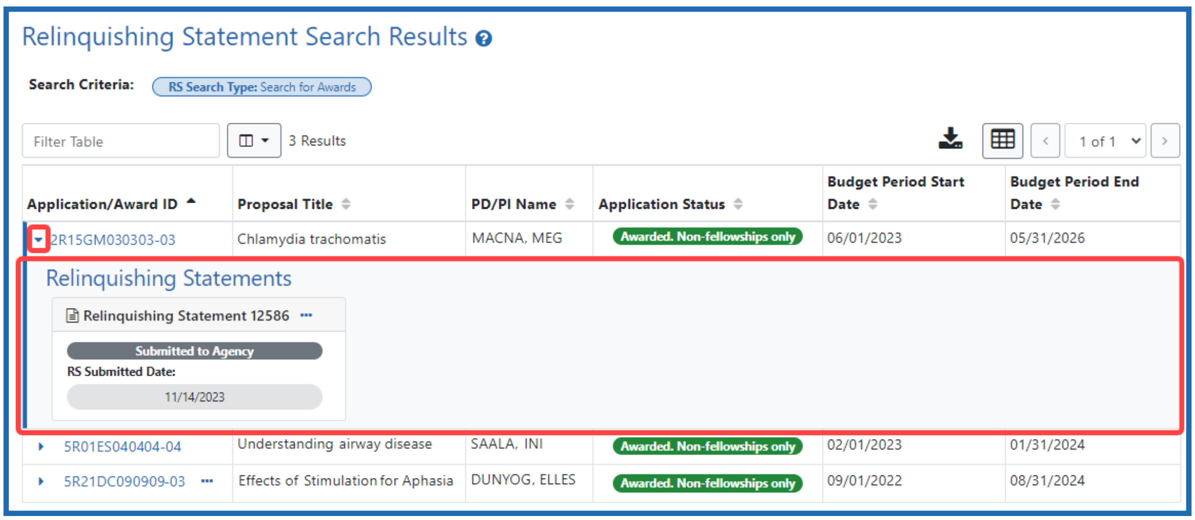


Figure 43: Click the triangle at the beginning of a table row to show more information about the record

The triangle also appears for some tables if you narrow the window containing the table. Below, a wide screen shows several columns.

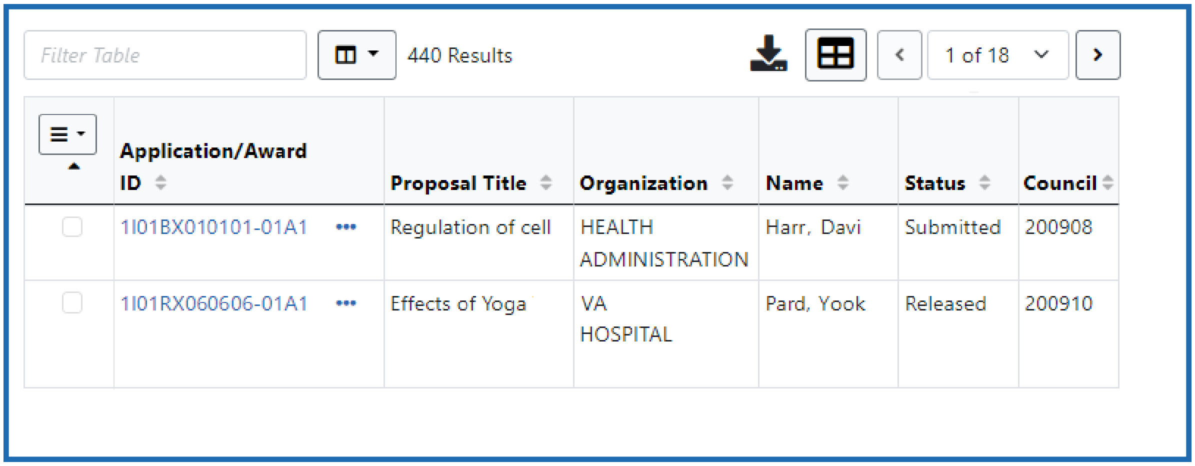


Figure 44: Full screen showing all columns

When the screen is narrowed, the **Status** column and **Council** column are not visible in the table, as shown below.

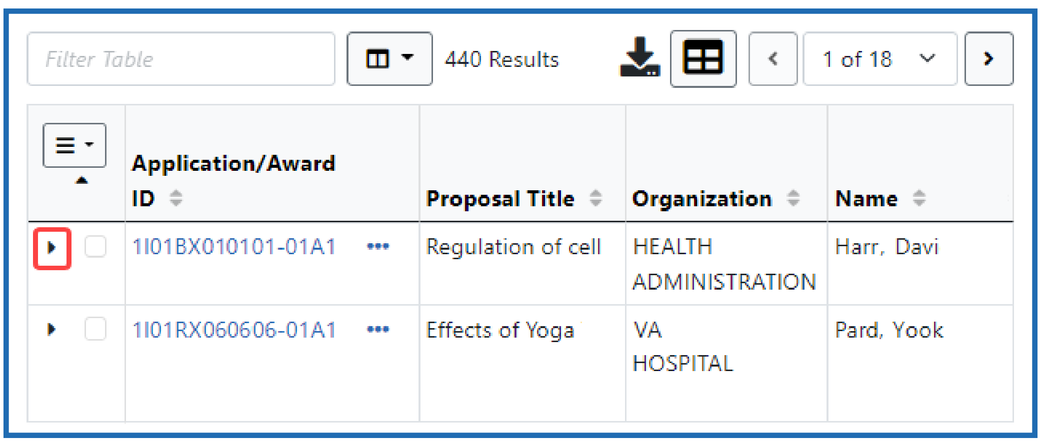


Figure 45: Narrow screen where the two rightmost columns are hidden

All hidden columns are available by clicking the 'More Info' triangle in the first column, which expands the row to show the two missing columns:

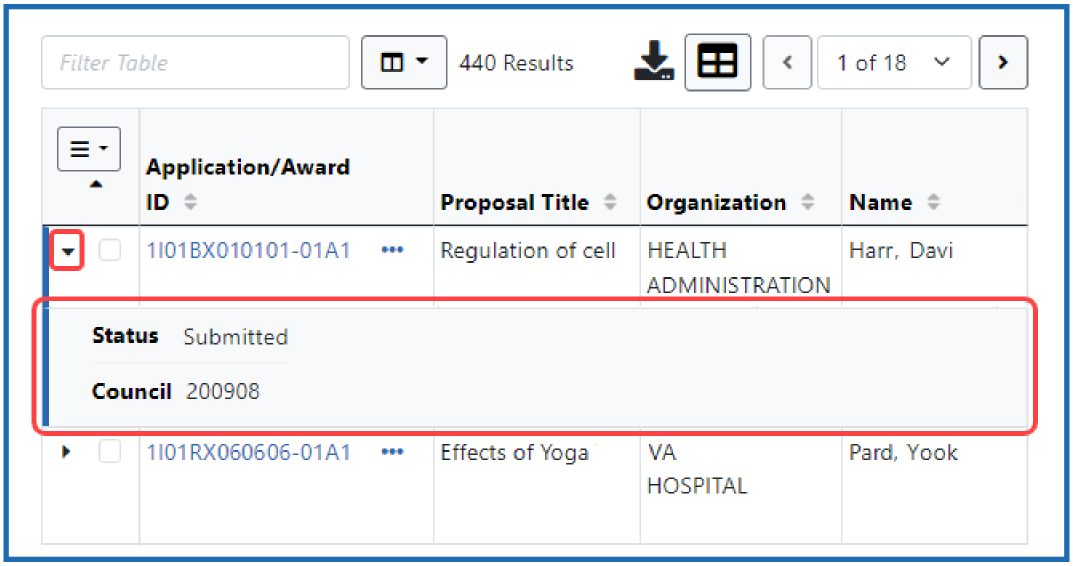


Figure 46: Click the triangle at the left of a row to show hidden columns below

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 Review (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

- ‘A’ and related number identifies the amendment number (example: A1 = resubmission);
- ‘S’ and related number identifies the revision record and follows the grant year or the amendment designation to which additional funds have been awarded.
- 'X' and related number identifies a fellowship's institutional allowance record. Allowance designations also follow the grant year or other designation(example: AG 12345-01X1 and HD 12345-02S1X2)
- 'P' and related number indicates a pre-application.

- D% (where % is a number) marks resubmissions and/or renewal applications that were withdrawn prior to the issuance of a summary statement at the request of the applicant and a subsequent version of that resubmission or renewal was submitted.

For more complete information on deciphering the grant number, see:

https://www.era.nih.gov/files/Deciphering-NIH-Application.pdf

For additional information types of grant programs, access the Grants & Funding website at: https://grants.nih.gov/grants/funding/funding_program.htm.

Searching for Awards by Awarding Office/IC (Search Criteria)

For increased flexibility in searching, a new search field has been added to search screens in the Status (for signing officials only), FFR, and RPPR modules. The new **Awarding Office/IC** field lets you narrow searches to only those awards that have been granted by the agencies, departments, offices, or ICs that you specify.

This new search field offers powerful tools for finding and selecting the ICs or agencies that you want included in your search criteria. It provides a consistent set of tools that you can use across modules when searching for an award.

Below is an example of the search field as it appears in the Status module when a signing official (SO) is performing a search.

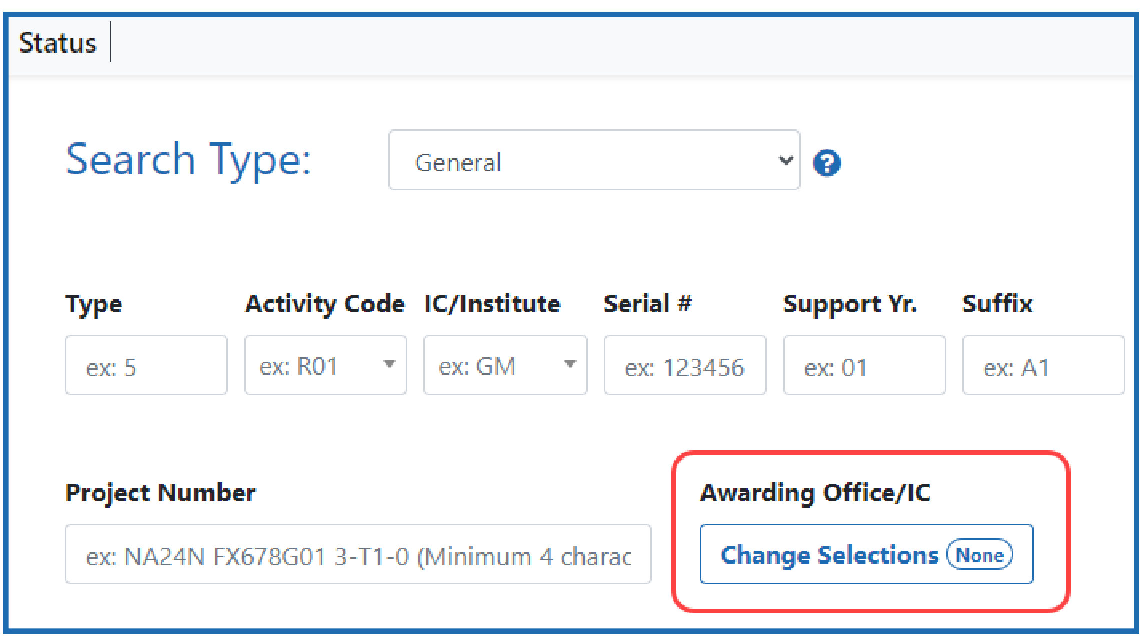


Figure 47: Awarding Office/IC field and button on the Status Search Type screen for SOs

Using the Awarding Office/IC Field

1. Click the **Change Selections** button under **Awarding Office/IC**.

   You see a popup with upper level governmental Departments that grant awards and are supported by eRA.

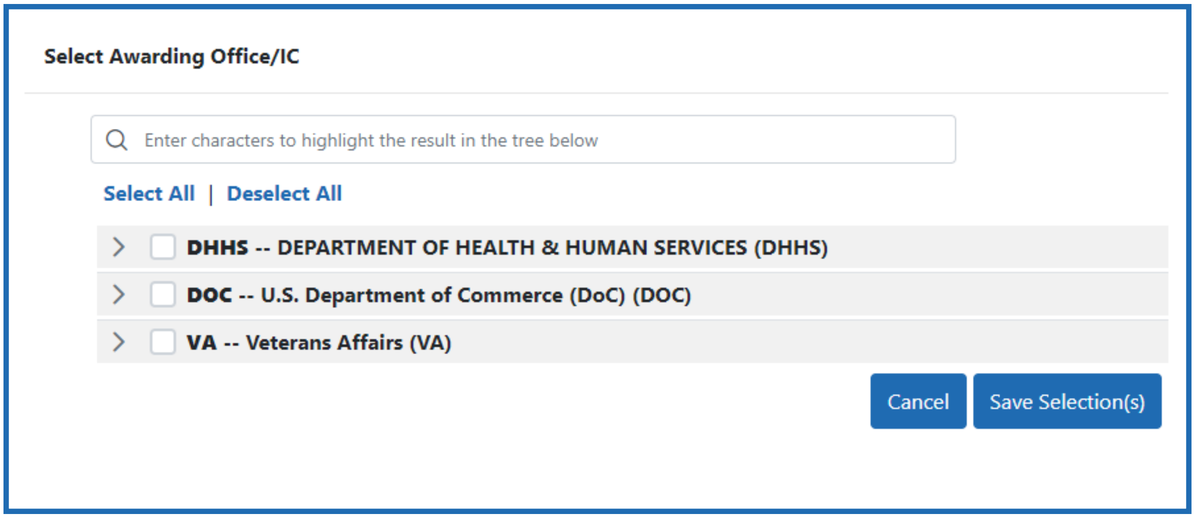
   

   Figure 48: Select Awarding Office/IC popup, where you can narrow a search to awards granted only by specific agencies, departments, or ICs

2. Click the arrows at left to drill down and see the grantor organizations (agencies/departments/offices/ICs) that reside underneath these Departments.

3. Mark the checkboxes of the grantor organizations that you want to include in your project search.

4. Click the **Save Selection(s)** button.

The button on the search screen updates to reflect the number of awarding organizations to include in the project search. In the following example, when you perform your search, results will appear for only the 29 selected grantor organizations that were selected on the *Select Awarding Office/IC* popup.

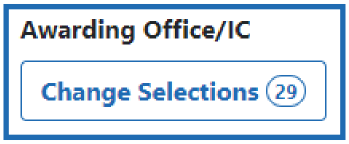


Figure 49: Awarding Office/IC field with Change Selections button showing how many offices/ICs are currently selected

Tips for Finding and Marking Grantor Organizations

- To select all grantor organizations, click the **Select All** link. Likewise click **Deselect All** to unselect all organizations.
- Type at least **three** characters in the search box at the top of the popup. All grantor organizations with matching text are instantly expanded so you can see them and the typed text is highlighted. You can then click the **Select All Highlighted** link to select all organizations with highlight that matches the typed text.

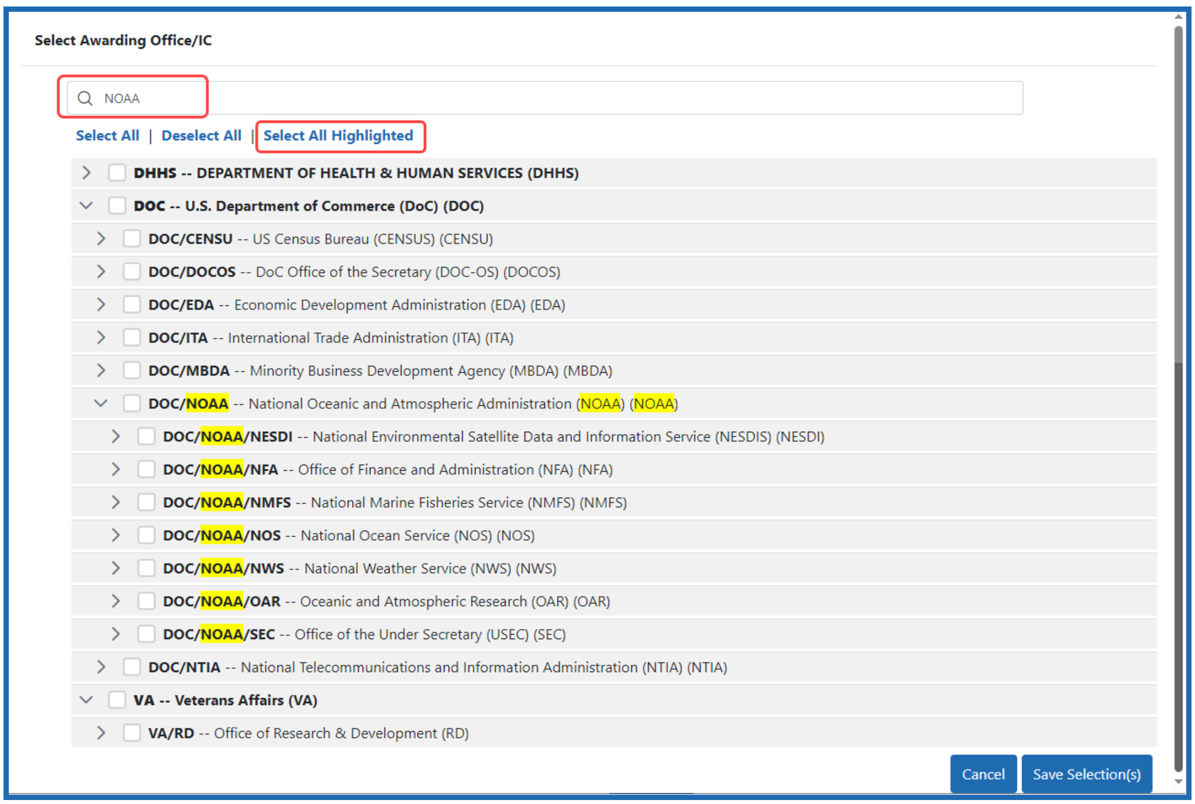


Figure 50: Select Awarding Office/IC popup, showing highlighted items, which can be selected all at once by clicking the Select All Highlighted option

- To select a group of organizations, select a checkbox; all organizations underneath (subordinate to) that organization are also selected. In the example below, the **DOC/CENSU** checkbox was selected by a user and the items underneath it were automatically selected as well.

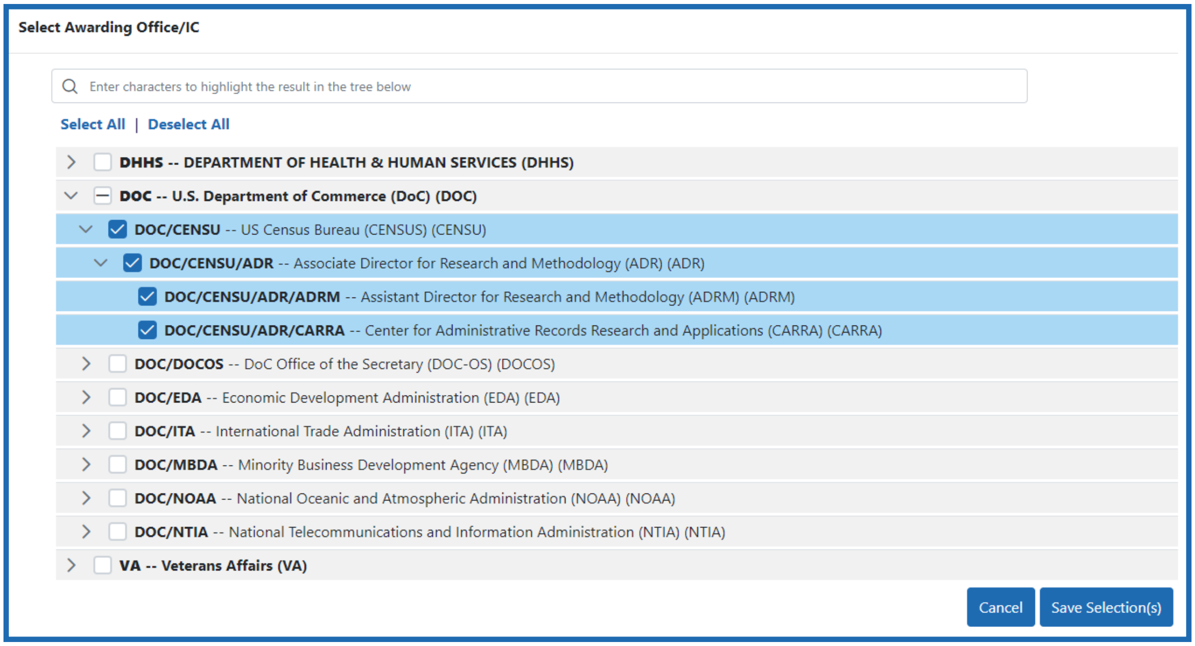


Figure 51: Select Awarding Office/IC popup, where you can select a higher level organization, which automatically selects all those organizations contained in the top level organization

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. User roles are mostly assigned to you by your signing official or account administrator, except for the IAR (peer reviewer) role, which is assigned by a scientific review officer.

> **Agency-Specific Instructions:** Department of Commerce (DOC). The only roles applicable to awards from DOC are PI, SO, AO, AA, FSR, and IAR . A user might have roles beyond this list, but other roles have no effect and give no privileges on the user if they are administering DOC awards.

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

- **AA**: Account Administrator at an organization, who facilitates the administration of Commons accounts.
- **AO**: Administrative Official of an organization.
- **ASST**: An assistant who may be delegated to perform tasks on behalf of the PD/PI.
- **BO**: Business Official at an organization who manages trainee grants and uses the xTrain module.
- **FCOI**: Those at an organization who manage the Financial Conflict of Interest module and report submission.
- **FSR**: A person in an organization responsible for completing and submitting Federal Financial Reports (FFR).
- **Graduate**: Role assigned to an individual who is a graduate student and is participating in an NIH-funded project for at least one person month. Refer to the following guide notice for more information: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html.
- **IAR**: A Reviewer selected by Scientific Review Officer (SRO*) assigned to critique and score applications in a review meeting. These Reviewers use the Internet Assisted Review (IAR) module.

- **PACR**: Having this role provides access to the Public Access Compliance Report system via the Commons home page.
- **PI**: Program Director/Principal Investigator (also called PD/PI), who directs a research project or program supported by the NIH.
- **POSTDOC**: POSTDOC role exists in Commons for those at an institution serving in a postdoctoral role. This could be someone who is being mentored and not yet in a permanent position.
- **Project Personnel**: Role assigned to an individual performing other project roles on a project. Refer to the following guide notice for more information: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html.
- **SO**: Organization's Signing Official, who has the institutional authority to legally bind the institution in grant-administration matters.
- **SPONSOR**: Sponsors supervise the research training experience of individual fellows supported by fellowship awards in the xTrain module.
- **TRAINEE**: TRAINEE user manages the electronic appointments of their own awarded training grants.
- **Undergraduate**: Role assigned to an individual who is in an undergraduate program and is participating in an NIH-funded project for at least one person month. Refer to the following guide notice for more information: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html.

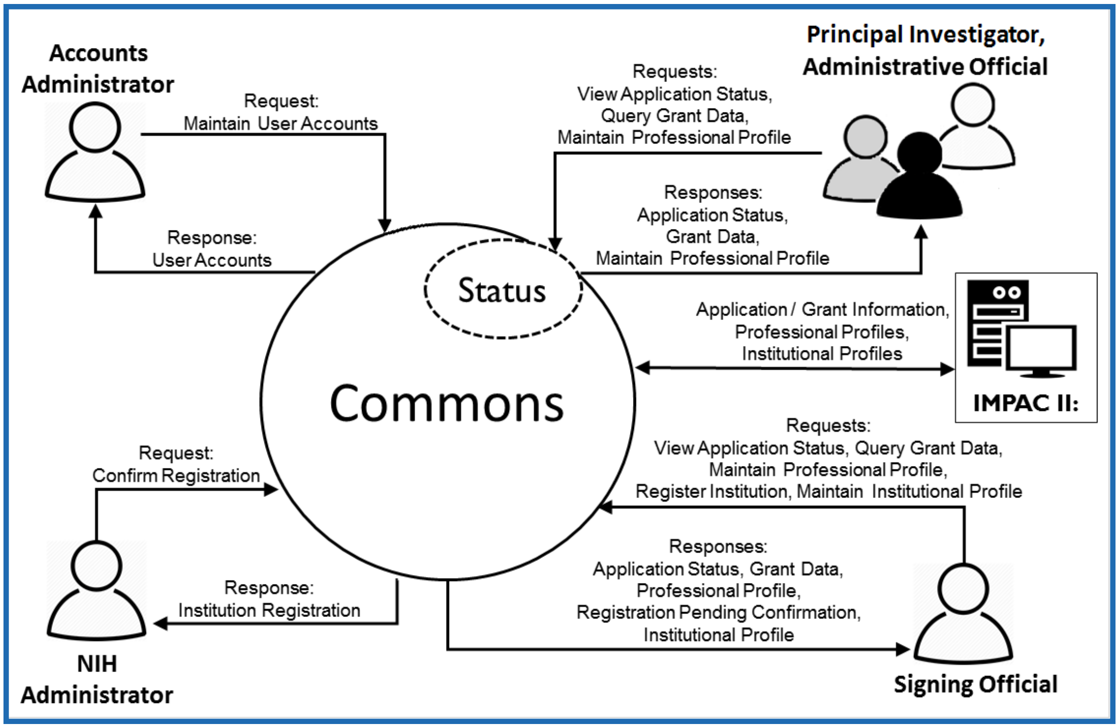


Figure 52: Commons User Roles Diagram

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

Account Administrator (AA)

Designated by the SO, the AA facilitates the administration of eRA Commons accounts for their own institution. The AA typically is located in the Central Research Administration Office at the awardee 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
- Reset password for users at their institution
- Create affiliation between an existing PI or IAR Commons account and the institution

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.

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

Agency-Specific Instructions: Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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 and IBO Portal of Commons.

Agency-Specific Instructions: Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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
- Certify Loan Repayment Program (LRP) applicants using the IBO Portal; see Overview of LRP IBO Portal.

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 their institution and that person must have a Commons account.

Agency-Specific Instructions: Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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.

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.

Agency-Specific Instructions: Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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.

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.

Agency-Specific Instructions: Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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.

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.

Internet Assisted Review (IAR)

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

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

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

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

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

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

Program Director/Principal Investigator (PI)

A principal investigator (also called a PD/PI, although the role in Commons displays as *PI*) directs a research project or program supported by the NIH. A PI role is also required for Loan Repayment Program applicants submitting LRP applications to the Division of Loan Repayment (DLR). 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

- Submit an LRP application
- **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.

Signing Official (SO)

An SO has authority to legally bind the organization in award administration matters by providing signature approval on award application submissions. They also are required to submit various reports and documentation unless they delegate that ability to others in the organization. The SO monitors grant related activities within your organization and may be referred to by a different title at the organization. The SO can also create new accounts for personnel at their own organization, including new signing official accounts.

It is recommended that organizations maintain at least two signing official (SO) accounts at all times. This is because having a signing official is crucial to many activities in eRA Commons. If a signing official unexpectedly becomes unavailable, remaining signing officials can create an additional SO account for another person within your organization.

If you maintain only one SO account, and that person becomes unavailable, you must contact the eRA Service Desk to request a new SO account; see *Requesting a New Signing Official Account (If No SOs Available)* on page 167.

To find your signing official, see:

Finding the Signing Official if You Have a Working eRA Commons Account on page 130

Finding Signing Officials if You Don't Have an eRA Commons Account or Can't Login on page 131

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

- Create additional signing official accounts; see *Create or Edit a Commons Account* on page 152. **An SO is the only role that can create additional SO accounts.**
- Register the applicant organization 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 organization
- Submit award application(s) on behalf of the organization via Grants.gov (outside of eRA Commons), if also registered with Grants.gov as the Authorized Organization Representative (AOR)
- View status of all applications originating from their organization and any errors or warnings that may have been triggered
- View Review outcome information, including summary statement, the overall impact score and percentile, if available; see *How Does an SO See the Review Outcome?* on page 531
- View assembled image of submitted award applications before they move on for further processing
- Reject award applications to address submission warnings
- View award information for all awards granted to the organization

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

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

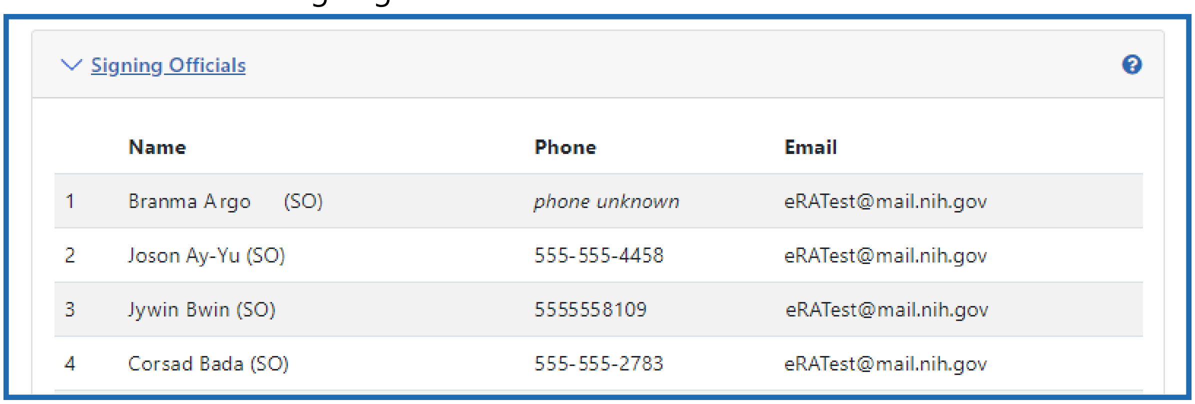
NOTE: An SO role cannot be combined with a PI role.

Finding the Signing Official if You Have a Working eRA Commons Account

For most organizations, the signing official (SO) is in the Office of Sponsored Research or equivalent. You can find the list of signing officials for your organization in the Institution Profile.

1. Log in to eRA Commons.
2. Navigate to the Institution Profile module, then click the Basic Information tab.

   You see a row titled Signing Officials.



Signing Officials

	Name	Phone	Email
1	Branma Argo (SO)	*phone unknown*	eRATest@mail.nih.gov
2	Joson Ay-Yu (SO)	555-555-4458	eRATest@mail.nih.gov
3	Jywin Bwin (SO)	5555558109	eRATest@mail.nih.gov
4	Corsad Bada (SO)	555-555-2783	eRATest@mail.nih.gov

3. Click the plus sign to view the name(s) of the signing official(s).

Finding Signing Officials if You Don't Have an eRA Commons Account or Can't Login

You need a signing official (SO) from your own organization to create a new account or reset your password or contact email. For most organizations, particularly institutions of higher learning, the SO is in the Office of Sponsored Research or similarly-named office. If your organization has any office that manages research, check with that office to see if they can provide SO contact information for your organization.

If you are unable to log in to Commons and cannot find the research office at your organization, contact the eRA Service Desk, which can provide you with contact information for your organization's SOs.

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.

> **Agency-Specific Instructions:** Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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

Trainee (TRAINEE)

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

Agency-Specific Instructions: Department of Commerce. This role is not used by DOC. If you have this role, it does not give you privileges for DOC awards.

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

Requesting a New Signing Official Account (If No SOs Available)

Rarely, an organization might find that it has no active signing official. This might happen if an organization has only one signing official and that person becomes unexpectedly unavailable/inactive. For example, if your organization has only one signing official, and that person suddenly leave your organization, you might find your organization has no active signing official.

A signing official is a crucial role for organizations in eRA Commons, because all activities that require legal signing authority, such as applying for awards, submitting documentation, and more, must be done by a signing official (SO). It is strongly recommended that all organizations have at least two SOs at all times. If you find that your organization is without any available/active SO, then the eRA Service Desk can create a new SO account for your organization following a thorough vetting process.

IMPORTANT: If a SO becomes unavailable but your organization still has at least one other active SO, then this topic does NOT apply to your organization. If you have any active SO, that SO can create additional SO accounts using the steps provided in *Create or Edit a Commons Account* on page 152.

About Requesting a New Signing Official Account

To uphold the integrity of registered organizations and their user accounts, the eRA Service Desk conducts an evaluation of SAM.gov registration information when processing signing official account requests. If you need help with SAM.gov, refer to the Federal Service Desk (https://www.fsd.gov/gsafsd_sp).

To initiate an SO account creation request with the eRA Service Desk, requirements are as follows:

- Your organization's SAM.gov registration status must be active. If your SAM.gov status is not active, you must work with SAM.gov to renew your registration.
- The Electronic Business Point of Contact (eBiz POC) associated with your organization's SAM.gov registration must still be active at your organization. This is the person who must contact the eRA Service Desk to request a new SO account. If that person is no longer associated with your organization, request an update to this record directly through SAM.gov.
- The eBiz POC must still have access to the email address associated to your active SAM.gov registration.

Once the above information is confirmed, the eBiz POC can submit a request for a new SO account to the eRA Service Desk (https://www.era.nih.gov/need-help) using their registered email address. Once received, the request will be evaluated by the eRA Service Desk.

If the request is granted, the Service Desk will gather necessary information for the new account, such as the person's name, preferred user ID, and contact information. They will let you know the status of your request via email, and the new SO will receive two emails when the account is created; the first email will contain the new Commons ID, and the second email will contain a temporary password. The new SO should immediately log into eRA Commons, whereupon they will be prompted to change their password.

Because it is recommended that registered organizations maintain at least two SO accounts within eRA Commons, the new SO should immediately create another SO account for a second member of your organization.

Switching Institutions

Are you a PI who has switched institutions?

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

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

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

Follow these steps if you switch institutions:

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

   The SO can follow the steps listed in the Create Affiliation topic of the Accounts Management System Online Help.

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

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

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

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

Changing to a Different Affiliated Organization

If you are a PI or other scientific role (GRADUATE_STUDENT, POSTDOC, TRAINEE, etc.) and are affiliated with more than one organization, it is important to check which organization is currently selected when you log into Commons. You can access only the information pertaining to the currently selected organization. You also possess only the roles granted by the currently selected organization. Your selected organization is displayed with your user ID information under the Person icon, which is in the upper right corner of Commons screens.

To select a specific organization to work with in Commons:

1. Log into eRA Commons.
2. Click the Person icon in the upper right of any screen. If you are affiliated with multiple organizations, you see a **Change Organization** link.
3. Click the **Change Organization** link.

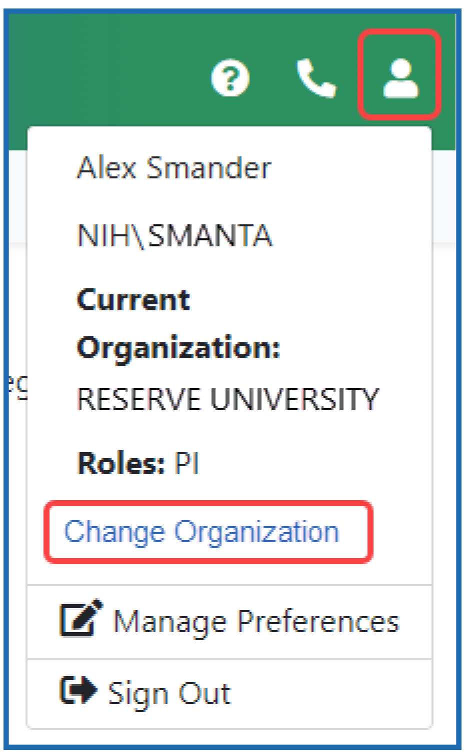


Figure 53: Change Organization link under Person icon

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

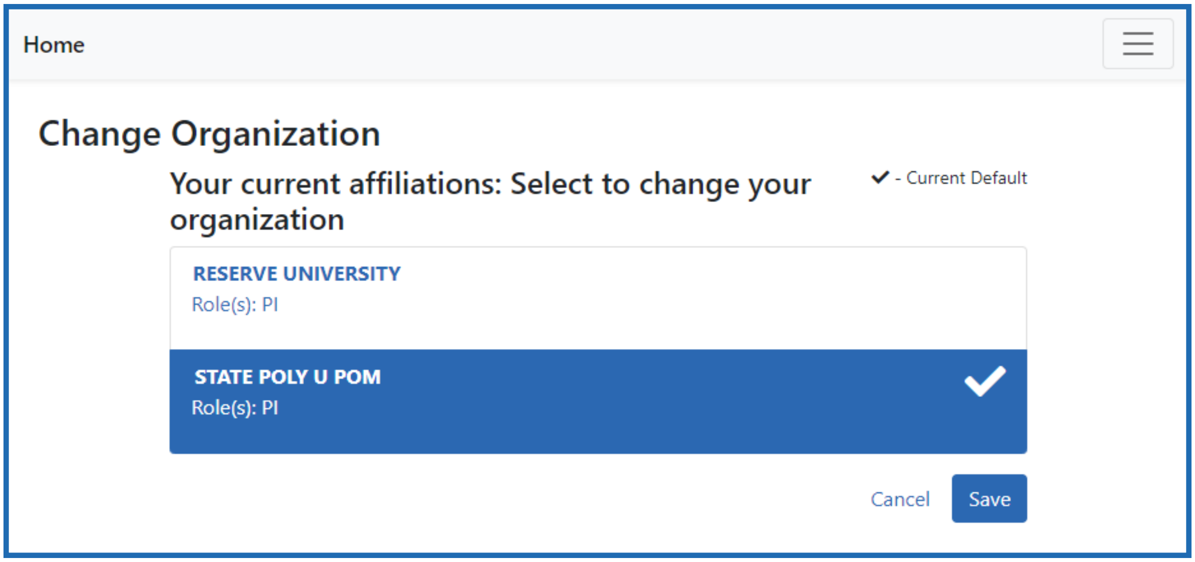


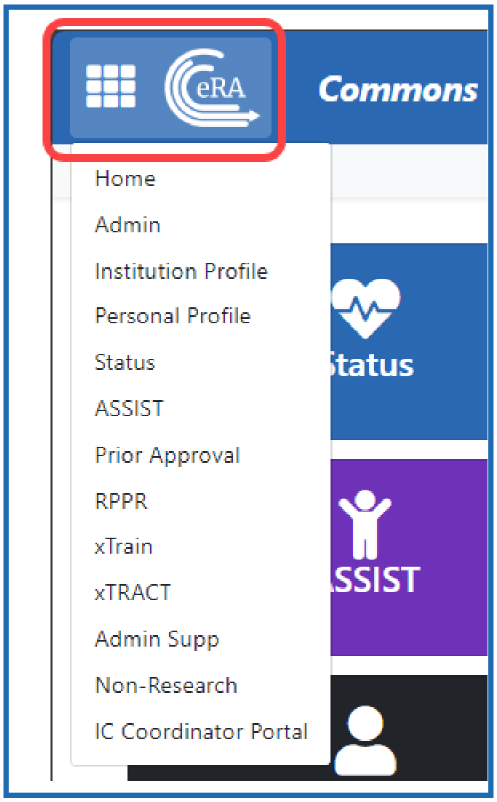
Figure 54: Change Organization screen where you can choose the affiliation for this eRA Commons session if you are affiliated to more than one institution

4. Click the name of the organization you want to work with in eRA Commons.
5. Click the **Save** button to set the organization as your current default. When you log in, you are automatically logged into the default organization.

In eRA Commons, you now see the grant data and roles associated with the organization you chose.

Opening Modules

To navigate between eRA Commons modules, click the Main menu/eRA logo at the upper left of any Commons screen. Some modules have large buttons on the home screen which can be used lieu of the Main menu.



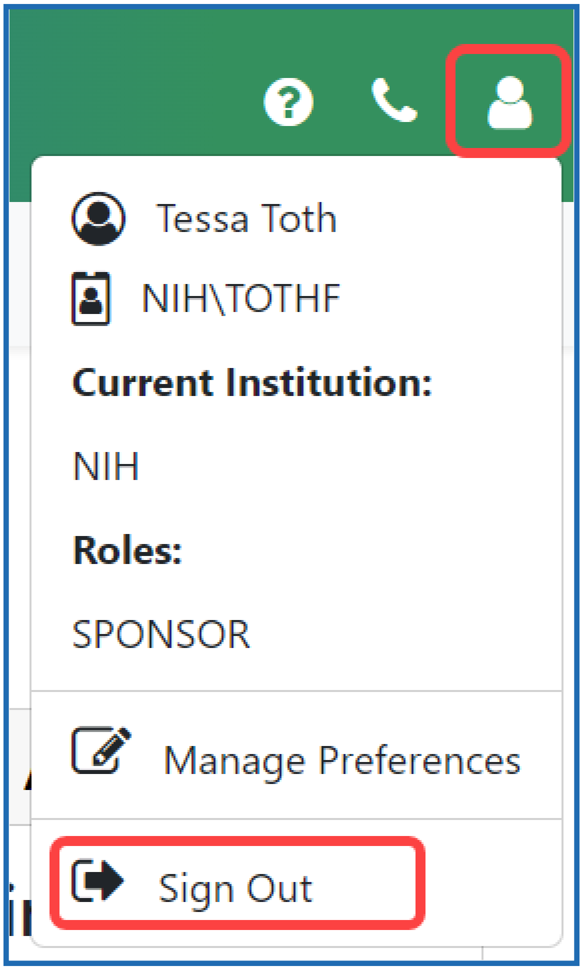
Can't find a module?

You see only those modules, or features within modules, that your user roles give you access to. User roles are assigned by your institutional signing official, administrative official, or accounts administrator.

Logging out of Commons

Upon completion of any work in eRA Commons, for security reasons it is a best practice to log off from the Commons system.

To logout, click the Person icon at upper right of any screen and select **Sign out**.


Tessa Toth
NIH\TOTHF
Current Institution:
NIH
Roles:
SPONSOR
Manage Preferences
Sign Out

About Passwords

If you are required to use two-factor authentication to access eRA Commons, you will have either a Login.gov account or an InCommon Federated account (that supports NIH's two-factor authentication standards) associated with your eRA account. Although you will be using one of those accounts to login to Commons, you will still possess an eRA account and the password for that account must still be maintained and reset once per year.

The Password Policy for eRA account credentials describes the use and rules of using eRA account credential passwords. Please review the Password Policy for eRA applications.

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

For further information about using Login.gov or InCommon Federated accounts, see the following:

- Two-Factor Authentication: Access eRA Modules via Login.gov
- Two-Factor Authentication: Access eRA Modules via an InCommon Federated Account
- FAQs: https://www.era.nih.gov/faqs.htm#XXIV

First-Time Login With Temporary Password

If you are a first time user logging in with the temporary password provided to you in an email, eRA Commons prompts you to change your password when you first log in successfully. You can copy the password from email.

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

1. Enter or paste the temporary password into the **Current Password** field.
2. Enter the new password into the **New Password** and **Confirm New Password**

fields. Also see *Password Requirements* on page 140.

3. Click **Submit** to update the new password information.

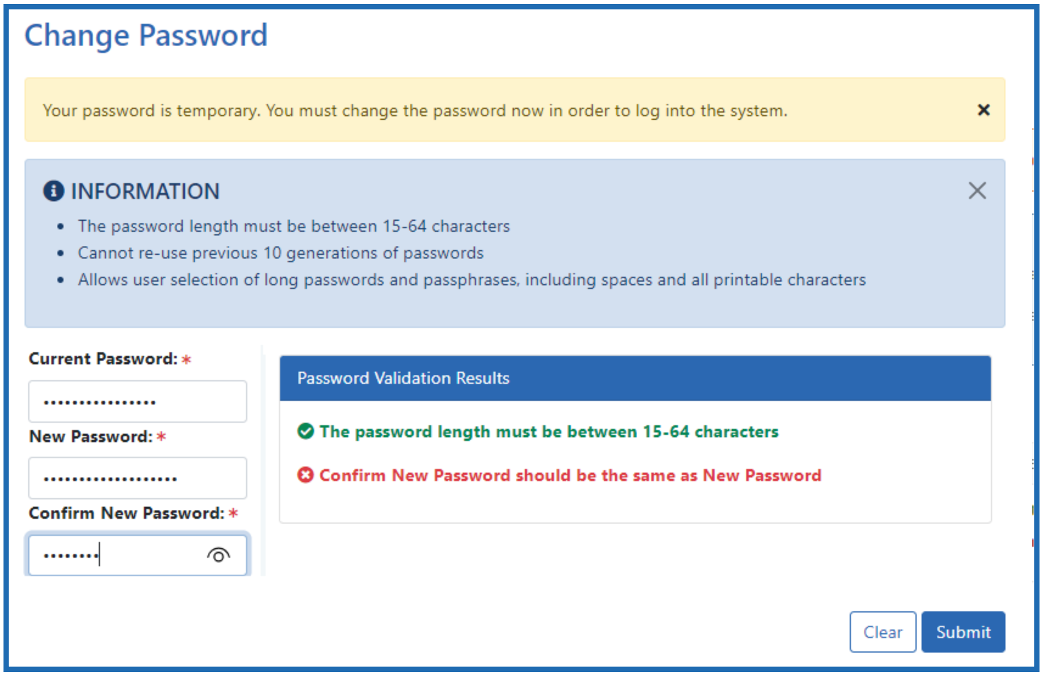


Figure 55: Change Password Screen

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 is displayed.

Password Requirements

NOTE: eRA users are currently being transitioned to require the use of two-factor authentication (Login.gov or InCommon Federated accounts that support NIH's two-factor authentication standards) instead of using eRA account credentials. See https://www.era.nih.gov/faqs.htm#XXIV. However, eRA users still possess an eRA account username and password (separate from their Login.gov or InCommon Federated account credentials) and must continue to change the eRA account password at least once a year.

The following list highlights the password requirements for eRA credentials:

- Must be at least fifteen (15) characters long
- Case sensitive.
- May contain spaces.
- Should not include your name, address, phone number, Social Security number, date of birth, HHS ID, etc.
- Does not need to contain numbers, capital letters, or special characters.
- Cannot contain weak or overused terms such as "password."
- Should not match current or past passwords from work or personal accounts.
- Cannot reuse the previous ten passwords.
- Must be changed once per year.
- Accounts are locked after 5 consecutive failed login attempts within a 120-minute period. The lockout will last for 30 minutes or until the account is reset by an authorized administrator. Users can click the Forgot Password/Unlock Account? link under the login fields of the Commons homepage (https://public.era.nih.gov/commonsplus) to unlock their account(s). 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 need help with passwords.

Read more information on the eRA Password Policy.

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

When using the Login.gov method to access eRA Commons, which includes two-factor authentication, use the following link to learn about Login.gov password management and requirements. Additional links on this page address different aspects of Login.gov passwords:

https://www.login.gov/help/changing-settings/change-my-password/

For further information about using Login.gov or InCommon Federated accounts, please see the following:

• Two-Factor Authentication: Access eRA Modules via Login.gov

• Two-Factor Authentication: Access eRA Modules via an InCommon Federated Account

• FAQs: https://www.era.nih.gov/faqs.htm#XXIV

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.

Reset Password

NOTE: This topic refers to the eRA account password. If you are having trouble with your Login.gov password, please review this page: https://www.login.gov/help/changing-settings/change-my-password/.
Even after you begin using two-factor authentication (Login.gov or InCommon Federated accounts that support NIH's two-factor authentication standards) to log into eRA Commons, you will still receive prompts to change your eRA account password at least once per year. See https://www.era.nih.gov/faqs.htm#XXIV.

Have you forgotten your eRA account password? If so, you can reset your password. Submitting a password reset request generates a new, temporary password, which is sent to the email address contained in your user profile. This temporary password lets you log into Commons, where you are prompted to create a new password.

If your account is locked from too many failed login attempts, you must wait 15 minutes before the password can be reset by yourself or your institution's signing official (SO) or account administrator (AA). See *My Account Is Locked!* on page 148. If you don't know who the SO/AA is, contact your institution's Office of Sponsored Research or equivalent. If you cannot locate this office, contact the eRA Service Desk.

Resetting Your Forgotten Password on page 142

What if Resetting the Password Does Not Work? on page 145

NOTE: If you know your password and just want to change it, use the change password feature instead. Refer to *Changing Your Password* on page 145.

Resetting Your Forgotten Password

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

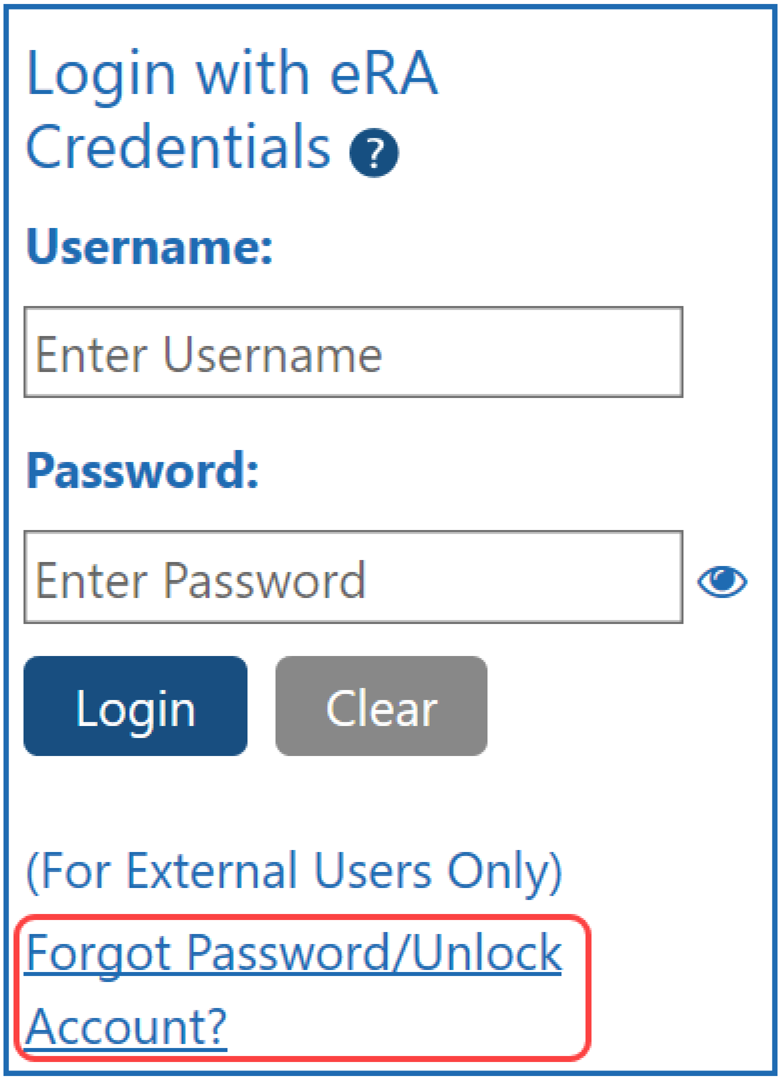


Figure 56: Forgot Password/Unlock Account Link

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

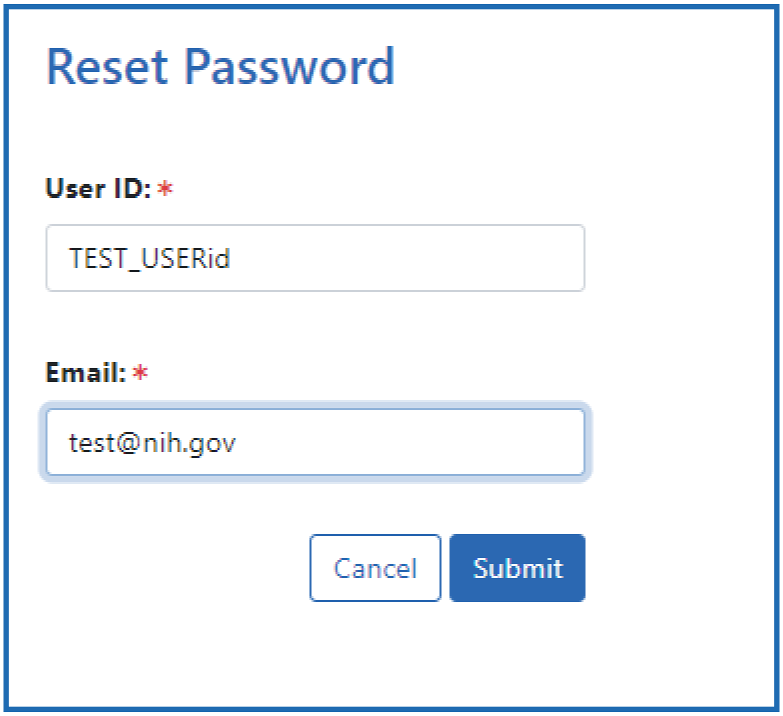


Figure 57: Reset Password Screen

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. 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. 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. See http://www.era.nih.gov/files/NIH_eRA_Password_Policy.pdf.

IMPORTANT: Your old password might 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.

What if Resetting the Password Does Not Work?

Because your temporary password will be sent to the email address stored in eRA Commons, you must remember which email is associated with your eRA Commons account and have access to log into it.

If you either do not remember what email is associated with your eRA Commons account, or you don't have access to that email account anymore, then you must contact a signing official (SO) or account administrator (AA) at your organization's research office for assistance. The SO or AA can log into eRA Commons and access your account in the Admin module. They can both reset your password and change the email to which password resets go.

If you don't know how to contact an SO or AA at your organization, contact the eRA Service Desk, who can tell you who to contact at your organization for assistance.

Changing Your Password

You can change your password anytime you are logged in as long as you know your current password. You use the Change Password screen, which can be accessed either from the Admin module or from the Person icon that appears in the upper right corner of some eRA Commons screens.

1. Access the *Change Password* screen.
    - Either navigate to the Admin module, then select **Change Password** from the **Accounts** tab. - OR -
    - Click the Person icon in the upper right corner of a screen and select **Change Password**.

    The *Change Password* screen opens. The screen lists the password creation standards that you must follow when choosing a new password.

2. Enter/paste your current password in the **Current Password** field.
3. Enter the new password into the **New Password** and **Confirm New Password** fields. See *Password Requirements* on page 140.

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

4. Click the **Submit** button.

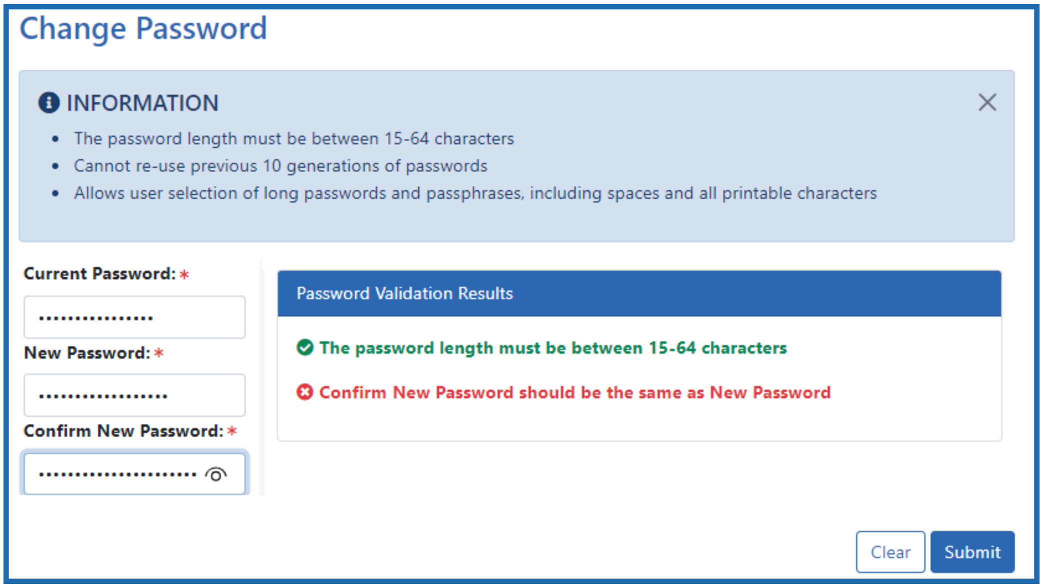


Figure 58: Change Password Screen

The password change takes effect immediately. You are still required to change your eRA Commons password annually even if you use Login.gov to log into Commons.

IMPORTANT: Your old password might 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, we recommend that you **not** use the browser's save password option.

Reset Your Expired Password

eRA credential passwords expire after a year and must be reset. When your password has expired or has been reset, you will be directed to select a new password when you try to log in.

Even after you begin using two-factor authentication (Login.gov or InCommon Federated accounts that support NIH's two-factor authentication standards) to log into eRA Commons, you will still receive prompts to change your eRA account password at least once per year. See https://www.era.nih.gov/faqs.htm#XXIV.

Your new password must conform to the standards listed on the screen. Also see *Password Requirements* on page 140.

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.

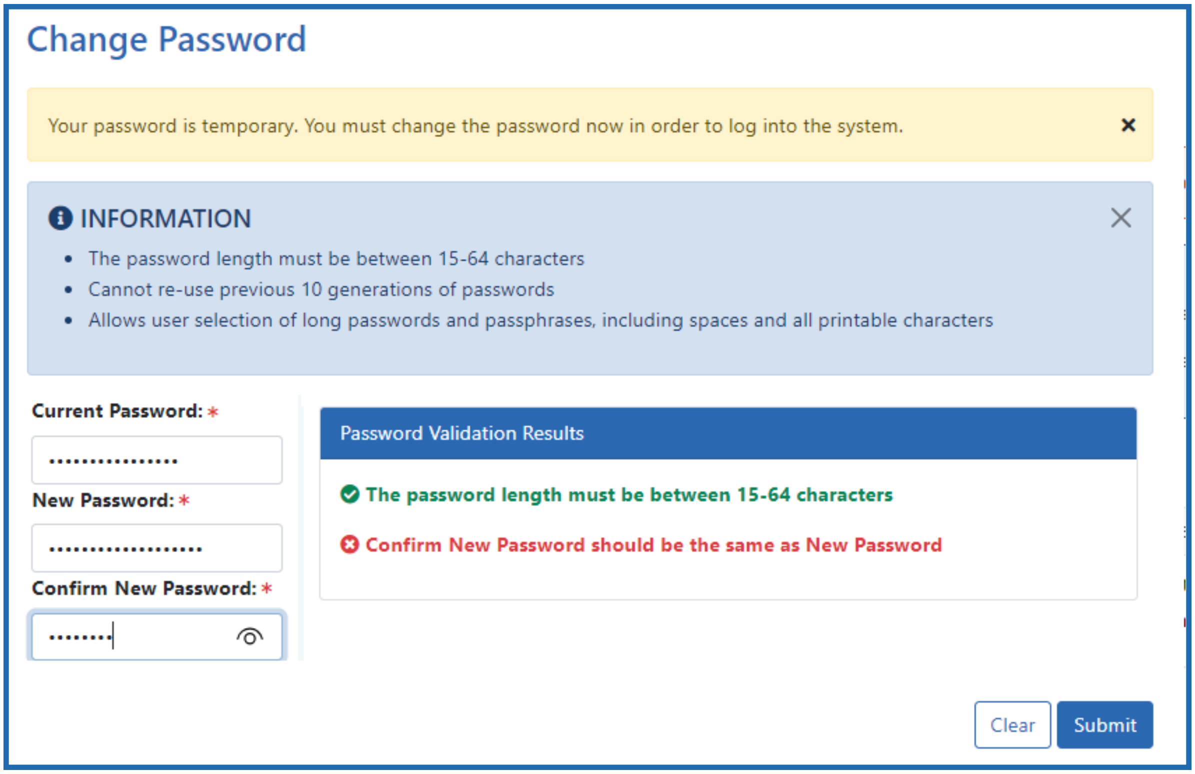


Figure 59: Changing an Expired or Reset Password

IMPORTANT: Your old password might 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, we recommend that you not use the browser's save password option.

My Account Is Locked!

NOTE: This topic refers to the eRA Commons account password. If you are having trouble with your Login.gov password, please review this page: https://www.login.gov/help/changing-settings/change-my-password/.
Even after you begin using two-factor authentication (Login.gov or InCommon Federated accounts that support NIH's two-factor authentication standards) to log into eRA

Commons, you will still receive prompts to change your eRA account password at least once per year. See https://www.era.nih.gov/faqs.htm#XXIV.

If you attempt to log into eRA Commons five consecutive times within a 60-minute period using an invalid eRA Commons password, your account will lock. The lockout will last for 15 minutes.

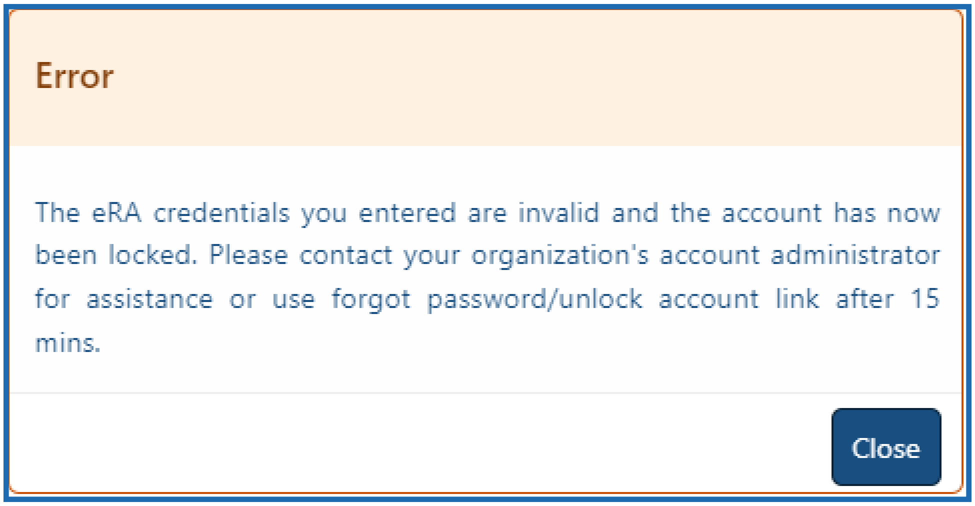


Figure 60: Locked account message received after too many invalid password attempts

After 15 minutes has passed:

- An SO or account administrator from your organization can log into the Admin module and reset your password (see Resetting a User's Password from Admin module). They can also update the email to which the password is sent.
- You (the user) can click the **Forgot Password/Locked Account?** link on the eRA Commons login screen (under **Login with eRA Credentials** on the left). See *My Account Is Locked!* on page 148. This works only if you remember which email is associated with your eRA Commons account and have access to log into it.

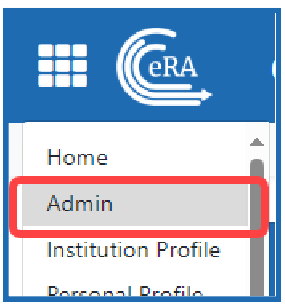
Admin Module

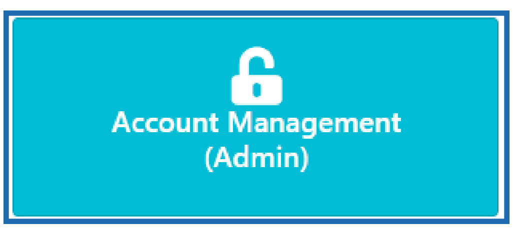
Signing officials and administrative personnel use the Admin module to perform account management for users within their organization. Principal investigators and other scientific personnel use the Admin module to change their password.

The Admin module includes the features used to perform:

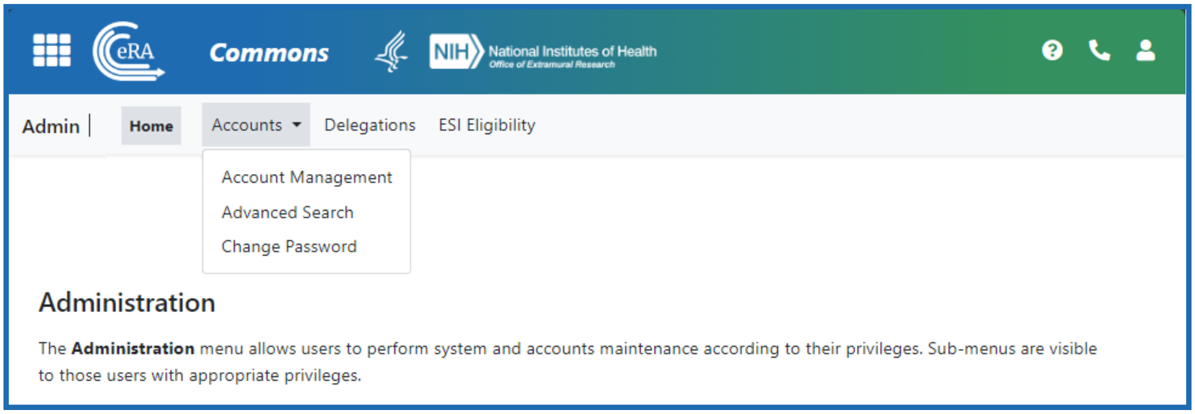
- **Account Management.** See *Accounts* on page 151.
- **Delegations.** See *Delegations* on page 169.
- **ESI Eligibility searches.** (SO/AO only) See *ESI Eligibility Search* on page 208.

There are two ways to access the Admin module: by selecting Admin from the Main menu or by clicking the Account Management (Admin) button:





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



For complete information on creating and managing user accounts and resetting passwords for your organization's users, refer to the Account Management System's Online Help System (https://www.era.nih.gov/erahelp/ams_new/).

Accounts

The **Accounts** tab of the Admin module contains the options for creating, searching, and updating user accounts. From Account Administration, users with appropriate permissions, such as signing officials, can do the following:

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

To access Accounts:

1. Navigate to the Admin module.
2. Select the **Accounts** tab.

Refer to the topic Refer to *Advanced Search for PIs with Continuous Submission Eligibility* on page 165 for help with searching.

For complete information on creating and managing user accounts, refer to the Account Management System's Online Help System (https://www.era.nih.gov/erahelp/ams_new/). Also see *Create or Edit a Commons Account* on page 152.

Create or Edit a Commons Account

Only an organization's eRA Commons administrators can create an account. Individual principal investigators or other eRA users cannot create their own account. If you need a new account or need account assistance with passwords, contact an SO from your organization; see *Finding Signing Officials if You Don't Have an eRA Commons Account or Can't Login?* on page 257.

You can edit eRA Commons accounts, or create new ones (such as for a PD/PI), using the **Admin/Account Management** module if you have one of the following eRA Commons roles:

- SO (signing official). Can create accounts of any role type except IAR, including creating additional SO accounts. See *Signing Official (SO)* on page 128.
- AO (administrative official). Can create all accounts except SO, BO, FCOI accounts, and IAR accounts.
- AA (account administrator). Can create all Commons accounts except SO, FCOI accounts, and IAR accounts.
- BO (business official). Can create all accounts except SO, BO, FCOI accounts, and IAR accounts.

If you have one or the roles above, find more information about creating eRA Commons accounts via invitation, appointment, or institutional registration under additional links below.

The basic steps for creating an account for a new staff member at your organization are:

1. First search for the new person's account across all organizations to make sure the person does not yet have an eRA account. When you clear the **Search only within my organization** checkbox, a search in *Admin* searches users from all organizations.

2. If an existing eRA account cannot be found, click **Create New Account** and fill out contact info and assign roles to make a new account; see *Creating a New User Account* on page 155.

3. **If the person *does* exist, and they have a PI or other scientific role (example: trainee)**, you should affiliate the person to your institution instead of creating a

new account. PI and other scientific roles are intended to be used throughout the investigator's career regardless of their current institutional affiliation(s); see *Editing an Existing eRA User Account* on page 160.

Administering Accounts (Editing Roles, Affiliating Users, Helping Users with Login)

eRA users with administrative roles (listed in previous section) can do the following in Admin.

- **Edit a user's assigned roles.** For instance, you might want to change an AA or PD/PI account to a SO account in the case of a promotion to other duties. Some roles conflict; for instance, a PD/PI, which is a scientific role, cannot co-exist with an SO role, which is administrative, so you might have to delete some roles to add others.
- **Affiliate a non-administrative user (such as a PI) to your own institution.** Suppose a PI at another institution is going to work on one of your institute's awards, or suppose the PI is moving from another institution to your institution. In either case, you can use Admin to associate the existing PI account to your institution.
- **Help a user from your institution who is having trouble logging in with eRA credentials.** You can reset the user's password or change the user's email (where password reset emails go). The eRA credentials are different from Login.gov credentials; for Login.gov help, see *Detailed Login.gov Steps and Troubleshooting* on page 71.

Searching for an eRA Account

1. Navigate to the Admin module.
2. Select the **Account Management** menu option under Accounts.

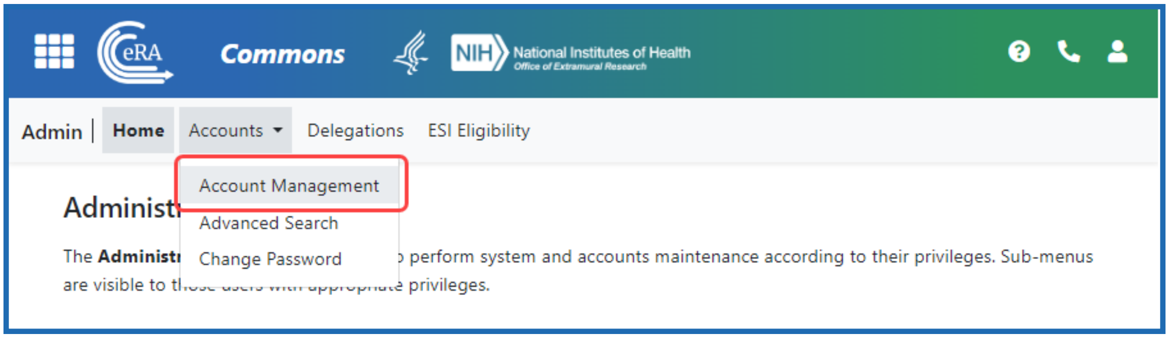


Figure 61: Admin navigation, showing Account Management

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

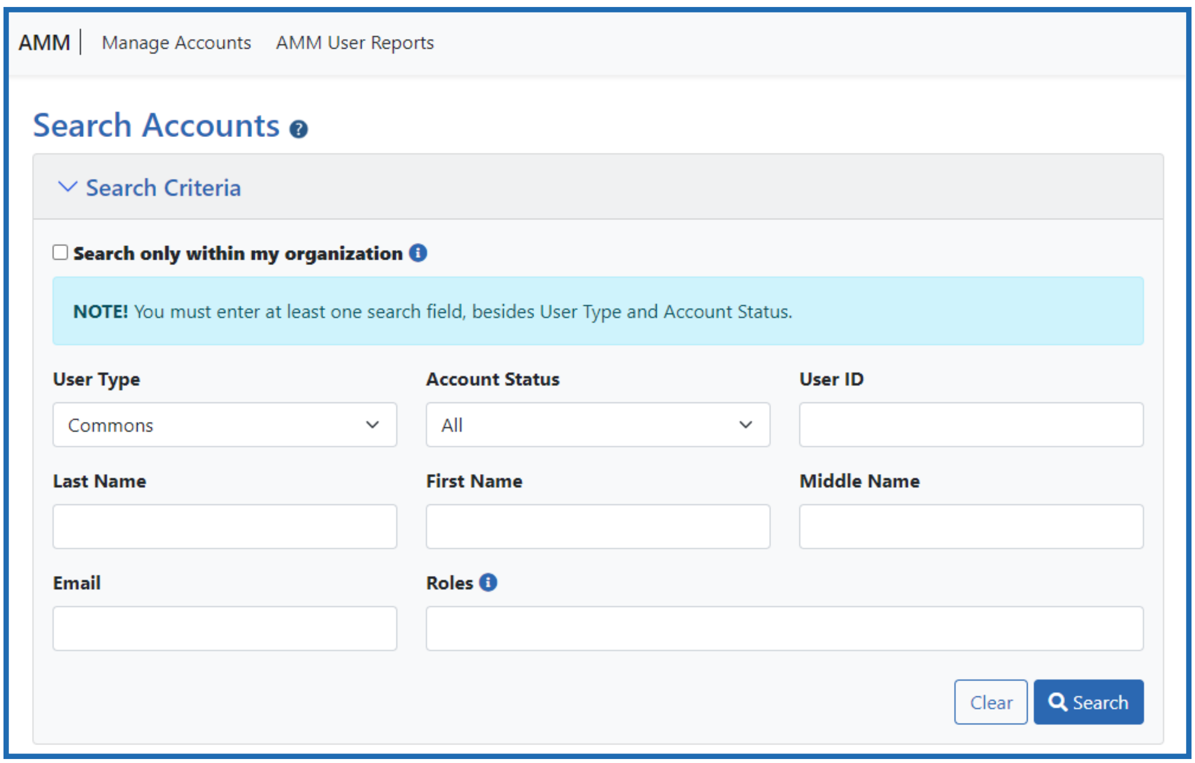


Figure 62: Admin Search Accounts screen, where you can search for users within your organization or across organizations. Searching is the first step to creating a new account.

3. Enter search criteria, such as the person's (**Last Name**, **First Name**), for the person you are seeking.
Search even if you plan to make a new account, to ensure the person does not already have an account. By default, the **Search only within my organization** checkbox is *not* marked, which means you are searching ALL eRA Commons accounts for all organizations.

TIP: Use the percent character, %, as a wildcard.

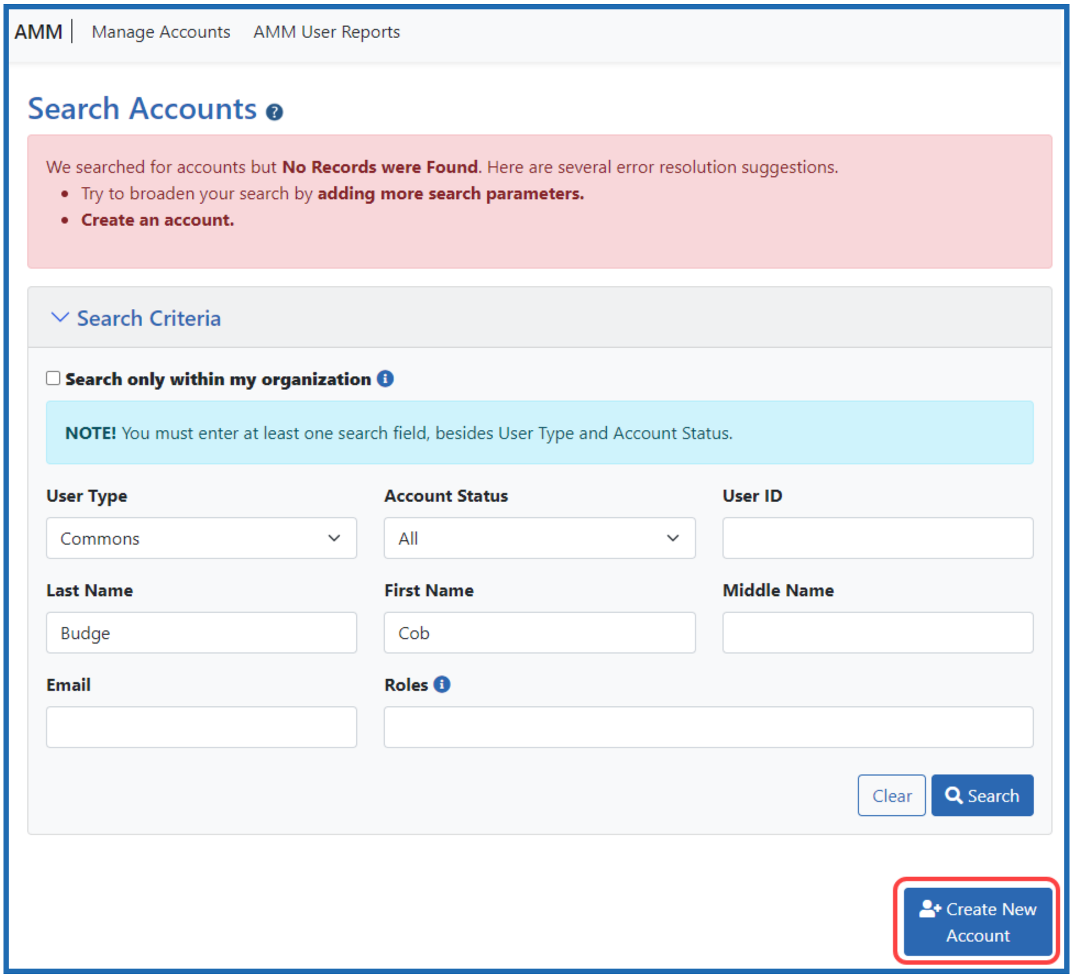
If accounts appear in the *Search Results*, you can:

- Click the linked **Name** to see *Funding Support*, which also includes employment history, for the user. This can help you positively identify a user in the case of duplicate names found.
- Click the **Manage** button to change affiliation, change roles, change the user's email (where their password reset emails go), or to reset their password (meaning they get a password reset email with a temporary password).
- If you find the person you are looking to add to your organization, click **Manage** and use the **Affiliate** button to affiliate the person to your institution. You can affiliate only those with scientific (research-related) accounts (such as PI), not those with administrative accounts (such as SO).
- Click **Create New Account** to create a new user (after searching to ensure the user does not already exist). After performing the search, the **Create New Account** button becomes enabled; see the next section.

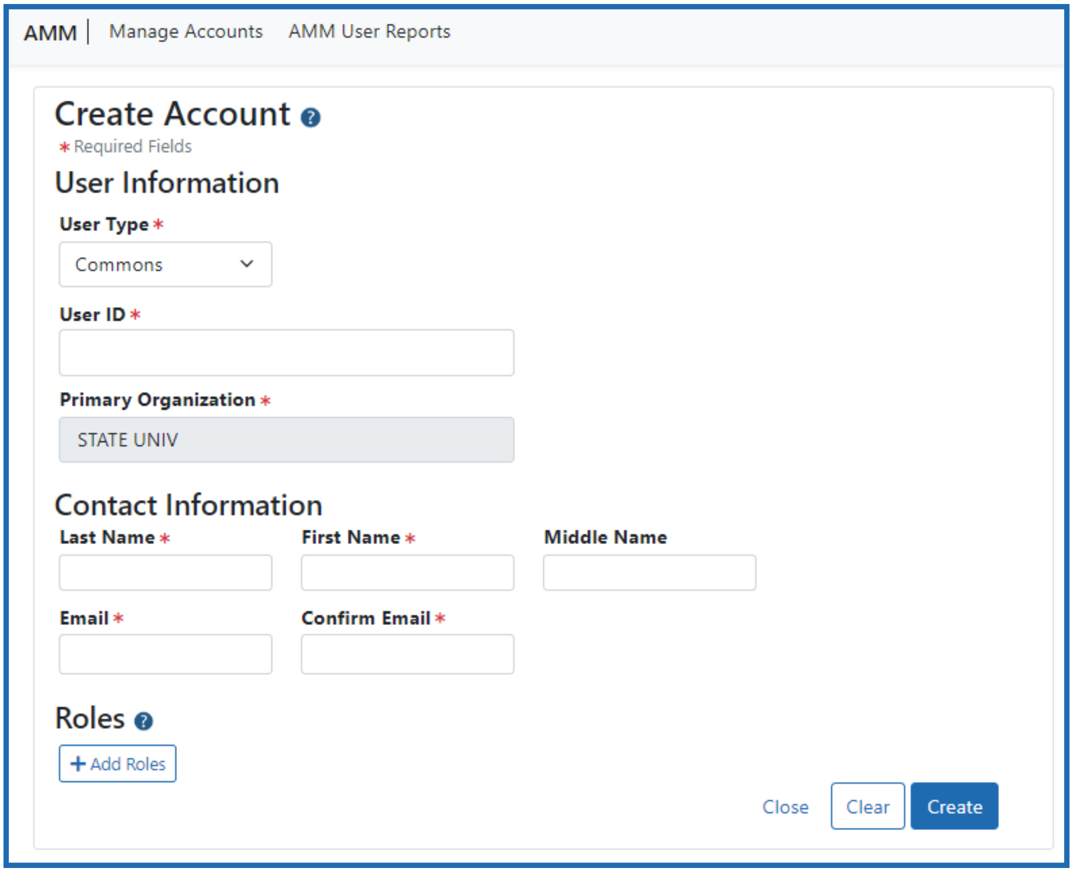
Creating a New User Account

If you search for a person who is coming onboard to your organization, but you do not find the person, you can create a new account for the person.

1. After you search for a person (see above section), click the Create New Account button.



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



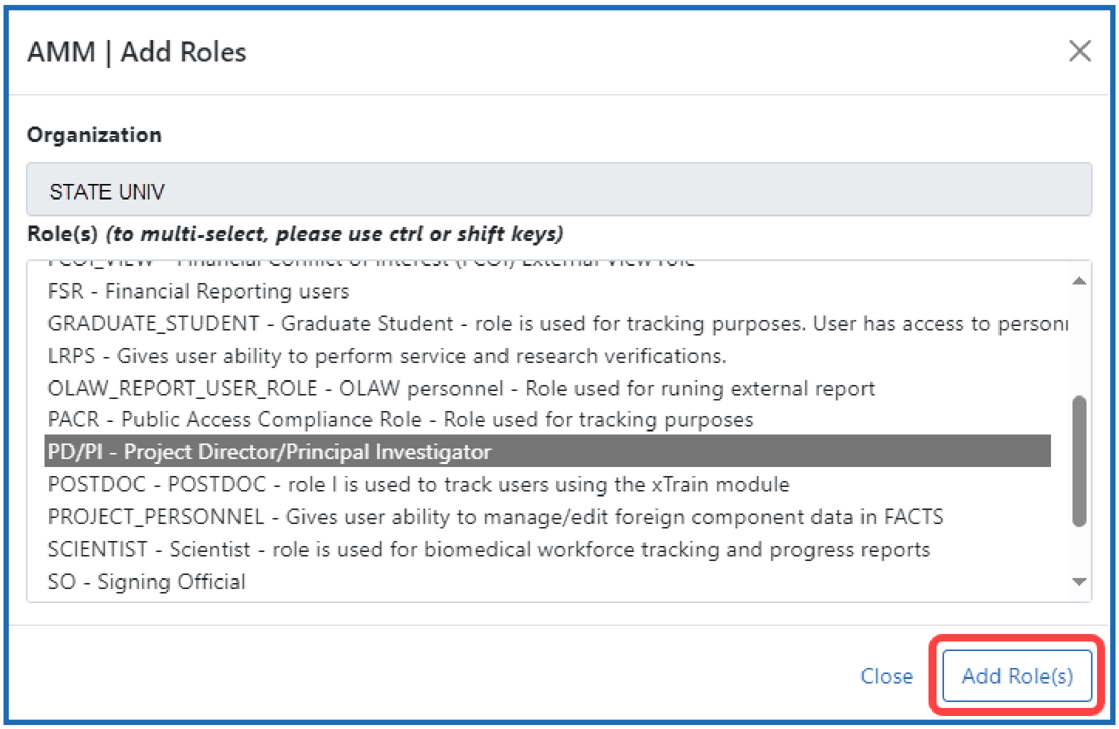
2. On the *Create Account* screen, fill out the fields. Note that all fields except **Middle Name** are required.
   - **User Type**: Select **Commons** from the drop-down list if it is not already displayed.
   - **User ID**: Enter a unique name as the system user ID. Take care with entering this ID, as it is not changeable after account creation.
   - **Primary Organization**: This field defaults to your organization and cannot be changed. If an individual needs to be affiliated with your organization and already has a non-administrative account with another institution (primarily Primary Investigators - PI), search for them outside of your organization and affiliate their existing account with your institution.
   - **Last Name**
   - **First Name**
   - **Middle Name**

- **Email**. This email will be used for password resets (i.e. when the user clicks 'Forgot Password' on the eRA Commons login screen). It is very important to enter an email that the user will ALWAYS have access to, which might be their personal email.
- **Confirm Email**

After entering contact information, you must assign a role to the account; if you do not add a role, you get an error when you try to save the new user.

3. Click the **+ Add Roles** button to open the *AMM | Add Roles* window.

   The organization defaults to your institution and cannot be changed. A list of available roles appears. Note that more roles appear if you are an SO vs. other administrative roles. For instance, only an SO can assign a SO role to another user.



4. Select the role(s) for the new account.

   Use Ctrl+click to select multiple roles. (Shift+click selects multiple contiguous roles.) Some roles conflict with one another and should not be assigned at the same time, such as PD/PI and SO, or any scientific role along with an administrative role. An error message will occur when you try to save the new user account if you assign conflicting roles.

5. Click the **Add Role(s)** button in the *Add Roles* popup. The *Create Account* screen now lists the roles you selected. If you made a mistake, you can click the **Remove** button in the **Action** column to remove a role.

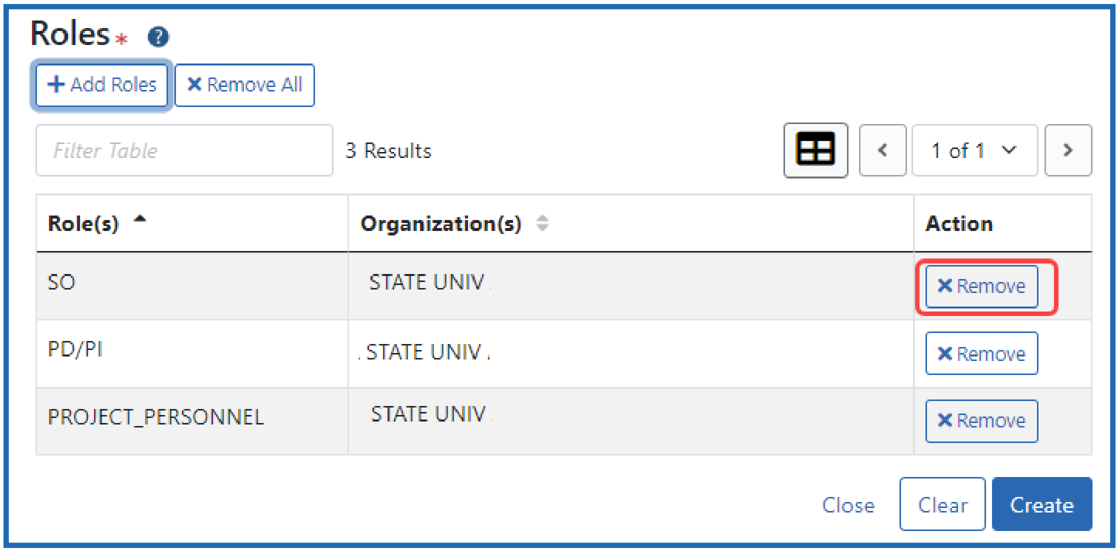


Figure 63: Roles section of Create Account screen showing Remove buttons next to roles

6. Click the **Create** button to create the new account.

A success message appears at top and the read-only *Account Details* screen appears. Alternatively, if there were errors, errors are listed at top; see the next section.

If you need to change the account you just created, click the **Manage** button. When editing an account, you can no longer change the User ID or name. You can, however, edit the email, roles, affiliation, or reset the password. See *Editing an Existing eRA User Account* on page 160 below.

The new account holder will get two emails at the email you specified; one contains a temporary password and the other contains the user ID.

The person for whom the account was created can edit all their personal and contact information using Personal Profile after they log in to Commons.

Possible Errors When Creating an Account

A variety of errors might appear when you click **Create** to save a new account. A red bar appears at the top listing errors.

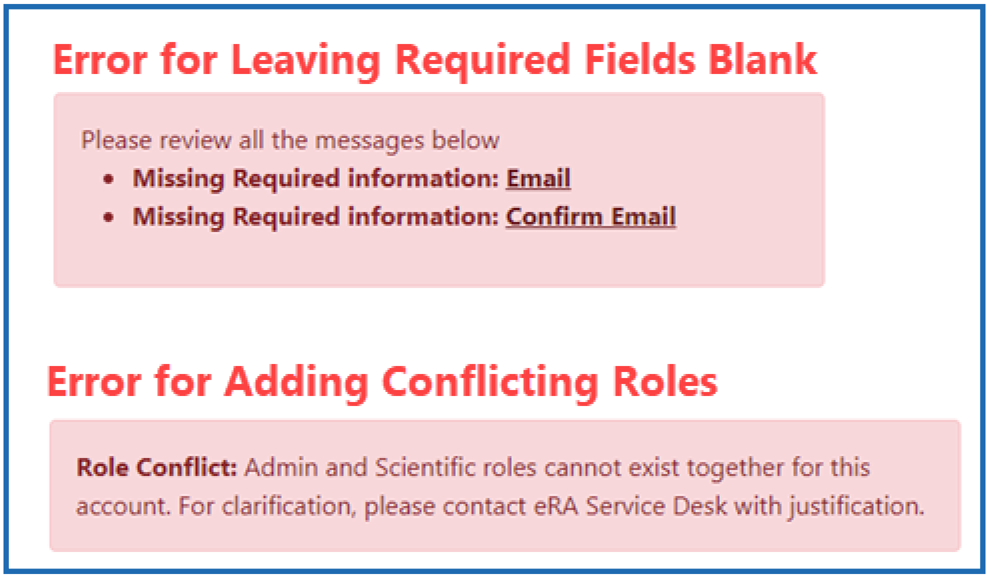


Figure 64: Possible errors you might receive after clicking Create to create a new account

Editing an Existing eRA User Account

Steps for an SO or account administrator to edit existing accounts:

1. Search for existing accounts as described in *Searching for an eRA Account* on page 153.
2. On the account you want to edit, click the **Manage** button.

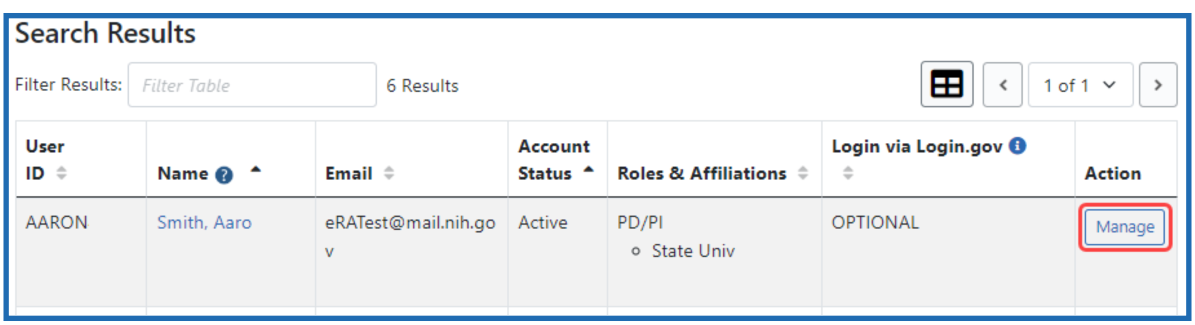


Figure 65: Search results in Admin module showing Manage button

The Manage Account screen opens.

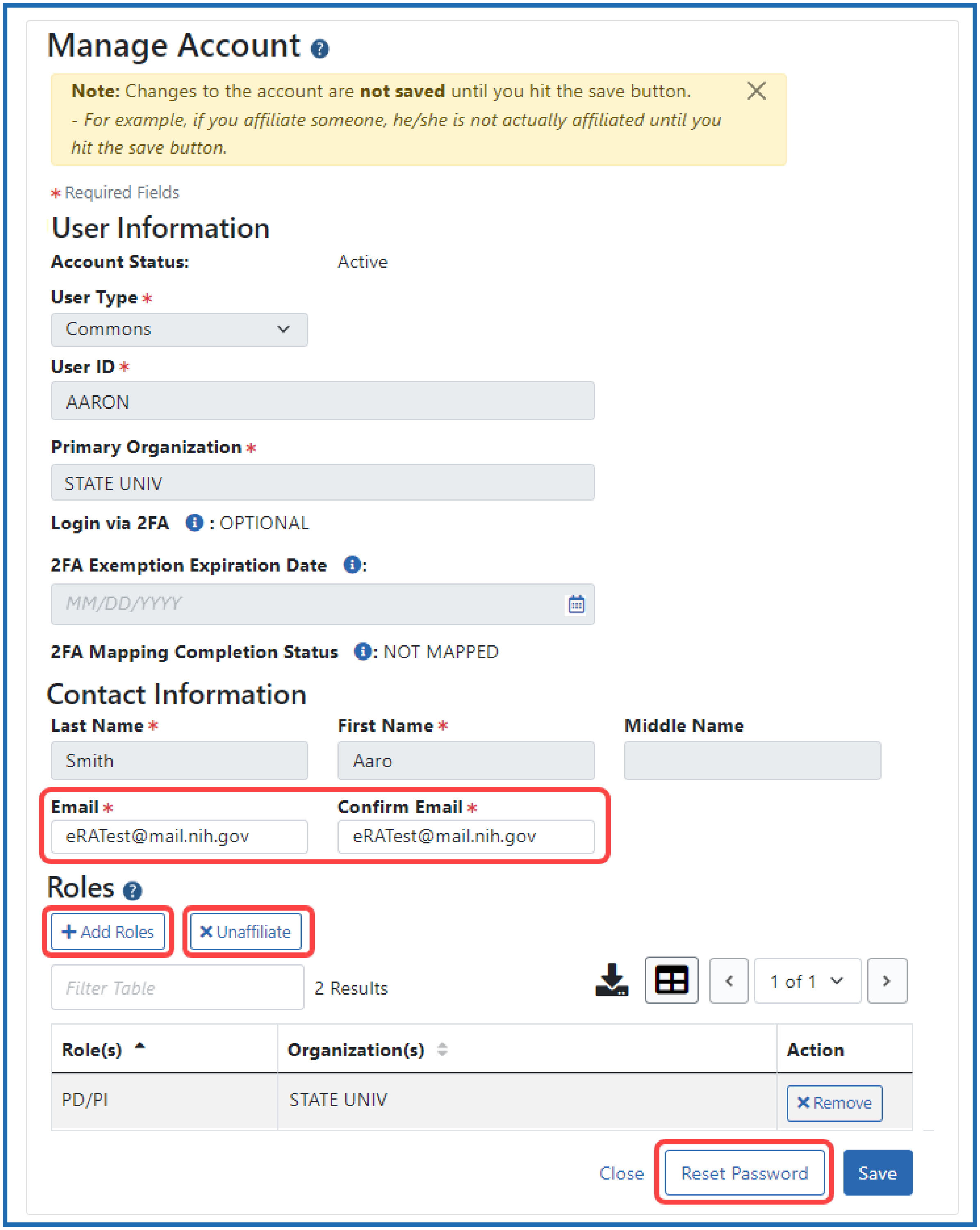


Figure 66: Manage Account screen, where an organization's administrator can edit roles, affiliate/unaffiliate user with this institution, reset password, and change the email for password resets.

- To edit roles, click the **Add Roles** button.
  Be sure to add ONLY scientific (PI, POSTDOC, etc) OR administrative (SO, AA, etc) to an account, but not both, as they are incompatible.
- To change the account holder's email, enter the new email in the **Email** fields.
  If the user then clicks '**Forgot Password**,' the password reset email will go to this email address.
- To affiliate the user with your institution, click **Affiliate**.
  The **Affiliate** button appears ONLY if the user you are viewing is NOT currently affiliated with your institution. If the user IS currently affiliated, then an '**Unaffiliate**' button appears instead. Use **Unaffiliate** to remove a user from your institution if they have changed institutions and no longer work at yours.
- To reset a user's password (available ONLY for users within your institution), click the **Reset Password** button.
  This triggers a password reset email to be sent to the email address in the **Email** fields.

Additional Information

- ***Account Management Module online help***
- ***Creating an Account to Access IAR (Internet Review Module)***
- ***eRA Commons Registration & Accounts***
- ***Understanding eRA Commons Accounts***
- ***Institution Registration and Account Creation*** (Training Videos)

Affiliating an Existing eRA Commons User with Your Organization

Researchers should maintain the same eRA Commons account throughout the entirety of their career. Often, researchers change organizations/employers. Sometimes, researchers might simultaneously be involved with research projects at more than one organization.

When this happens, the researcher, should contact a signing official or other account administrator at their new organization and ask to be affiliated with the new institution. Researchers generally have a principal investigator (PI) role, but other research roles include TRAINEE and SPONSOR.

PIs and other scientific users cannot create or affiliate their own accounts. Commons accounts are created and managed by users with the roles mentioned below or via invitation, appointment, or institutional registration. A user with one of the following roles can affiliate eRA Commons accounts using the **Admin/Account Management** module:

- SO (signing official). Can create accounts of any role type, including creating additional SO accounts. See *Signing Official (SO)* on page 128.
- AO (administrative official)
- AA (account administrator)

To affiliate an existing Commons research user with a new institution, an SO or other account administrator should follow these steps:

1. First search for and locate the person's account in the Admin module, making sure to clear the **Search only within my organization** checkbox. Searching is described in *Affiliating an Existing eRA Commons User with Your Organization* on page 162.

2. In Search Results, click the **Manage** button for the account you want to affiliate.

3. To affiliate the user with your institution, click the **+Affiliate** button in the *Roles* section.

   NOTE: The **Affiliate** button appears ONLY if the user you are viewing is NOT currently affiliated with your institution. If the user IS currently affiliated, then an '**Unaffiliate**' button appears instead. Use **Unaffiliate** to remove a user from your institution if they have changed institutions and no longer work at yours.

   The *AMM | Add Roles* popup appears.
   You must add roles to the person at your organization even if the person has the necessary role at their prior organization. In the *AMM | Add Roles* popup, the organization defaults to your institution and cannot be changed. A list of available

roles appears. Note that more roles appear if you are an SO vs. other administrative roles. For instance, only an SO can assign a SO role to another user.

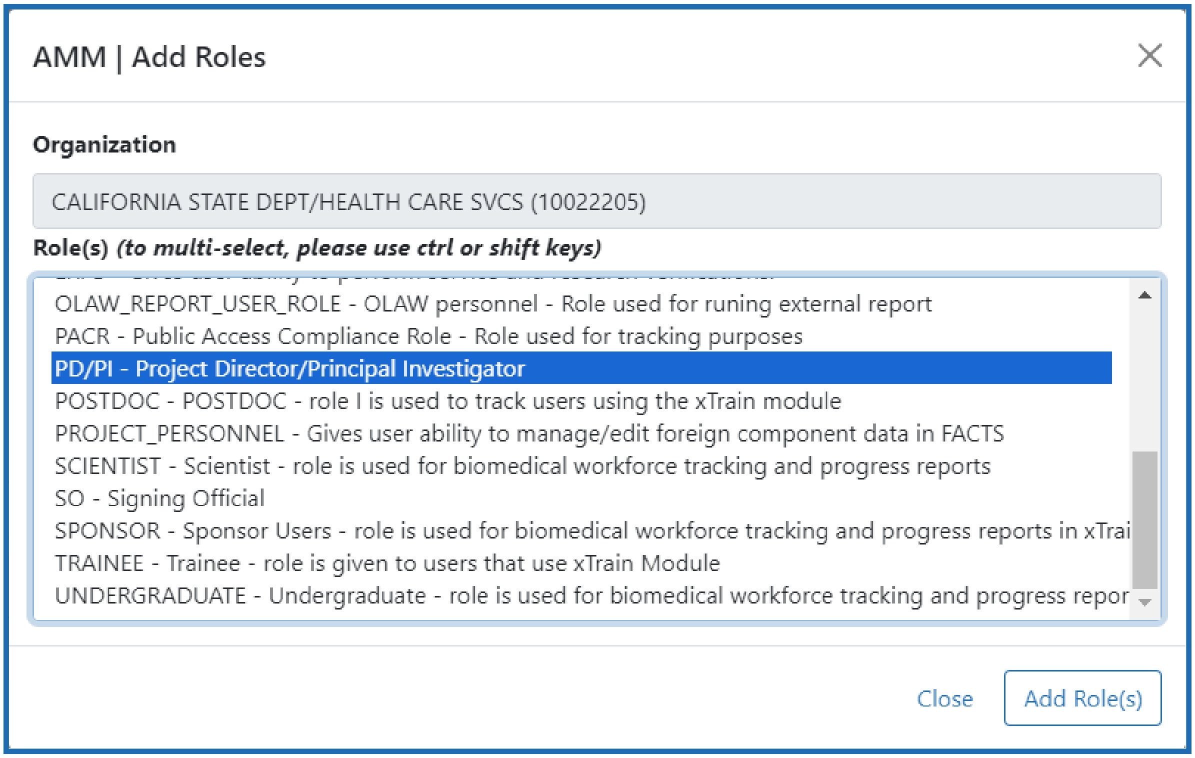


Figure 67: Account Management Module (Admin) Add Roles popup

4. Select the role(s) for the new account. These are the roles the user will have at your organization.

   Use Ctrl+click to select multiple roles. (Shift+click selects multiple contiguous roles.) Some roles conflict with one another and should not be assigned at the same time, such as PD/PI and SO, or any scientific role along with an administrative role. An error message will occur when you try to save the new user account if you assign conflicting roles.

5. Click the **Add Role(s)** button in the *Add Roles* popup. The *Manage Account* screen now lists the roles you selected. If you made a mistake, you can click the **x Remove** button in the **Action** column to remove a role.

6. Click the **Save** button at the bottom of the *Manage Account* screen.

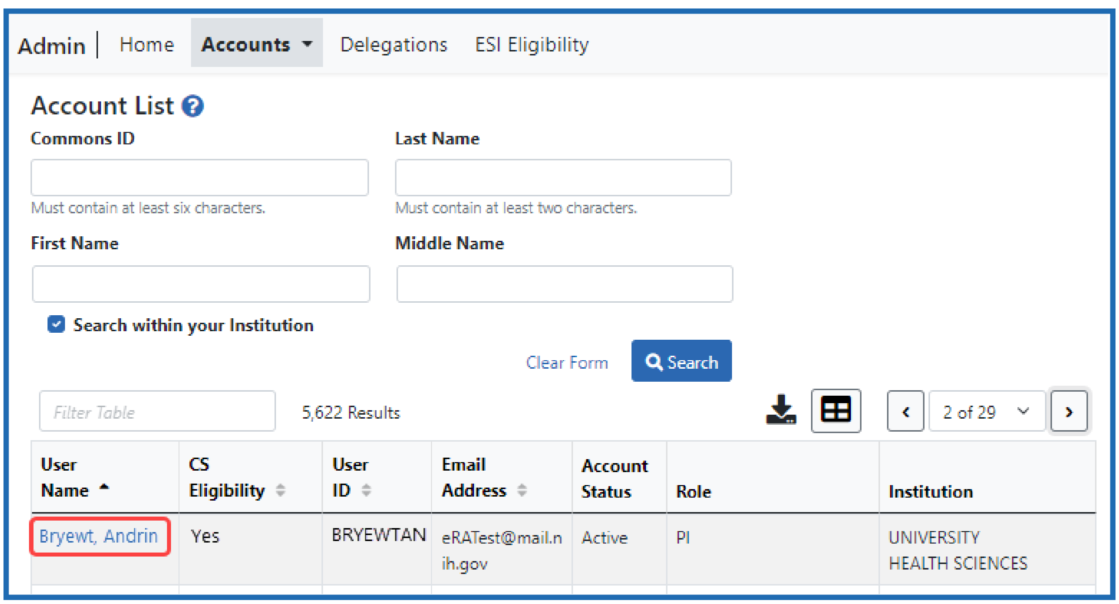
You can affiliate the person with your organization, but you cannot unaffiliate a person with their prior organization. Only an administrator from the prior organization can unaffiliate a user from that organization.

Advanced Search for PIs with Continuous Submission Eligibility

If you hold an administrator role (e.g., SO), you can perform a search on existing Commons accounts to locate principal investigators (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 for PIs with continuous submission eligibility:

1. Navigate to the Admin module, either by selecting **Admin** from the Main menu or by clicking the **Account Management (Admin)** button on the eRA Commons home page.
2. Under *Accounts* in top navigation, select **Advanced Search**, which displays the *Account List* screen.



3. Enter the search criteria. The percent sign (%) can be used as a wildcard (e.g., Sm%).

The **Search within your institution** checkbox is marked by default and means that only PIs within your institution are shown in search results. To include accounts outside of your institution, clear this checkbox 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. Click the **Search** button.

The search results display in a table and might be listed over multiple pages. For details on navigating in search results and using other table tools, see *Standard Tools for Tables* on page 108.

The search results include the following information:

- **User Name.** Click the linked user name to open the ***Continuous Submission Eligibility*** screen for this PI.
- **CS Eligibility.** Displays No or Yes to indicate the Continuous Submission Eligibility status of the PI
- **User ID**
- **Email Address**
- **Account Status**
- **Role**
- **Institution**

The Continuous Submission Eligibility for <PI Name> screen appears when you click a PI's name. Click the **Show Eligibility Status** link to display either:

- The Eligible Committee Service Terms from and to dates, plus the committee name, shown below, or

- The words, "There are no eligible committee memberships available." indicating that the person is not eligible for continuous submission.

A PI can also view this information from Personal Profile. For more information on the Continuous Submission Eligibility screen, refer to the Personal Profile *Reviewer Information* topic, specifically *Continuous Submission Eligibility Status*.

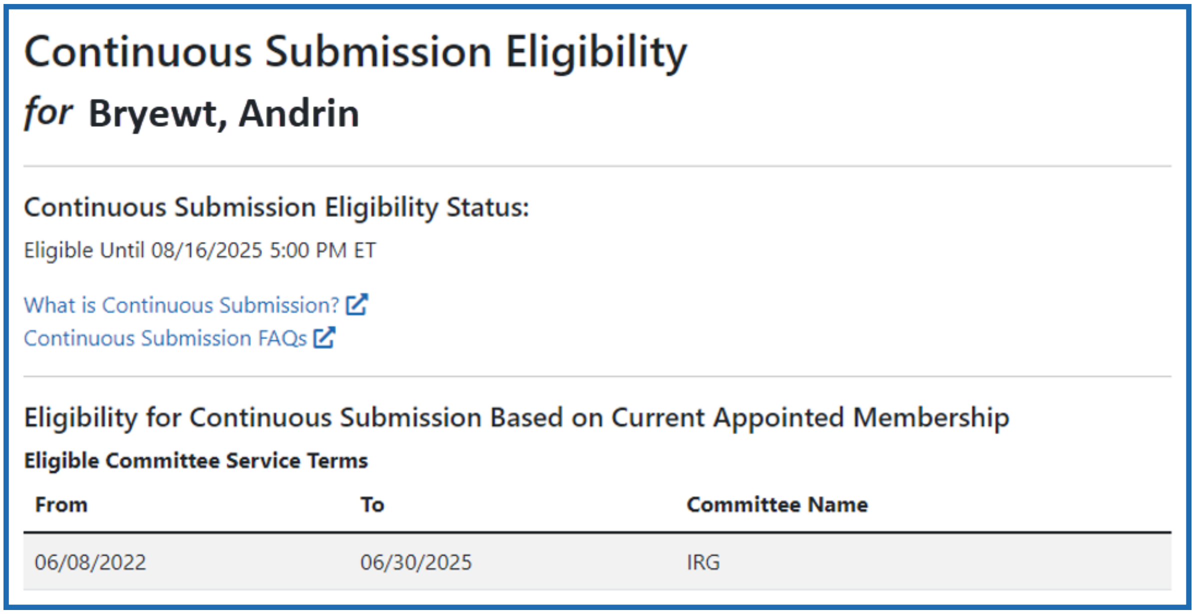


Figure 68: Continuous Submission Eligibility screen

Requesting a New Signing Official Account (If No SOs Available)

Rarely, an organization might find that it has no active signing official. This might happen if an organization has only one signing official and that person becomes unexpectedly unavailable/inactive. For example, if your organization has only one signing official, and that person suddenly leave your organization, you might find your organization has no active signing official.

A signing official is a crucial role for organizations in eRA Commons, because all activities that require legal signing authority, such as applying for awards, submitting documentation, and more, must be done by a signing official (SO). It is strongly recommended that all organizations have at least two SOs at all times. If you find that your organization is without any available/active SO, then the eRA Service Desk can create a new SO account for your organization following a thorough vetting process.

IMPORTANT: If a SO becomes unavailable but your organization still has at least one other active SO, then this topic does NOT apply to your organization. If you have any active SO, that SO can create additional SO accounts using the steps provided in *Create or Edit a Commons Account* on page 152.

About Requesting a New Signing Official Account

To uphold the integrity of registered organizations and their user accounts, the eRA Service Desk conducts an evaluation of SAM.gov registration information when processing signing official account requests. If you need help with SAM.gov, refer to the Federal Service Desk (https://www.fsd.gov/gsafsd_sp).

To initiate an SO account creation request with the eRA Service Desk, requirements are as follows:

- Your organization's SAM.gov registration status must be active. If your SAM.gov status is not active, you must work with SAM.gov to renew your registration.
- The Electronic Business Point of Contact (eBiz POC) associated with your organization's SAM.gov registration must still be active at your organization. This is the person who must contact the eRA Service Desk to request a new SO account. If that person is no longer associated with your organization, request an update to this record directly through SAM.gov.
- The eBiz POC must still have access to the email address associated to your active SAM.gov registration.

Once the above information is confirmed, the eBiz POC can submit a request for a new SO account to the eRA Service Desk (https://www.era.nih.gov/need-help) using their registered email address. Once received, the request will be evaluated by the eRA Service Desk.

If the request is granted, the Service Desk will gather necessary information for the new account, such as the person's name, preferred user ID, and contact information. They will let you know the status of your request via email, and the new SO will receive two emails when the account is created; the first email will contain the new Commons ID, and the second email will contain a temporary password. The new SO should immediately log into eRA Commons, whereupon they will be prompted to change their password.

Because it is recommended that registered organizations maintain at least two SO accounts within eRA Commons, the new SO should immediately create another SO account for a second member of your organization.

Delegations

Users of the Commons system can grant other Commons users from the same organization the authority to enter and process grant information, update Personal Profile (PPF) information, submit RPPR information, and work with specific modules. This method of assigning (and revoking) authority to other Commons users to perform specific functions is called Delegation.

Commons users can 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 can delegate certain authorities on behalf of another Commons user. For example, an SO can grant an ASST user the Sponsor authority on behalf of a Commons Sponsor user.

Agency-Specific Instructions: Department of Commerce and SAMHSA. Delegations cannot be used for DOC and SAMHSA awards.

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

Delegation Authorities

Authority Type	Delegated By	Delegated To	Description
Progress Report	SO, AA(on behalf of PI)	PI, ASST	Enables the delegated PI/ASST to work on progress reports for another PI - Includes Interim and Final RPPR and HSS requests
Progress Report	PI	PI, ASST	Enables the authorized user to work on progress reports for the PI - Includes Interim and Final RPPR and HSS requests.

Authority Type	Delegated By	Delegated To	Description
			This does ***not*** include the ability to ***submit*** any RPPRs—only the SO can submit, unless they delegate that authority to the PI.
Sponsor	SO, AA (on behalf of SPONSOR) or SPONSOR	ASST	Allows the ASST to work with the xTrain module for the SPONSOR
Status	PI	ASST	Allows the ASST to work with the Status module. If a user needs access to edit the Final or Interim RPPR, then the user also needs access to the Status module.
PPF	All users	Active user within the organization	Enables another user in the same organization to edit someone else's personal profile
Submit	SO	PI	Enables the PI to submit RPPR and MYPR reports including Final and Interim reports
xTrain	PI	ASST	Enables the ASST to work with the xTrain module and xTRACT

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

Delegate on Behalf of Another User

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

Not all roles can delegate all authorities; refer to the table in the *Delegations* on page 169 topic for role-based constraints on delegation.

Delegating Progress Report Authority on Behalf of Another User

NOTE: This topic discusses delegating authority for another user's account. See *Direct Delegations* on page 195 for delegating authority to your own account.

Agency-Specific Instructions: Department of Commerce and SAMHSA. Delegations cannot be used for DOC and SAMHSA awards.

The SO or AA (see *User Roles* on page 120) can delegate Progress Report authority to a principal investigator (PI) or assistant (ASST) on behalf of another PI. Not all roles can delegate all authorities; refer to the table in the *Delegations* on page 169 topic for role-based constraints on delegation.

This process is a two-step process, where you first find and select the PI that currently holds the progress report authority, and secondly, you find and select the PI or ASST to whom you wish to delegate that authority.

To delegate Progress Report authority on behalf of a PI:

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The *My Current Delegates* screen opens, which shows your existing delegations or indicates *No Results Found* if you have no delegations. However, these are your own (current user) delegations; this procedure helps you create a delegate for another user, not your own.

3. Click the **Delegate Progress Report** link.

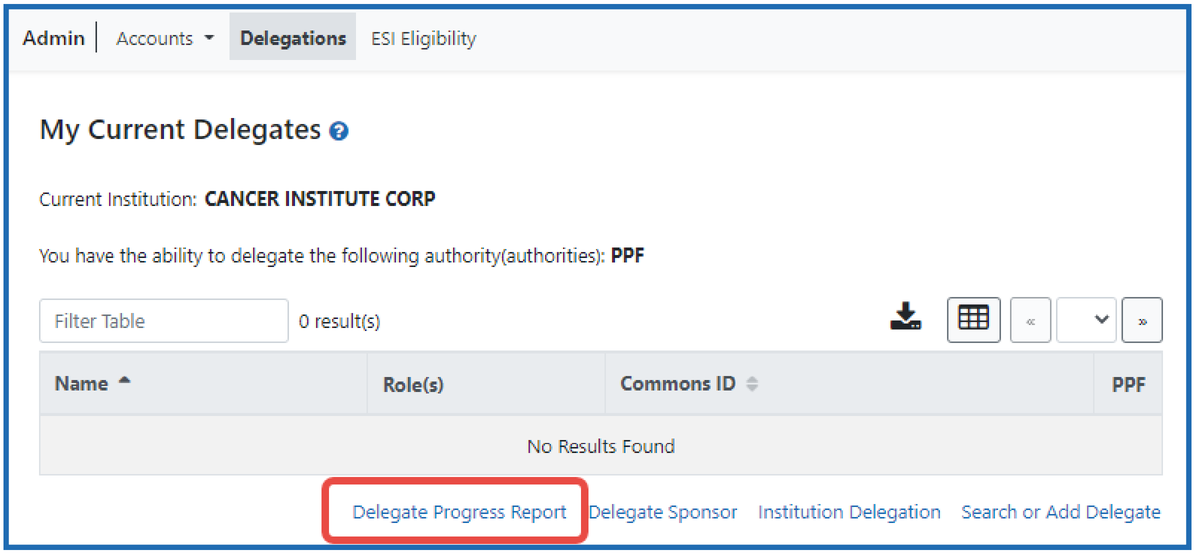


Figure 69: My Current Delegates Screen with the Delegate Progress Report link

The *Third Party Delegates* screen opens with search criteria for locating and selecting a specific Principal Investigator on whose behalf the Progress Report authority is being granted.

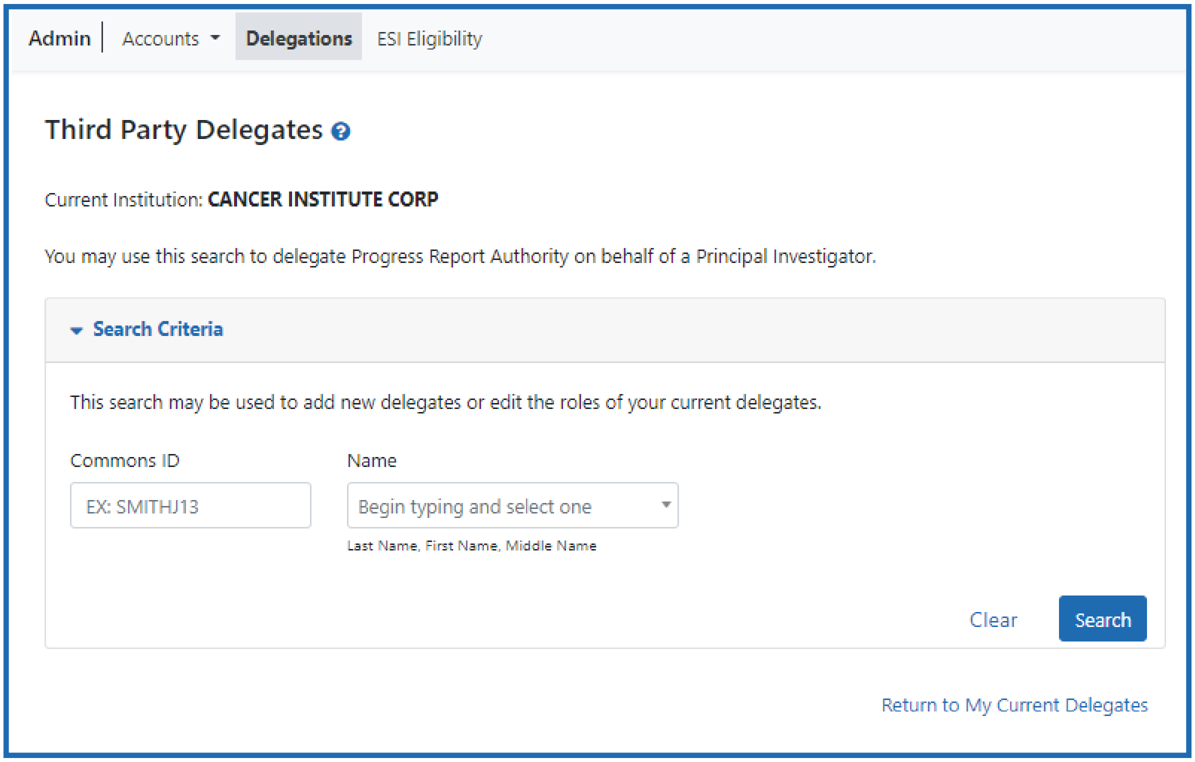


Figure 70: Third Party Delegates screen, where you search for the PI on whose behalf you are delegating Progress Report authority

4. Enter search criteria and click **Search**.

   You can enter an exact **Commons ID**; no wildcards are allowed. Alternatively, in the **Name** field, you can type a few letters of the **last** name and a list of PI matches appears, which you must select from. Always enter the last name in the **Name** field as matches will not appear for first names. For instance, if you are looking for 'Sarah Johnson', entering 'Sarah' in the name field results in no matches to choose from; enter 'johnson' instead.

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

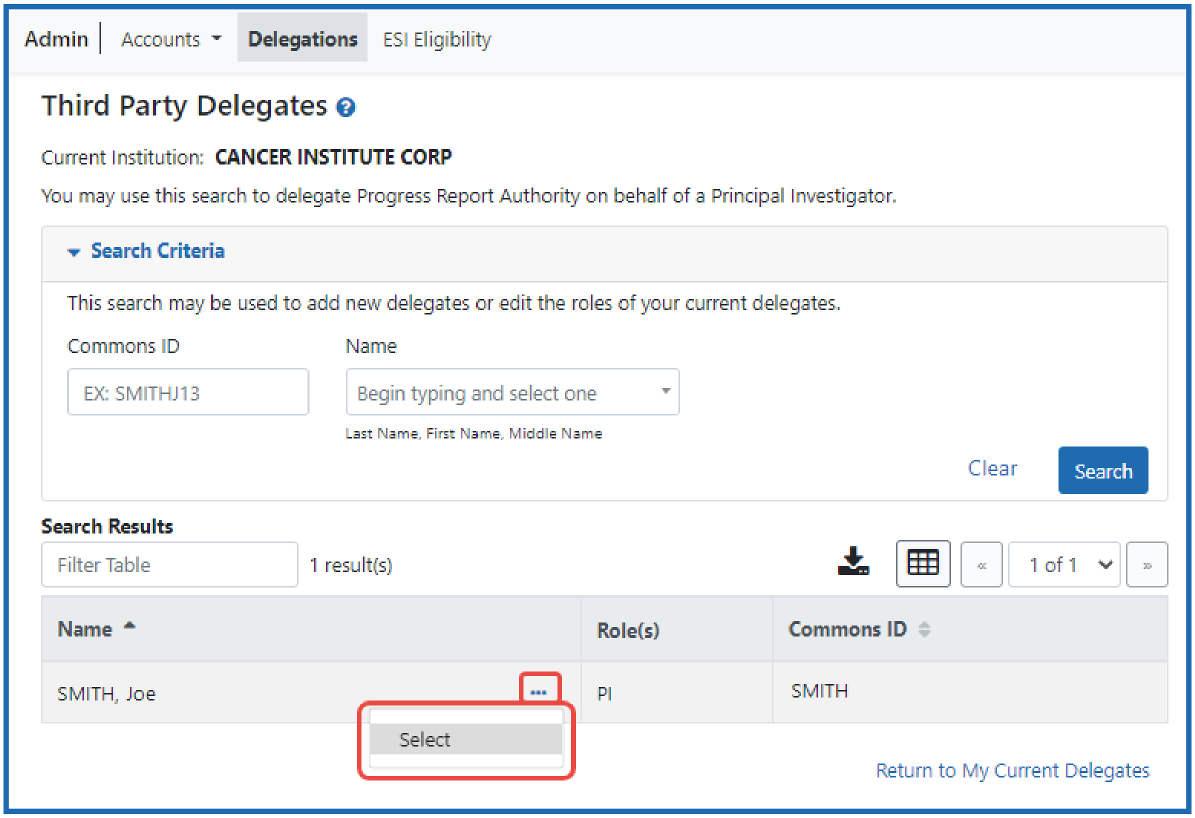


Figure 71: Delegate Progress Report--Third Party Delegates Screen Showing Delegator

5. From the three-dot ellipsis menu for the person for whom you are delegating authority, choose the **Select** option.

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

At this point, use the same search criteria a second time to find and select the user to whom to delegate the authority.

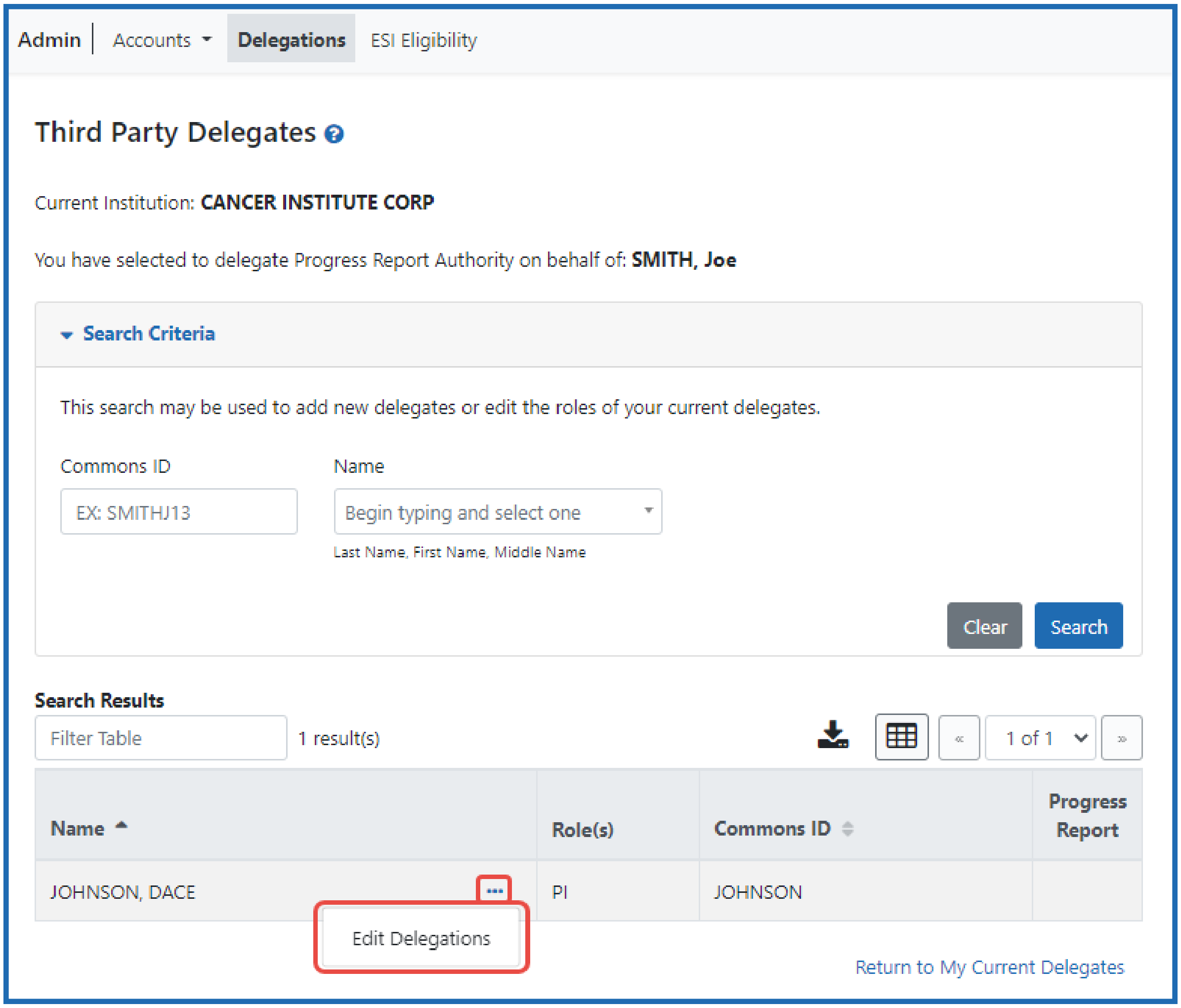


Figure 72: Delegate Progress Report--Third Party Delegates Screen Showing Delegate

6. Enter the second set of search criteria to locate the PI/ASST to whom you are giving authority and click the **Search** button.

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

7. From the three-dot ellipsis menu for the person to whom you are delegating authority, select the **Edit Delegations** option.

The *Delegate Progress Report Authority* popup shows both names (the person on whose behalf you are configuring a delegate, as well as the delegate candidate) with a toggle for the Progress Report authority.

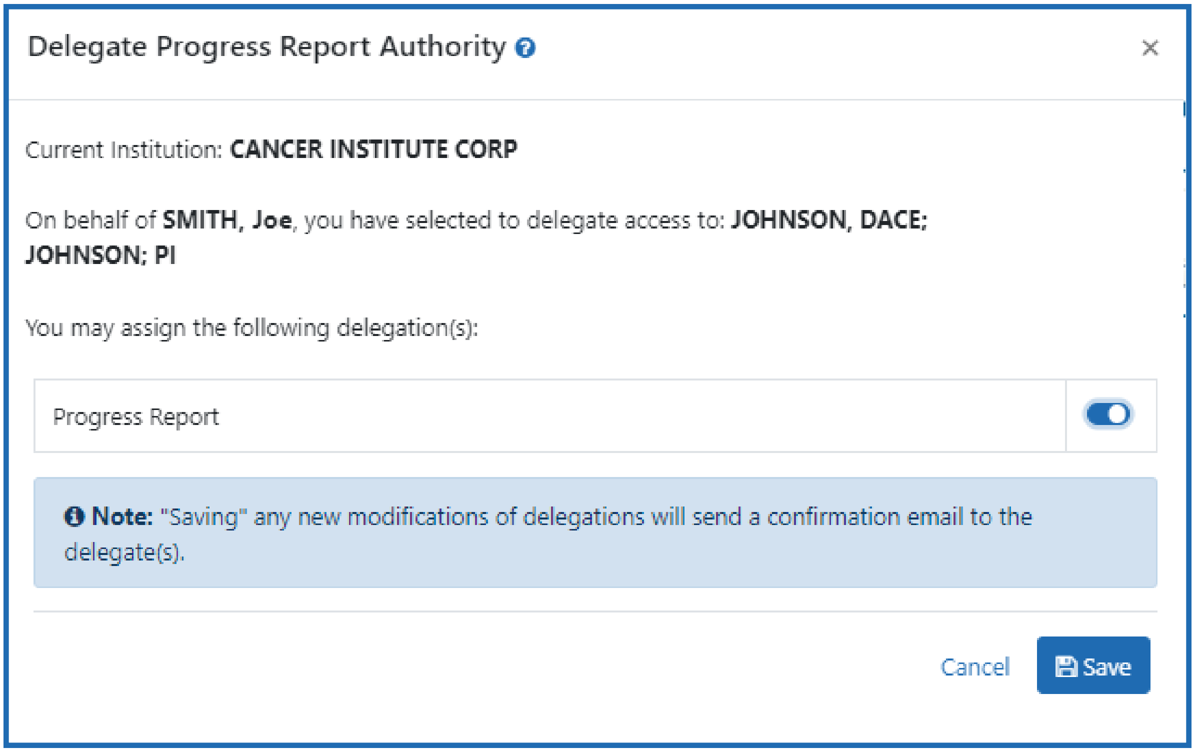


Figure 73: Delegate Progress Report Authority Screen with Toggle

8. Turn the **Progress Report** toggle on and click **Save**.

A Success message appears in green font at the top of the screen. eRA Commons bestows the Progress Report authority for the first PI chosen (delegator) to the second user chosen (delegate). The PI/ASST to whom delegation was given receives an email informing of the change. The delegate PI/ASST is now able to initiate and work on progress reports for the delegator PI. However, the delegate is not able to route.

The PI on whose behalf delegation was granted can see the delegate by accessing the **My Current Delegates** screen.

Delegate Sponsor Authority on Behalf of Another User

NOTE: This topic discusses delegating authority for another user's account. See *Direct Delegations* on page 195 for delegating authority to your own account.

The SO and AA can delegate Sponsor authority to someone with an ASST role on behalf of a Sponsor; see *User Roles* on page 120. 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. Not all roles can delegate all authorities; refer to the table in the *Delegations* on page 169 topic for role-based constraints on delegation.

This process is a two-step process, where you first find and select the user who holds the sponsor authority, and secondly, you find and select the user to whom you wish to delegate that authority.

To delegate Sponsor authority on behalf of a Sponsor:

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The My Current Delegates screen opens, which shows your existing delegations or indicates *No Results Found* if you have no delegations. However, these are your own (current user) delegations; this procedure helps you revoke a delegate of another user, not your own.

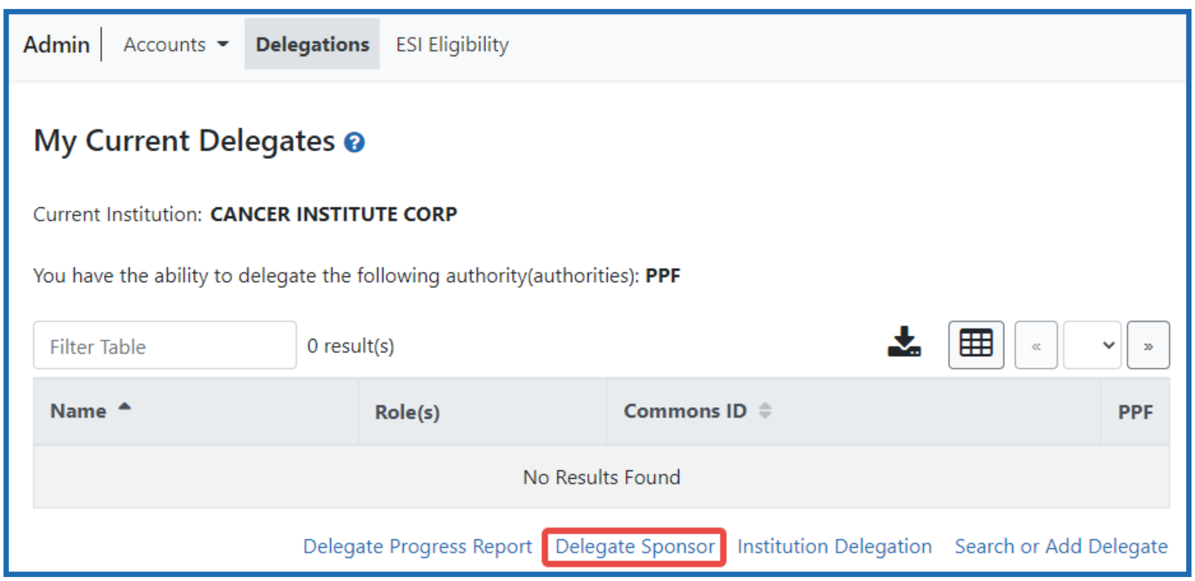


Figure 74: My Current Delegates - Delegate Sponsor Link

3. Click the **Delegate Sponsor** link.

The *Third Party Delegates* screen opens with search criteria displayed for locating and selecting a specific Sponsor who holds Sponsor Authority.

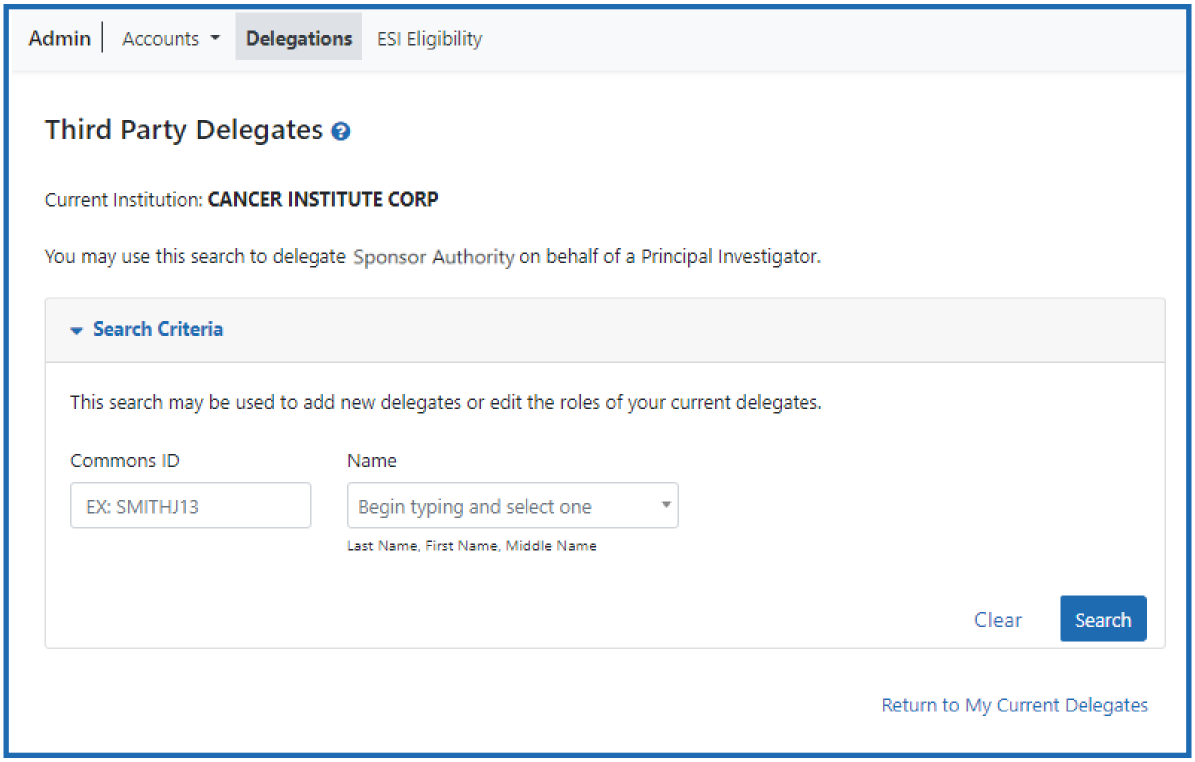


Figure 75: Search For Sponsor On Whose Behalf You Will Create Delegate

4. Enter search criteria and click **Search**.
   You can enter an exact **Commons ID**; no wildcards are allowed. Alternatively, in the **Name** field, you can type a few letters of the **last** name and a list of PI matches appears, which you must select from. Always enter the last name in the **Name** field because matches will not appear for first names. For instance, if you are looking for 'Sarah Johnson', entering 'Sarah' in the name field results in no matches to choose from; enter 'johnson' instead.

Matching records display under **Search Results**.

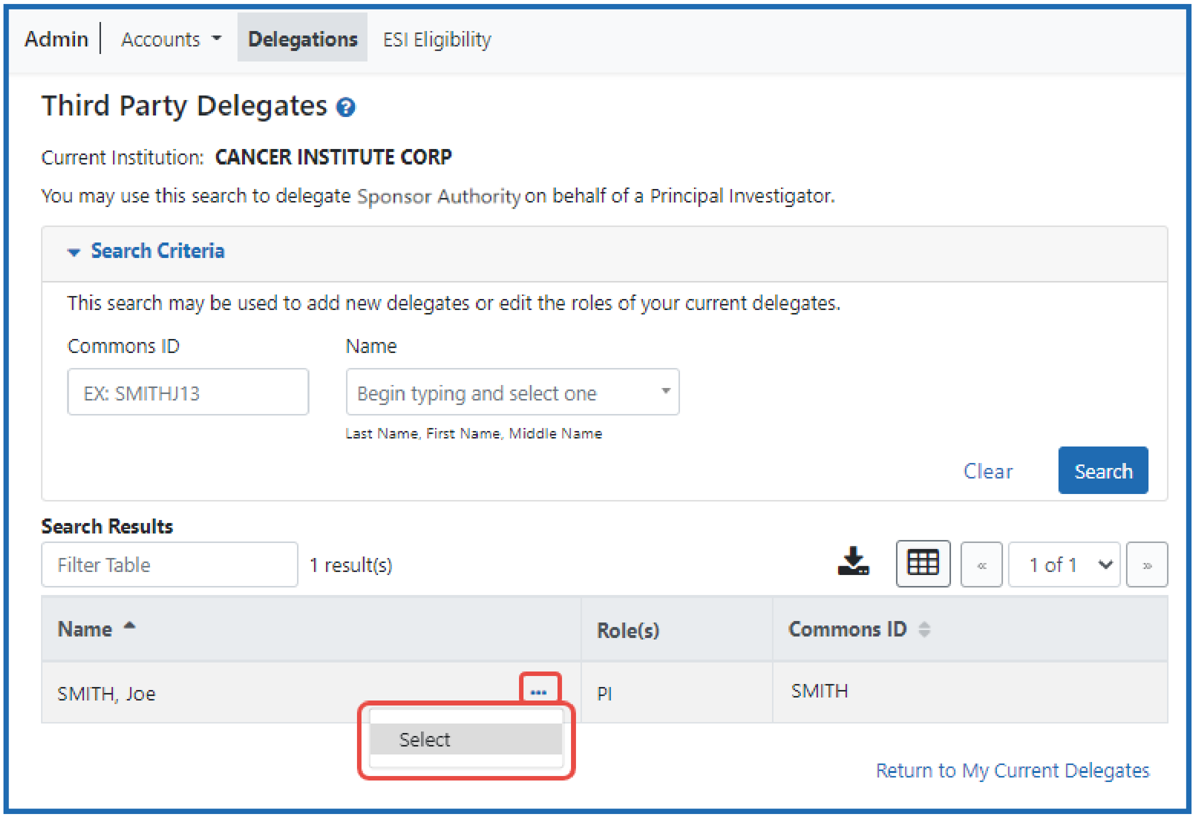


Figure 76: Third Party Delegate--Selecting the User For Whom You Will Create a Delegate

5. From the three-dot ellipsis menu for the person for whom you are creating a delegate, choose the **Select** option.

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

At this point, use the same search criteria a second time to find and select the user to whom to delegate the authority.

6. Enter the search criteria to locate the ASST user being given authority and click **Search**.

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

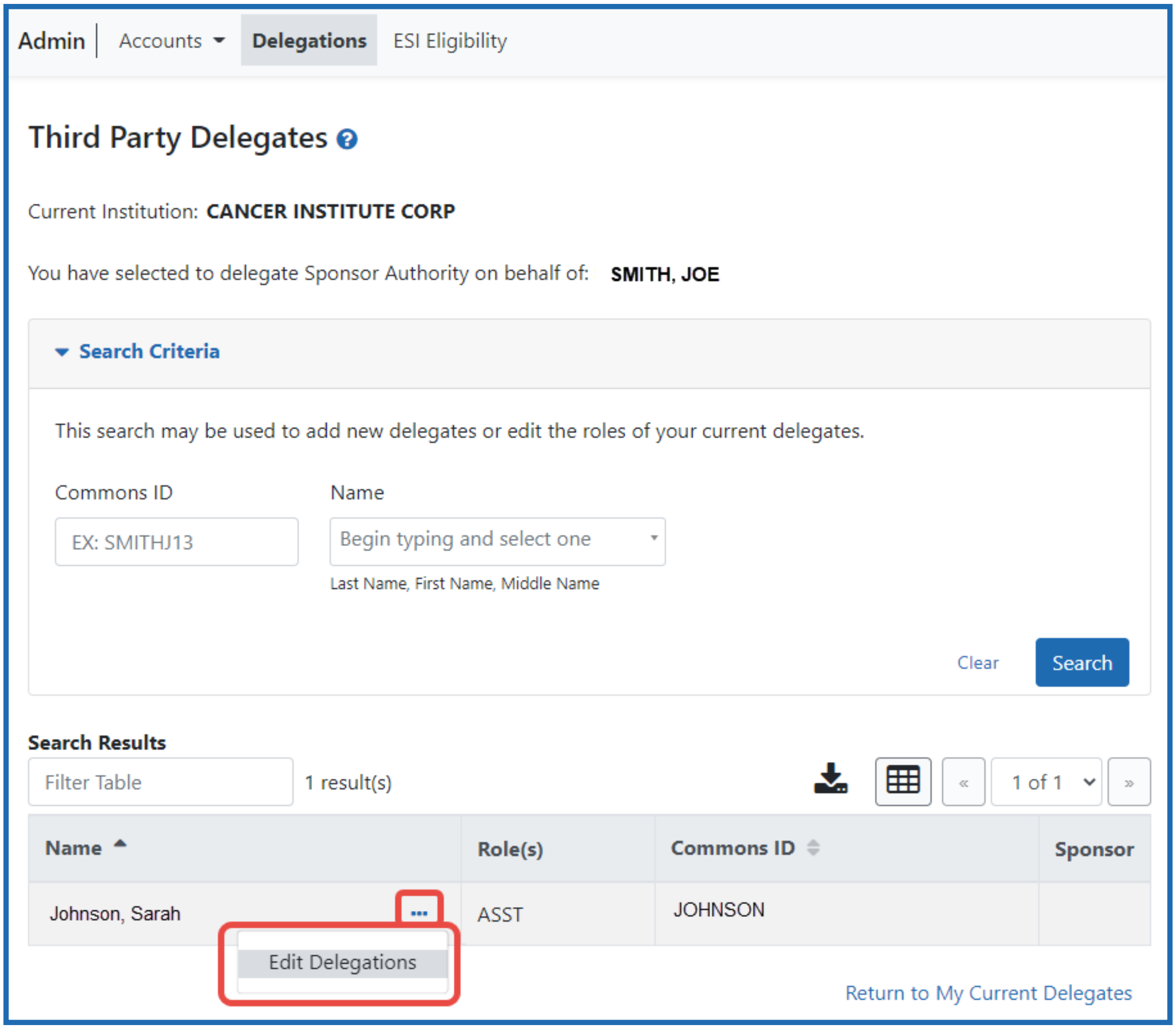


Figure 77: Third Party Delegates Search Results

7. From the three-dot ellipsis menu for the person to whom you are delegating authority, select the **Edit Delegations** option.

The *Delegate Sponsor Authority* popup shows the name of the ASST user who has Sponsor authority, the name of the user being delegated that authority, and a toggle.

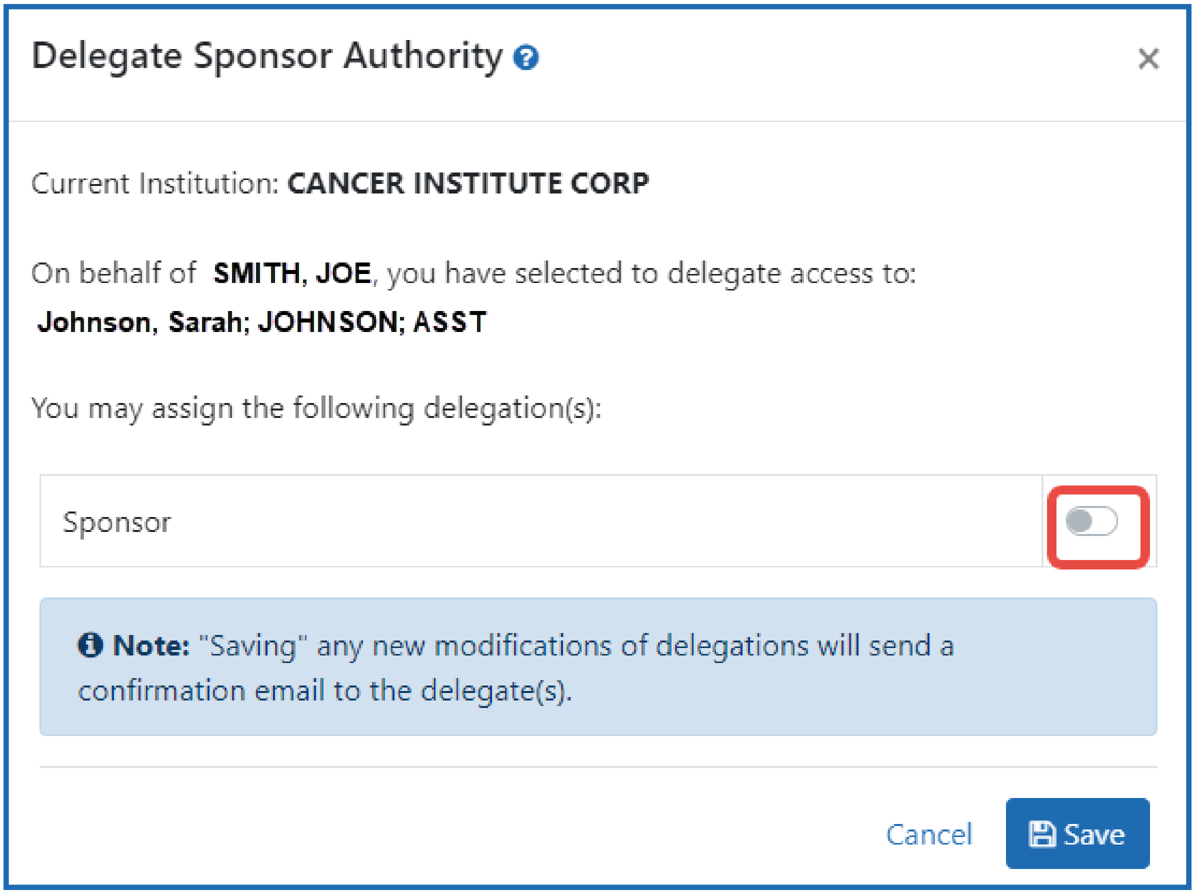


Figure 78: Delegate Sponsor Authority Screen and Toggle

8. Turn on the **Sponsor** toggle and click **Save**.

A Success message appears in green font at the top of the screen. The new delegate user now has Sponsor authority and receives an email informing of the change. The delegate ASST user is now able to perform xTrain functions for the selected Sponsor.

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

Revoke Authority on Behalf of Another User

NOTE: This topic discusses revoking authority for another user's account. See *Direct Delegations* on page 195 for delegating authority to your own account.

Administrative users, such as a signing official, 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.

This process is a two-step process, where you first find and select the PI who has a delegate for progress report authority, and secondly, you find and select the delegate for whom authority needs to be revoked.

To revoke authority on behalf of another user:

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The *My Current Delegates* screen opens, which shows your existing delegations or indicates *No Results Found* if you have no delegations. However, these are your own (current user) delegations; this procedure helps you revoke a delegate of another user, not your own.

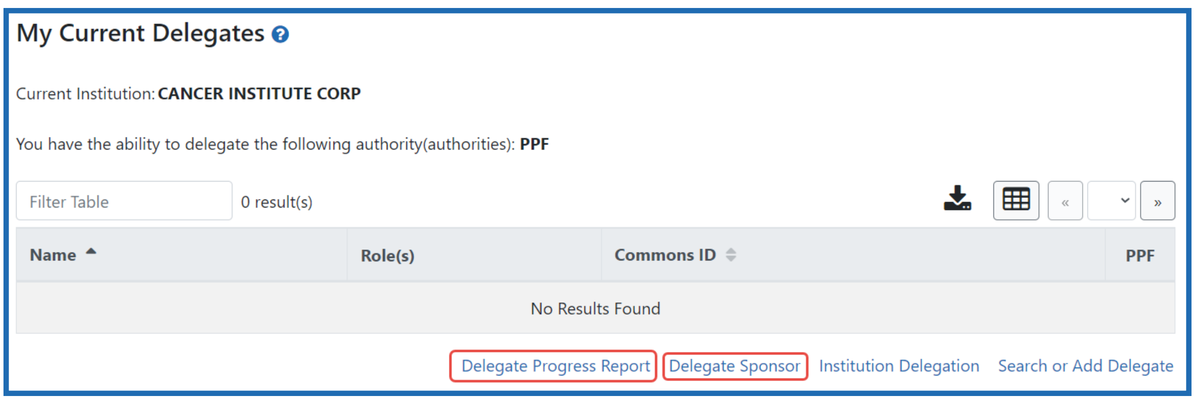


Figure 79: Delegate Progress Report And Delegate Sponsor Links

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

   –OR–

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

A screen opens with search criteria for locating and selecting a user on whose behalf the authority is being revoked.

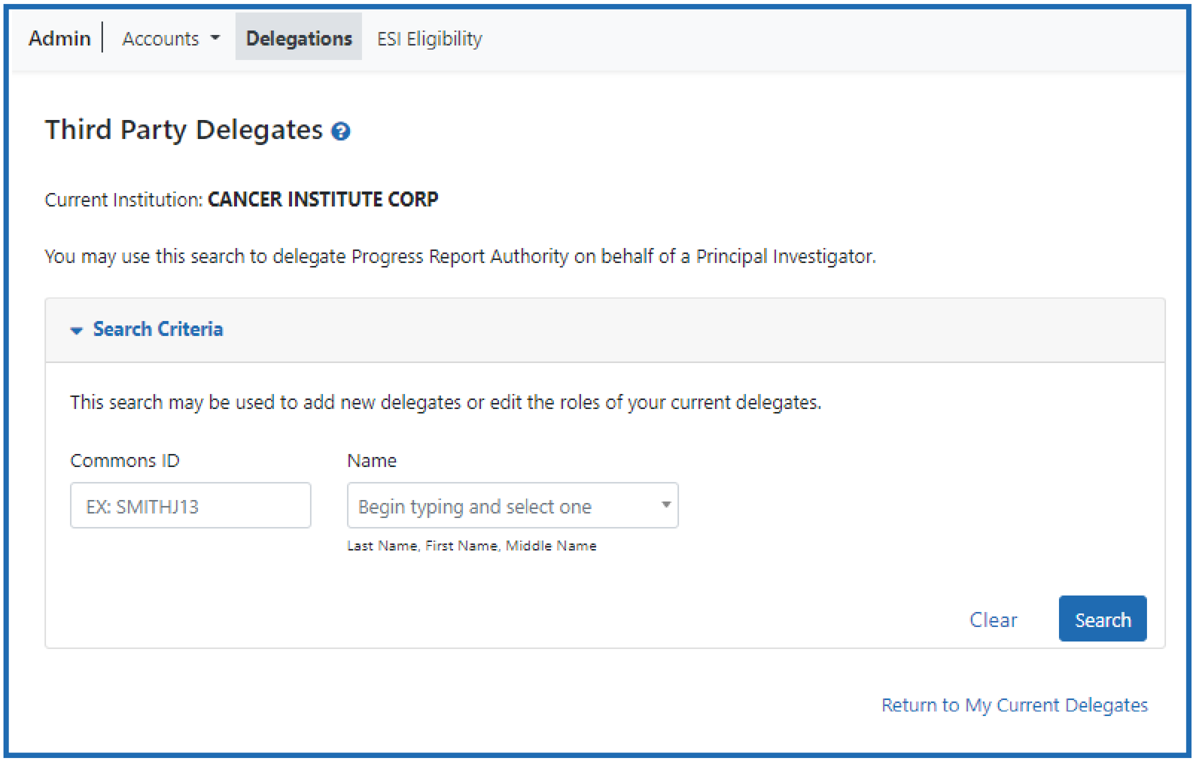


Figure 80: Search to Revoke Authority on Behalf of a PI

4. Enter search criteria and click **Search**.

   You can enter an exact **Commons ID**; no wildcards are allowed. Alternatively, in the **Name** field, you can type a few letters of the **last** name and a list of PI matches appears, which you must select from. Always enter the last name in the **Name** field because matches will not appear for first names. For instance, if you are looking for 'Sarah Johnson', entering 'Sarah' in the name field results in no matches to choose from; enter 'johnson' instead.

The matching records appear under **Search Results**.

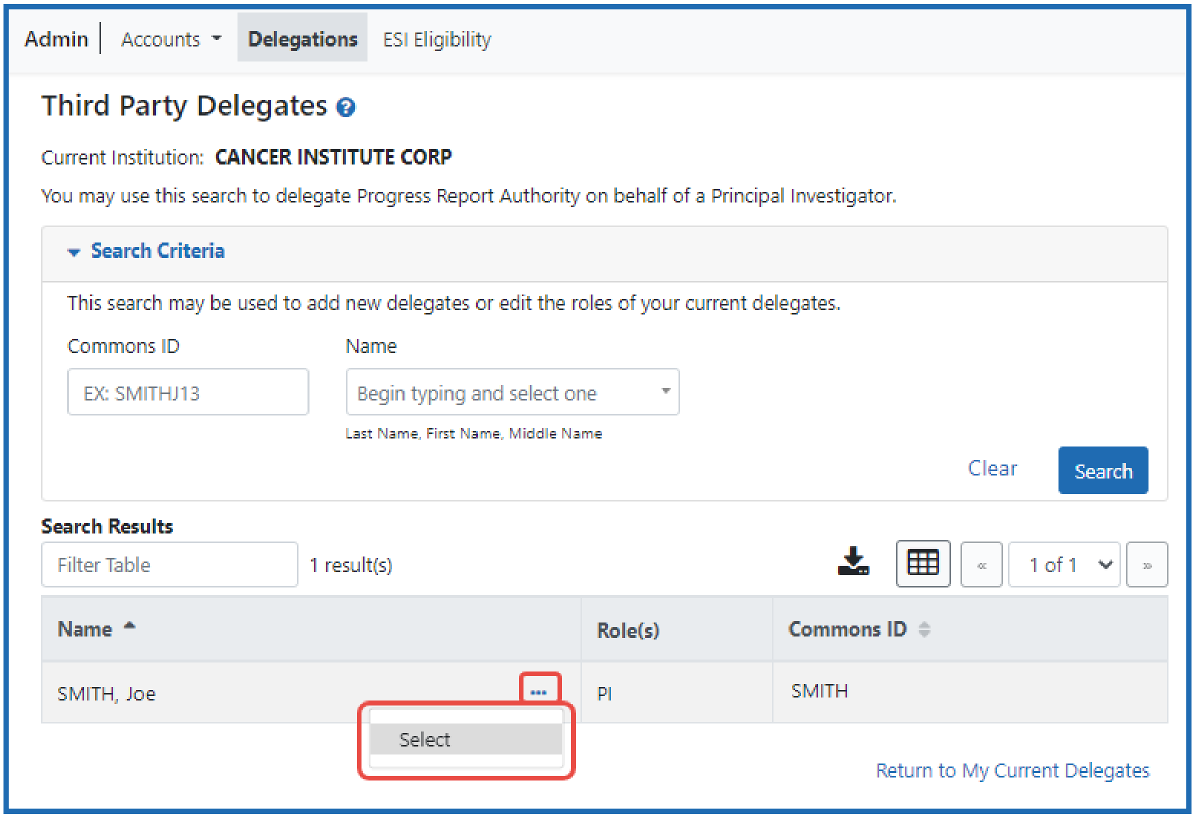


Figure 81: Third Party Delegate Screen Showing Delegator in Search Results

5. From the three-dot ellipsis menu for the delegator (person who has a delegate that needs to be revoked), choose the **Select** option.

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

At this point, use the same search criteria a second time to find and select the user from whom you are revoking the authority.

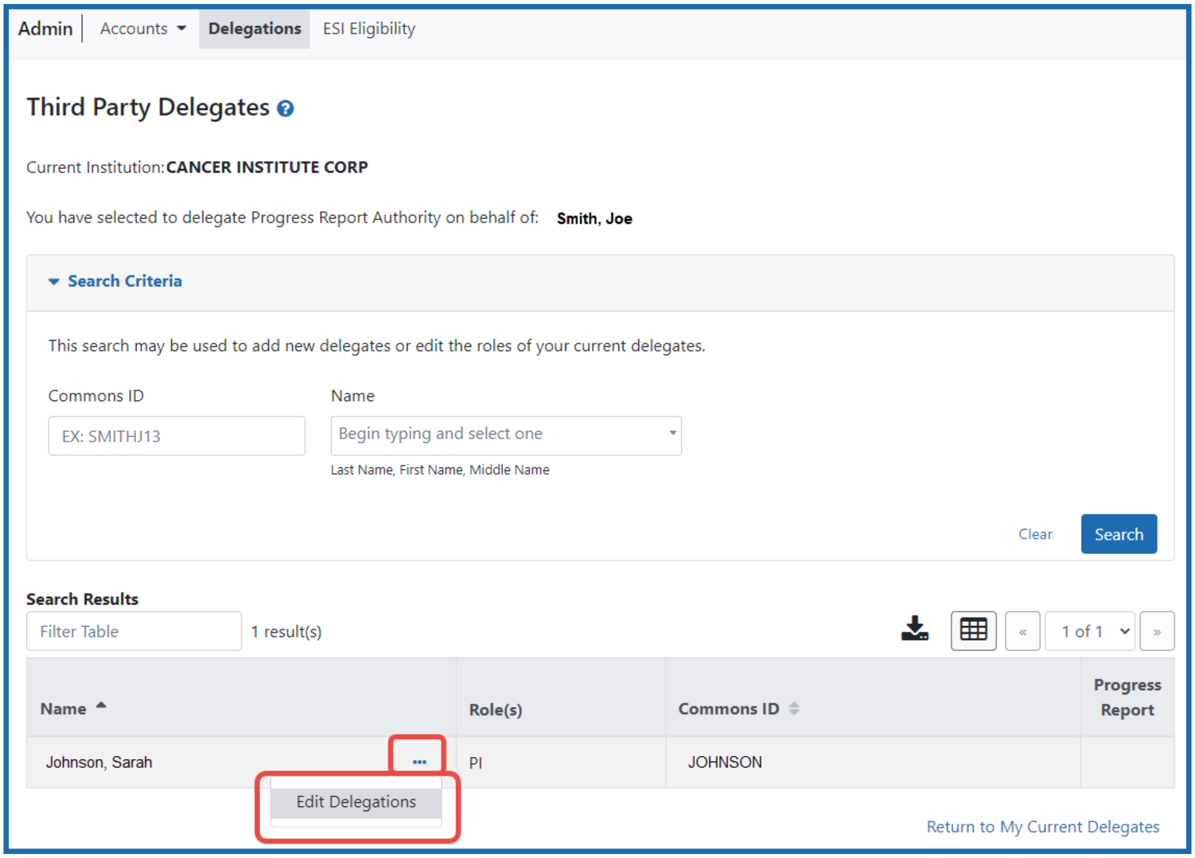


Figure 82: Third Party Search Results For Person From Whom You Are Revoking Authority

6. Enter the second set of search criteria to locate the user from whom you are revoking authority; then click **Search**.

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

7. From the three-dot ellipsis menu for the person from whom you are revoking authority, select the **Edit Delegations** option.

A popup appears with the names of both users; the first user; who is the delegator (the person who has a delegate), and the second user, who is the delegate (from whom authority is being revoked).

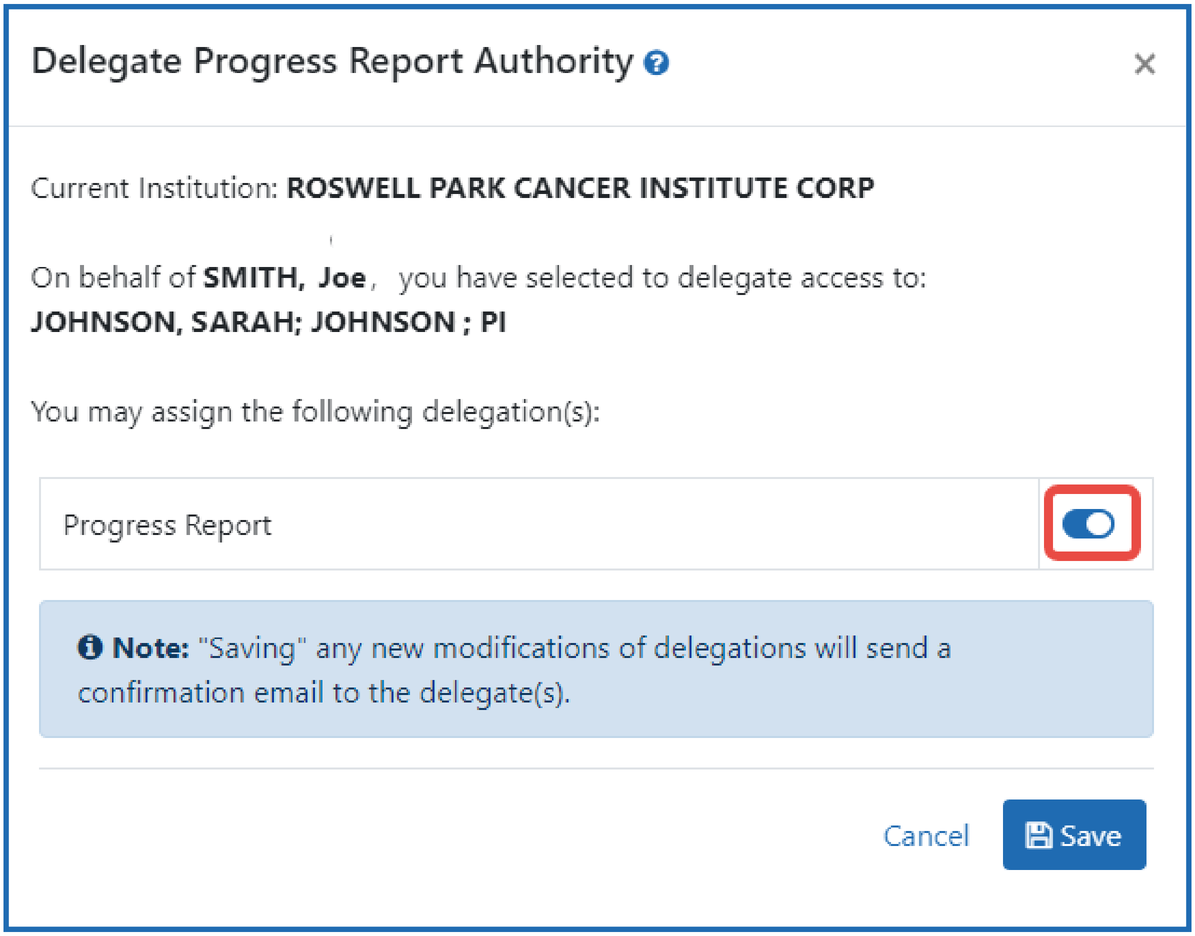


Figure 83: Toggle for Turning Progress Report Authority On or Off

8. Turn off the toggle for the authority being revoked and click **Save**.

A Success message appears in green font at the top of the screen.The former delegate receives an email informing of the change and no longer appears in the **My Current Delegates** screen for the delegating PI/Sponsor.

Institutional Delegation

Signing officials and business officials can delegate authority to PIs within their institutions to allow those PIs to submit Research Performance Progress Reports (RPPR) and Final Research Performance Progress Reports (Final RPPR) electronically to NIH. This authority can be revoked at any time.

Granting and revoking Submit authority is managed through the *My Current Delegates* screen in Commons. Not all roles can delegate all authorities; refer to the table in the *Delegations* on page 169 topic for role-based constraints on delegation.

Agency-Specific Instructions: Department of Commerce and SAMHSA. Delegations cannot be used for DOC awards and SAMHSA.

Delegating Institutional Submit Progress Report Authority

eRA Commons users who are delegated the Submit Progress Report authority have the ability to submit RPPRs and FPRs that are designated with the Streamlined Non-competing Award Process (SNAP). Not all roles can delegate all authorities; refer to the table in the *Delegations* on page 169 topic for role-based constraints on delegation.

Agency-Specific Instructions: Department of Commerce and SAMHSA. Delegations cannot be used for DOC awards and SAMHSA.

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

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The My Current Delegates screen opens.

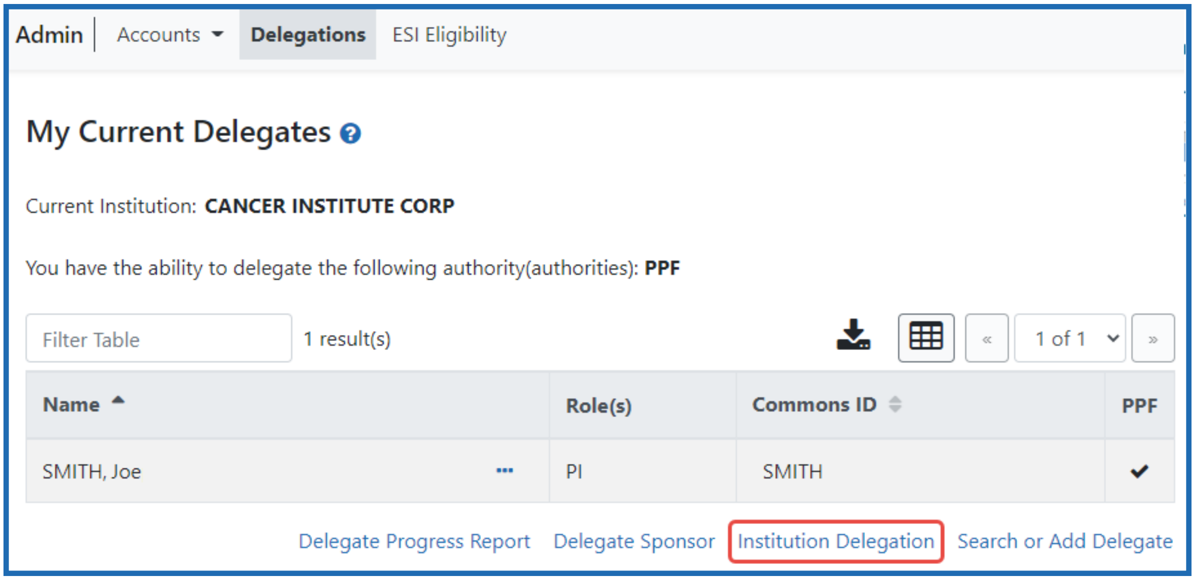


Figure 84: Institution Delegation Link for Granting Submit Progress Report Authority

3. Click the **Institution Delegation** link.

The *Institution Delegations* screen displays, showing the *Current Delegates* tab, which lists persons who currently possess Submit Progress Report authority.

NOTE: This section walks through the steps for granting the authority. See *Revoking Institutional Submit Progress Report Authority* on page 192 for the steps on revoking the authority.

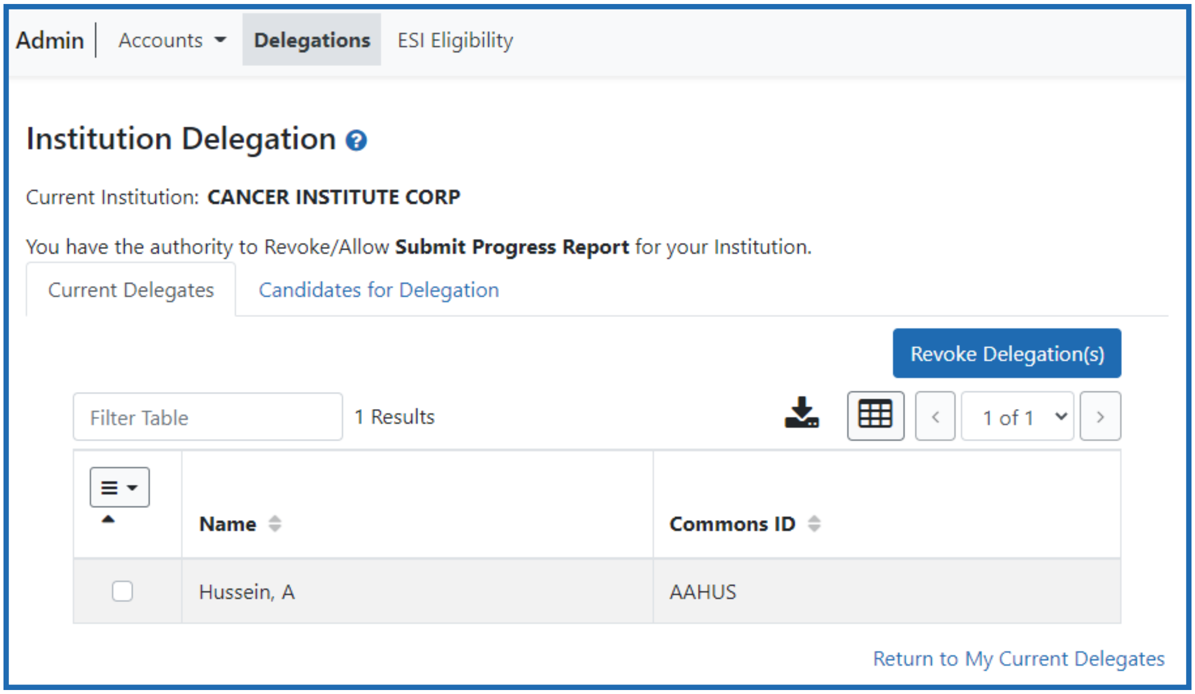


Figure 85: Current Delegates Tab of Institution Delegation Screen

4. Click the Candidates for Delegation tab. A list of all users in your institution who are eligible for submit authority appears.

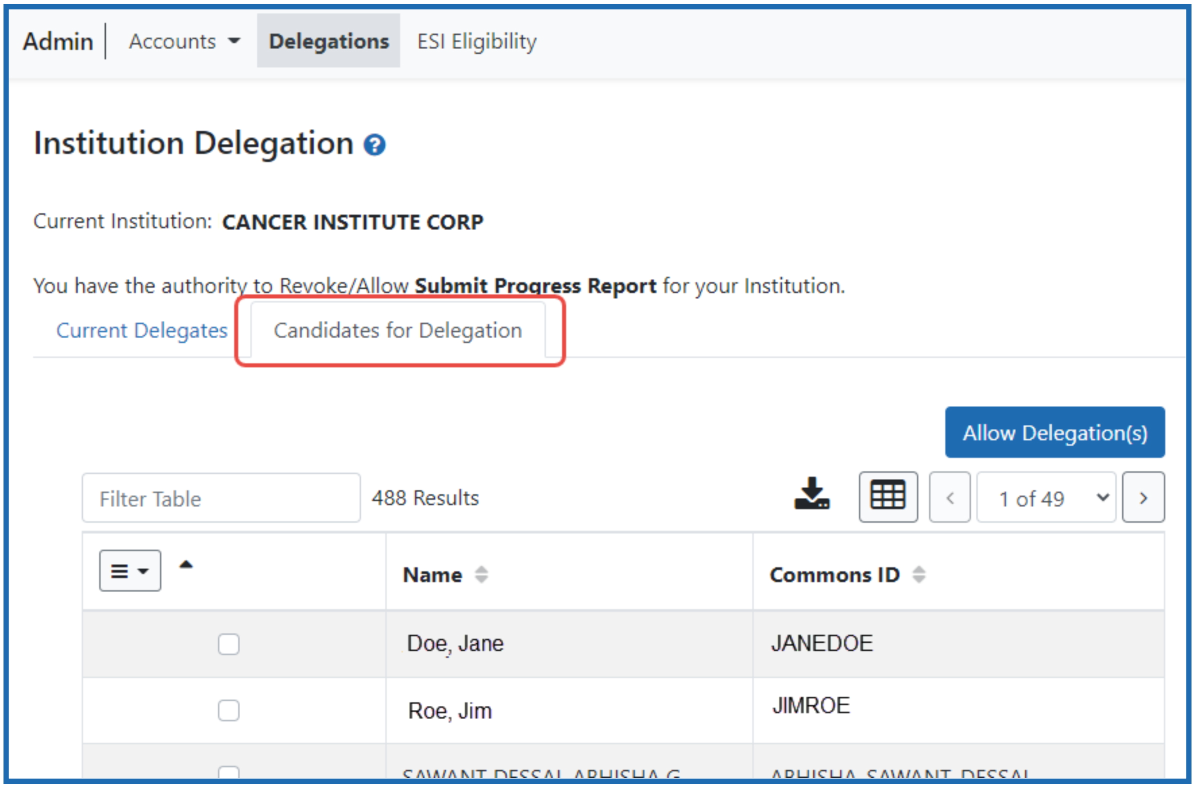
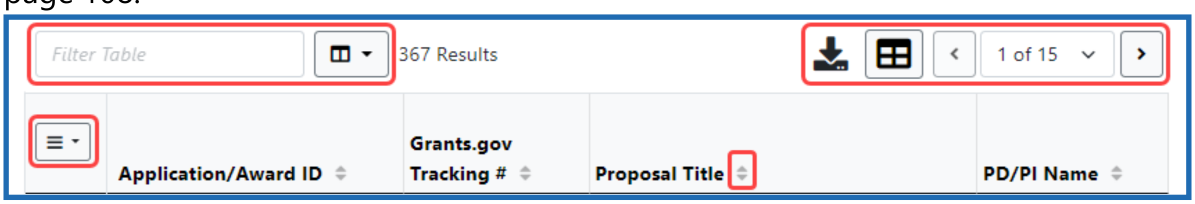


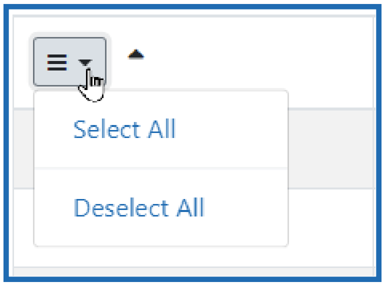
Figure 86: Candidates for Delegation Tab of Institution Delegation Screen

NOTE: For information on working with table tools to filter results, download/print, limit rows per page, or navigate through pages of results, see *Standard Tools for Tables* on page 108.



5. In the first column of the table, mark the checkbox(es) for users(s) who will be granted Submit Progress Report delegation.

TIP: If bestowing or revoking Submit Progress Report authority for many users, use the bulk action tool to access the **Select All** or **Deselect All** option.



6. When finished marking checkboxes, click the **Allow Delegation(s)** button.

The Review Allow Delegation(s) screen displays a certification and acceptance agreement. On this screen, you certify 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.

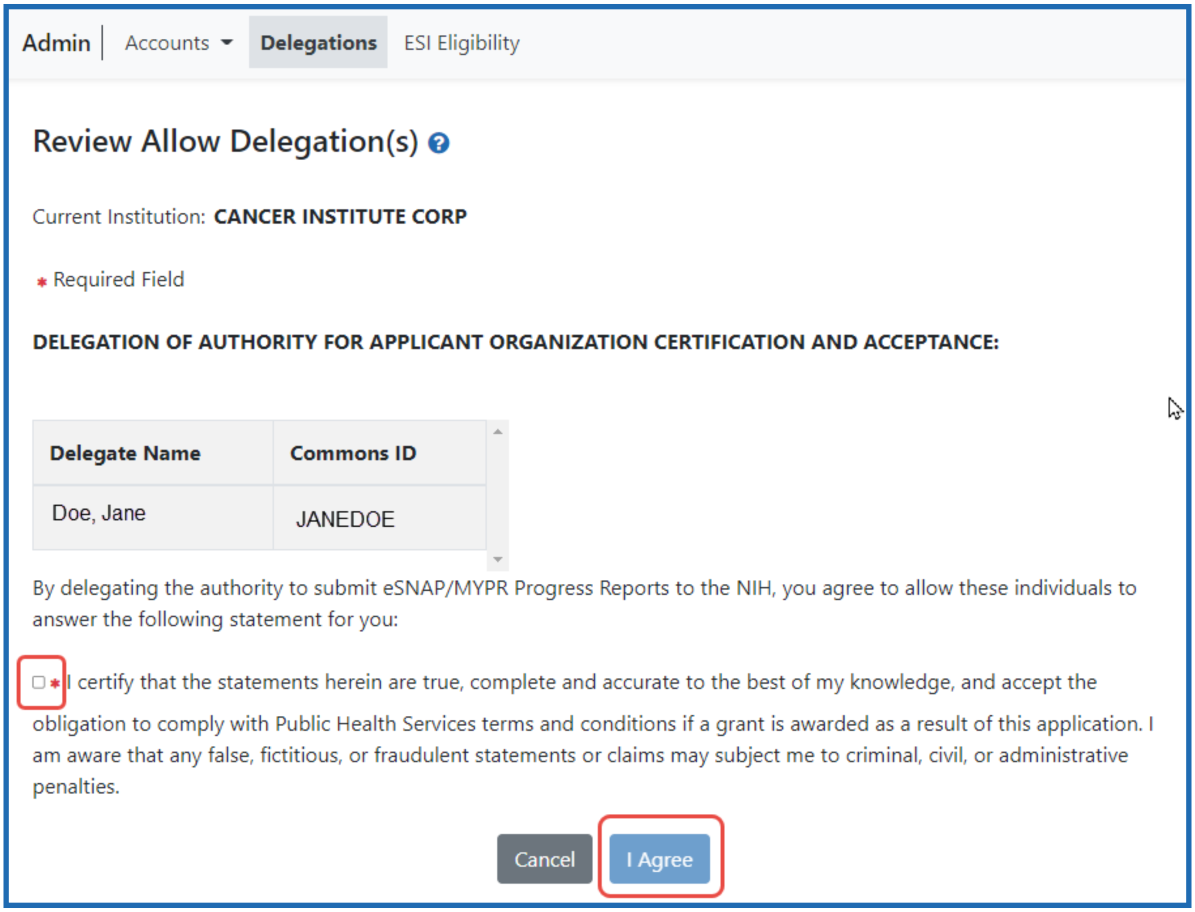


Figure 87: Review Allow Delegation(s) screen, where you must review/agree with a certification

7. Click the **I Agree** button to certify and confirm delegation.

You are returned to the *Institution Delegation* screen and a Success message appears in green font at the top of the screen. eRA Commons bestows the Submit Progress Report authority for the selected users, who receive an email informing them of the change. The *Institution Delegations* screen displays the new delegates in the **Current Delegates** tab. These names no longer appear in the **Candidates for Delegation** tab.

Revoking Institutional Submit Progress Report Authority

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

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

   The My Current Delegates screen opens.

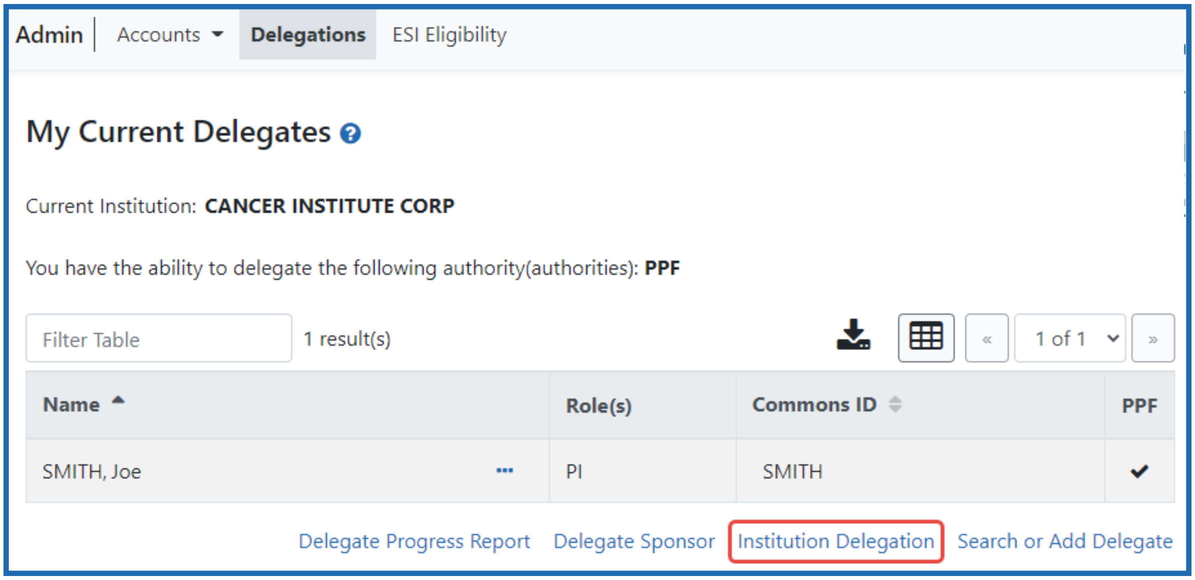
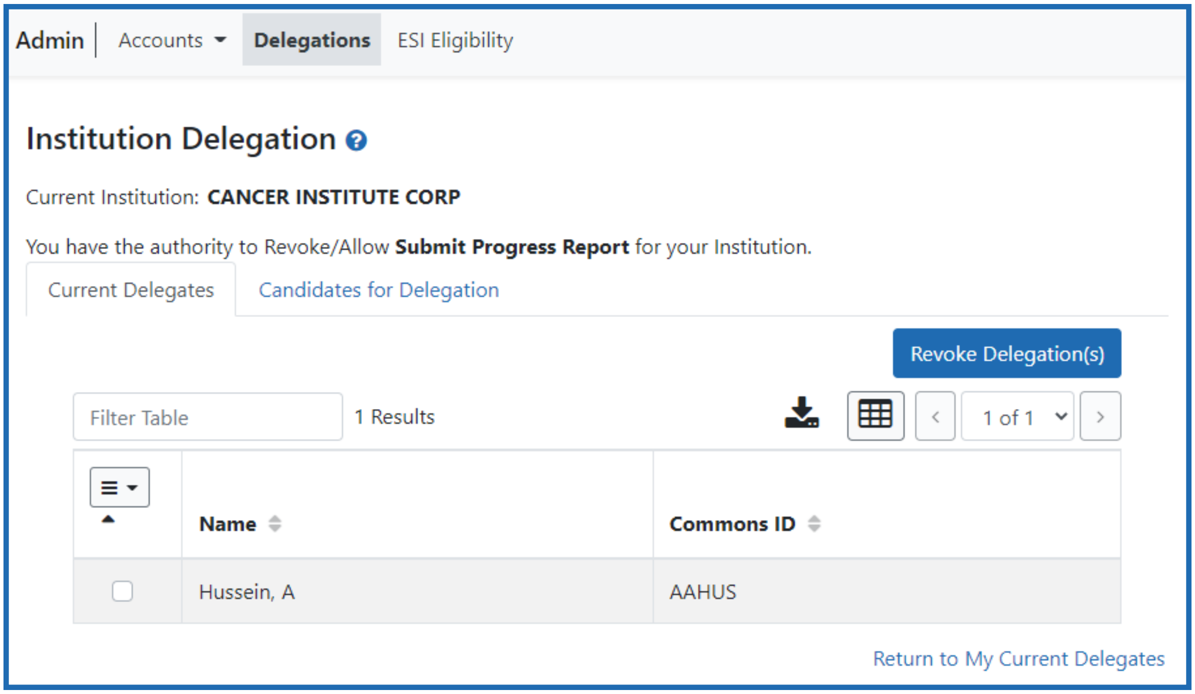


Figure 88: Institution Delegation Link for Revoking Submit Progress Report Authority

3. Click the **Institution Delegation** link.

The Institution Delegation screen displays, with the *Current Delegates* tab showing current delegates.

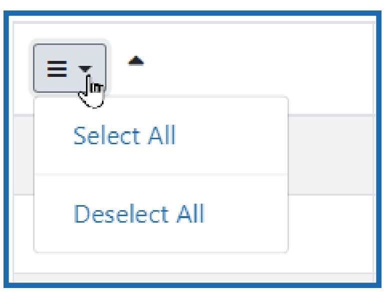


NOTE: This section walks through the steps for revoking the authority. See *Delegating Institutional Submit Progress Report Authority* on page 187 for the steps on granting the authority.

4. Mark the checkboxes of the current delegate(s) whose delegation is to be revoked.

5. Click the **Revoke Delegation(s)** button.

TIP: If bestowing or revoking Submit Progress Report authority for many users, use the bulk action tool to access the **Select All** or **Deselect All** options.



The Review Revoke Delegation(s) screen appears.

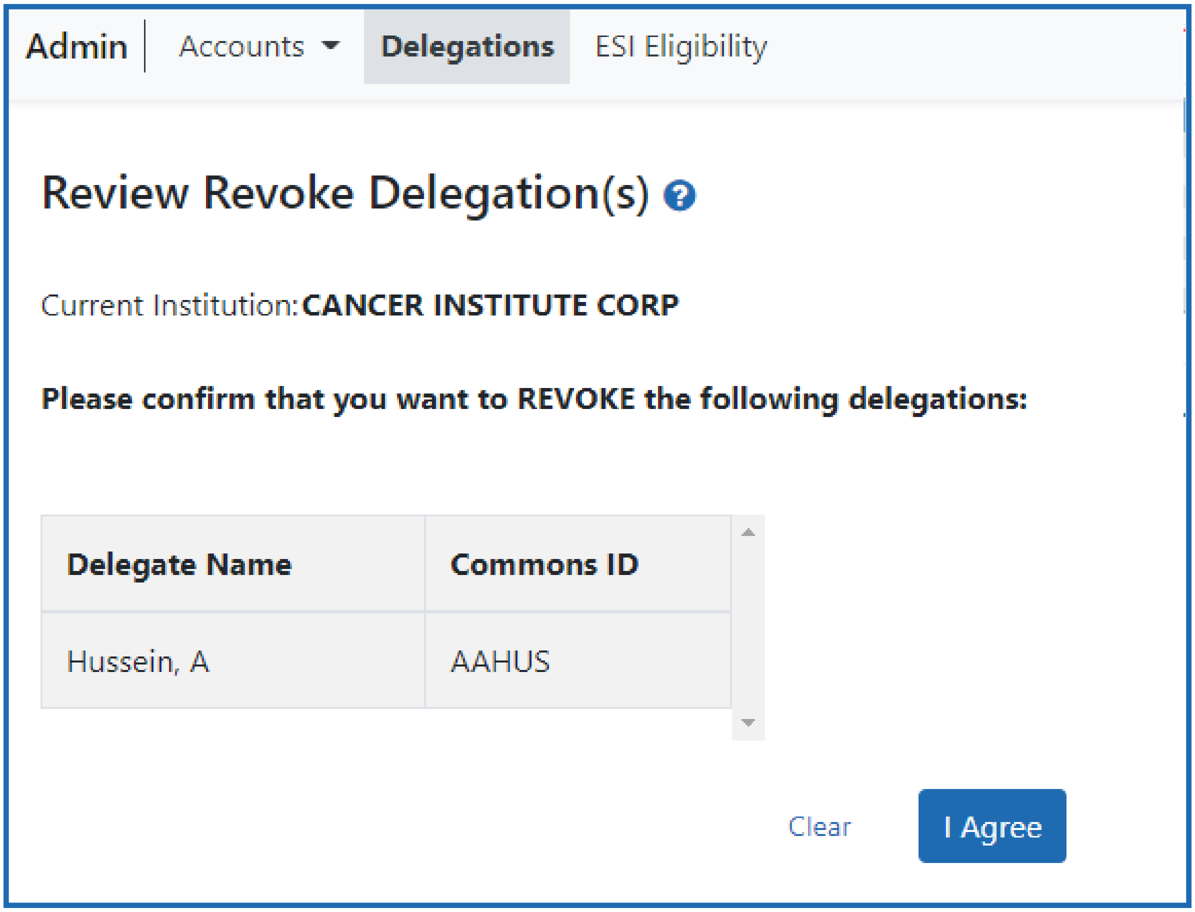


Figure 89: Review Revoke Delegations Screen, Where You Must Click I Agree Button to Complete the Revocation

6. Click the **I Agree** button.

You are returned to the *Institution Delegation* screen and a Success message appears in green at the top of the screen. The delegates whose authority you revoked no longer appear in the *Current Delegates* tab on this screen.

The Submit Progress Report authority is revoked for the selected users, and they receive an email informing them of the change.

Direct Delegations

Some Commons users can delegate authority directly to another Commons user so that user can access features in Commons (such as RPPR). Some users can also grant authority to another Commons user to access features of their own account (such as Personal Profile).

Agency-Specific Instructions: Department of Commerce. Delegations cannot be used for DOC awards.

Depending on the type of Commons user granting the authority and the type of user being granted authority, delegation could occur for the following:

- **Delegate Progress Report authority**

  A PI can delegate their Progress Report authority to any active user within the same institution.

- **Delegate Status authority**

  A PI can 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 their Personal Profile by delegating PPF authority.

- **Delegate xTrain authority**

  A PI can grant an ASST the ability to work with xTrain by delegating xTrain authority.

- **Delegate SPONSOR authority**

  A sponsor can grant an ASST the ability to work with xTrain by delegating SPONSOR authority.

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. See *Delegate on Behalf of Another User* on page 171 for delegating authority to a user on behalf of someone else.

Not all roles can delegate all authorities; refer to the table in the *Delegations* on page 169 topic for role-based constraints on delegation.

Agency-Specific Instructions: Department of Commerce. Delegations cannot be used for DOC awards.

To delegate the authority of your account directly to another Commons user:

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The My Current Delegates screen opens. A table shows your existing delegations or indicates *No Results Found* if you have no delegations. See *Edit Delegations* on page 203 for steps on editing existing delegations.

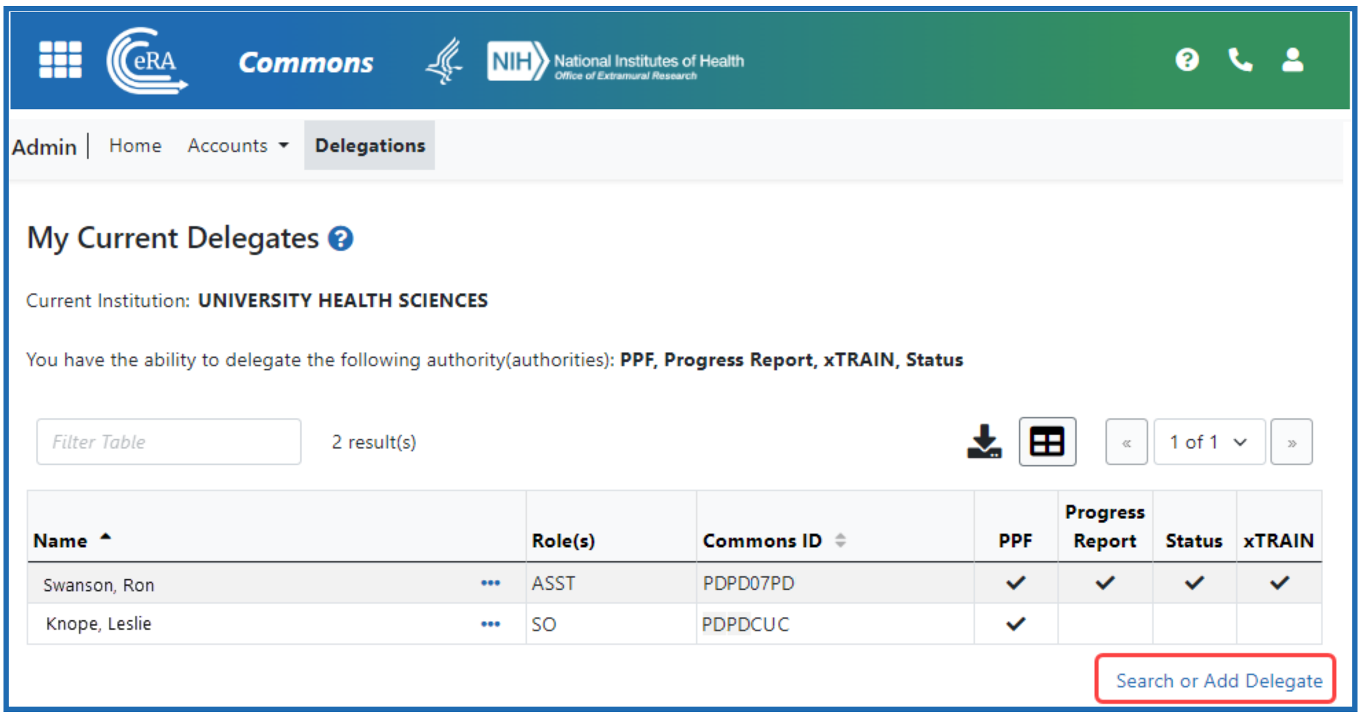


Figure 90: My Current Delegates Screen - Search or Add Delegate Link

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

3. Click the **Search or Add Delegate** link.

The *Search Potential Delegates* screen appears.

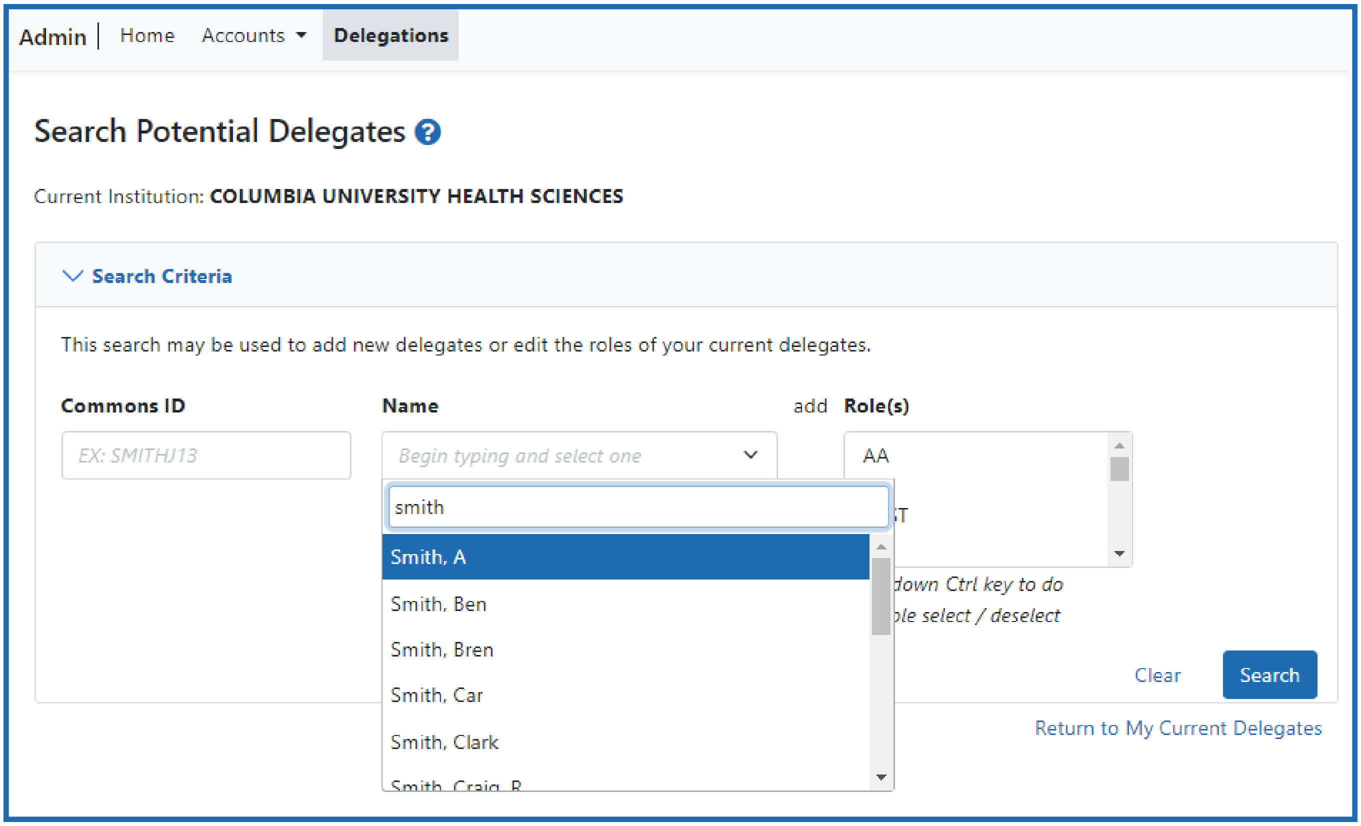


Figure 91: Search for Potential Delegates

4. Enter search criteria and click **Search**.

   You can enter an exact **Commons ID**; no wildcards are allowed. Alternatively, in the **Name** field, you can type a few letters of the **last** name and a list of matches appears, which you must select from. Always enter the last name in the **Name** field because matches will not appear for first names. For instance, if you are looking for 'Sarah Johnson', entering 'Sarah' in the name field results in no matches to choose from; enter 'johnson' instead. Additionally, you can also select one or more roles, using Ctrl+click, from the **Roles** list to search on.

Matching users display in Search Results. Checkmarks in the authority columns (such as the PPF column), indicate that the user has that authority currently.

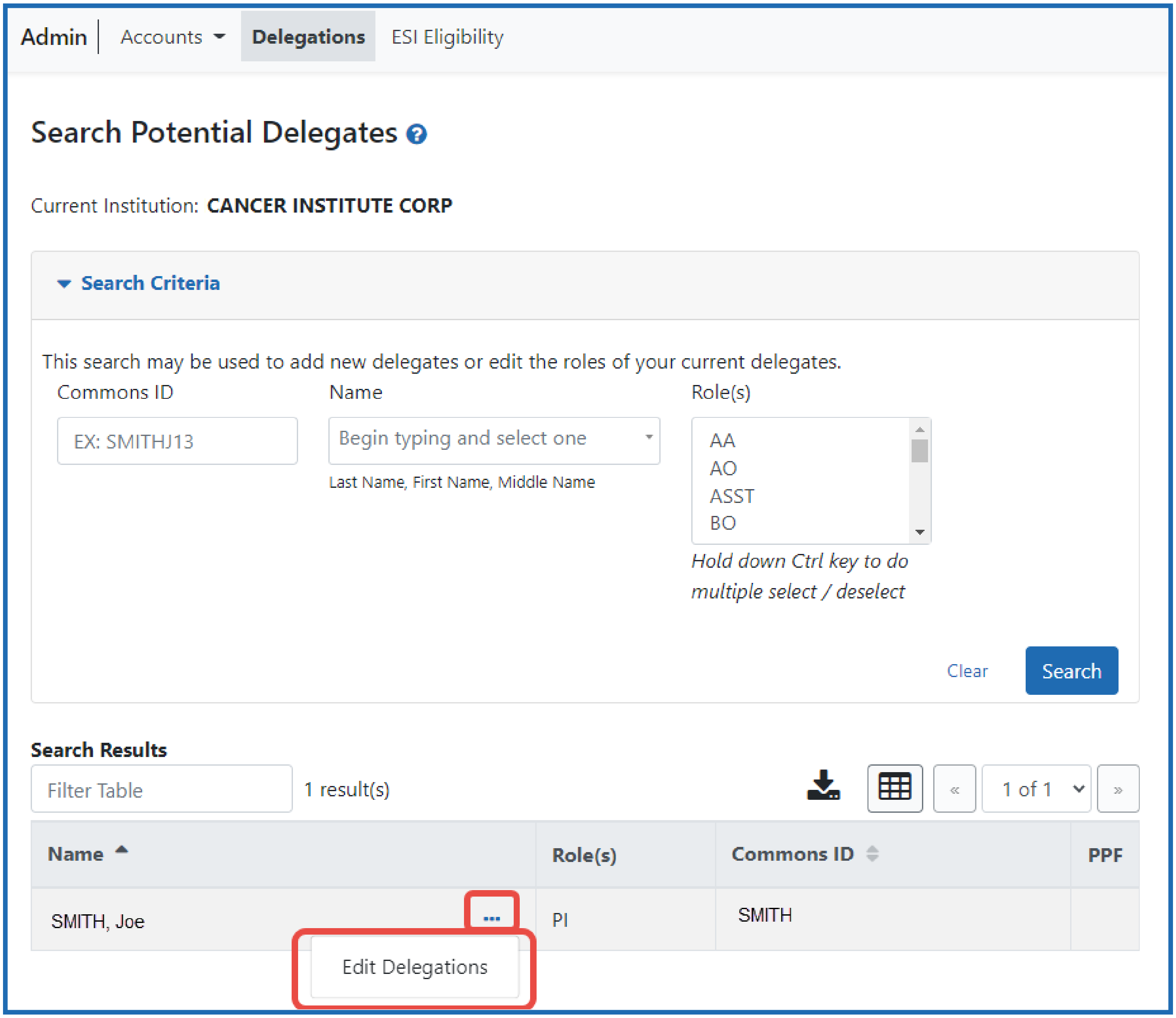


Figure 92: Search Potential Delegates Search Results

5. From the three-dot ellipsis menu for the person who you are designating as your delegate, choose the **Edit Delegations** option.

The Select Delegation(s) screen displays with a confirmation as follows: You have selected to delegate access to: [Name, Commons ID, Role].

The authorities that are available for delegation, which are listed with toggles, vary depending on your Commons role and the role of the selected user. For information on delegating specific authority, refer to the Delegation Authorities table.

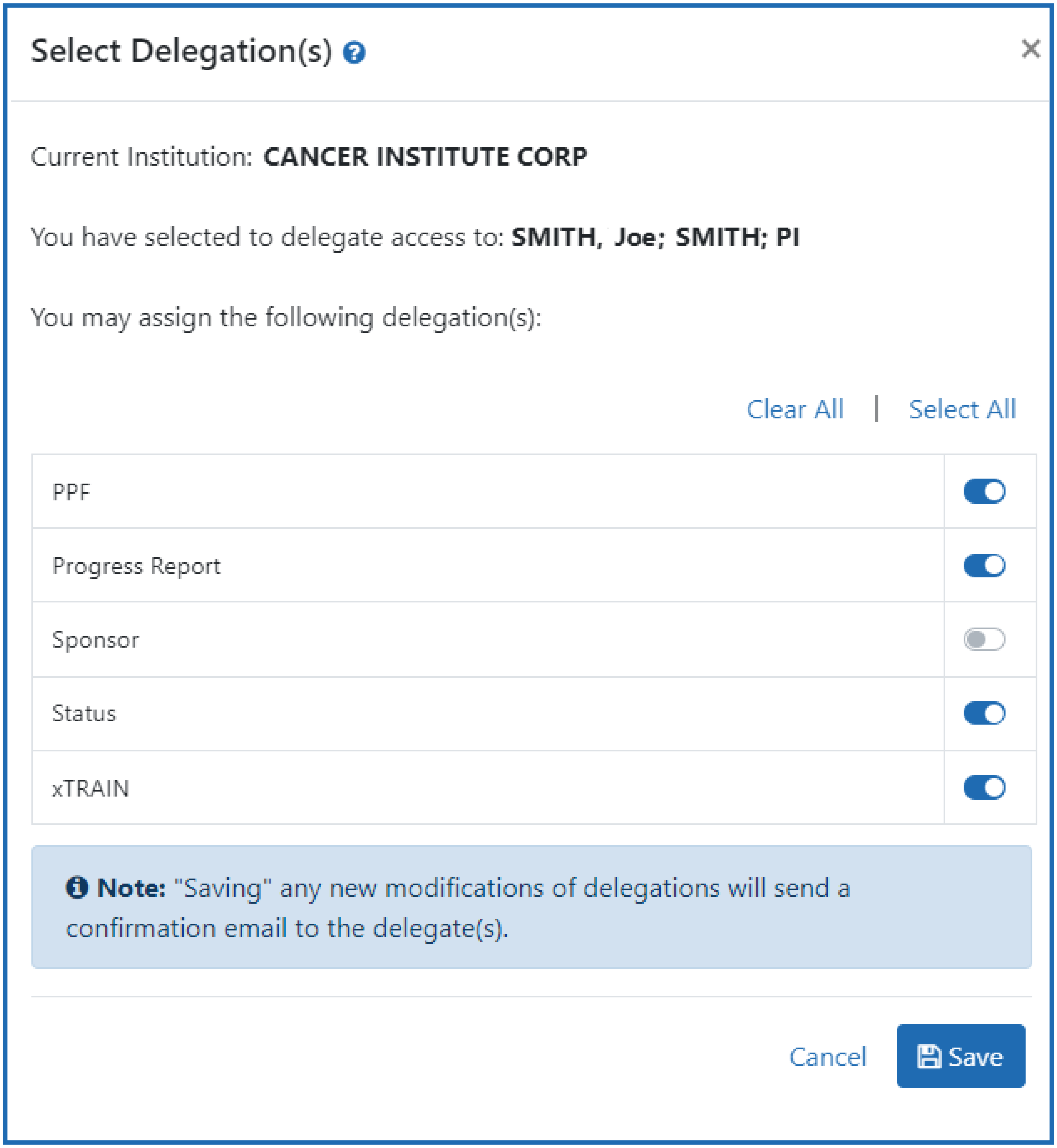


Figure 93: Select Delegations Screen

6. Turn on the toggle of the specific authority you want to delegate, such as PPF (Personal Profile). Multiple authorities can be selected if available.

NOTE: Click the **Select All** link to toggle all available authorities on.

7. Click the **Save** button.

A Success message appears in green font at the top of the screen. If you go back to the *My Current Delegates* screen, you see the delegation you just configured, with a checkmark in the column for which you delegated an authority. The selected user receives an email informing of the change.

Figure 94: Checkmark in the Authority Column on My Current Delegates Lets You See What Authorities are Bestowed

Search Delegations

To search for a user to view the user's delegation:

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The My Current Delegates screen opens. A table shows your existing delegations or indicates *No Results Found* if you have no delegations.

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

3. Click the **Search or Add Delegate** link.

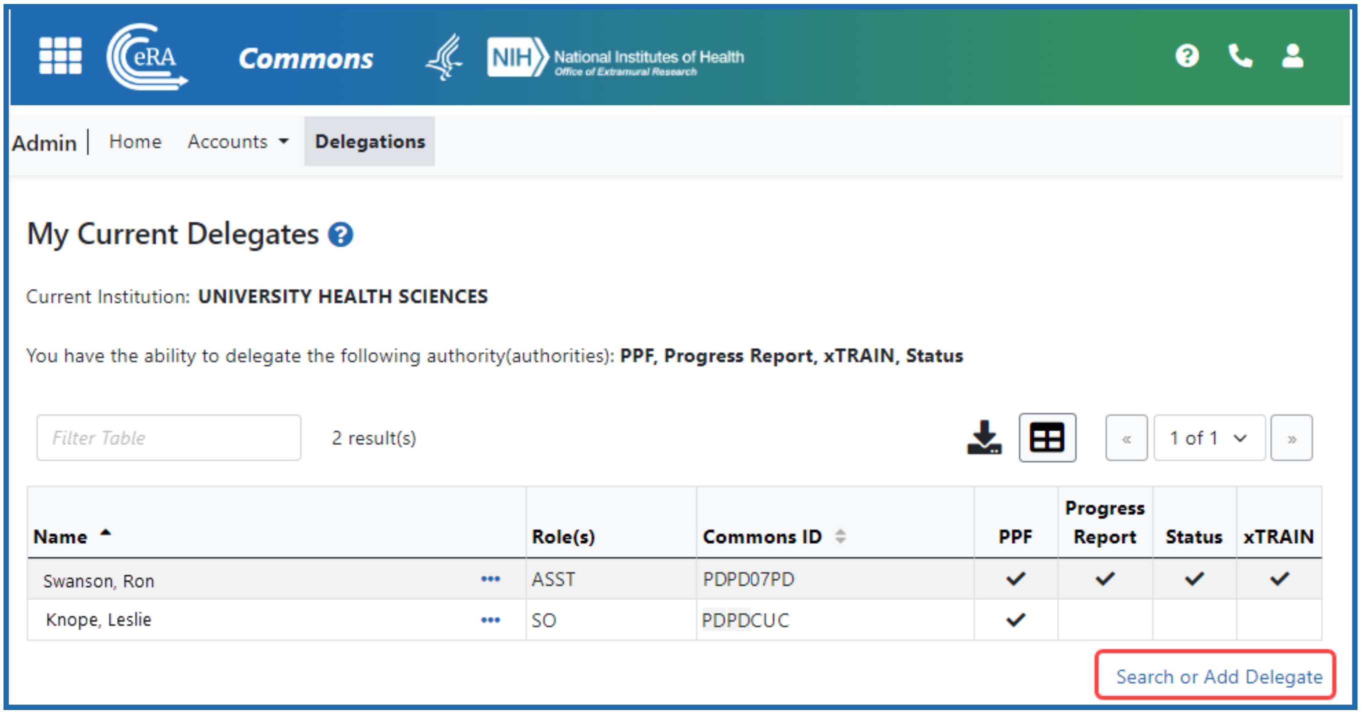


Figure 95: My Current Delegates Screen - Search or Add Delegate Link

The *Search Potential Delegates* screen appears.

4. Enter search criteria and click **Search**.

   You can enter an exact **Commons ID**; no wildcards are allowed. Alternatively, in the **Name** field, you can type a few letters of the **last** name and a list of matches appears, which you must select from. Always enter the last name in the **Name** field because matches will not appear for first names. For instance, if you are looking for 'Sarah Johnson', entering 'Sarah' in the name field results in no matches to choose from; enter 'johnson' instead. Additionally, you can also select one or more roles, using Ctrl+click, from the **Roles** list to search on.

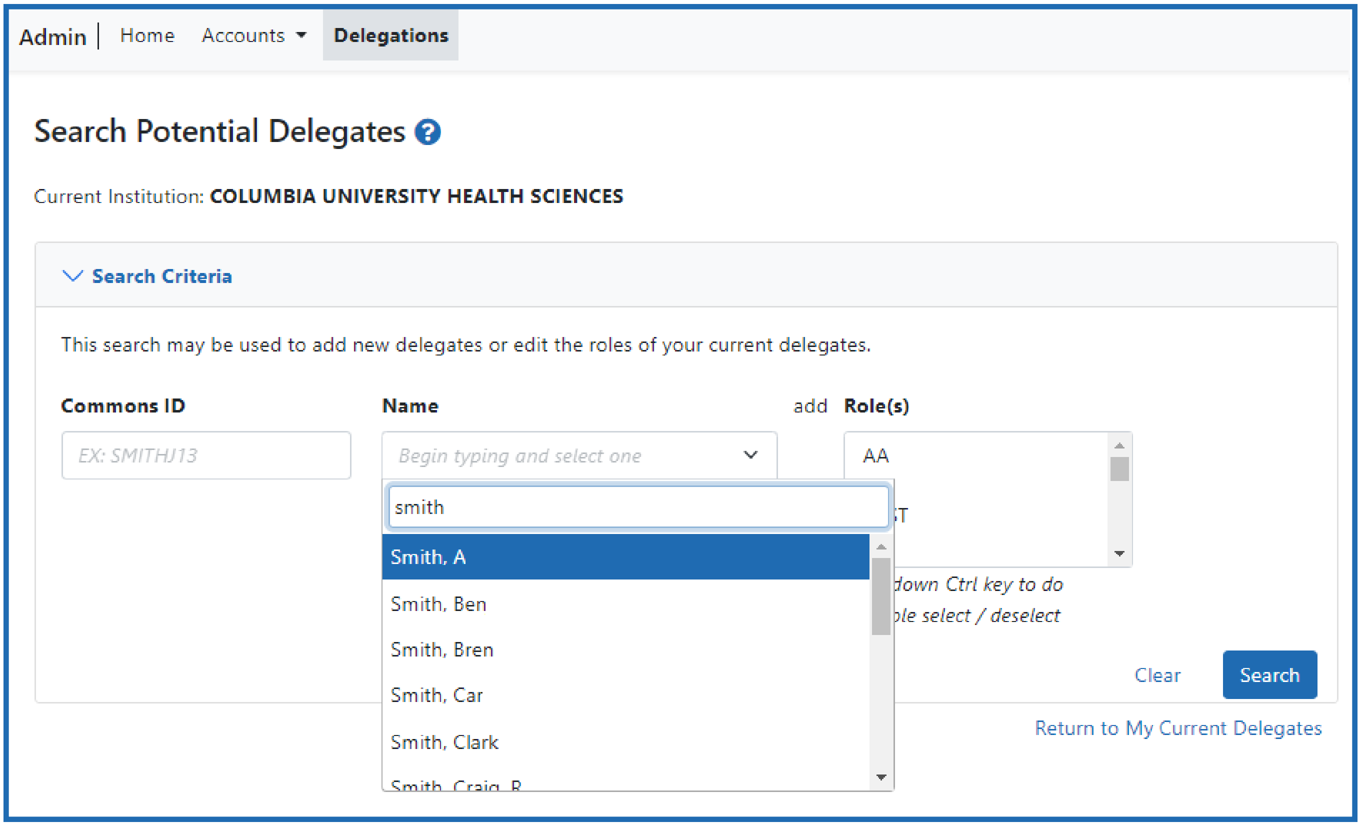


Figure 96: Search for Potential Delegates

Matching users display in **Search Results**. The results include the user's name, role(s), and Commons ID. You can then use the three-dot ellipsis menu of users to edit delegations.

Edit Delegations

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

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The My Current Delegates screen opens. A table shows your existing delegations or indicates *No Results Found* if you have no delegations.

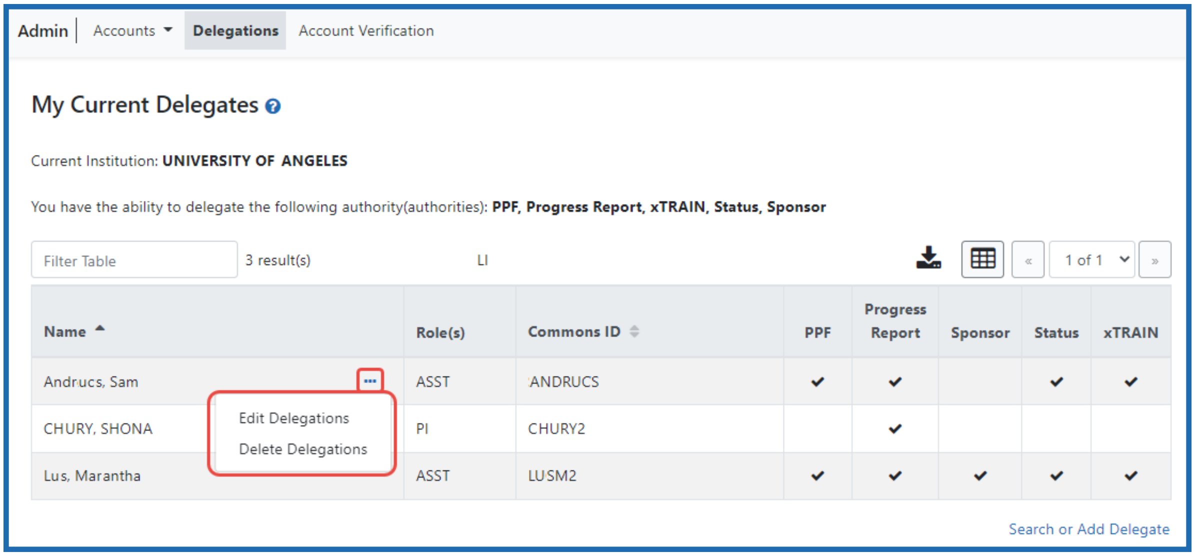


Figure 97: My Current Delegates - Edit Delegations Option Under Three-Dot Ellipsis Menu

3. From the three-dot ellipsis menu for a delegate, choose the **Edit Delegations** option.

The *Select Delegation(s)* screen shows the selected user and the authorities available for delegation to that user. Active toggles next to an authority indicate that the authority has been granted.

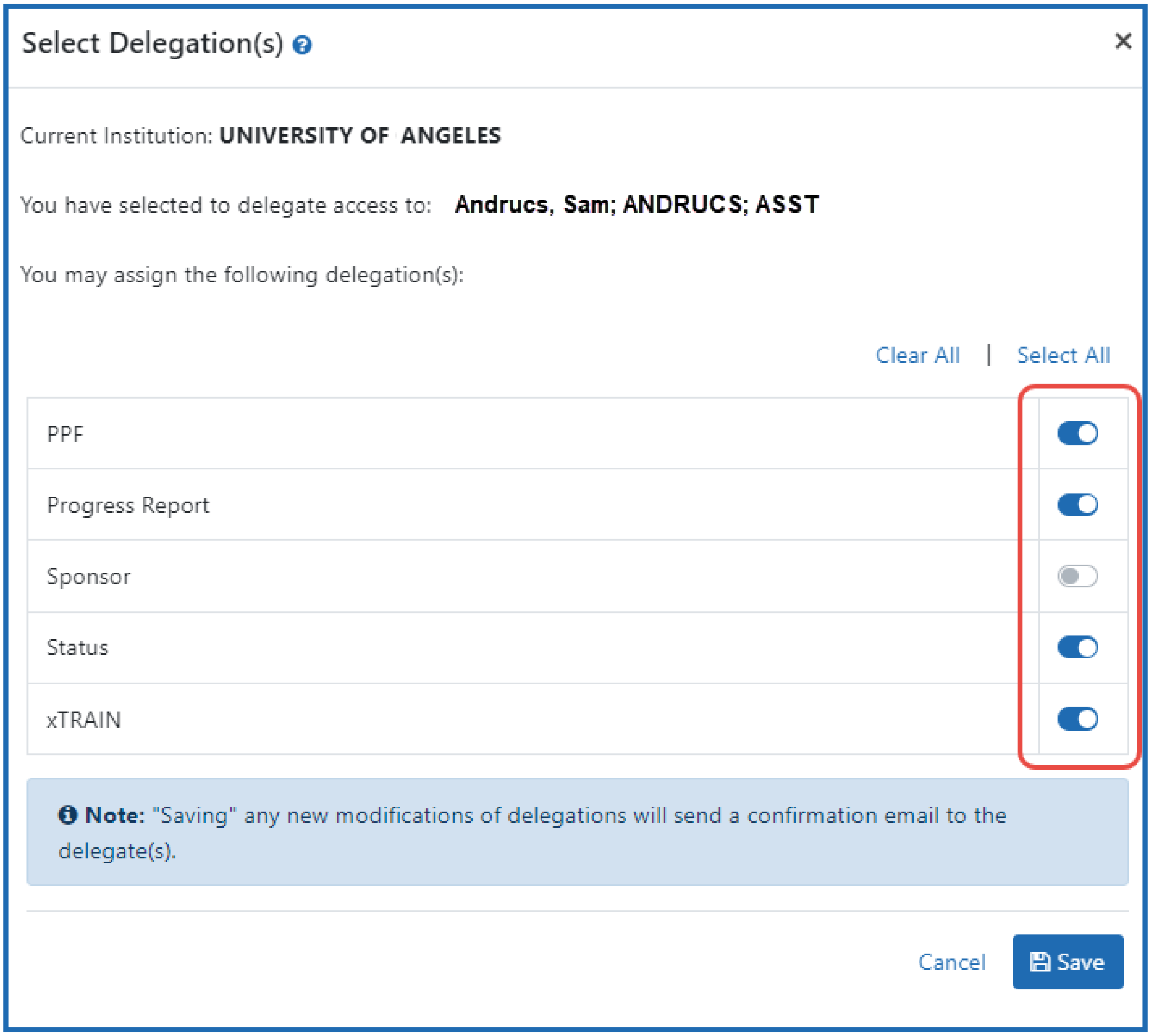


Figure 98: Delegated Authorities are Updated by Turning Toggles On or Off

4. Edit the user's delegations by toggling authorities on or off, then click **Save**.

eRA Commons sends an email informing the delegate of the change. The **My Current Delegates** screen 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.

Remove Delegations

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

1. Navigate to the Admin module.
2. Select the **Delegations** option from the **Admin** menu.

The My Current Delegates screen opens. A table shows your existing delegations or indicates *No Results Found* if you have no delegations.

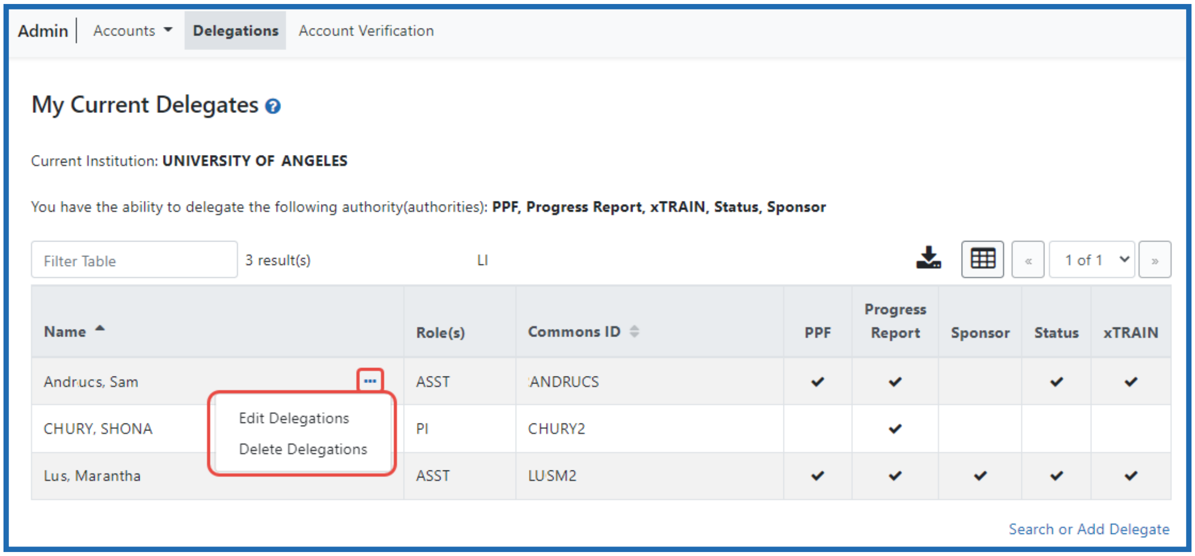


Figure 99: My Current Delegates

3. For the user whose delegation you are revoking, click the three-dot ellipsis menu and select **Edit Delegations** to revoke only part of their delegation authorities. If you want to remove all delegations at once, select **Delete Delegations** instead, and then click the **Confirm Delete** button in the popup that appears.

The *Select Delegation(s)* popup shows the authorities, with toggles, that are available for delegation or revocation.

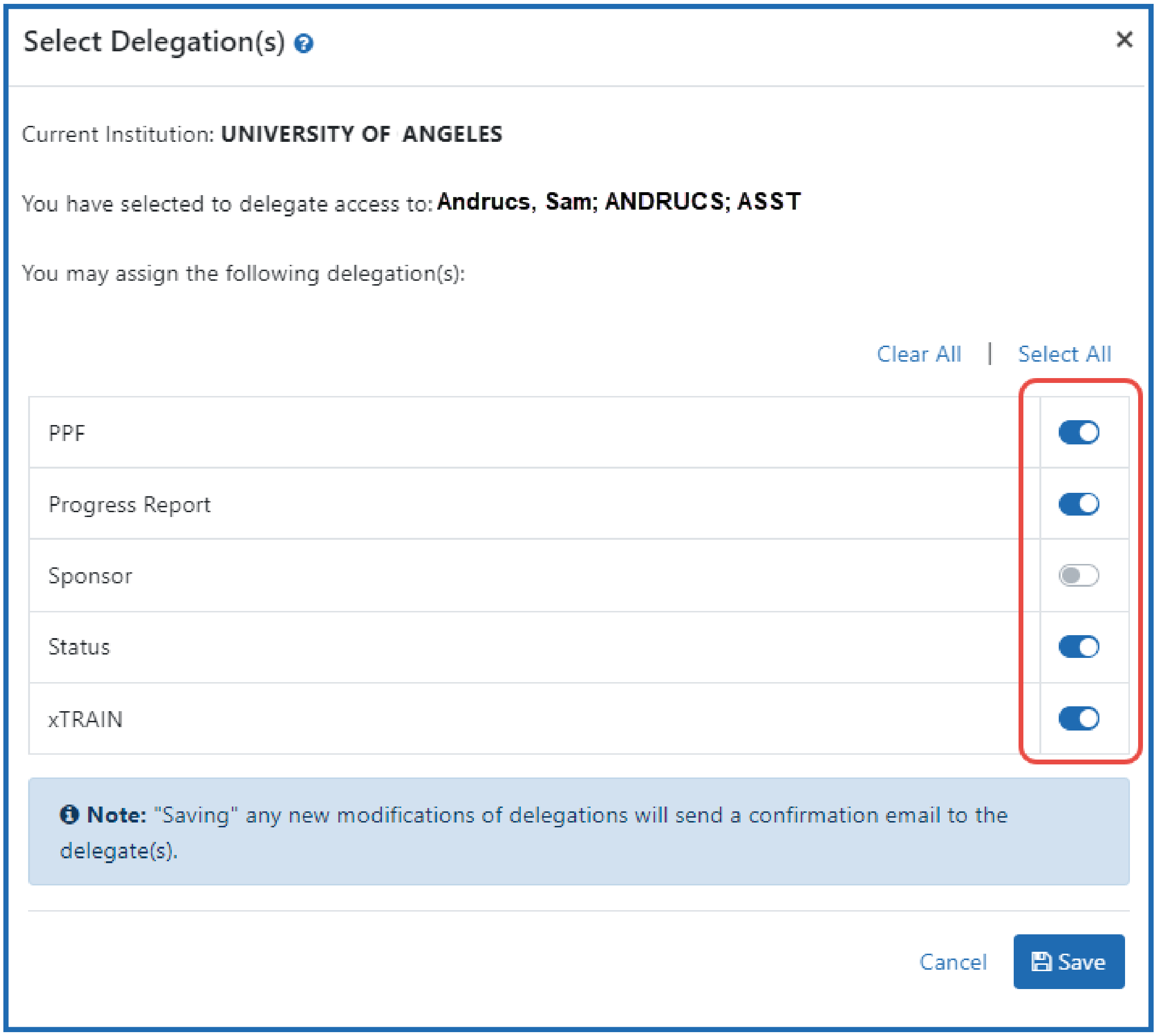


Figure 100: Turning Off Toggles Removes the Delegation

4. Remove a specific authority by turning off the corresponding toggles, then click **Save**.

The authorit(ies) whose toggles you turned off are revoked, and the user receives an email informing of the change. The **My Current Delegates** screen shows the delegated user with checkmarks corresponding to the authorities you bestowed. If all authorities are revoked, that user no longer displays in the table.

ESI Eligibility Search

Signing officials (SOs) or their delegates and authorized officials (AOs) can use the *ESI Eligibility* screen to search for specific principal investigators (PIs) to check their eligibility status. The list shows only principal investigators who are associated with the user's institution.

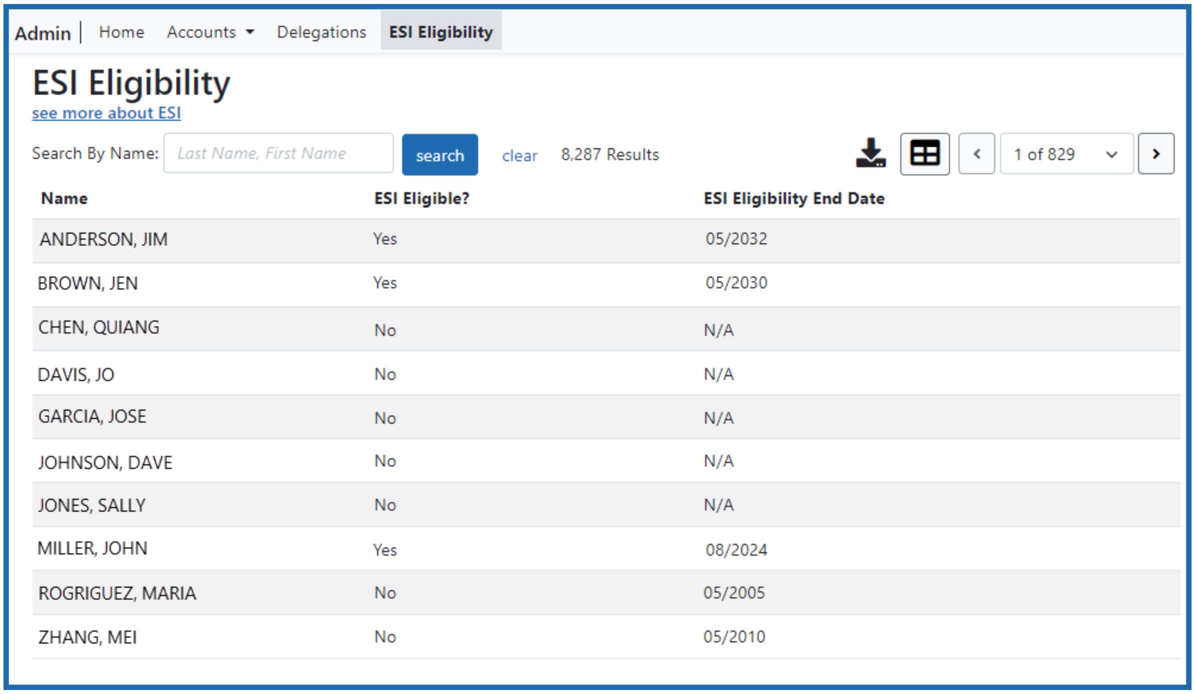
NOTE: The list not sortable. If the ability to sort the table is needed, users can download the entire list to .CSV and open it in another program that includes sorting capabilities. See *Using the ESI Eligibility Screen* on page 209 below.

ESI stands for Early Stage Investigator, which is a PI who has completed their terminal research degree or end of post-graduate clinical training within the past 10 years and who has not yet competed successfully for a substantial NIH independent research award. ESI status is important because NIH has policies in place to prioritize awards that fund early stage investigators. See Early Stage Investigator Policies.

Accessing the ESI Eligibility Screen

Only SOs and AOs see the ESI Eligibility screen. It can be accessed in two ways:

- Go to the Status module and select **ESI Eligibility** from the **Search Type** menu. This takes you directly to the *ESI Eligibility* screen.
- Go to the Account Management/Admin module and select **ESI Eligibility** from the top navigation. This also takes you directly to the *ESI Eligibility* screen.



Name	ESI Eligible?	ESI Eligibility End Date
ANDERSON, JIM	Yes	05/2032
BROWN, JEN	Yes	05/2030
CHEN, QUIANG	No	N/A
DAVIS, JO	No	N/A
GARCIA, JOSE	No	N/A
JOHNSON, DAVE	No	N/A
JONES, SALLY	No	N/A
MILLER, JOHN	Yes	08/2024
ROGRIGUEZ, MARIA	No	05/2005
ZHANG, MEI	No	05/2010

Using the ESI Eligibility Screen

- To search for a specific PI, enter all or part of their name, in the format *Last Name, First Name*, into the **Search by Name** field and click **Search**. '
- To download the list, click the export icon and save the .CSV file. You can then open it in Excel or a similar program.

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 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 lets grantees search for and initiate the FFR from within eRA Commons, which redirects them to the federal Payment Management System to complete the submission. Grantees can also check on the status of submitted FFRs, view the PDF of submitted FFRs, and view the history of activity for an FFR.

Beginning January 1, 2021, HHS grant recipients are required to submit the SF-425 long form in the Payment Management System (PMS) instead of the eRA Commons FFR Module.

Guide notices:

NOT-OD-20-127 - Announcement of transition https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-127.html

NOT-OD-21-046 - Additional Implementation details https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-046.html

Register with PMS (https://pmsapp.psc.gov/pms/app/userrequest) and obtain PMS log in credentials prior to submitting an FFR. Familiarize yourself with PMS using the documentation provided by PMS (see https://pms.psc.gov/pms-user-guide/federal-financial-report.html). The PMS Help Desk can help with system problems; see https://pms.psc.gov/support/help-desk.html.

Department of Commerce (DOC) Training Materials

Agency-Specific Instructions: Department of Commerce Internal Staff ONLY.
Online help for Department of Commerce (DOC) users is coming. In the meantime, eRA training materials can be found on the following DOC webpage: https://-

connection.commerce.gov/collection/grants-enterprise-management-solution.
NOTE: This page is accessible only by DOC internal users.

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

Except for awards under SNAP and awards that require more frequent reporting, the FFR is required on an annual basis. When required on an annual basis, the report must be submitted for each budget period no later than 90 days after the end of the calendar quarter in which the budget period ended. The reporting period for an annual FFR will be that of the budget period for the particular grant; however, the actual submission date is based on the calendar quarter.

This translates to the dates in the following table:

Reporting Period/Budget Period Ends in:	FFR Due Date
January, February, March	June 30
April, May, June	September 30
July, August, September	December 31
October, November, December	March 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

FSR Role in Commons

A user who needs the authority to view, enter, and submit an FFR on behalf of a research institution must possess the *FSR* role in eRA Commons to access the FFR module. An institution's Signing Official (SO) or Account Administrator can add this role to a user's account.

A Signing Official (SO) or Business Official/Administrative Official (BO/AO) can have the FSR role.

NOTE: A user who possesses only the *FSR* role can perform only those tasks associated with FFRs; however, an account can include multiple roles, including that of *FSR*.

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
- Initiate a FFR by clicking **Manage FFR** button, which redirects you to PMS to fill out and submit the FFR
- View an FFR as a PDF
- View the submission history of an FFR

With the *FSR* role, you can also access the FFR module from the *Closeout Status* screen. For more information on Closeout, please refer to the Commons online help topic titled Refer to *Closeout Status* on page 581.

NOTE: NIH requires all financial expenditure data to be submitted via PMS. This includes all initial FFRs being prepared for submission and any revised FFRs being submitted or re-submitted to an HHS agency.

The Commons Online Help contains detailed information on the FFR module. You can access the FFR topics by clicking any of the help icons ('?') on the FFR screens. If you prefer a PDF format user guide, refer to the *Federal Financial Report (FFR) Expenditure Data User Guide* at https://www.era.nih.gov/files/ffr_user_guide.pdf.

Accessing FFR

The FFR module is part of eRA Commons. If you hold the *FSR* Commons role, you have access to FFR.

1. Navigate to eRA Commons on the internet at https://public.era.nih.gov/commonsplus/.
2. Log into Commons.
3. Select the **FFR** module from Commons navigation.

Search for FFRs

About the FFR Search Screen

Use the *Search for Federal Financial Report (FFR)* screen to search for grant awards within your organization that have associated FFRs.

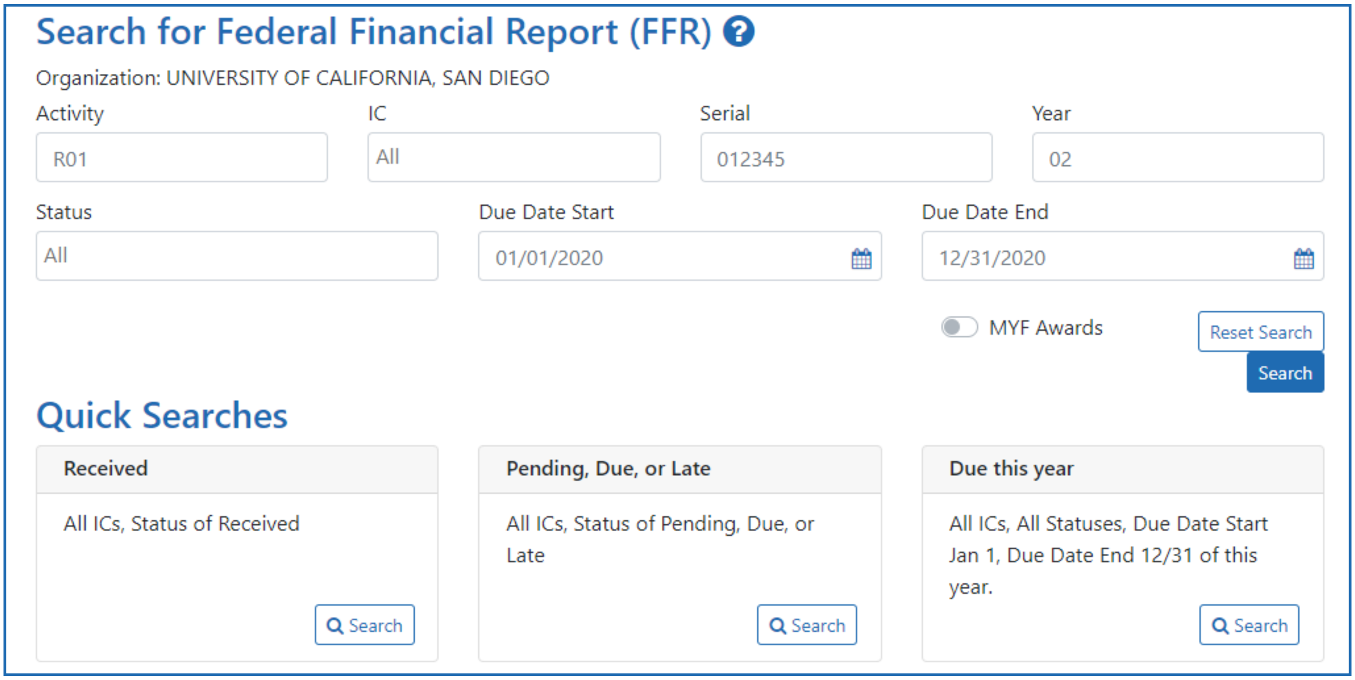


Figure 101: Search for Federal Financial Report (FFR) Screen

Perform a Search

You can search either by entering search criteria or by clicking one of the predefined quick searches.

IMPORTANT: When searching based on search criteria, enter as many criteria as possible to perform a more narrow and specific search. Too broad of a search can result in a very large set of records returned by the FFR module, which might slow down the FFR response time.

Search Using Search Criteria

1. Select search criteria from the available dropdowns on the search screen.

   The following dropdowns are available to search, which include parts of the grant number (See Deciphering the NIH Application/Grant Numbers document at https://www.era.nih.gov/files/Deciphering-NIH-Application.pdf, which also has IC abbreviations.)

- **Activity** Search by the grant number's activity code. Example R01 or U01.
- **IC**
  - This is a required field. Defaults to *All*, which searches all ICs. To search by specific IC(s), select one from the list, then to select another, select from the list again, and so on. Each appears in the IC field and can be removed by clicking the x next to the IC letters.
- **Serial**

  Enter the serial number of the grant into the field.

- **Year**
  - Year of the grant.
- **Status**

  Defaults to *All*, which will search for FFRs in all statuses.

  To narrow the search to specific status(es), use the drop-down and select one or more status values to include in the search. To select more than one status, select the first status, then click the dropdown again and select another status. Each selected status appears in the **Status** field with an 'x' that you can click to remove it.

  You may search for any combination of the following:
  - Pending
  - Due
  - Late
  - Received
  - In Review
  - Accepted
  - Rejected
  - Revision Pending

- **Due Date**

  Will return records with a due date of the entered date or later. Enter a date directly into the field or select a date using the calendar tool.

NOTE: To see only multi-year funded SAMHSA awards, toggle the **MYF Awards** option to the 'on' position.

2. Click the **Search** button.

   The results of the search appear in search results below the search criteria. Refer to the section below titled *Search Results* to learn what you can do with search results.

3. Click the **Reset Search** button to clear the results and perform a new query, as necessary.

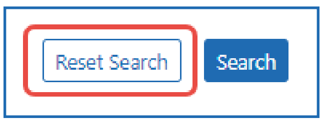


Figure 102: Reset Search button

Using a Quick Search

Quick searches are one-click, pre-defined searches providing a convenient method of retrieving commonly entered criteria. They appear on the Search screen in FFR when you first enter the module. If you do not see a list of quick searches defined at the bottom of the search screen, click the **Reset Search** button, shown below:

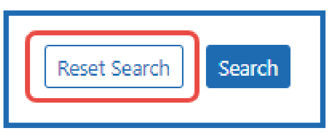


Figure 103: Reset Search button

To run a quick search:

1. Click the **Search** button of the desired quick search.

   Received

   Searches for and returns any records for FFRs in a status of *Received*, for all ICs.

   Pending, Due, or Late

Searches for and returns any records for FFRs in a status of *Pending*, *Due*, and *Late*, for all ICs.

Due this year

Searches for and returns any records for FFRs in a status of *Received* with a start date of January 1 of the current year and an end date of December 31 of the current year.

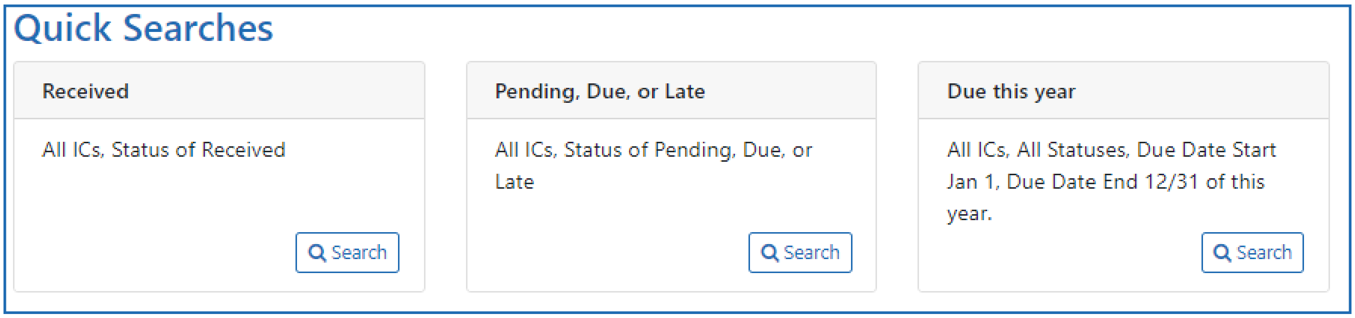
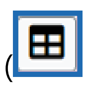


Figure 104: FFR Quick Searches

2. In the search results, click the three-dot ellipsis menu to see actions you can take on a record. Refer to the section below for additional information on search results.
3. Click the **Reset Search** button to clear the results and perform a new search.

Search Results

FFR retrieves all matching awarded grants (except Fellowships). Use the grid tool () to specify how many records to display on a page.

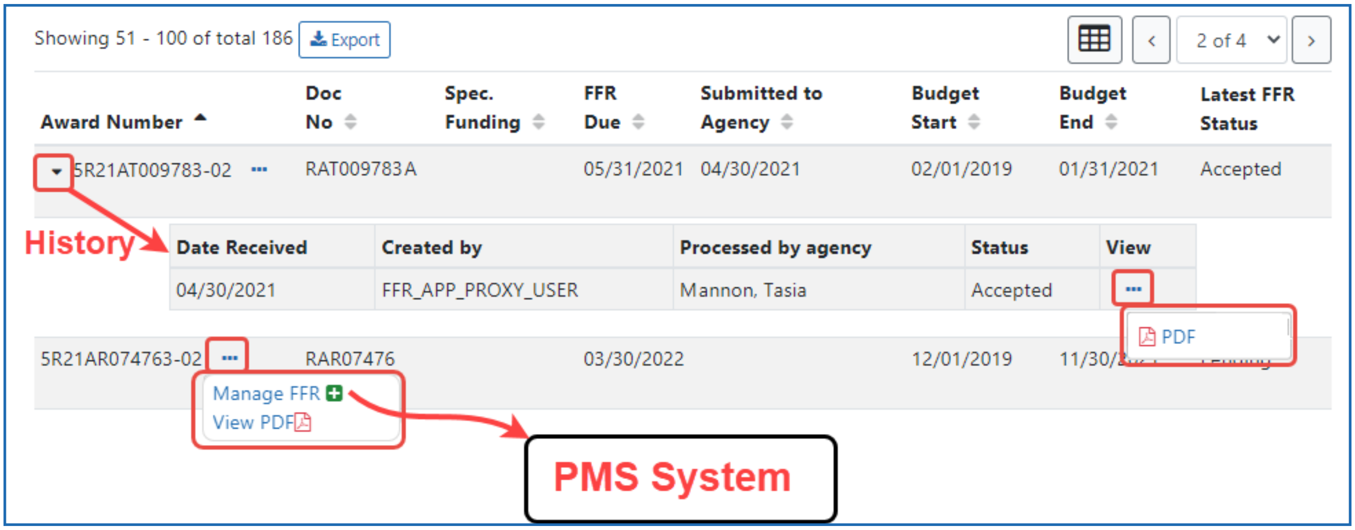


Figure 105: FFR search results, showing triangle to show additional data and three-dot ellipsis menu to show actions that you can take

Use the navigation buttons at the upper right of the results to navigate through the remaining records. Select the header of any column to re-sort the displayed records.

The hit list includes the following information:

- **Award Number:** The grant number is linked to the Grant Folder.
- **Doc No:** Award document number.
- **Three-dot ellipsis menu.** Displays all actions that can currently be performed on the FFR record. These options vary depending on the status of the FFR. Refer to the section below, titled *Actions*, for more information.
- **Spec. Funding:** Special funding indicator of *ARRA*, *Sandy*, or <blank> as appropriate.
- **FFR Due:** The date when FFR status will change from *Due* to *Late*.
- **Submitted to Agency:** The date on which the FFR was received by the agency, otherwise this column is blank.
- **Budget Start:** The budget period start date of grant.
- **Budget End:** The budget period end date of grant.
- **Latest FFR Status**

TIP: Use the **Export** button at the top of the search results to view the FFR search results in an Excel spreadsheet. Excel will open in a separate window.

Actions

The actions available for a FFR vary depending on the status of the FFR. All available actions are available by clicking the three-dot ellipsis menu next to the **Award Number** in the FFR results table.

FFR Actions

Action Option	Available to FFRs in Status...	Result of the Action
Manage FFR	• Pending • Due • Late • Received • Accepted • Rejected • Revision Pending	Redirects to PMS, where (after you login) it opens the FFR long form for editing and submission.
History	• Received • Accepted • Rejected • Revision Pending	Displays a history of actions performed against the FFR record.
PDF	• Accepted • In Review • Received • Rejected • Revision Pending	Opens the current version of the report in PDF format.

Manage FFR Action

Select the **Manage FFR** action to be redirected to the current FFR in PMS, where, after logging in, you are presented with the FFR long form to complete and submit. You can either initiate the FFR using this button, or return to a partially completed FFR to continue editing it.

PDF Action

Select the **PDF** action to open a read-only PDF version of the report. This is available for FFRs in a status of *Received*, *In Review*, *Accepted*, *Rejected*, and *Revision Pending*.

History Action

Click the caret (triangle icon) next to the **Award Number** to display a brief history of the FFR since initiation. The history displays beneath the FFR record. History of the FFR includes:

- Date received by agency (if applicable)
- Name of the institution user who created the FFR
- Name of the agency staff member who processed the FFR (if applicable, otherwise *N/A*)
- Status of FFR
- PDF button for viewing the PDF

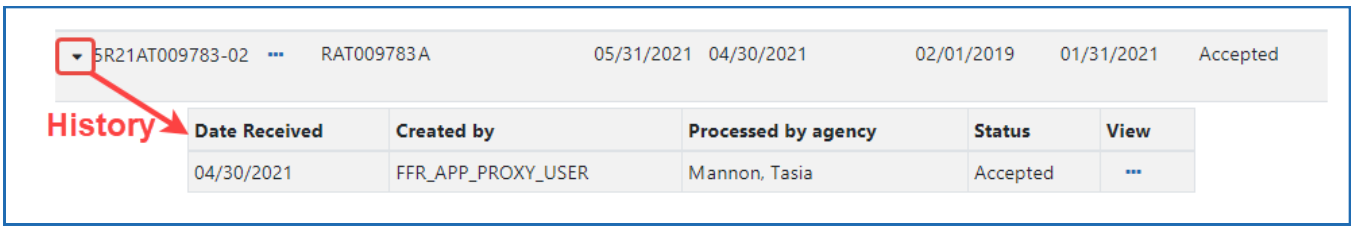
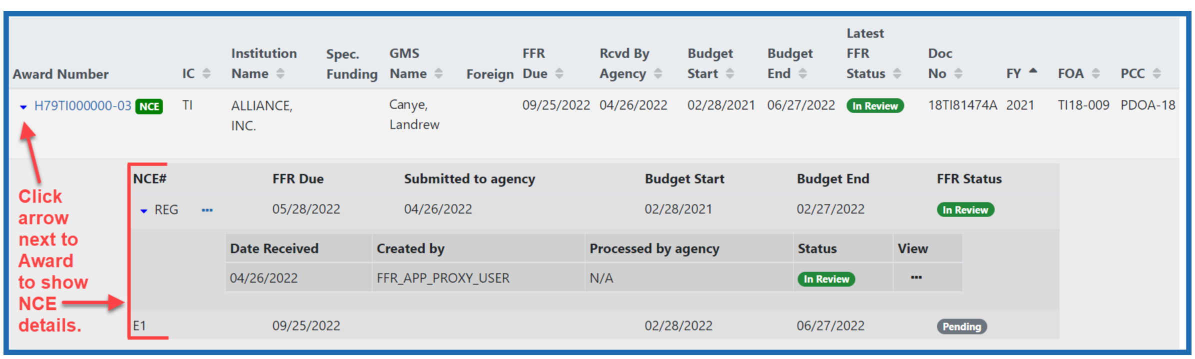


Figure 106: FFR History

Viewing No Cost Extension (NCE) Details

When you see an award with a green NCE icon next to the award number, it means the award has had a no-cost extension (NCE) applied. Click the down arrow next to **Award Number** to see both the regular FFR (REG) details,and the NCE details (E1, E2, etc). In the area that appears, also use the down arrow to toggle more information to appear or collapse.



Federal Financial Report (FFR) Long Form (Non-DOC Awards)

You can initiate the *Federal Financial Report* from the FFR module in eRA Commons, whereupon you are redirected to the electronic FFR long form in the Payment Management System (PMS).

> **Agency-Specific Instructions:** Department of Commerce. For DOC awards, users fill out the FFR long form in eRA Commons FFR module instead of being redirected to the Payment Management System.

Also see:

Federal Financial Report (FFR) (https://grants.nih.gov/grants/forms/federal-financial-report)

Reminders of NIH Policies Related to Closeout (April 2, 2021) (https://-grants.nih.gov/grants/guide/notice-files/NOT-OD-21-102.html)

Before attempting to complete and submit an FFR, you must register with PMS and obtain login credentials (https://pmsapp.psc.gov/pms/app/userrequest). You are required to log into PMS before or during FFR initiation from eRA Commons.

Initiate FFR Long Form from eRA Commons

Before attempting to complete and submit an FFR, you must register with PMS and obtain login credentials (https://pmsapp.psc.gov/pms/app/userrequest). You are required to log into PMS before or during FFR initiation from eRA Commons.

1. In the FFR module in eRA Commons, search for and find an FFR that needs to be completed.
2. Select the **Manage FFR** option from the three-dot ellipsis menu for a record in the search results.

   You are redirected to the federal Payment Management System, where you must log in. After login, the FFR long form is opened for the grant you were working on in the eRA Commons FFR module. Alternatively, you can go directly to the PMS system and find the FFR by searching for the Award Document Number using the PMS FFR search screen.

3. In the PMS FFR long form, complete the fields (see descriptions below for guidance).
4. Follow PMS guidance for certifying and submitting the FFR to the sponsoring agency. See the documentation provided by PMS (https://pms.psc.gov/pms-user-guide/federal-financial-report.html).

Line 1. Federal Agency and Organizational Element to Which Report is Submitted

Displays the name of the Federal agency associated with the grant. This information is pre-populated from the grant information and cannot be edited.

Line 2. Federal Grant / Subaccount

Displays the Award Document Number assigned to the award by the Federal agency. This field is pre-populated and cannot be edited.

Line 3. Recipient Organization

Displays the name and complete address of the recipient organization. This field is pre-populated and cannot be edited.

Line 4a. DUNS Number

Displays the Dun & Bradstreet Universal Numbering System (DUNS) number or Central Contractor Registry (CCR) extended DUNS number belonging to the recipient agency. This information is pre-populated from the grant information and cannot be edited.

Line 4b. Employer Identification Number--EIN

Displays the number assigned by the Department of Health and Human Services (DHHS) Central Registry System for payment and accounting purposes. This information is pre-populated from the grant information and cannot be edited.

Line 5. Recipient Account Number or Identifying Number

Enter the recipient account number or any other identifying number assigned to the award by the recipient. This is not a requirement of the Federal agency and is for the recipient's use only.

Line 6. Report Type

Displays the Report Type:

- Annual
- Final

This information is pre-populated from the grant information and cannot be edited.

Line 7. Basis of Accounting

Select the appropriate option from the dropdown menu to indicate the basis used for recording the transactions related to the award:

- Cash
- Accrual

Accrual basis of accounting refers to the accounting method in which expenses are recorded when incurred. For Cash basis accounting, expenses are recorded when they are paid.

Line 8. Project/Grant Period (From and To)

Indicates the period established in the award document during which Federal sponsorship begins and ends.

Line 9. Reporting Period End Date

Displays the ending date of the reporting period.

Line 10. Transactions

For each field of the Transaction section, enter the cumulative amounts from the date of inception of the award through the end date of the reporting period specified in the Reporting Period End Date field.

Federal Cash (lines 10a-10c)

These data fields are prepopulated in the Payment Management System, but may be recalculated in PMS by clicking the Recalculate icon next to the field. For Annual FFRs, these fields can be updated by the recipient. For Final FFRs, these fields can only be updated by the Recalculate button (if available). A Final FFR can NOT be submitted unless 10a and 10b are equal to each other and 10c is $0.00. 10c is a calculated value and cannot be edited.

Federal Expenditures and Unobligated Balance (lines 10d-10h)

Use lines **10.d-h** for single grant reporting.

10.d Total Federal funds authorized

Displays the cumulative total Federal funds authorized.

- For research ICs, this amount will reflect the total for the indicated grant segment.
- For Non-Research ICs, this amount will reflect the total for the IC and serial number.

10.e Federal share of expenditures

Enter the amount of Federal fund expenditures. Expenditures are the sum of actual cash disbursements for direct charges for goods and services; the amount of indirect expenses charged to the award; and the amount of cash advances and payments made to sub-recipients and subcontractors. A Final FFR can NOT be submitted unless 10e is equal to 10a and 10b.

10.f Federal share of unliquidated obligations

Enter the Federal portion of unliquidated obligations. Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, these are obligations incurred, but for which outlay has not yet been recorded. Those obligations include direct and indirect expenses incurred but not yet paid or charged to the award, including amounts due to sub-recipients and subcontractors.

On the final report, this line must be zero. Do not include any amount that has been reported in the **Federal share of expenditures** (line 10e). Do not include any amount for a future commitment of funds (such as a long-term contract) for which an obligation or expense has not been incurred.

10.g Total Federal share

This is the sum of **Federal share of expenditures** (line 10e) and **Federal share of unliquidated obligations** (line 10f).

This information is calculated and cannot be edited.

Line 10.h Unobligated balance of Federal funds

This is the amount of **Total Federal funds authorized** (line 10d) minus **Total Federal share** (line 10g).

This information is calculated and cannot be edited.

Recipient Share (lines 10i-10k)

Do not complete this section if reporting on multiple awards.

10.i Total recipient share required

Enter the total required recipient share for the reporting period specified in the **Reporting Period End Date** field (line 9). The required recipient share should include all matching and cost sharing provided by recipients and third-party providers to meet the level required by the Federal agency. This amount should not include cost sharing and match amounts in excess of the amount required by the Federal agency (e.g., cost overruns for which the recipient incurs additional expenses and, therefore, contributes a greater level of cost sharing or match than the level required by the Federal agency).

10.j Recipient share of expenditures

Enter the recipient share of actual cash disbursements or outlays (less any rebates, refunds, or other credits) including payments to subrecipients and subcontractors. This amount may include the value of allowable in-kind match contributions and recipient share of program income used to finance the non-Federal share of the project or program.

Note that on the final report, this line should be equal to or greater than the amount of the **Total recipient share required** (line 10i).

10.k Remaining recipient share to be provided

This is a calculated field for showing the amount of **Total recipient share required** (line 10i) minus **Recipient share of expenditures** (line 10j).

If the **Recipient share of expenditures** is greater than the **Total recipient share required** amount, the field will show zero.

This information is calculated and cannot be edited.

Program Income (lines 10l-10o)

Do not complete this section if reporting for multiple awards

10.l Total Federal program income earned

Enter the amount of Federal program income earned. Do not report any program income here that is being allocated as part of the recipient's cost sharing amount included in the **Recipient share of expenditures** field (line 10j).

10m Program income expended in accordance with the deduction alternative

Enter the amount of program income that was used to reduce the Federal share of the total project costs.

10.n Program income expended in accordance with the addition alternative

Enter the amount of program income that was added to funds committed to the total project costs and expended to further eligible project or program activities.

10.o Unexpended program income

Enter the amount of **Total Federal program income earned** (line 10l) minus the **Program income expended in accordance with the deduction alternative** (line 10m) or **Program income expended in accordance with the addition alternative** (line 10n). This amount equals the program income that has been earned but not expended, as of the reporting period end date.

This information is calculated and cannot be edited.

Line 11. Indirect Expense

Indirect expenses are the costs associated with the general operation of an institution and the performance of its research activities. In the Payment Management System (PMS), you are limited to 10 indirect expenses only, and if there are more than 10, you must enter the rest in the **Remarks** field.

11.a Type

This field represents the type of indirect expense. Types include Provisional, Pre-determined, Final, or Fixed.

11.b Rate

This field indicates the indirect cost rate in effect during the reporting period. This number is a percentage.

11.c Period From/Period To

The "From" and "To" range of the period as related to the indirect costs.

11.d Base

Base represents the amount of the base against which the indirect cost was applied.

11.e Amount Charged

This field represents the total amount of indirect costs charged during the reporting period.

11.f Federal Share

This field indicates the Federal portion of the Amount Charged (line 11e).

11.g Totals

These fields are the calculated sums of indirect expense entries for each of the following fields: **Base**, **Amount Charged**, and **Federal Share**.

Line 12. Remarks

Enter any explanations or additional information required by the Federal sponsoring agency including excess cash as stated in the field for **Cash on Hand** (line 10c). If you have more than 10 indirect expenses (Line 11), enter additional expenses in the **Remarks** field.

NOTE: Remarks are required when submitting a revision to an FFR or on an Annual FFR if Cash on Hand (10c) is greater than $0.00.

Prepared by

Select your username from the **Prepared by** dropdown to complete the preparation of the FFR. The phone number and email address are prepopulated based on your PMS credentials and are not editable. The **Date Report Prepared** field automatically populates today's date.

Submit/Certify the Long Form FFR Report

NOTE: If you are not ready to submit, you can click the **Save** button and come back to the report later.

After selecting your username from the **Prepared by** dropdown, click the **Submit** button.

Once prepared the FFR must be Certified. The certifier will receive a notification from PMS when an FFR is ready to be certified. If you are the certifier, you should log into PMS and locate the FFR.

When prompted, select your username from the **Signature of Authorized Certifying Official** dropdown to complete the certification of the FFR. The phone number and email address are prepopulated based on your PMS credentials and are not editable. The **Date Report Submitted** field automatically populates today's date.

Submit the report to be certified by clicking the **Certify** button. If you do not see the **Certify** button, submit the form first.

You can log into eRA Commons FFR module to check on the status of the submission.

Payment Request Overview

The Payment Request process in the eRA Commons Federal Financial Reporting (FFR) module lets grantees initiate payment requests and submit them to the DOC agency. It also allows DOC staff to review, approve, decline, and acknowledge steps in the processing of submitted payment requests.

DOC awardees/grantees can learn how to initiate and submit payment requests using the following help topic:

Payment Request for DOC Awardees in the eRA Commons Online Help. (https://www.era.nih.gov/erahelp/commons)

Role for Users of Payment Request Screen in FFR

Users require specific roles for their affiliated organizations to have privileges to complete necessary tasks. The role that eRA Commons users need to access the payment request process, along with associated privileges, is below:

Role Name	Description
FSR (Grantee)	Users can: • Access Payment Request functionality in FFR • Initiate, Save and Submit Payment Request(s) for awards made to their affiliated organization • Track Payment Request Status • View Payment Request History

Payment Request Overview

The Payment Request process in the eRA Commons Federal Financial Reporting (FFR) module lets grantees initiate payment requests and submit them to the DOC agency. It also allows DOC staff to review, approve, decline, and acknowledge steps in the processing of submitted payment requests.

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Role Name	Description
FSR (Grantee)	Users can: • Access Payment Request functionality in FFR • Initiate, Save and Submit Payment Request(s) for awards made to their affiliated organization • Track Payment Request Status • View Payment Request History

Payment Request for DOC Awardees

The Payment Request process in eRA Commons Federal Financial Reporting (FFR) module lets awardees (grantees) initiate payment requests and submit them to the Department of Commerce (DOC) agency. It also allows DOC staff to review, approve, decline, and acknowledge steps in the processing of submitted payment requests.

This topic shows DOC awardees (grantees) how to initiate and submit a payment request to DOC.

Initiating a Payment Request for Awardees

FFR is accessible to grantees via an externally accessible site (https://public.era.nih.gov/commonsplus). Grantees access the Payment Request screen in FFR by doing the following:

1. Use eRA credentials (user name / password), login.gov credential (user name /password) or Federated account to log in to eRA Commons.
2. Once logged in, select “Federal Financial Report (FFR)” from the apps menu .
3. The *Search for Federal Financial Reports (FFR)* screen appears as the landing page.
4. On the landing page, click on the “Payment Request” tab from sub-navigation to access the Payment Requests page.

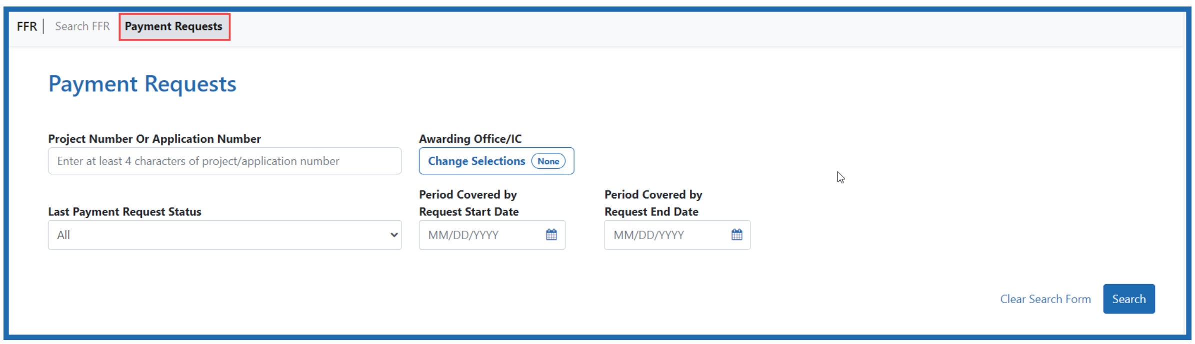


Figure 107: Payment Requests tab is available in FFR screen

Searching for a Grant/Award in Payment Request

You can search on the following search criteria:

- **Project Number or Application Number.** Used to conduct a search for a particular project or group of projects using at least 4 characters in the project number (the project number is listed as the Award Number on the Notice of Award (NoA)
- **Awarding Office/IC.** Used to conduct a search for a group of projects from an Awarding Office or Offices within the Department of Commerce
- **Last Payment request Status.** Used to conduct a search for a group of projects where the most recent payment request is in a particular status. The search defaults to All, which will search for Payment Requests in all status. To narrow the search by a specific status, select a value from the drop-down. Available status search options

are as follows:

- All
- Work In Progress
- Submitted
- Approved
- Declined
- Authorized in ASAP
- Payment Processed
- Payment Failed
- Payment on Hold

- **Period Covered by Request Start Date.** Will return records with a period covered by request start date of the entered date or later. Enter a date directly into the field or select a date using the calendar tool.
- **Period Covered by Request End Date.** Will return records with a period covered by request end date of the entered date or earlier. Enter a date directly into the field or select a date using the calendar tool.

To conduct a general search, click on the "Search" button without entering any search criteria. Click the "Clear Search Form" link to clear the search and conduct a new search.

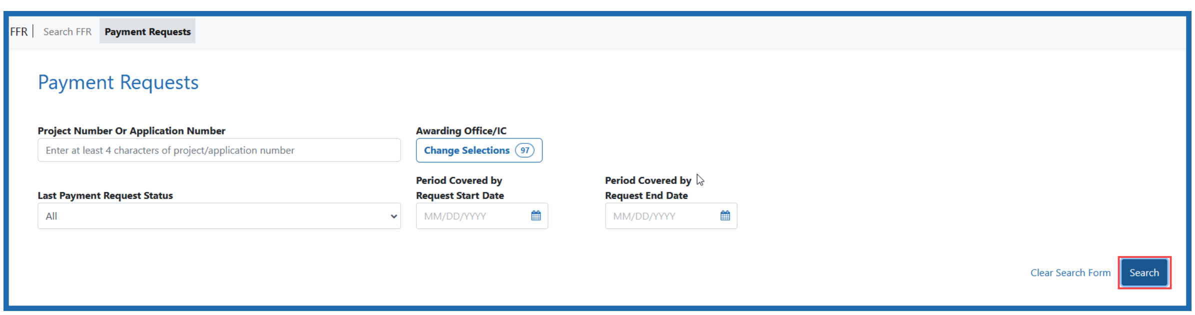


Figure 108: Payment Requests screen provides various search criteria and Search button to conduct a search

Once the search is complete, the search results show the following information:

Application Number. The application number is listed as the Award Number on the NoA.

Period Covered by Request Start Date. Start date of the Payment Request.

Period Covered by Request End Date. End date of the Payment Request.

Amount. Dollar value requested.

Requested Drawdown Date. Date when the requested amount will be drawn down.

(PD/PI). Name of the Project Director or Principal Investigator assigned to the project.

(GMS/GMO Name). Names of the assigned GMS and GMO.

Last Payment Request Status. Status of the last Payment Request.

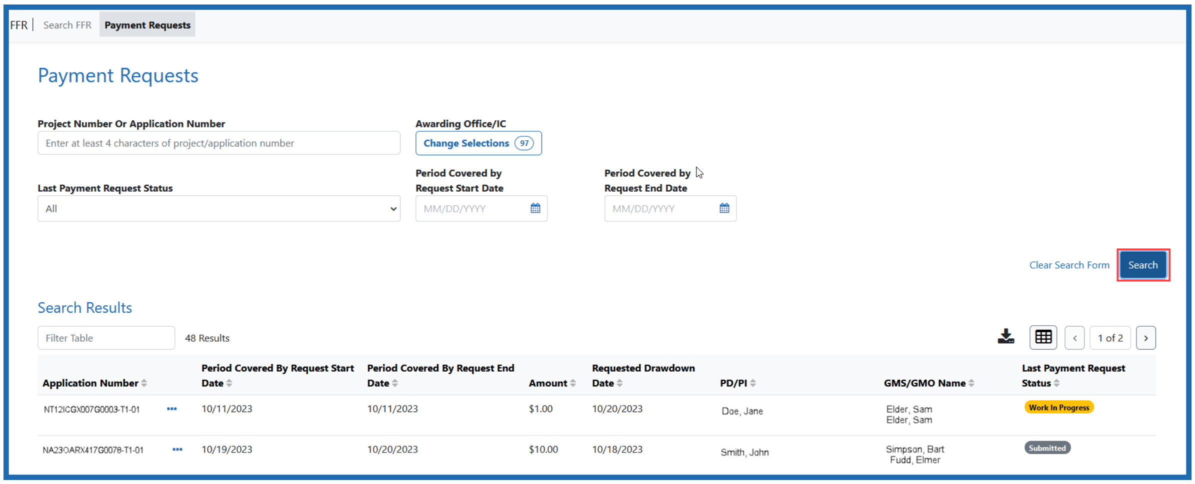


Figure 109: Search results displays a list of applications associated with a grantee organization and are available for payment request

For projects with no previous payment request, only “Application Number / (PD/PI) / (GMS/GMO Name)” information will be displayed.

Initiating a Payment Request for a DOC Award/Grant

NOTE: Grantees can only submit a new request on the same project if the last payment request is not submitted or it's in “Declined/Authorized in ASAP/Payment Processed /Payment Failed” status.

To initiate a payment request, you must click on three-dot ellipsis icon next to the Application Number in the search results and select the “Create new Payment Request” action.

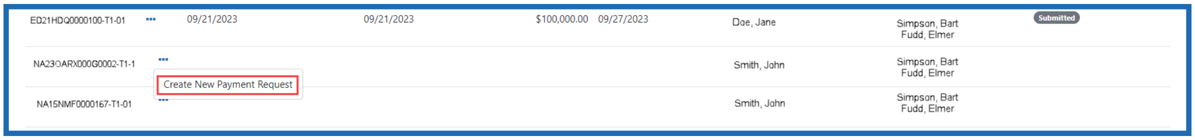


Figure 110: Create New Payment Request option is available in action menu.

The “Create New Payment Request” page appears. In this page, you must enter data in the following fields:

Request Draw Down Date. Date the grantee intends to draw down the requested funds.

Requested Amount. Dollar value the grantee is requesting.

Period Covered by Request From /To. Duration of time that the funds will be used.

Total Expenditures to Date. Total awarded funding that has been spent up until the date of the request.

Total Federal Funds Previously Requested. Total of the federal funds that have been requested previously, enter zero if this is the first request.

To add justification, click in the **Justification** text field and type up to 200 characters of text. You can also attach the SF-270/271 form and other attachments (when necessary) by clicking on **+Choose** button in each section.

NOTE: Attachments must be PDF files 6MB or smaller. You can upload up to 10 files per upload field.

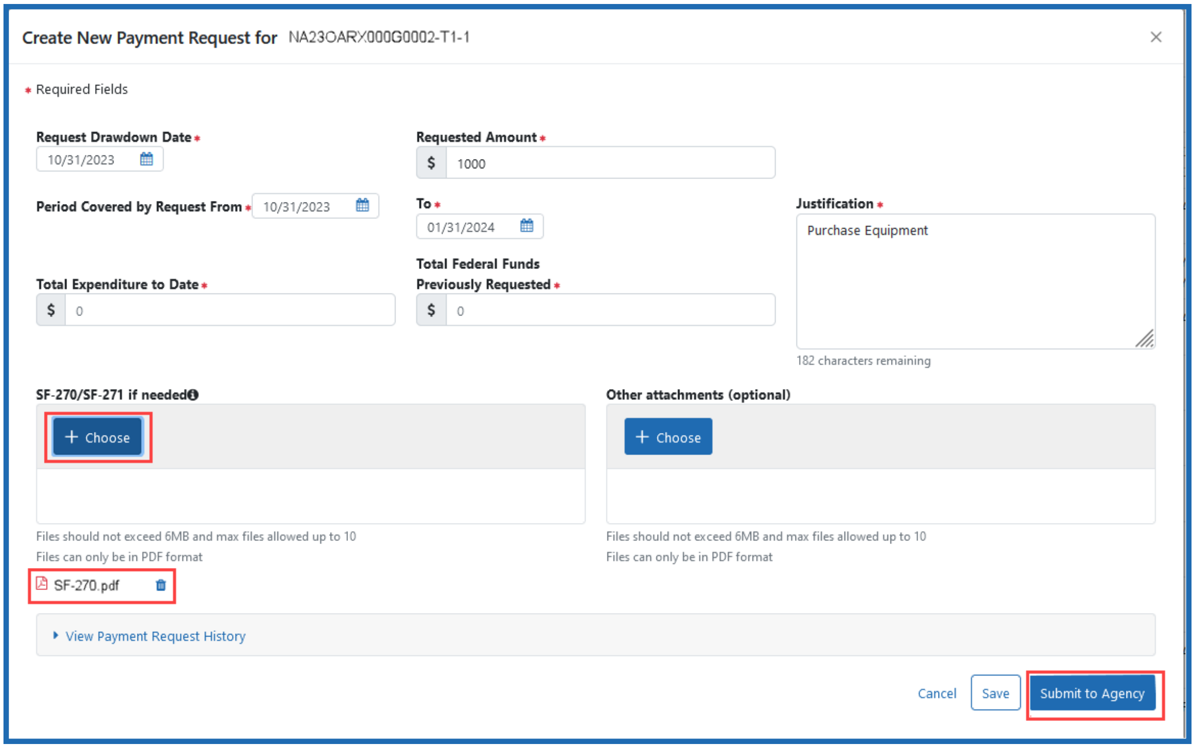


Figure 111: Grantee must enter required data to submit a Payment Request by clicking 'Submit to Agency' button

To see previous requests (if exists), user needs to click on 'View Payment Request history' link. When all data are inserted and necessary documents are uploaded, user needs to click the **Submit to Agency** button to submit the request.

NOTE: Use the **Save** button to save a request and return to it later. Saved requests will appear in the "Work in Progress" status. When you are ready to complete the request, access the Payment Request details page by clicking on three-dot ellipsis menu next to the Application Number in search results and select the **Edit Payment Request** action.

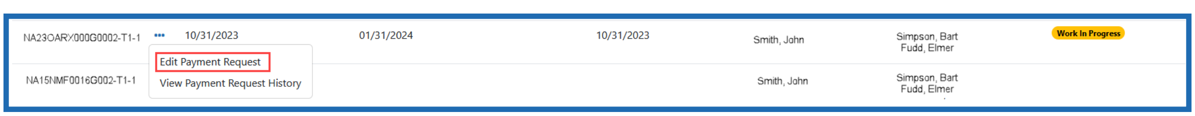


Figure 112: Edit Payment Request is available in the action menu when Payment Request is in 'work in progress' status

Once submitted, a notification will be sent to the assigned GMS and the GMO and the Payment Request is made available for review in the internal view of the Payment

Request feature of FFR. Grantees can track the progress of their request by reviewing the “Last Payment Status” in the search results or viewing the “Payment Request History”. To do so, click three-dot ellipsis next to Award Number and select **View Payment Request History**.

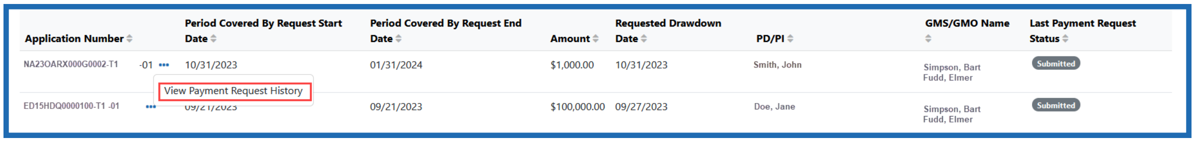


Figure 113: View Payment Request History is available in the action menu

The history shows the following submitted details from the Payment Request:

Event Number. A sequential number applied to each Payment Request that is made on the same project.

Requested Amt. The dollar amount that was requested.

Requested Draw Down Date. The drawdown date that was requested.

Period Covered by Request. The period of time the Payment Request was to cover.

Justification. The text provided in the Justification box of the Payment Request.

Status. The latest status of the Payment Request; if comments have been provided by the agency staff these will be available in this section.

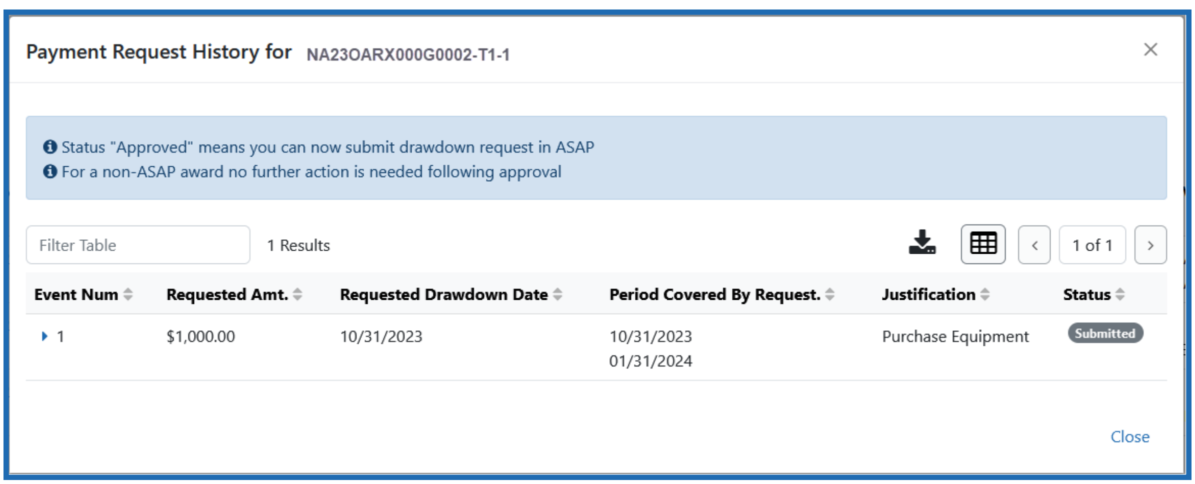


Figure 114: Payment Request History displays information for prior requests

Financial Conflict of Interest (FCOI) Module Overview

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* details how to manage the Financial Conflict of Interest (FCOI) reporting process for an Institution.The Financial Conflict of Interest (FCOI) reporting process allows institutions to report the existence of any identified financial conflicts of interest to the agency as required by the Federal regulation, specifically Title 42 Code of Federal Regulation Part 50 Subpart F for grants and cooperative agreements. The institution’s signing official (SO) completes this reporting process unless an FCOI role is delegated to another user (the SO can also assign the FCOI_ASST and FCOI_View roles to other users). To do this, the SO must log into the eRA Commons and navigate to the FCOI sub-system.

The FCOI module is an online interface within Commons that allows grantees and Federal staff to share information. The module is mandatory for all institutions. An institution's signing official completes this reporting process unless another Commons user is delegated with the proper authority to access the module.

The FCOI module in Commons allows institutional users to:

- Initiate and prepare FCOI reports
- Electronically submit reports and supporting documents as well as annual FCOI reports
- Receive notification via email upon the submission and receipt of an FCOI
- Search and view FCOI reports previously submitted through the Commons
- Revise an Initial 2011 FCOI Report to update FCOI data following completion of the Retrospective Review or to submit a Mitigation Report when bias is found following the completion of a Retrospective Review.
- Access history of actions
- Assign FCOI access to other Commons users

Additional information on the reporting requirements can be found within the *Frequently Asked Questions* on the Office of Extramural Research's Financial Conflict of Interest website at https://grants.nih.gov/grants/policy/coi/index.htm.

For more information on the FCOI module, refer to the FCOI topic of the Commons Online Help System (https://www.era.nih.gov/erahelp/commons/) or the *Financial Conflict of Interest (FCOI) External User Guide* (https://www.era.nih.gov/files/fcoi_user_guide.pdf).

Internet Assisted Review (IAR)

Internet Assisted Review (IAR) is an 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://www.era.nih.gov/erahelp/IAR_Rev.

Institution Profile Module (IPF)

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

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 *Institution Profile* consists of three main tabs:

Institution Basic Information

Institutional Assurances and Certifications

Policy Documents (SO only)

The tabs include information such as:

- Preferred institution name and contact information
- Name, email, and phone number for the SO(s)
- Unique entity identifier (UEI)
- Institutional Assurances
- Email addresses for electronic distribution of NoA and other communications notifications
- Financial conflict of interest policy (SO only)

IMPORTANT: Access to the Institution Profile is limited by role. Not every Commons user has access to the Institution Profile, and only users with the SO role can edit it. Only SOs see the Policy Documents tab, which contains the Institutional financial conflict of interest policy.

Navigating the Institution Profile

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

Select Institution Profile from the Main menu, as shown below.

Figure 115: The Institution Profile option in the main menu

This takes you to the Institution Profile landing page, where you can navigate using the top navigation, shown below:

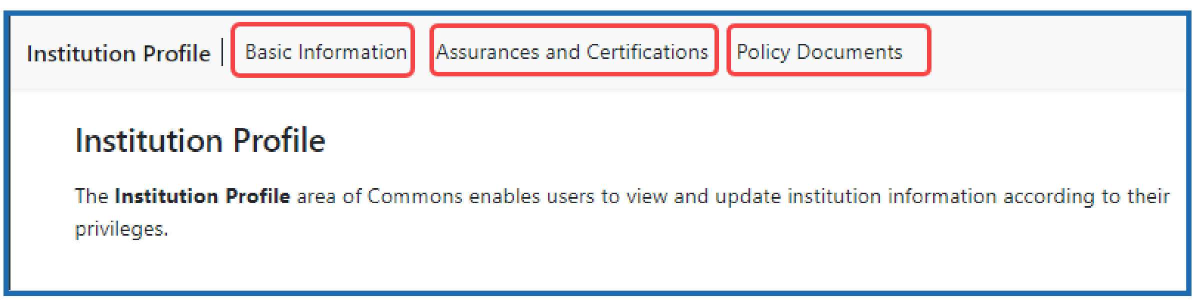


Figure 116: Institution Profile main navigation

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

The *Institution Profile* consists of three main screens:

Institution Basic Information

Institutional Assurances and Certifications

Policy Documents (SO only)

The first two screens are viewable for all who have access to the *Institution Profile* and editable to those with a signing official (SO) role. The Policy Documents screen is visible only to those with a SO role. Details of each section are discussed in separate topics. See the related topic list at the bottom of this screen for links to other topics.

The dashboard appears on all views of the profile, providing general information about the profile. See *Institution Profile Dashboard*.

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.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

Viewing the Information in the Institution Profile

View mode lets you see the information, while edit mode makes applicable data editable in text boxes (not all data can be edited). To see a section, click its heading name in navigation. To see all sections, click the **Expand All** button.

Editing the Information in the Institution Profile

If you hold the SO role, you can edit all sections of your institution's profile by clicking the **Edit** button at the top of the screen. This expands the sections and displays fields for editing. After updating the information, click the **Save All** button. To discard changes, click the **Discard Changes** button instead.

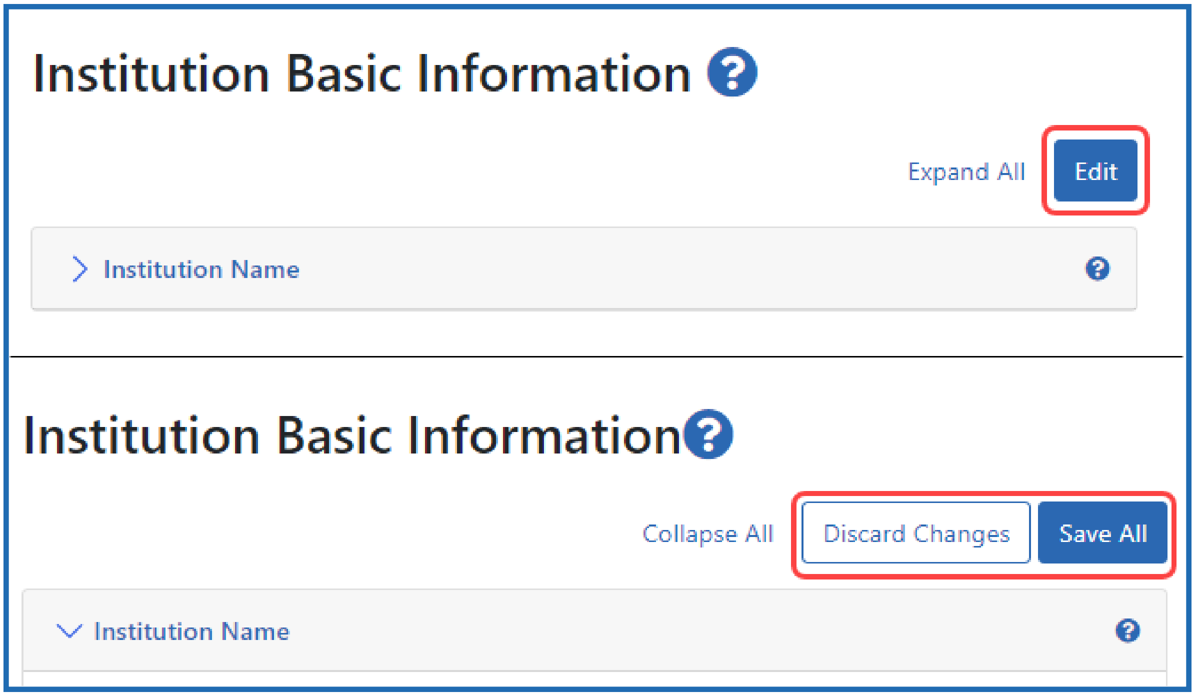


Figure 117: Institution Profile Edit, Discard Changes, and Save All buttons

Click the **Expand All** and **Collapse All** buttons to toggle between opening and closing all the sections.

NOTE: Closing a sections of the **Basic Information** screen is not the same thing as saving. If you navigate away from the screen without saving, your changes will be lost.

Institution Basic Information

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.

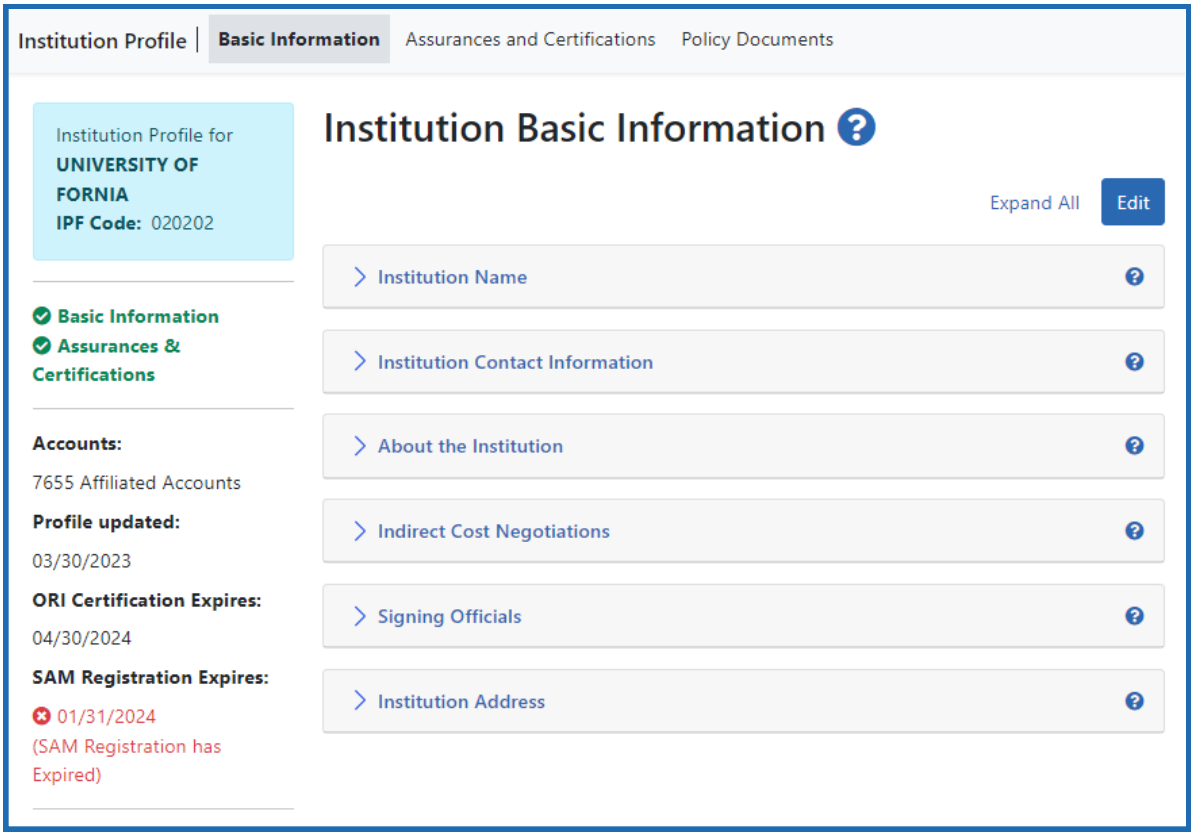


Figure 118: Institution Basic Information

View the **Institution Basic Information** section by clicking the **Basic Information** navigation item at top of Institutional Profile. To quickly expand all the sections on the page and see all data, click the **Expand All** link at top right of the screen. The link then changes to **Collapse All**, which closes all sections so just the heading appears.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

How Are Data Errors Indicated?

Each section has required fields. If information is missing or data is in the wrong format (for example an email address with no '@' sign), red font and error messages alert you. A general error displays at the top of the screen after you attempt to save, and specific error message appear adjacent to fields with errors.

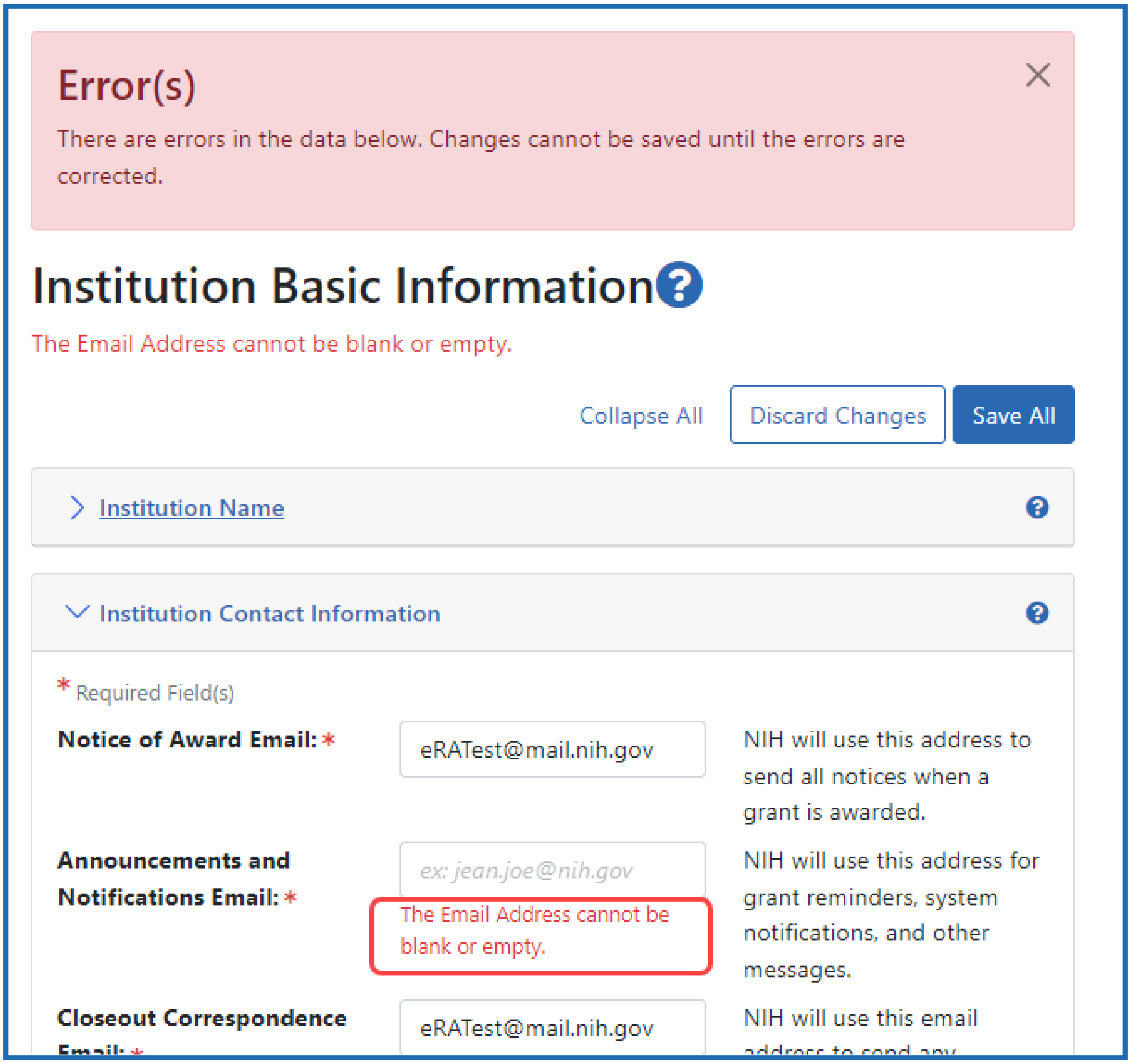


Figure 119: Institution Profile Error Message when a required field is empty

How to View and Edit Information

Expand sections by clicking either on the arrow or section name, outlined below.

Use the **Edit** button to make all sections editable (if your privileges are sufficient)

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

Use the **Expand All** link to expand all sections at once.

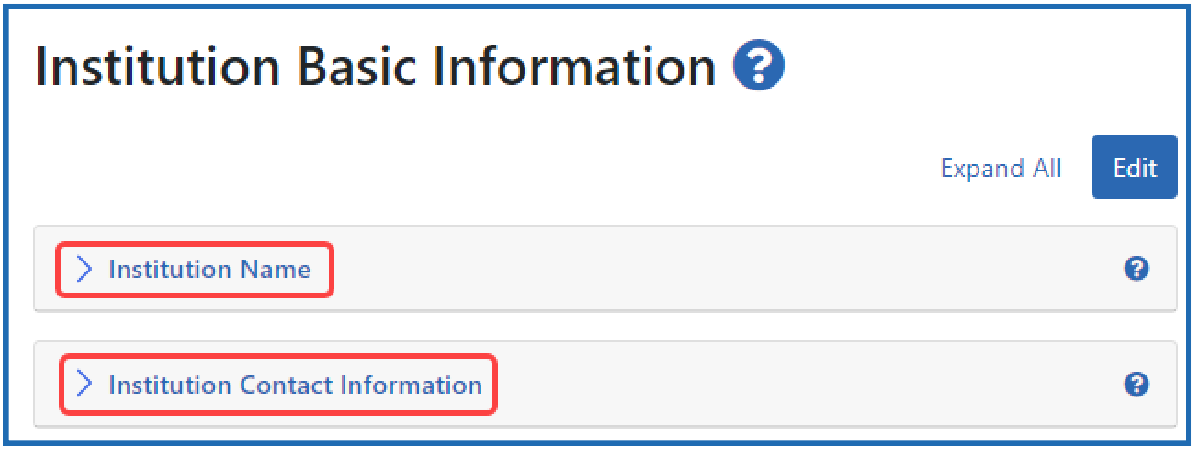


Figure 120: On the Basic Information screen, click the section name to expand it.

Refer to the topics below for information on each section.

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 registrations, etc. See *Institution Profile Dashboard*.

Institution Name

The **Institution Name** section of the *Institution Profile* lets you 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.

IMPORTANT: Only signing official (SO) users can see the [Policy Documents screen]() and [edit Institution Profile screens]().

Viewing Institution Name

Anyone with access to the Institution Profile can view the information in the **Institution Name** section of the profile by clicking its header title.

The information displays as read-only:

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

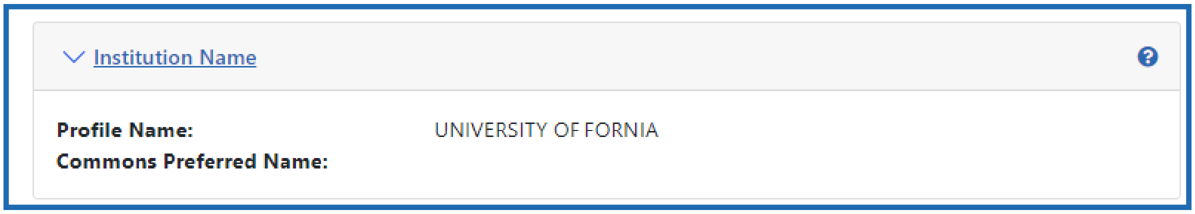


Figure 121: Institution Name section in View mode

Editing Institution Name

If you hold the SO role within an organization, you can edit its **Commons Preferred Name** in the Institution Profile. You cannot edit the Profile Name.

Click the **Edit** button at the top of the screen to display the **Commons Preferred Name** field for editing.

When you are done, click the **Save All** button at the top of the screen to save the changes. The **Save All** button saves the changes made in all sections. For information on errors, see *How Are Data Errors Indicated?* on page 244

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

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

Institution Contact Information

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

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

Viewing Institution Contact Information

You can view the information in the **Institution Contact Information** section of the profile by clicking its header title.

The information displays as read-only:

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

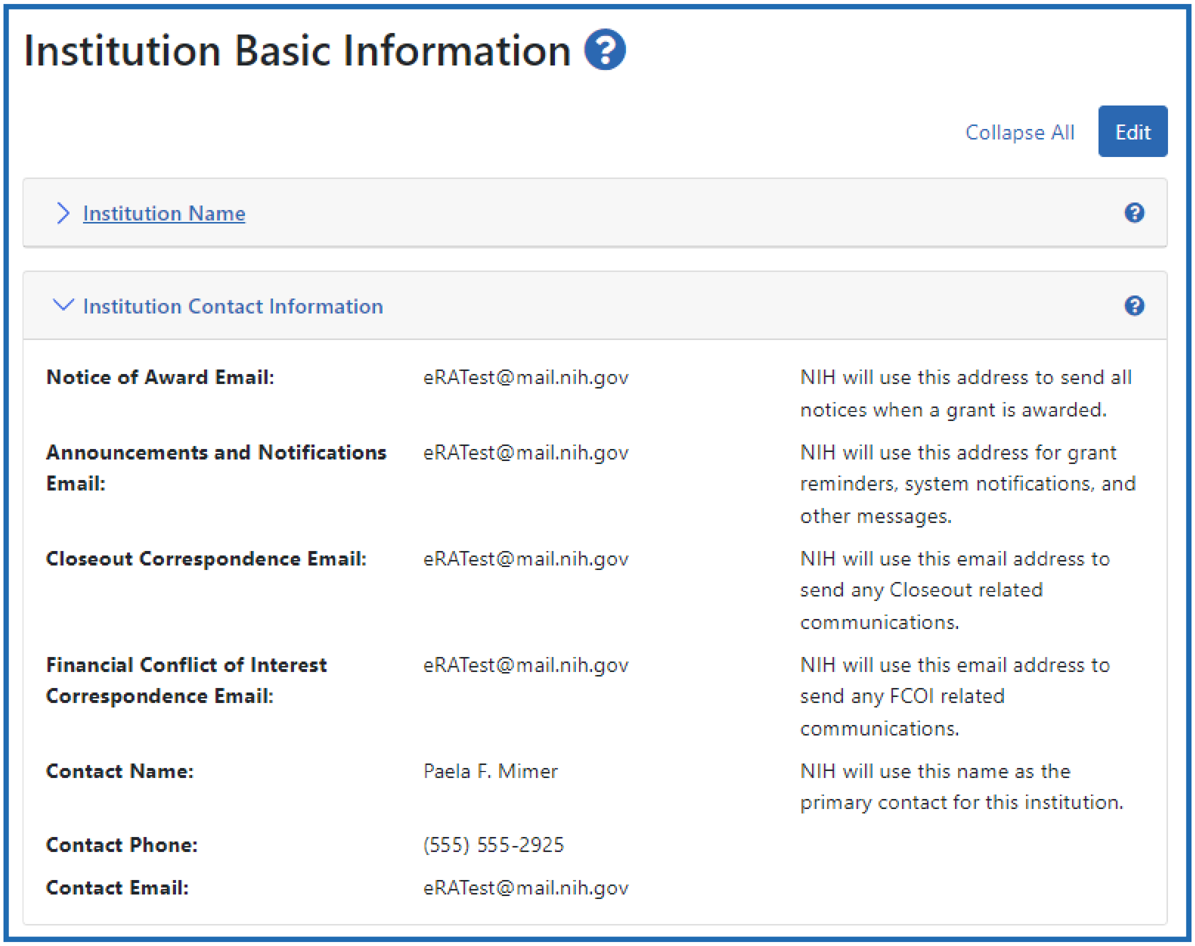


Figure 122: Institution Contact Information section in View Mode

Editing Institution Contact Information

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

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

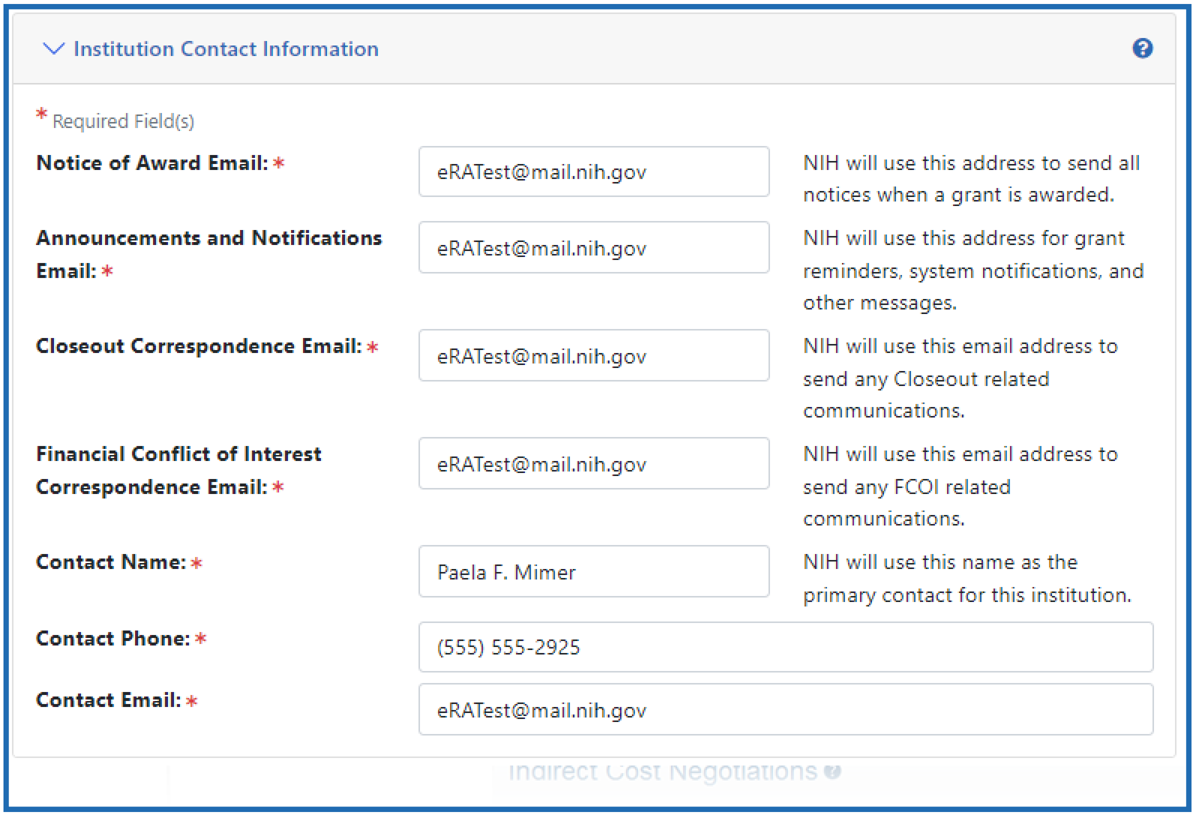


Figure 123: Institution Contact Information Component of IPF in Edit Mode

- **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, click the **Save All** button at the top of the screen to save the changes. The **Save All** button saves the changes made in all sections. For information on errors, see *How Are Data Errors Indicated?* on page 244

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

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

About the Institution

The **About the Institution** section of the *Institution Profile* lets you view information about your organization, such as unique entity identifiers (UEI), opportunity types your organization can apply for, and assurance numbers. If you hold the SO role within your organization, you can also edit some of this information.

For information about eligibility to apply for different opportunity types, see *Opportunity Type Eligibility* on page 253.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

Viewing About the Institution Information

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

- Clicking the **About the Institution** header
- Clicking the **+ View** button for **About the Institution**

The information displays as read-only:

- **Primary UEI**
- **Secondary UEI**
- **Opportunity Type Eligibility**
- **Federal-Wide Assurance Numbers**
- **Animal Welfare Assurance Number**
- **Organization Type**
- **Ownership Control**

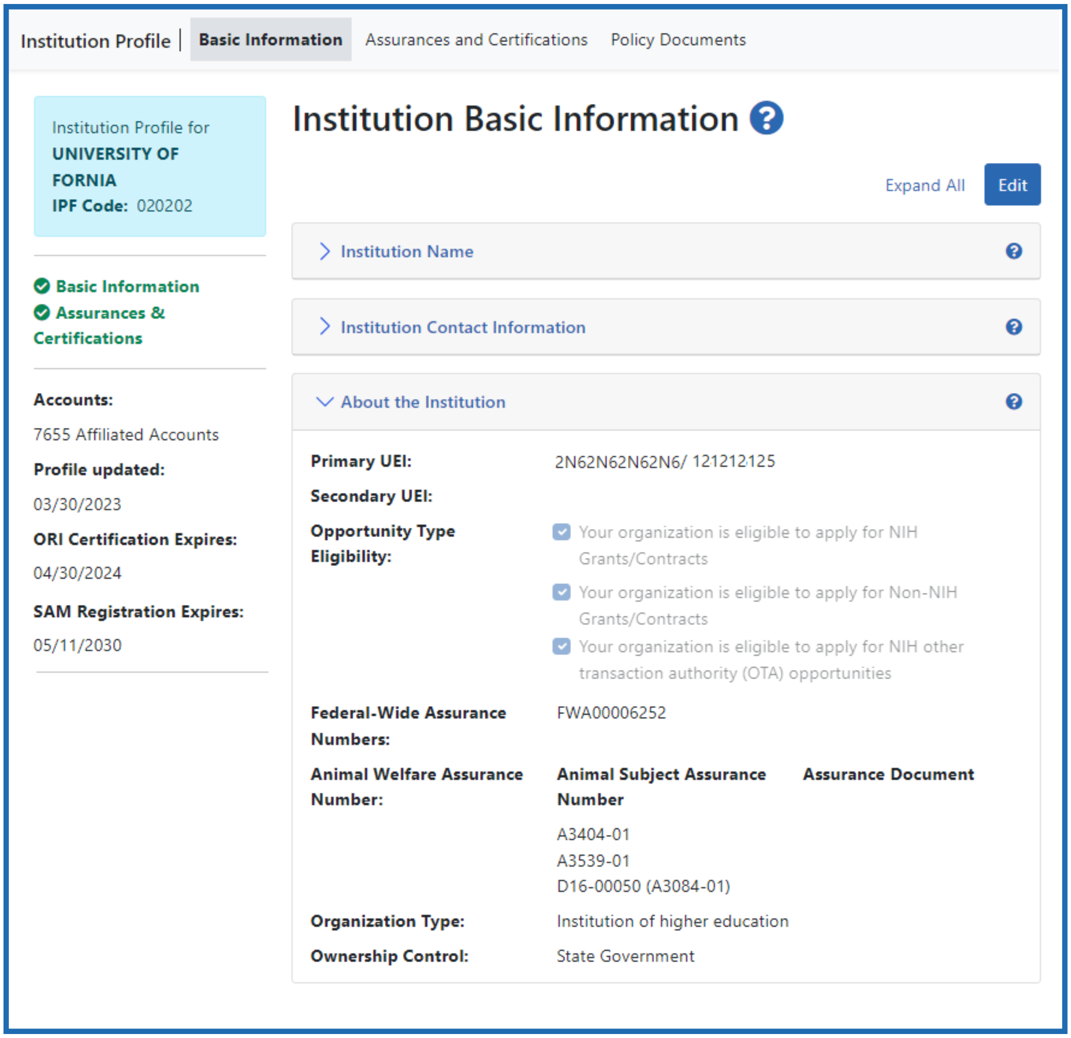


Figure 124: About the Institution of Institution Profile in View mode

Editing About the Institution

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

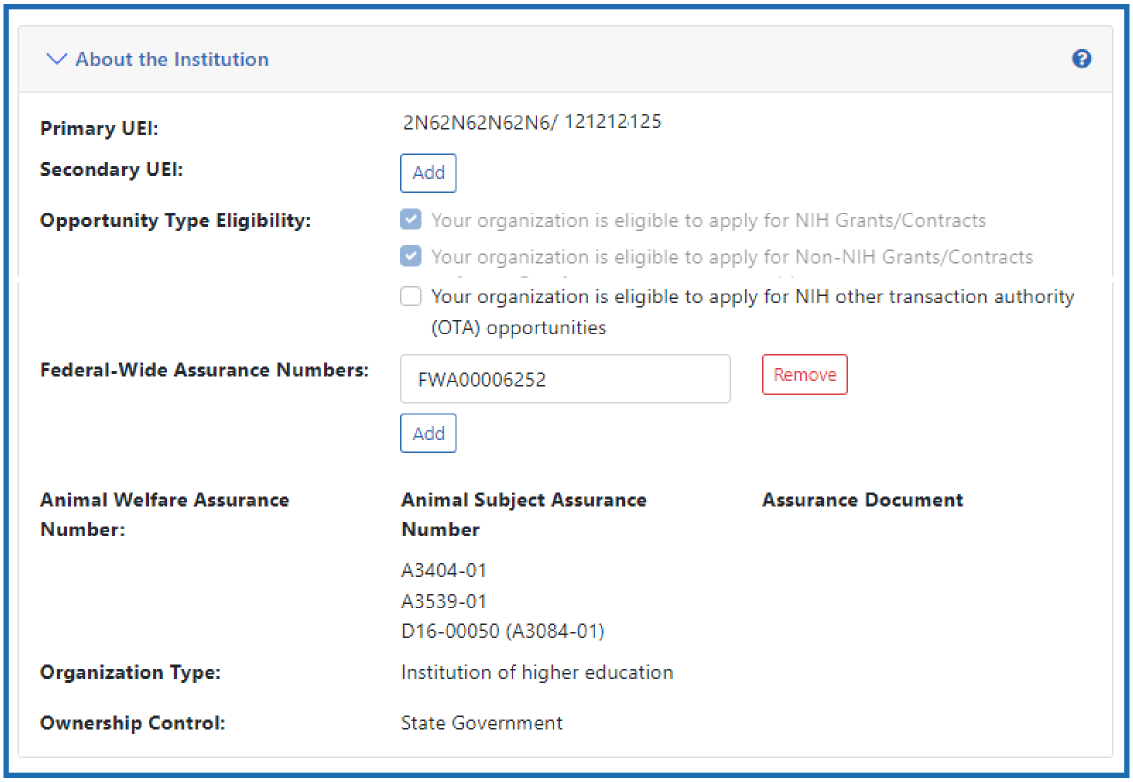


Figure 125: About the Institution in Edit mode

Click the **Edit** button at the top of the screen to make fields editable.

NOTE: Many fields are read-only, even in Edit mode, as they are populated with organizational information on file. The **Primary UEI** field reflects the primary UEI provided during the original institution registration. This number is not editable through Commons. To make changes to the primary UEI, please contact the eRA Service Desk for assistance.

The following fields are available for editing, but are not required:

Secondary UEI

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

- To add a secondary UEI number to the profile, click the **Add** button to display a text field. Enter the required 12 character UEI value.

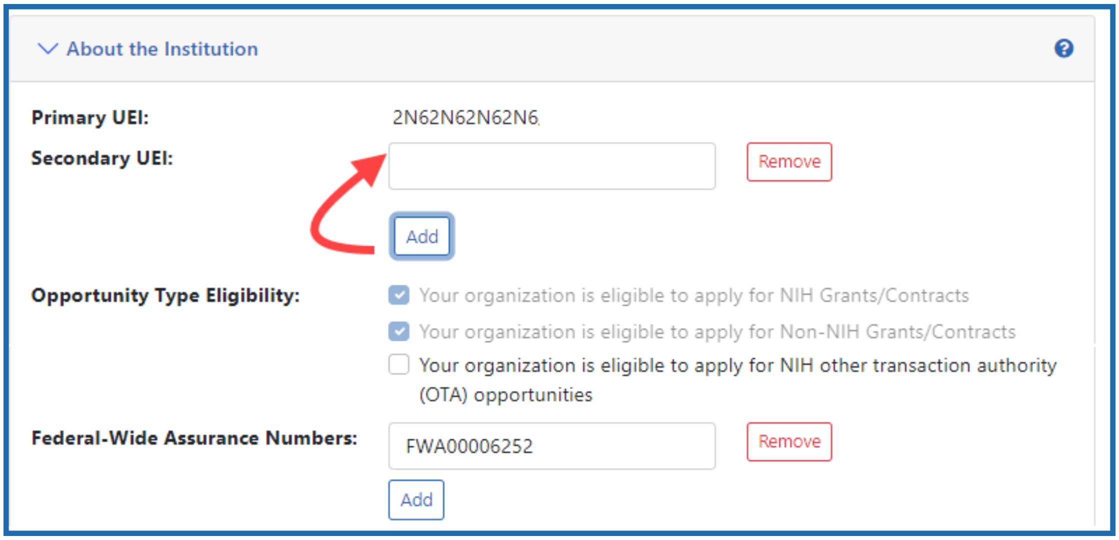
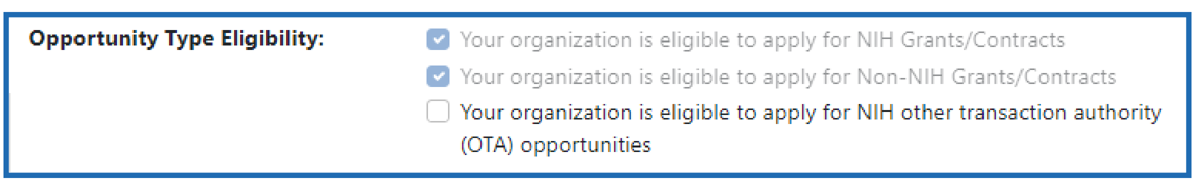


Figure 126: Secondary UEI text field displays when Add button is clicked

- To edit a secondary UEI , simply update the value in the editable text field.
- To remove a secondary UEI value, click its **Remove** button and then click **Remove** in the confirmation popup to complete the deletion.

Opportunity Type Eligibility

There are three opportunity types, and the institution is eligible for those types that have a marked checkbox. At least one of these types must be selected for the institution to be eligible to submit grant applications. Opportunity types were specified during the institution registration process (see *Registering an Institution* on page 51).



Opportunity types that were set during institution registration have their checkbox marked and **these are not editable even when you click the Edit button** (they cannot be unchecked). However, if your institution wants to expand the types of opportunities that it can submit applications for, you can mark the unchecked opportunity types to add these to the list of types of opportunities your institution can apply for. However, once you mark an additional opportunity type checkbox and save, you cannot ever unmark the checkbox.

The three types are:

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

Federal-Wide Assurance Numbers

The Federal-Wide Assurance 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 numbers for the institution as necessary.

- To add a Federal-Wide Assurance number to the profile, click the **Add** button to display an editable text field. Enter the Federal-Wide Assurance number into this field, then click the Save All button at the top of the screen.

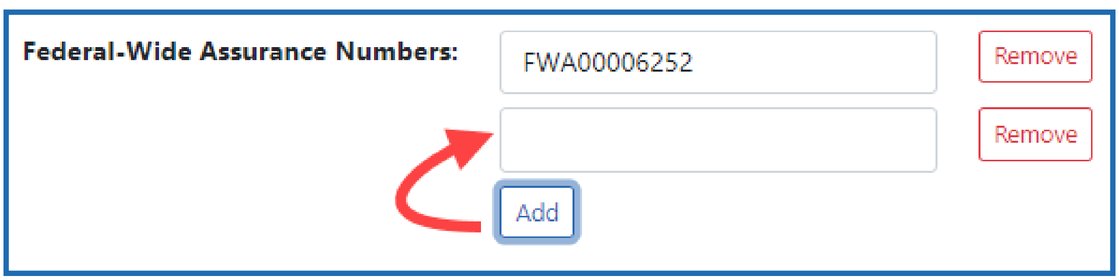


Figure 127: Federal-Wide Assurance Number text field displays when Add button is clicked

- To edit a Federal-Wide Assurance number, simply update the value in the editable text field.

- To remove a Federal-Wide Assurance number, click its **Remove** button and then click **Remove** in the confirmation popup to complete the deletion.

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 that OLAW has on file. If existing, a number in parentheses represents the old format number that corresponds to the new format number. This field is not editable.

When you are done, click the **Save All** button at the top of the screen to save the changes. The **Save All** button saves the changes made in all sections. For information on errors, see *How Are Data Errors Indicated?* on page 244

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

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

Indirect Cost Negotiations

The **indirect Cost Negotiations** section of the *Institution Profile* lets you view your organization's Negotiator and Last Negotiation Date.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

Viewing Indirect Cost Negotiations

You can view the information in the **Indirect Cost Negotiations** section of the profile by clicking its header title.

The information displays as read-only:

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

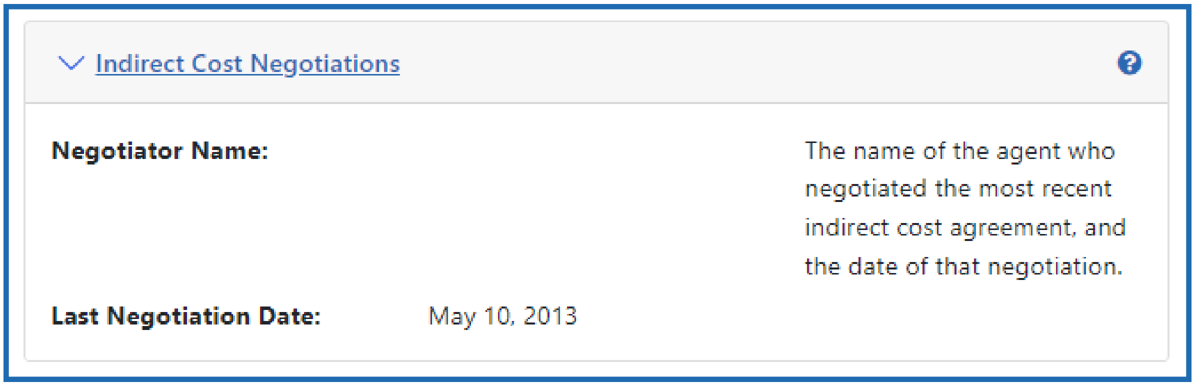


Figure 128: Indirect Cost Negotiations section in View mode

Editing Indirect Cost Negotiations

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

Click the **Edit** at the top of the screen to display all editable fields available in all sections. The following fields are available for editing in *Indirect Cost Negotiations*:

- **Negotiator Name**

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

- **Last Negotiation Date**

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

When you are done, click the **Save All** button at the top of the screen to save the changes. The **Save All** button saves the changes made in all sections. For information on errors, see *How Are Data Errors Indicated?* on page 244

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

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

Finding Your Signing Officials

You can find all signing official (SO) users in your institution. You might need to find a signing official for various reasons, because only signing officials can submit most documentation and reports. Signing officials (along with administrative officials--AOs-- and account administrators--AAs) can also manage and create new eRA Commons accounts. See *Signing Official (SO)* on page 128 for more information on signing officials.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

If you have a working eRA Commons account, use the *Signing Official* screen in the Institution Profile module to see a listing of signing officials, emails, and phone numbers (if available). If you need a new account or your account is not working, see the next section for finding a SO, then contact a SO for help.

Finding Signing Officials if You Don't Have an eRA Commons Account or Can't Login?

You need a signing official (SO) from your own organization to create a new account or reset your password or contact email. For most organizations, particularly institutions of higher learning, the SO is in the Office of Sponsored Research or similarly-named office. If your organization has any office that manages research, check with that office to see if they can provide SO contact information for your organization.

If you are unable to log in to Commons and cannot find the research office at your organization, contact the eRA Service Desk, which can provide you with contact information for your organization's SOs.

Finding Signing Officials After Logging Into eRA Commons

To see **Signing Officials** for your organization after logging into eRA Commons:

- Navigate to the Institution Profile module; see *Navigating the Institution Profile* on page 241.
- On the *Basic Information* screen, expand the Signing Officials section.

The information for each person displays as read-only.

- **Name**
- **Phone Number**
- **Email Address**

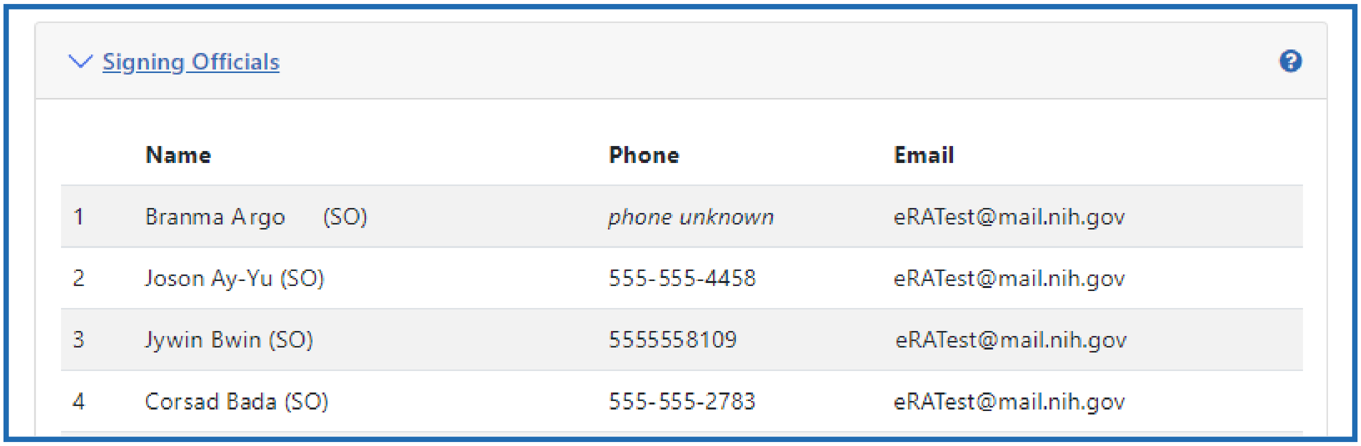


Figure 129: Signing Official Pane of Institution Profile

Institution Address

The **Institution Address** section of the *Institution Profile* lets you view address information for your organization including phone and fax numbers.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

Viewing Institution Address

You can view the information in the **Institution Address** section of the profile by clicking its header title.

The information displays as read-only:

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

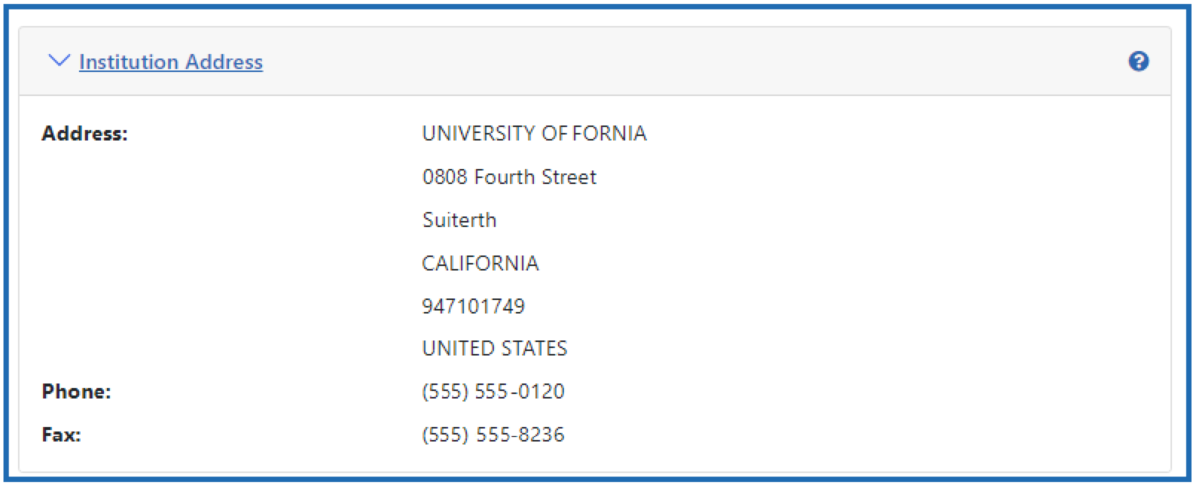


Figure 130: Institution Address section in View mode

Editing Institution Address

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

Click the **Edit** button at the top of the screen to display all editable fields available in all sections. The following fields are available for editing in the *Institution Address* section:

- **Street Address** (required)

  Enter the street address for the organization.

- **City** (required)

  Enter the city for the address.

- **Country** (required)

  Select a country value from the drop-down box.

- **State/Province** (required)

  Select a country value from the drop-down box.

- **Zip/Postal Code** (required)

  Enter the zip code for the address.

- **Phone** (required)

  Enter the phone number associated with the address above.

- **Fax** (optional)

  Enter the fax number associated with the address above.

When you are done, click the **Save All** button at the top of the screen to save the changes. The **Save All** button saves the changes made in all sections. For information on errors, see *How Are Data Errors Indicated?* on page 244

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

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

Institutional Assurances and Certifications

The **Institutional Assurances and Certifications** screen of the *Institution Profile* contains information about assurances and certifications that the institution possesses (such as, 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 lets users view and manage these assurances and certifications.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

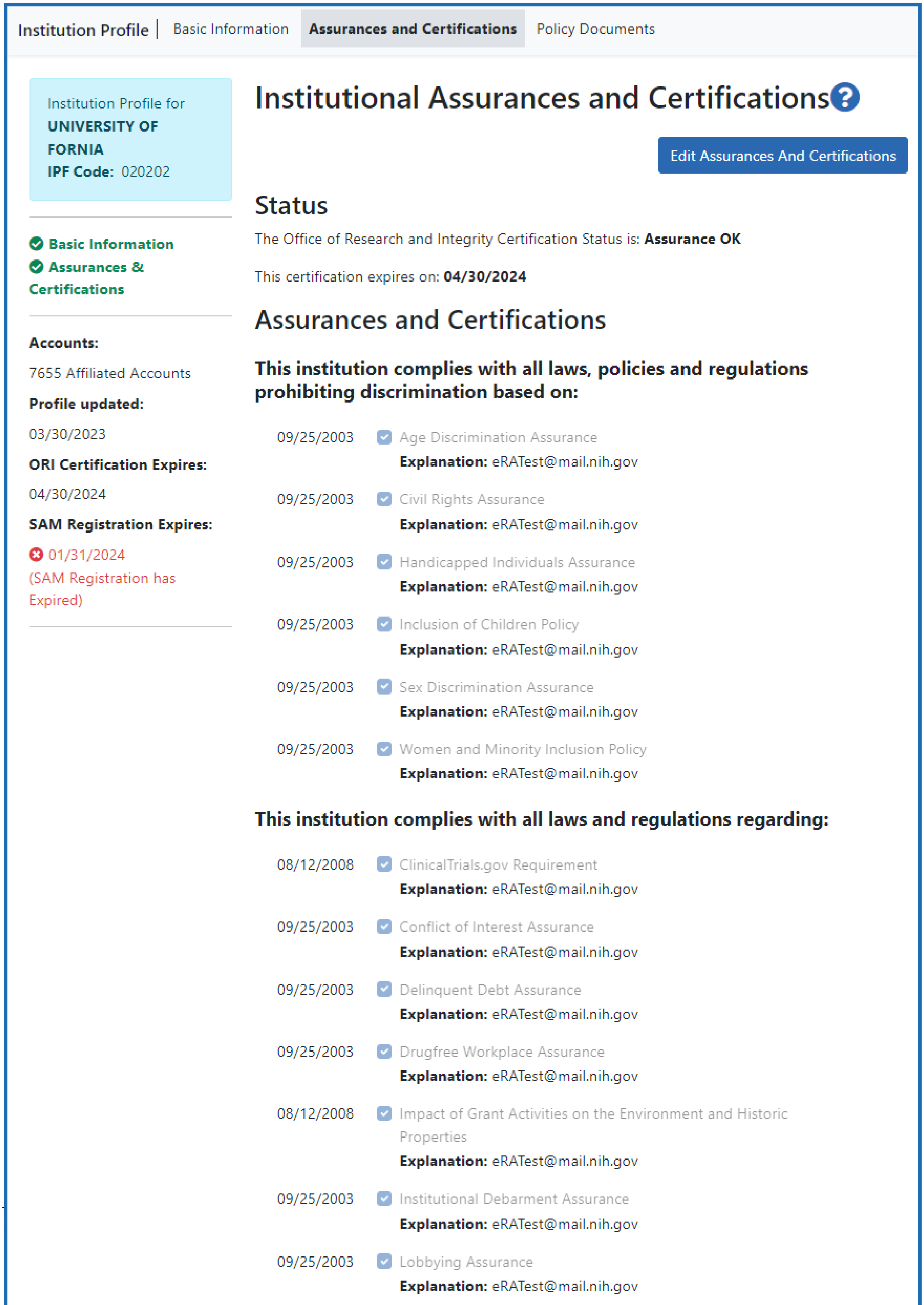

Institution Profile
Basic Information
Assurances and Certifications
Policy Documents
Institution Profile for
UNIVERSITY OF
FORNIA
IPF Code: 020202
Basic Information
Assurances & Certifications
Accounts:
7655 Affiliated Accounts
Profile updated:
03/30/2023
ORI Certification Expires:
04/30/2024
SAM Registration Expires:
01/31/2024
(SAM Registration has Expired)
Institutional Assurances and Certifications
Edit Assurances And Certifications
Status
The Office of Research and Integrity Certification Status is: Assurance OK
This certification expires on: 04/30/2024
Assurances and Certifications
This institution complies with all laws, policies and regulations prohibiting discrimination based on:
09/25/2003 Age Discrimination Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Civil Rights Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Handicapped Individuals Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Inclusion of Children Policy
Explanation: eRATest@mail.nih.gov
09/25/2003 Sex Discrimination Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Women and Minority Inclusion Policy
Explanation: eRATest@mail.nih.gov
This institution complies with all laws and regulations regarding:
08/12/2008 ClinicalTrials.gov Requirement
Explanation: eRATest@mail.nih.gov
09/25/2003 Conflict of Interest Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Delinquent Debt Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Drugfree Workplace Assurance
Explanation: eRATest@mail.nih.gov
08/12/2008 Impact of Grant Activities on the Environment and Historic Properties
Explanation: eRATest@mail.nih.gov
09/25/2003 Institutional Debarment Assurance
Explanation: eRATest@mail.nih.gov
09/25/2003 Lobbying Assurance
Explanation: eRATest@mail.nih.gov

Figure 131: Institutional Assurances and Certifications in View Mode

Click the **Assurances & Certifications** link in the top navigation of Institution Profile. For all users, the information is initially read-only; however, if you are a signing official (SO), you have the ability to edit.

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 detailed information about assurances:

1. Access the current Grants Policy Statement here (HTML or PDF): https://grants.nih.gov/policy/nihgps/index.htm
2. Once you are in the statement, search for "PUBLIC POLICY REQUIREMENTS" or even the name of a particular assurance, such as "smoke-free workplace" or "civil rights".

Editing the Assurances and Certifications

If you are an SO, you can edit the assurance and certifications in the Institution Profile.

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

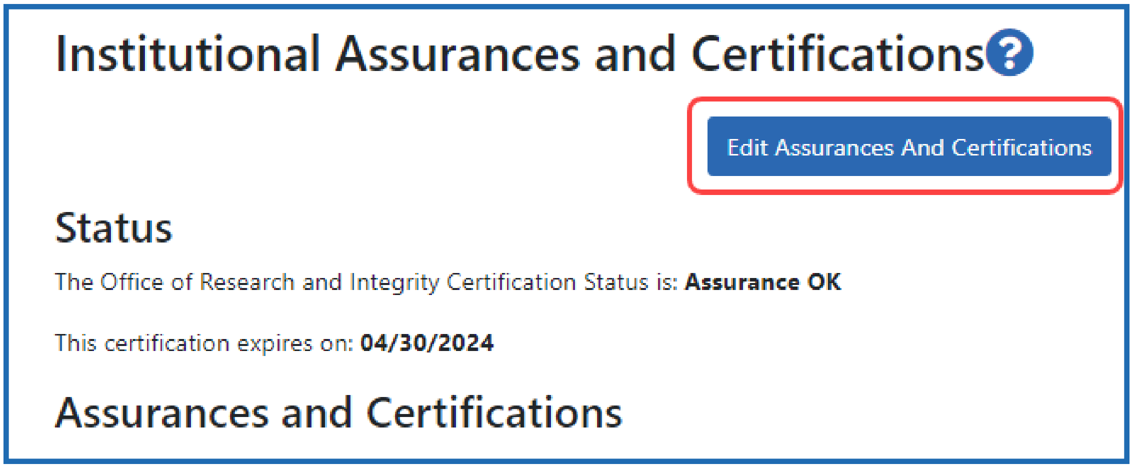


Figure 132: Edit Assurances and Certifications Button

Check or uncheck the certification and/or assurance indicator(s) as appropriate. A check-mark means your organization complies with the assurance/certification. You can also click the **(explain your answer)** link to access a text box in which you can provide additional information.

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

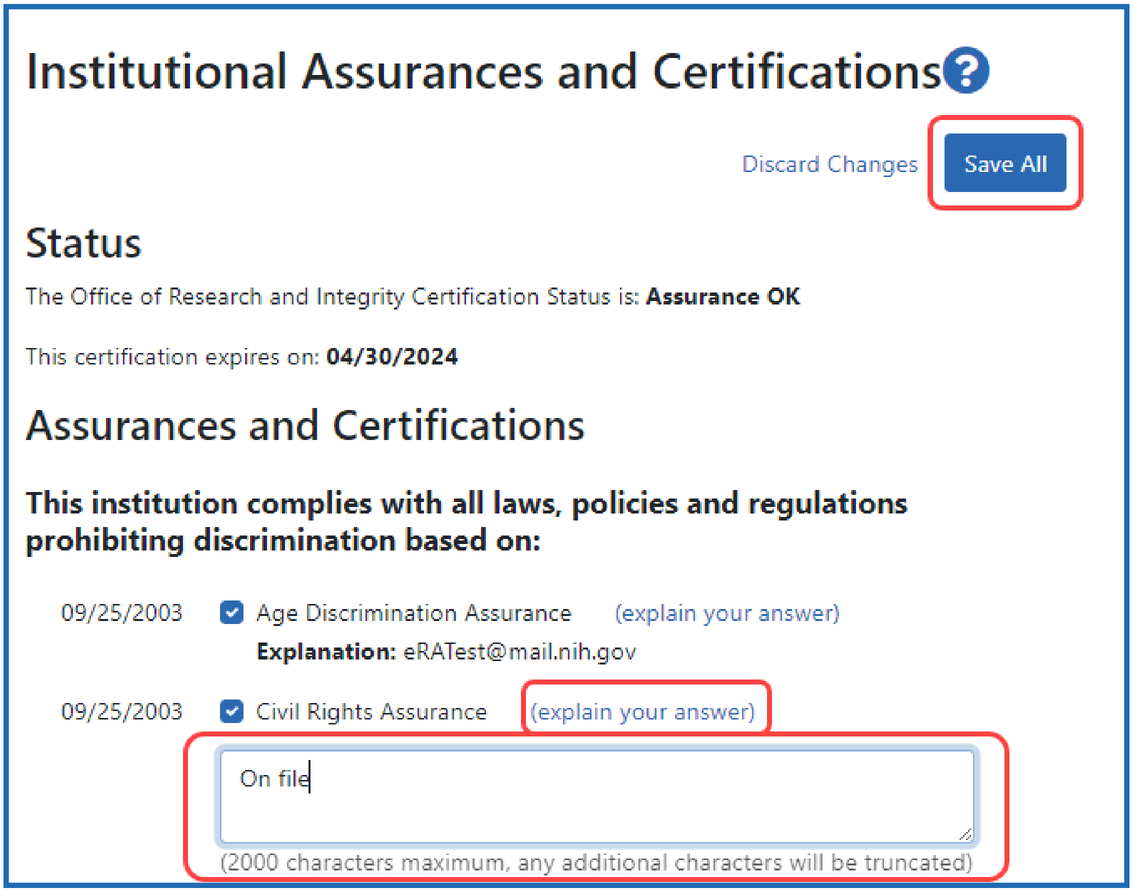


Figure 133: Editing Institutional Assurances and Certifications

List of Assurances/Certifications

The assurances and certifications 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

Institutional Financial Conflict of Interest Policy

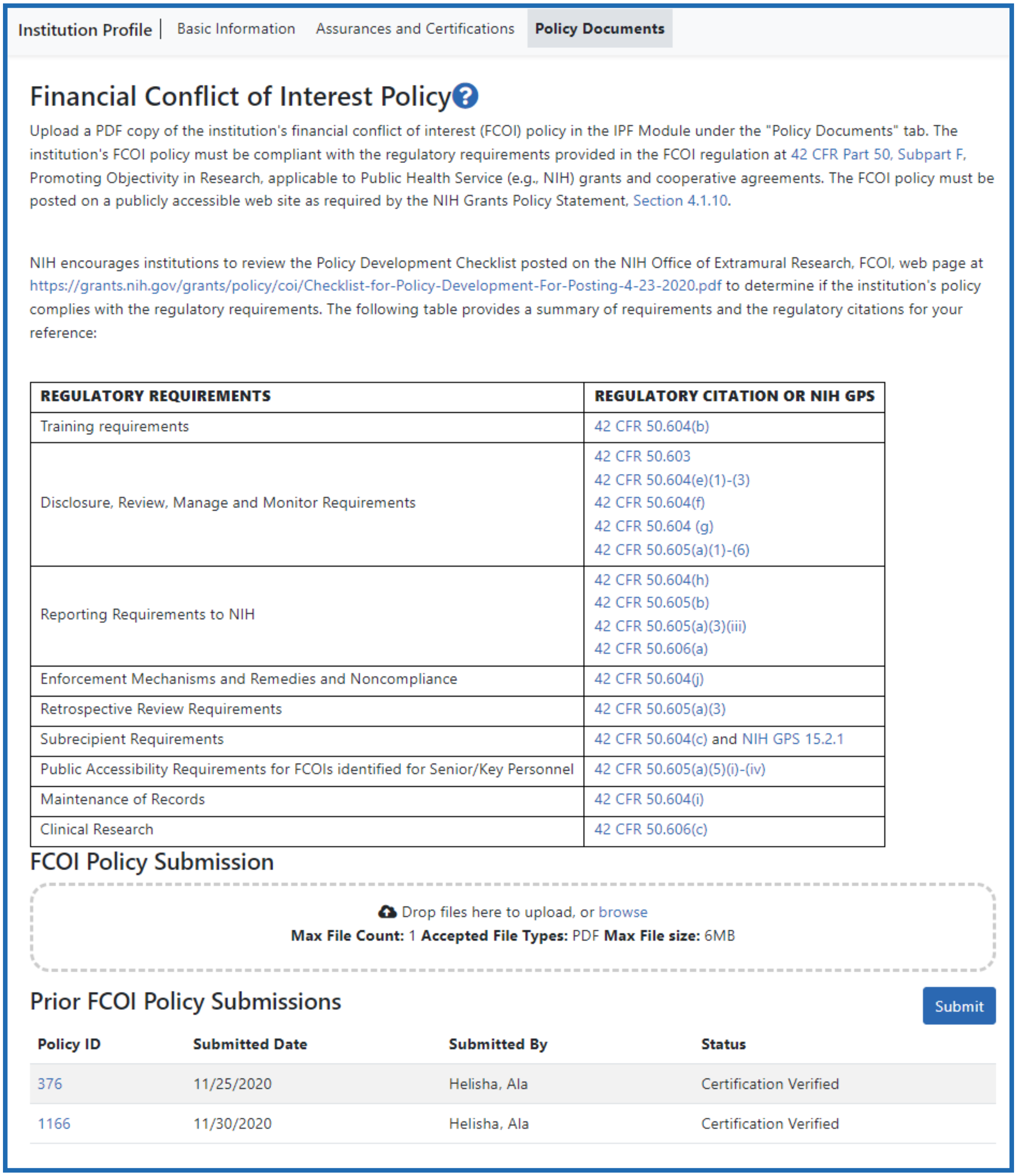
The *Policy Documents* screen of the Institution Profile module lets you upload your institution's Financial Conflict of Interest (FCOI) policy. Effective November 12, 2020, each institution must upload its FCOI policy to eRA Commons for review. The institutional FCOI is required and defined by regulations, which are linked on the *Policy Documents* tab in the Institution Profile module.

The policy must be in PDF format under 6 MB in size. After uploading, NIH staff will review the policy and reject or accept it, and will notify you via one of your listed contact methods. For more information, refer to the Guide Notice NOT-OD-21-002 as well as the table of regulatory requirements on the Policy Documents tab.

IMPORTANT: Only signing official (SO) users can see the Policy Documents screen and edit Institution Profile screens.

Accessing the Financial Conflict of Interest Policy Screen

Log into eRA Commons as a signing official (SO), go to the *Institution Profile,* and then click *Policy Documents* in top navigation. The Financial Conflict of Interest Policy screen appears.



Institution Profile | Basic Information Assurances and Certifications **Policy Documents**

Financial Conflict of Interest Policy

Upload a PDF copy of the institution's financial conflict of interest (FCOI) policy in the IPF Module under the "Policy Documents" tab. The institution's FCOI policy must be compliant with the regulatory requirements provided in the FCOI regulation at 42 CFR Part 50, Subpart F, Promoting Objectivity in Research, applicable to Public Health Service (e.g., NIH) grants and cooperative agreements. The FCOI policy must be posted on a publicly accessible web site as required by the NIH Grants Policy Statement, Section 4.1.10.

NIH encourages institutions to review the Policy Development Checklist posted on the NIH Office of Extramural Research, FCOI, web page at https://grants.nih.gov/grants/policy/coi/Checklist-for-Policy-Development-For-Posting-4-23-2020.pdf to determine if the institution's policy complies with the regulatory requirements. The following table provides a summary of requirements and the regulatory citations for your reference:

REGULATORY REQUIREMENTS	REGULATORY CITATION OR NIH GPS
Training requirements	42 CFR 50.604(b)
Disclosure, Review, Manage and Monitor Requirements	42 CFR 50.603 42 CFR 50.604(e)(1)-(3) 42 CFR 50.604(f) 42 CFR 50.604 (g) 42 CFR 50.605(a)(1)-(6)
Reporting Requirements to NIH	42 CFR 50.604(h) 42 CFR 50.605(b) 42 CFR 50.605(a)(3)(iii) 42 CFR 50.606(a)
Enforcement Mechanisms and Remedies and Noncompliance	42 CFR 50.604(j)
Retrospective Review Requirements	42 CFR 50.605(a)(3)
Subrecipient Requirements	42 CFR 50.604(c) and NIH GPS 15.2.1
Public Accessibility Requirements for FCOIs identified for Senior/Key Personnel	42 CFR 50.605(a)(5)(i)-(iv)
Maintenance of Records	42 CFR 50.604(i)
Clinical Research	42 CFR 50.606(c)

FCOI Policy Submission

Drop files here to upload, or browse
Max File Count: 1 **Accepted File Types:** PDF **Max File size:** 6MB

Prior FCOI Policy Submissions

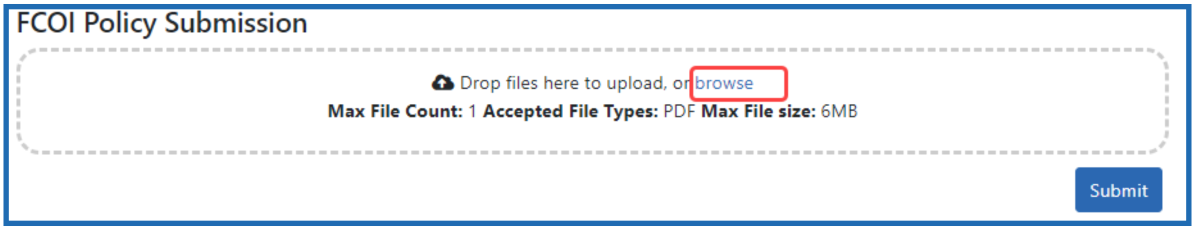
Submit

Policy ID	Submitted Date	Submitted By	Status
376	11/25/2020	Helisha, Ala	Certification Verified
1166	11/30/2020	Helisha, Ala	Certification Verified

Figure 134: Policy Documents tab of Institution Profile, where you can upload the institute's FCOI policy and view prior policies that were submitted

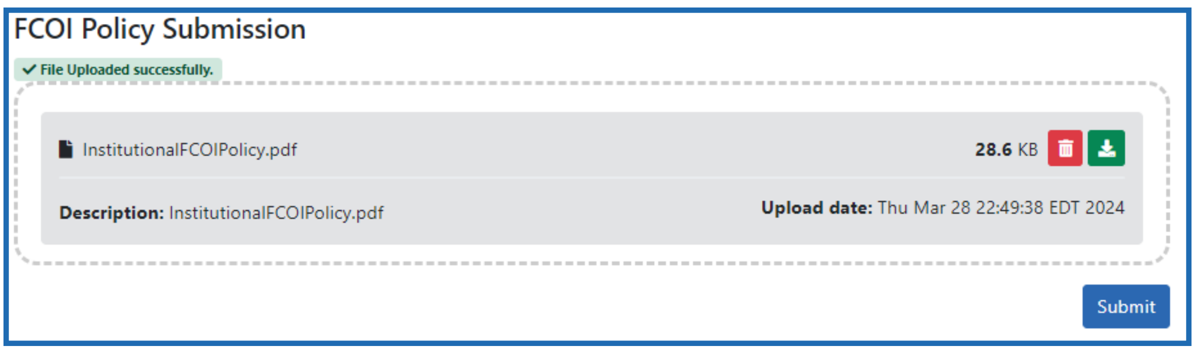
To upload your FCOI policy to eRA Commons for agency approval:

1. On the *Policy Documents* tab of the Institution Profile module, either drag a file to the 'Drop files here...' area or click the **browse** link (outlined below) to find a file on your drive.



FCOI Policy Submission area to upload a policy document

The file appears with a trash can icon and a download icon. At this point, you can delete the file by clicking the trash can icon or view it by clicking the download button.



Uploaded file with a trash can icon and download icon

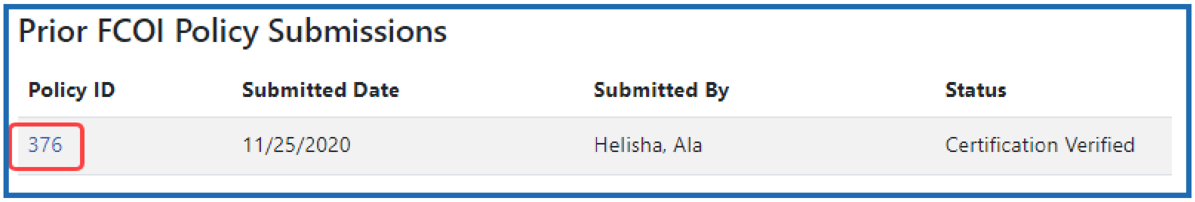
2. To submit the file that is listed, click the **Submit** button.

A new submission is then added to the *Prior FCOI Policy Submissions* section listing you as the submitter. If you make a mistake, you can simply upload another PDF file and it replaces the first. The file will be routed to agency officials for review.

TIP: If nothing appears to happen when you upload and the words **!Invalid file** appear in the upload area, the file might not meet file requirements listed in the upload area. You can upload only a single file.

To view the FCOI policy that was previously submitted:

On the *Policy Documents* tab of the Institution Profile module, click the **Policy ID** number in the *Prior FCOI Policy Submissions* area.



The PDF opens in your system PDF viewer.

To resubmit an FCOI policy that has been updated:

On the *Policy Documents* tab of the Institution Profile module, simply upload a new file, then click **Submit**. If someone from NIH had contacted you about the policy, notify them of the re-submission.

See:

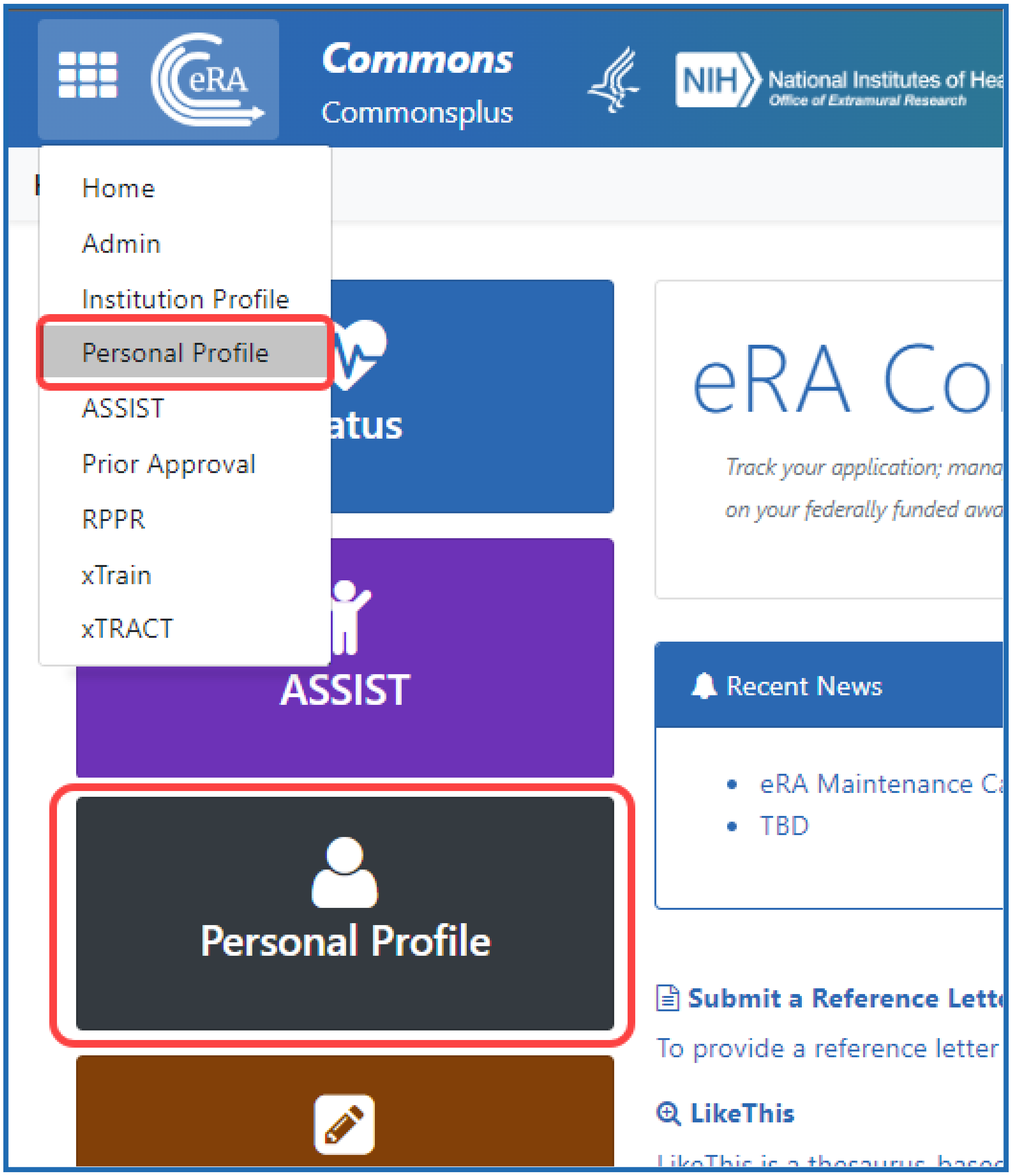
Institution Basic Information on page 243

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

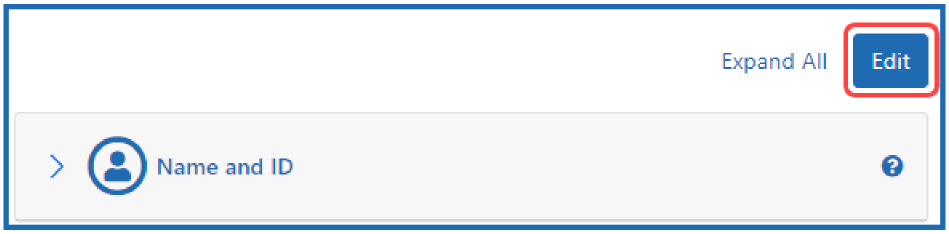
Accessing Personal Profile

Access Personal Profile by clicking the Main menu / eRA menu and selecting Personal Profile, or by clicking the Personal Profile button on the eRA Home page. See below.



Editing and Saving Personal Profile Information

To edit Personal Profile, click the **Edit** button above the *Name and ID* section, make changes, then click the **Save All** button. Navigating away from the Personal Profile turns Edit mode off without saving. Also see *What's the Difference Between View and Edit?* on page 242.



IMPORTANT: To save any profile changes, you must click the **Save All** button, which is located at the top right of the screen. You can save profile changes ONLY after fixing ALL error items in red/pink that show a red x ( ), even those unrelated to your current change. If you save while errors exist, changes are NOT saved and you see an error message.

The personal profile is divided into sections of information and includes:

- **Name and ID.** Personal information such as name, email, date of birth, citizenship status
- **Demographics.** Race, ethnicity, sex. Trainees are additionally asked about disadvantaged status and federal debt.
- **Employment.** Current and past employment history
- **Reviewer Information.** (only peer reviewers see this) Work address for those users serving as peer reviewers as well as honorarium information
- **Trainee Information.** (only trainees see this) Trainee permanent address for those with Trainee roles using the xTrain module
- **Education.** Degrees and post-graduate clinical training information
- **Reference Letters.** (principal investigators only) Data about letters of reference submitted to NIH
- **Publications.** (does not appear for all users) Access to MY NCBI, at which publications can be viewed
- **xTRACT Information.** (does not appear for all users) Provides a link to xTRACT module for trainees, participants, or scholars on a training grant, research edu-

cation award, or institutional career development award, where you can update the training institution on subsequent educational activities.

NOTE: Depending on your Commons role, you might not have access to all sections of the Personal Profile.

Prior Approval Module

NIH Policy allows grantees a level of discretion when making changes to budgeting or grant-related activities. However, some changes require written prior approval.

The Prior Approval module lets program director/principal investigators (PD/PIs) and signing officials (SOs) respond to a 500K prior approval invitations from the granting agency or to withdraw a successfully submitted grant application that has not yet been awarded. In addition, SOs can also request a change of the PD/PI on a grant and request No Cost Extensions when the grant meets specific conditions. The SO can create a Carry-over request, which is a process through which unobligated funds remaining at the end of the budget period may be carried forward to the next budget period. The Other Request type is limited to SOs who want to make a generic award change request for FDA or NIH awards only. Use of the Other Request type is up to the discretion of the Institute/Center (IC) for NIH use. NIH recipients subject to the NIH Data Management and Sharing (DMS) Policy must use the DMS Request to submit revisions to their approved DMS plan.

SOs and PIs can access the Prior Approval module by logging into eRA Commons and then clicking *Prior Approval* in eRA Commons navigation.

NOTE: To initiate a $500K request, contact your program official, who can initiate it for you. (See the 500K section for more detail.) **Policy**: See section 2.3.7.2 under "Policies Affecting Applications"

To access the Prior Approval module:

See *Viewing and Initiating Requests* on page 274.

Viewing and Initiating Requests

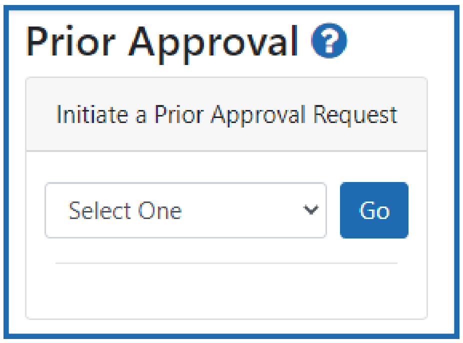
When you open the Prior Approval module, you see a list of requests that are *in progress*. If they are not yet submitted, you can modify in progress requests. You can also search for awards that are eligible for each request type and initiate a new request.

Depending on your role, you can perform different tasks in Prior Approval. Because signing officials (SO) can potentially see dozens or hundreds of grants, they have options for searching and narrowing the results. Principal investigators (PI), who will see fewer grants, can use toggles for quickly narrowing the results with three different criteria.

Initiate a Prior Approval Request

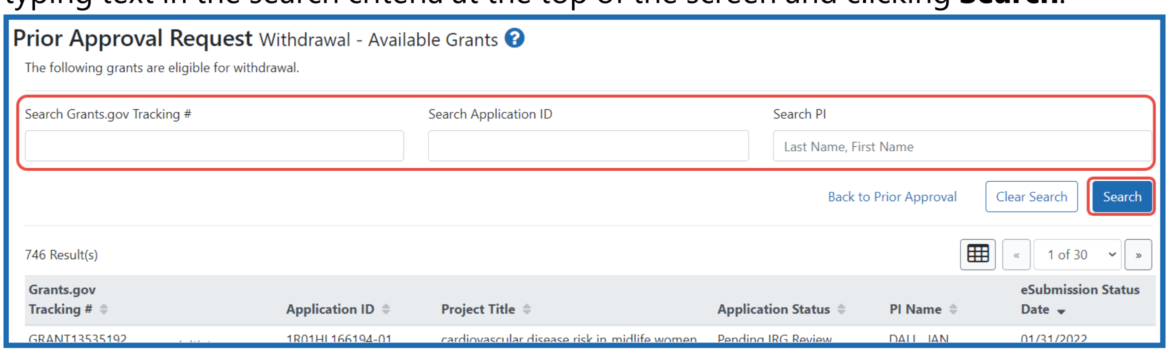
To initiate a Prior Approval Request:

1. Log in to eRA Commons; see *Logging into eRA Commons* on page 62.
2. [Navigate to the **Prior Approval** module].
3. On the Prior Approval landing page, select the type of request from the dropdown at the top of the screen and click the **Go** button.

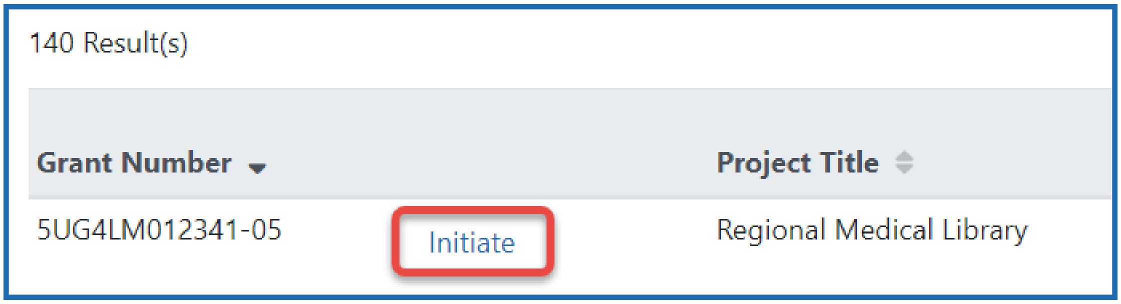


Listed in search results are all grants under your jurisdiction that are eligible for the request type you selected. Help topics for each request type lists eligibility criteria; see the topic links at the bottom of this topic .

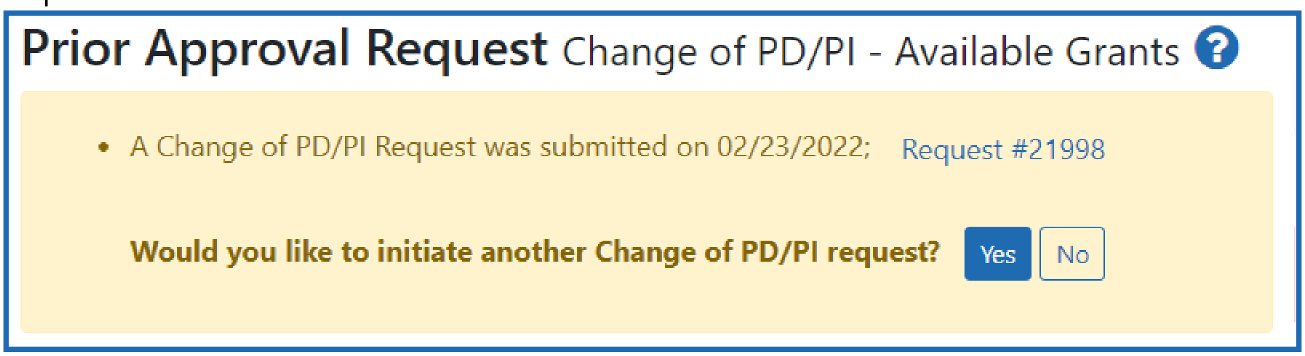
NOTE: *SO only:* In the list of results, you can narrow the results to find a grant by typing text in the search criteria at the top of the screen and clicking **Search**:



4. Click the **Initiate** link for the appropriate grant.



If the grant selected already has a request already pending in Prior Approval, you see a message, which contains a linked pending request number and option to initiate another request.



The request details screen opens for the type of request you initiated. For details on editing a specific type of request, see:

Prior Approval - No Cost Extension on page 283 (SO only)

Prior Approval - Other Request on page 286 (SO only)

Prior Approval - Withdrawal Request on page 288 (SO or PI)

Prior Approval - Carryover Request on page 291 (SO only)

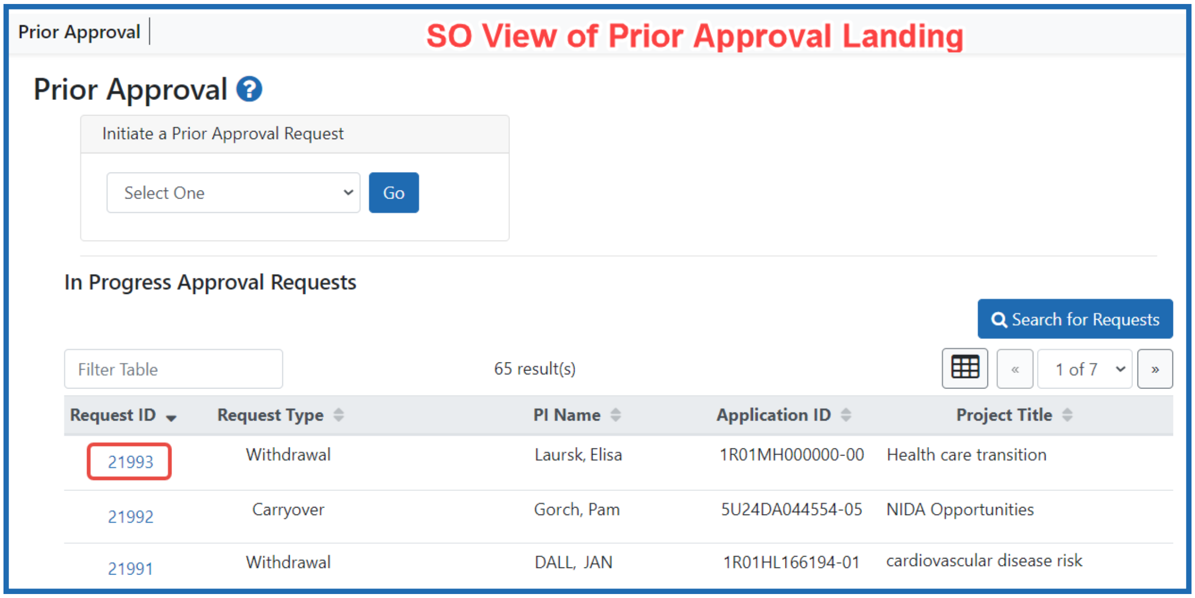
Prior Approval - Change of PD/PI on a Grant on page 297 (SO only)

Prior Approval - $500K Request on page 302 (SO or PI)

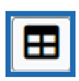
Prior Approval - DMS Request on page 295 (SO only)

Prior Approval for Signing Officials

If you are a signing official (SO), you see a list of all requests for your institution on the *Prior Approval* landing page, along with a **Search for Requests** button to narrow the results.



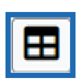
On the main Prior Approval screen, if you are an **SO**, you can:

- Click the linked **Request ID** for an existing request to view/modify that request.
- Initiate a request; see *Initiate a Prior Approval Request* on page 275
- Use the Grid tool  to determine how many rows of in-progress requests are listed per page.
- Search for existing requests; see *Searching for and Modifying Existing Prior Approval Requests* on page 279.

Prior Approval for Program Directors/Principal Investigators

If you are a program director/principal investigator (PD/PI), then on the *Prior Approval* landing page you see a list of all requests made for your own applications/grants or those that have been routed to you.

On the main Prior Approval screen, if you are a **PI**, you can:

- Initiate a *Withdrawal Request* or respond to a *500K invitation* (if one exists); see *Initiate a Prior Approval Request* on page 275. 500K requests appear only under certain conditions; see *Prior Approval - $500K Request* on page 302.
- Modify an *in progress* request by clicking the three-dot ellipsis icon and selecting **Modify**.
- View an *in progress* request that is currently assigned to someone else. For instance, if you worked on a Withdrawal or 500K request and then routed it to the SO, you can still view the request, but you cannot modify it. In this case, you would by click the three-dot ellipsis icon and select **View**.
- Use the Grid tool  to determine how many rows of in-progress requests are listed per page.
- Limit the list of in progress requests to only certain statuses by clicking the appropriate toggle: *In Progress SO* (assigned to the SO, either by SO initiation or routing from a PI), *In Progress PI* (assigned to the PI, either by PI initiation or routing from a

SO) or *Submitted to Agency*. Submitted requests cannot be changed, but you can view their history or view the PDF of the final information submitted.

Searching for and Modifying Existing Prior Approval Requests

Signing officials (SO), who see all the in progress Prior Approval requests at their institution, have a **Search for Requests** button on the *Prior Approval* landing screen as well as a **Filter Table** field to find records with matching text. An SO can search for, view, and modify in progress requests for the institution to which the SO is affiliated.

A principal investigator (PI), who typically has few in progress requests, can filter using three quick toggles. The PI sees self-initiated requests or requests that have been routed to the PI.

SO: Search for a Request

1. On the Prior Approval landing page, click **Search For Requests**.
2. Alternatively, you can type text in the **Filter Table** field to show only those records with matching text, and you can click the request ID of any in progress item to

modify it.

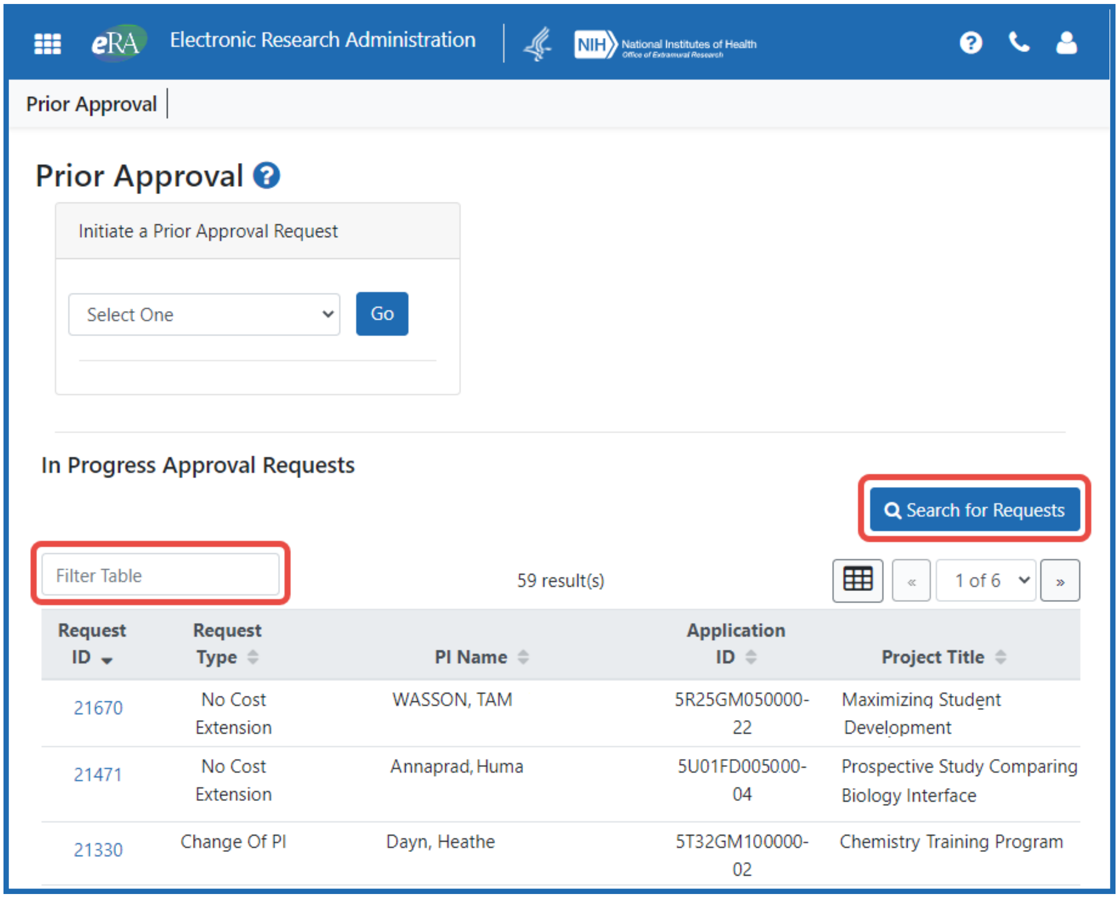


Figure 135: Prior Approval search results showing 'in progress' requests with Search button and filter field outlined

The "Search Prior Approval Requests" screen opens, where you enter search criteria.

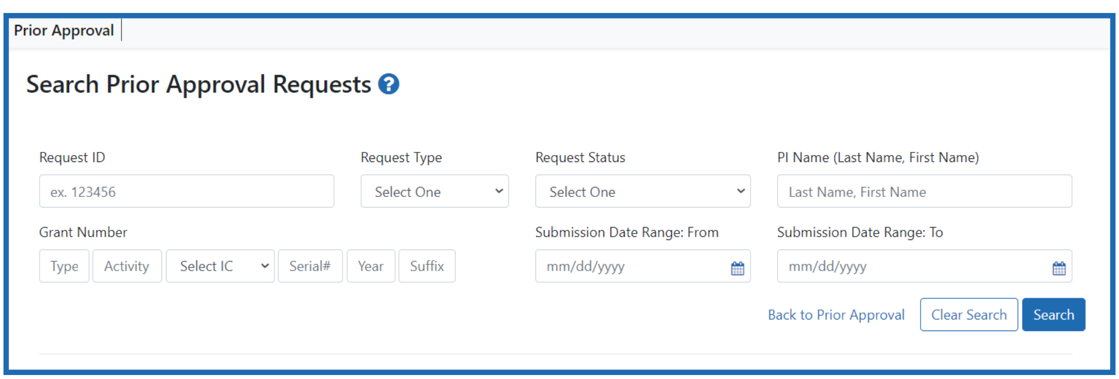


Figure 136: Search Prior Approval Requests screen - criteria for searching

1. Specify the following criteria and click **Search**:
   - Request ID
   - Request Type. Lets you narrow your search to just one of the Prior Approval request types.
   - Request Status. Lets you search for *In Progress SO* (assigned to the SO, either by SO initiation or routing from a PI), *In Progress PI* (assigned to the PI, either by PI initiation or routing from a SO) or *Submitted to Agency*. Submitted requests cannot be changed, but you can view their history or view the PDF of the final information submitted.
   - PI Name. Names of valid, matching PIs begin to appear as you begin typing
   - Each discrete part of the grant number (Activity Code, IC, Serial, etc)
   - Submission Date Range (From: and To:)
2. In the results, use the three-dot ellipsis menu on a record to perform actions, such as viewing the PDF or history, or modifying (if not yet submitted). If the request has been routed, you see **View** under the three-dot ellipsis menu, which opens a read-only view of the request's details. Also see *Viewing History of a Request* on page 307.

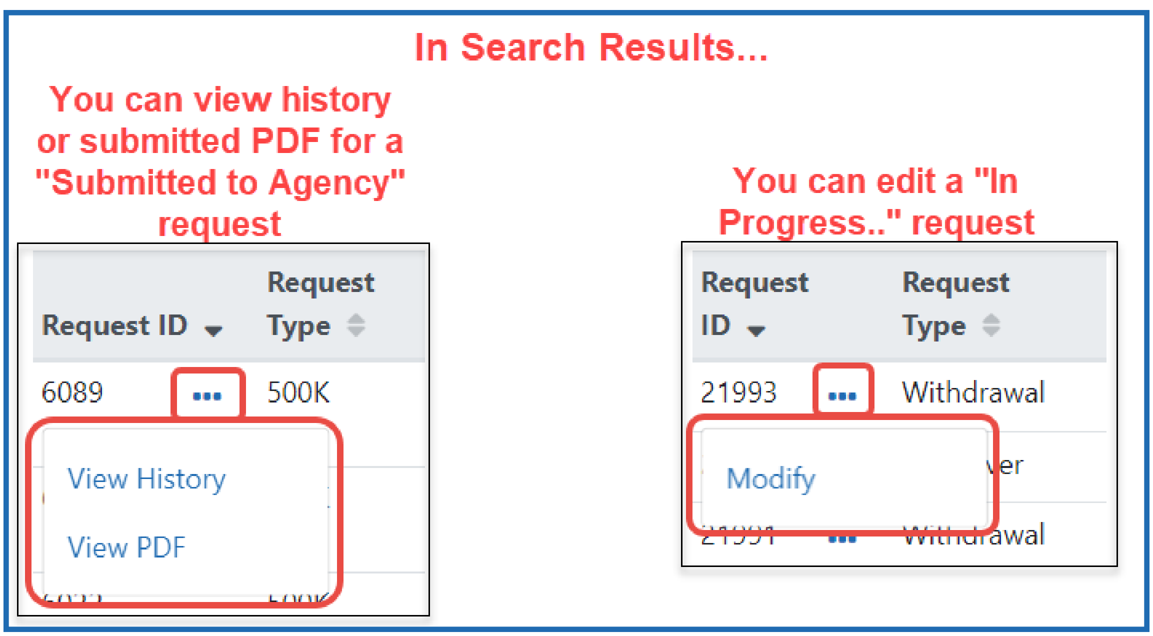


Figure 137: Three-dot ellipsis menu showing actions that can be performed on a 'submitted' and 'in progress' request

If you choose **Modify**, the request details screen opens for the type of request. For details on editing a specific type of request, see:

Prior Approval - No Cost Extension on page 283 (SO only)

Prior Approval - Other Request on page 286 (SO only for FDA grants only)

Prior Approval - Withdrawal Request on page 288 (SO or PI)

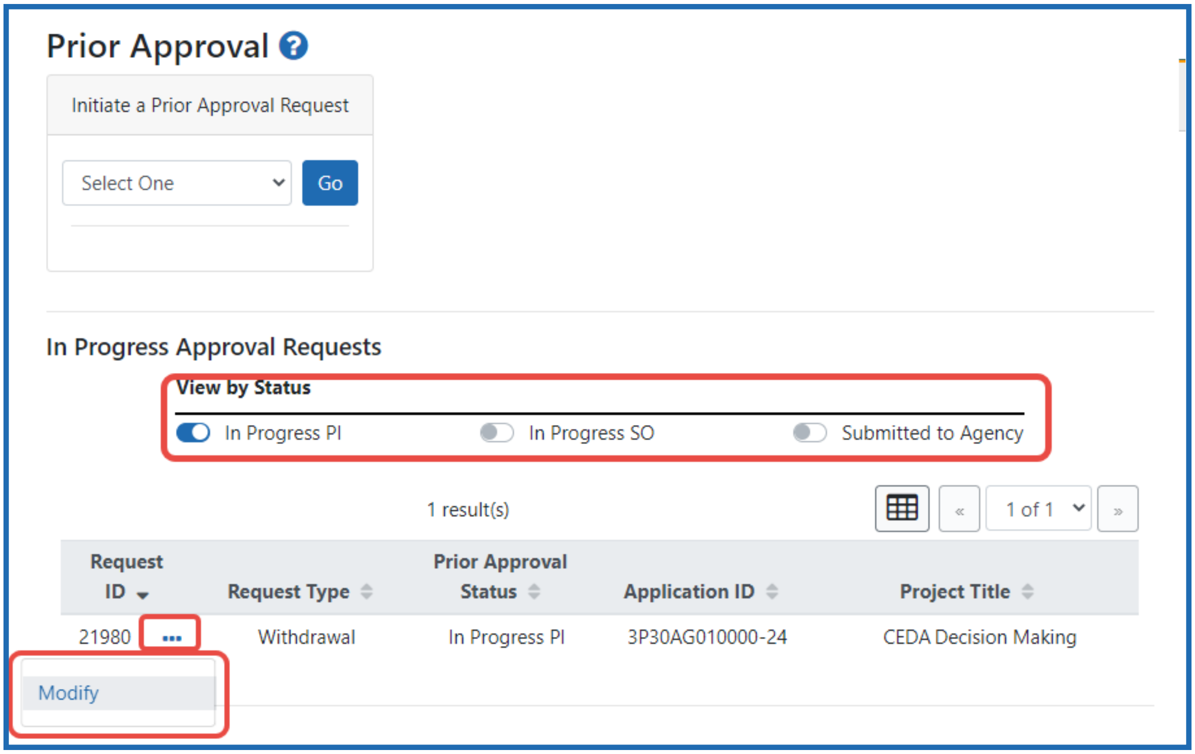
Prior Approval - Carryover Request on page 291 (SO only)

Prior Approval - Change of PD/PI on a Grant on page 297 (SO only)

Prior Approval - $500K Request on page 302 (SO or PI)

PI: Search for a Request

By default, all *in progress* requests initiated by you or routed to you are displayed on the *Prior Approval* landing page. Use the three **View by Status** toggles to show only requests of a certain status. Once you find a request, you can click its three-dot ellipsis icon and select **Modify** to edit it. If the request was initiated by you, but you have routed it to an SO, it is read-only and you can click its three-dot ellipsis icon and select **View**.



Prior Approval - No Cost Extension

Most grants allow an automatic No-Cost Extension via the Extension link in the Status module. If the grant is not eligible for the automatic extension via the Status module, you can instead use the Prior Approval module to request an extension, which is contingent on NIH approval.

IMPORTANT: **AHRQ Recipients:** The Agency for Healthcare Research and Quality (AHRQ) does not support the Prior Approval method of requesting an NCE. Recipients of AHRQ awards must use the Status module in eRA Commons to request a no cost extension. The specific terms for an AHRQ NCE are different from an NIH grant. If you are a AHRQ grantee, please see the alternate help topic *No-Cost Extension (NCE) for AHRQ Grants* on page 562 for the requirements and steps to request an NCE.

What Grants are Eligible for No-Cost Extension Requests?

A signing official (SO) can request a No-Cost Extension in the following situations:

- If the Grant has previously had a No Cost Extension and less than 90 days remain before project period End Date.
- The Grant has previously had a No cost Extension and the application is within 270 days after the end of the project period End Date has passed, but the grant has not been closed.
- The Grant does not have Expanded Authority and less than 90 days remain before the project period end date.
- The Grant does not have an expanded authority and the application is within 270 days after the end of the project period end date has passed, but the grant has not been closed.

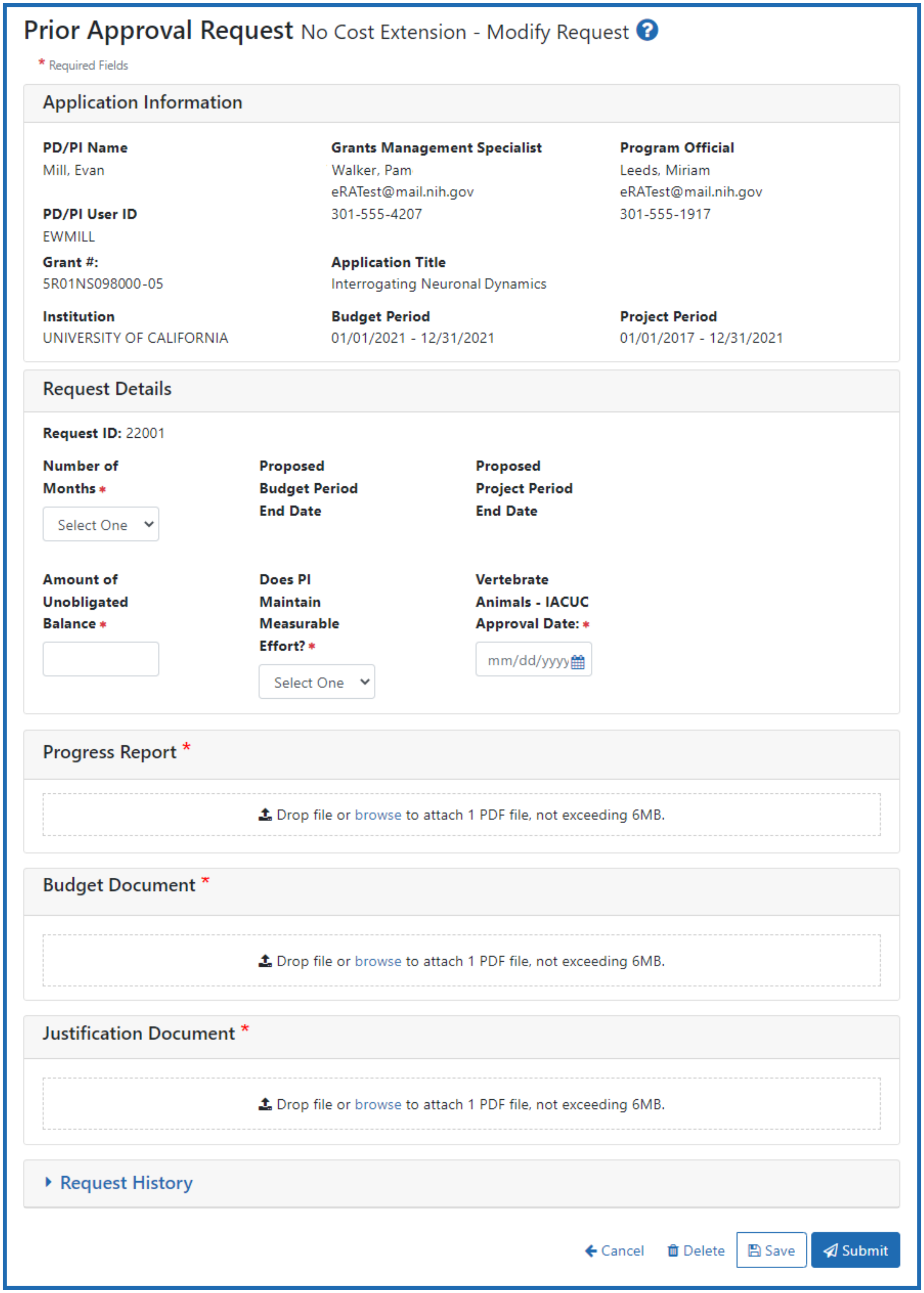
Users may modify these requests until they are submitted to the agency.

NCEs may not be submitted if they contain errors but they may be submitted with warnings.

NCE request may not be submitted for grants for which the closeout process has begun.

See *Viewing and Initiating Requests* on page 274 for details on initiating a request.

After initiating a No Cost Extension, you see the following details screen.



Prior Approval Request No Cost Extension - Modify Request

* Required Fields

Application Information

PD/PI Name
Mill, Evan

Grants Management Specialist
Walker, Pam
eRATest@mail.nih.gov
301-555-4207

Program Official
Leeds, Miriam
eRATest@mail.nih.gov
301-555-1917

PD/PI User ID
EWMILL

Grant #:
5R01NS098000-05

Application Title
Interrogating Neuronal Dynamics

Institution
UNIVERSITY OF CALIFORNIA

Budget Period
01/01/2021 - 12/31/2021

Project Period
01/01/2017 - 12/31/2021

Request Details

Request ID: 22001

Number of Months *
Select One

Proposed Budget Period End Date

Proposed Project Period End Date

Amount of Unobligated Balance *

Does PI Maintain Measurable Effort? *
Select One

Vertebrate Animals - IACUC Approval Date: *
mm/dd/yyyy

Progress Report *

Drop file or browse to attach 1 PDF file, not exceeding 6MB.

Budget Document *

Drop file or browse to attach 1 PDF file, not exceeding 6MB.

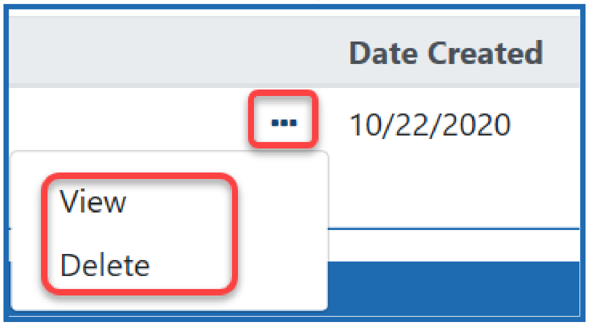
Justification Document *

Drop file or browse to attach 1 PDF file, not exceeding 6MB.

Request History

Cancel Delete Save Submit

1. Be sure to fill out all required fields (with a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.
2. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to upload another, as only one file is allowed to be uploaded.



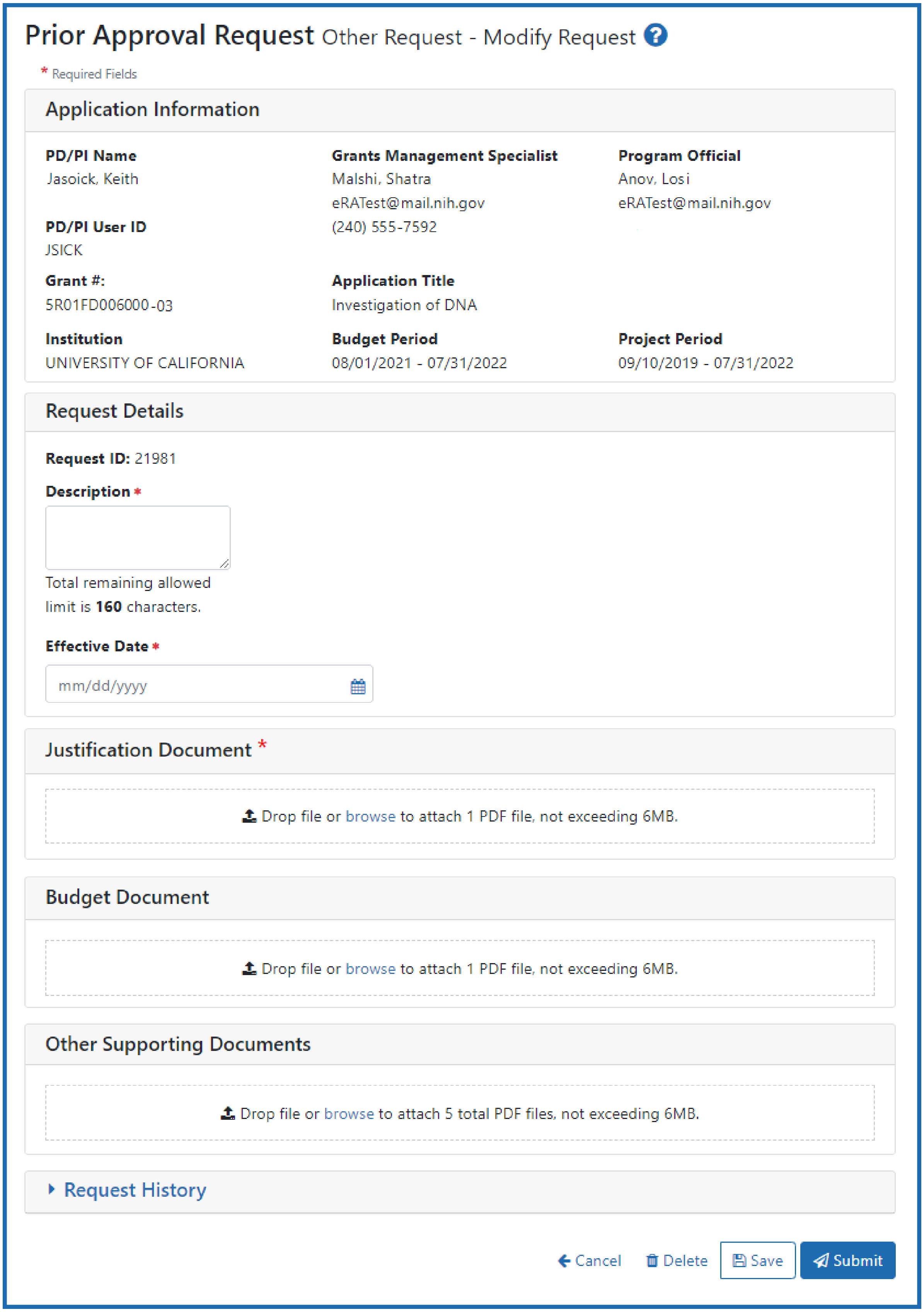
Prior Approval - Other Request

The Other Request type is used in different ways depending on the agency providing the award. Prior Approval "Other Request" can be used for both FDA and NIH awards. The Other Request type appears only for signing officials (SOs) and does not appear for program directors/principal investigators (PD/PIs).

For FDA awards, the Other Request type provides a generic request type for an SO to make requests for FDA grants. All FDA grants are eligible for the Other Request type.

For NIH awards, reach out to your Grants Management Staff (GMS) or Program Officer (PO) for instructions on when to use the Other Request type. NIH awardees should NOT use the Prior Approval "Other Request" type to submit updates to their approved Data Management and Sharing (DMS) Plan. Instead, they should use the DMS Request type to submit an updated DMS Plan; see *Prior Approval - DMS Request* on page 295.

See *Viewing and Initiating Requests* on page 274 for details on initiating a request. After initiating an Other Request, you see the following details screen:


Prior Approval Request Other Request - Modify Request
* Required Fields
Application Information
PD/PI Name
Jasoick, Keith
Grants Management Specialist
Malshi, Shatra
eRATest@mail.nih.gov
(240) 555-7592
Program Official
Anov, Losi
eRATest@mail.nih.gov
PD/PI User ID
JSICK
Grant #:
5R01FD006000-03
Application Title
Investigation of DNA
Institution
UNIVERSITY OF CALIFORNIA
Budget Period
08/01/2021 - 07/31/2022
Project Period
09/10/2019 - 07/31/2022
Request Details
Request ID: 21981
Description *
Total remaining allowed limit is 160 characters.
Effective Date *
mm/dd/yyyy
Justification Document *
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Budget Document
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Other Supporting Documents
Drop file or browse to attach 5 total PDF files, not exceeding 6MB.
Request History
Cancel
Delete
Save
Submit

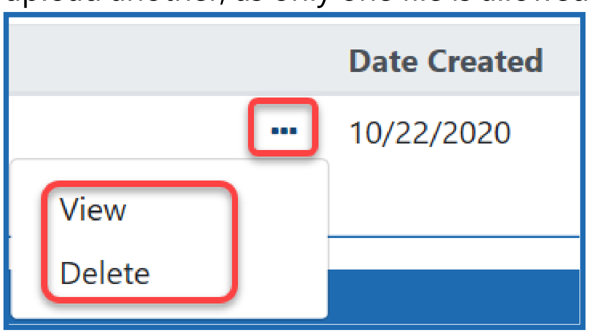
What Awards are Eligible for Other Requests?

- Must be an FDA or NIH award
- Must be awarded
- Must be within the current budget period
- Grant must not be closed or terminated.

The Other Request can be initiated for any application type matching the above criteria.

General Instructions for Other Request Type

1. Fill out all required fields (which have a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.
2. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to upload another, as only one file is allowed to be uploaded.



All uploaded documents must be in PDF format.

Prior Approval - Withdrawal Request

NOTE: Both PIs and SOs may initiate Withdrawal Requests but only an SO can submit them.

This type of request lets you withdraw a grant from NIH.

For various reasons, a signing official (SO) or principal investigator (PI) may decide to withdraw an error free application before it proceeds to council. To do this, use the Withdrawal Request option in the Prior Approval module of eRA Commons.

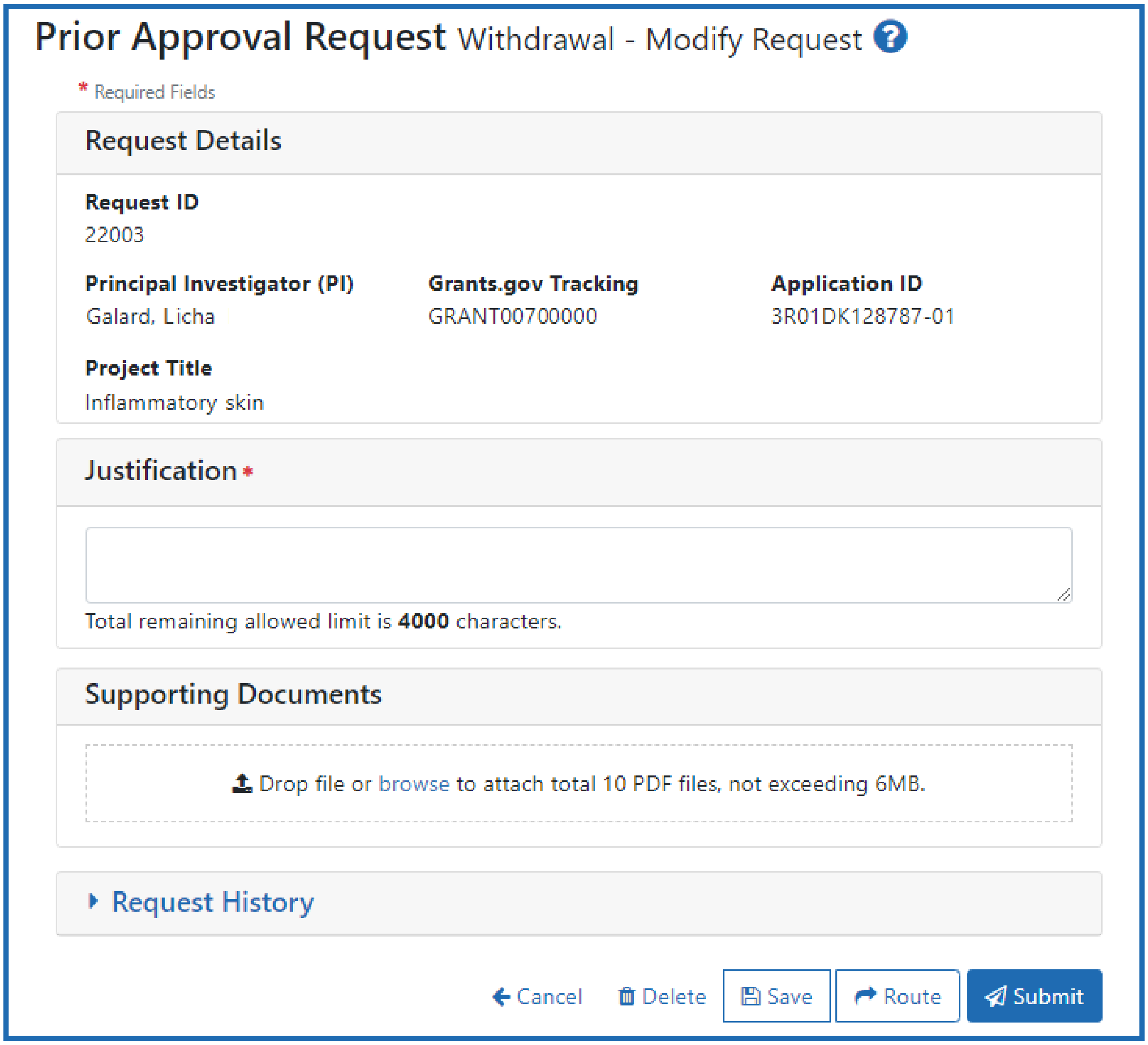
Either the SO or the PI can initiate a Withdrawal Request. The process requires a justification statement; as many as 10 supporting documents can be uploaded with the request. Only the SO can submit the request to NIH. Automatic notifications are sent to both the SO and PI upon approval of the request.

What Applications are Eligible for Withdrawal Request?

- A PI sees applications on which the PI is listed as the contact PI that matches the following criteria.
- An SO sees all applications for an institution that matches the following criteria.
- Applications that have gone through council review and have any with the following statuses will not display as eligible to be withdrawn.
  - Awarded
  - Withdrawn
  - Canceled

There are times that the agency may be taking action on the application that will prevent users from withdrawing their application through Prior Approval. In these cases, Prior Approval displays the following error: There is a pending agency action on Application, please submit your withdrawal request to Division of Receipt and Referral.

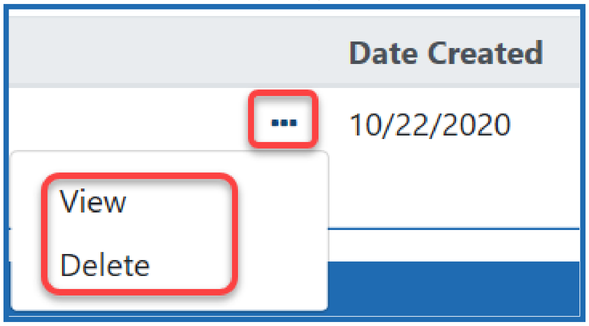
See *Viewing and Initiating Requests* on page 274 for details on initiating a request. After initiating a Withdrawal request, you see the following details screen.



1. Be sure to fill out all required fields (with a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.

2. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to

upload another, as only one file is allowed to be uploaded.



Prior Approval - Carryover Request

You must hold an SO role to initiate a carryover request. Carryover is a process through which unobligated funds remaining at the end of the budget period can be carried forward to the next budget period. The carryover of funds allows the Grantees to use the unused prior year funds in the current budget period. Grantees are allowed to carryover funds automatically if they have the expanded authority for their application. For all others, Grantees need to submit a carryover request to their respective Grants Management Specialists and Program Officials, who will review their request.

What Grants are Eligible for Carryover Requests?

To be eligible for a Carryover request through the *Prior Approval* module, the grant must have the following conditions:

- The grant is still active, meaning the project period has not ended, or a Prior Approval NCE request has been submitted by the institution requesting additional time and the grant has not gone into closeout or unilateral closeout.
- The grant does not have Expanded authority (Expanded authority is based on the activity code of the application, or is set by the IC in GM Module).
- The request date is within the current budget period date.
- The grant is not for a Fellowship application.

When you submit a carryover request, the Prior Approval module displays a warning message if:

- There are any Prior year outstanding FFRs (Federal Financial Reports) that need to be submitted.

Or

- ◦ Any prior year FFR has been submitted and rejected by the agency and the grantee has resubmitted the FFR.

No Cost Extension and Carryover Combination

If the grant is eligible for a *No Cost Extension* when the *Carryover* request is initiated, the system will provide the ability to initiate a *No Cost Extension*. A *No Cost Extension* request can be initiated if either of the following conditions are satisfied:

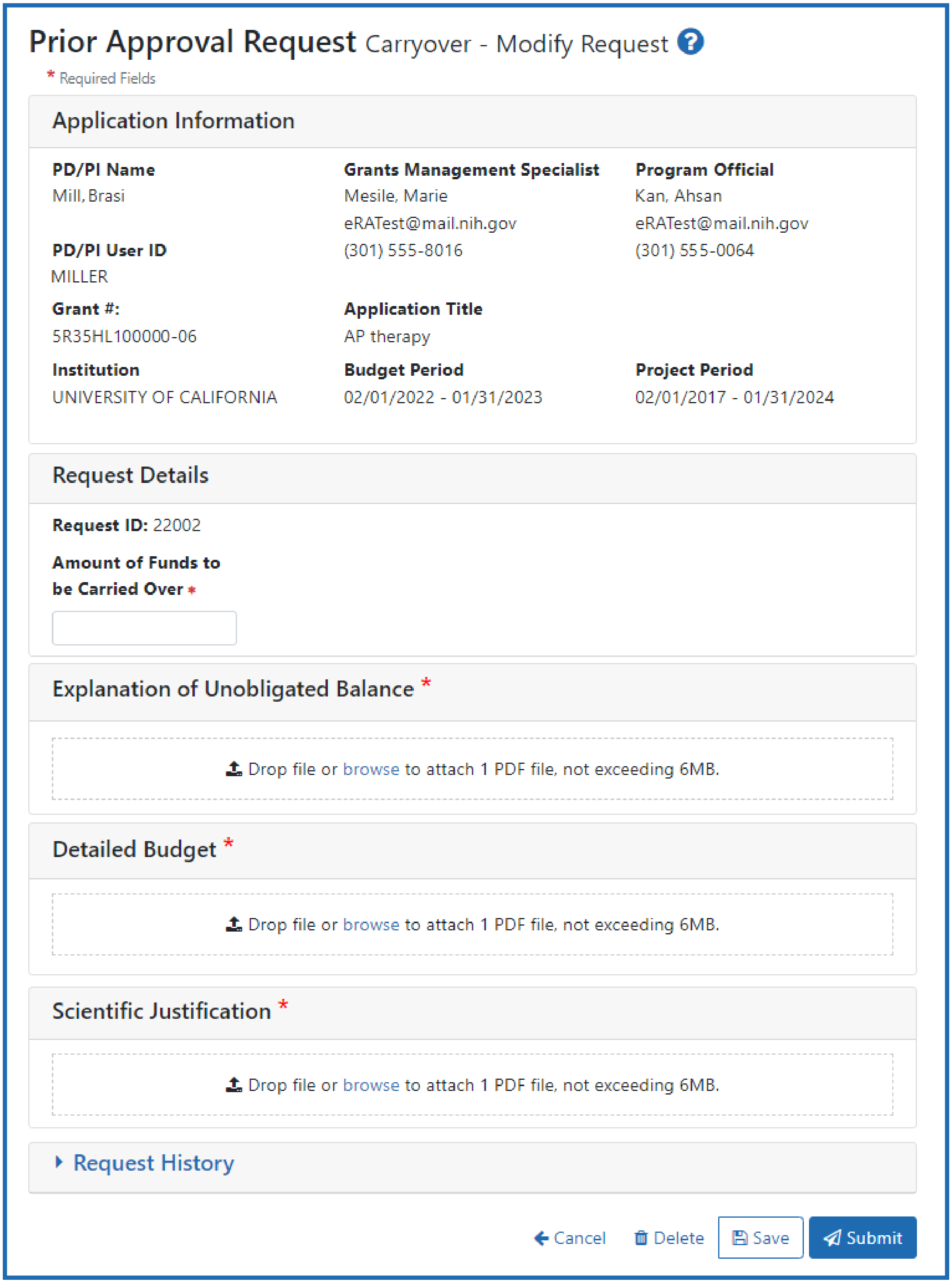
- If Project period end date is with 90 days.

Or

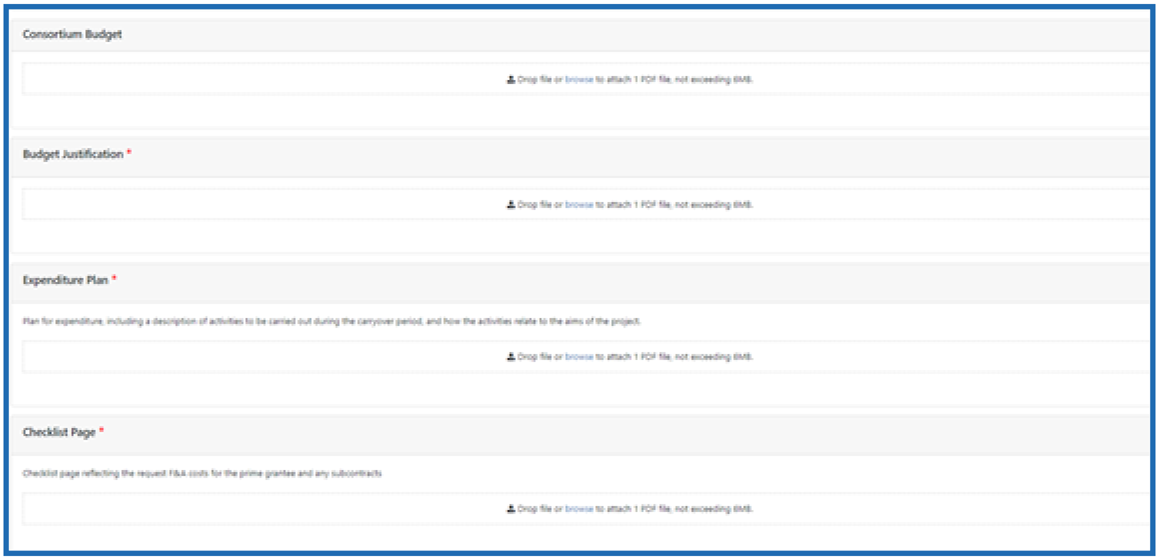
- The Project Period End Date has passed, and the grant is not in closeout or unilateral closeout.

See *Viewing and Initiating Requests* on page 274 for details on initiating a request.

After initiating a No Cost Extension, you see the following details screen.

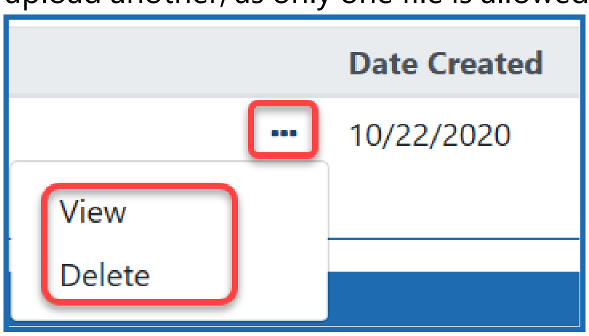

Prior Approval Request Carryover - Modify Request
* Required Fields
Application Information
PD/PI Name
Mill, Brasi
Grants Management Specialist
Mesile, Marie
eRATest@mail.nih.gov
(301) 555-8016
Program Official
Kan, Ahsan
eRATest@mail.nih.gov
(301) 555-0064
PD/PI User ID
MILLER
Grant #:
5R35HL100000-06
Application Title
AP therapy
Institution
UNIVERSITY OF CALIFORNIA
Budget Period
02/01/2022 - 01/31/2023
Project Period
02/01/2017 - 01/31/2024
Request Details
Request ID: 22002
Amount of Funds to be Carried Over *
Explanation of Unobligated Balance *
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Detailed Budget *
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Scientific Justification *
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Request History
Cancel
Delete
Save
Submit

Sometimes the Carryover Request contains IC-specific document requests, such as Consortium Budget, Budget Justification, Expenditure Plan, Checklist Page, and so on.



1. Be sure to fill out all required fields (with a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.

2. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to upload another, as only one file is allowed to be uploaded.



NOTES:

-
    - **Request ID** - The Request ID is system-generated.
    - **Amount of Funds to be Carried Over** - You must enter the amount of funds to carryover. This field only accepts numbers and period with values up to two decimals.

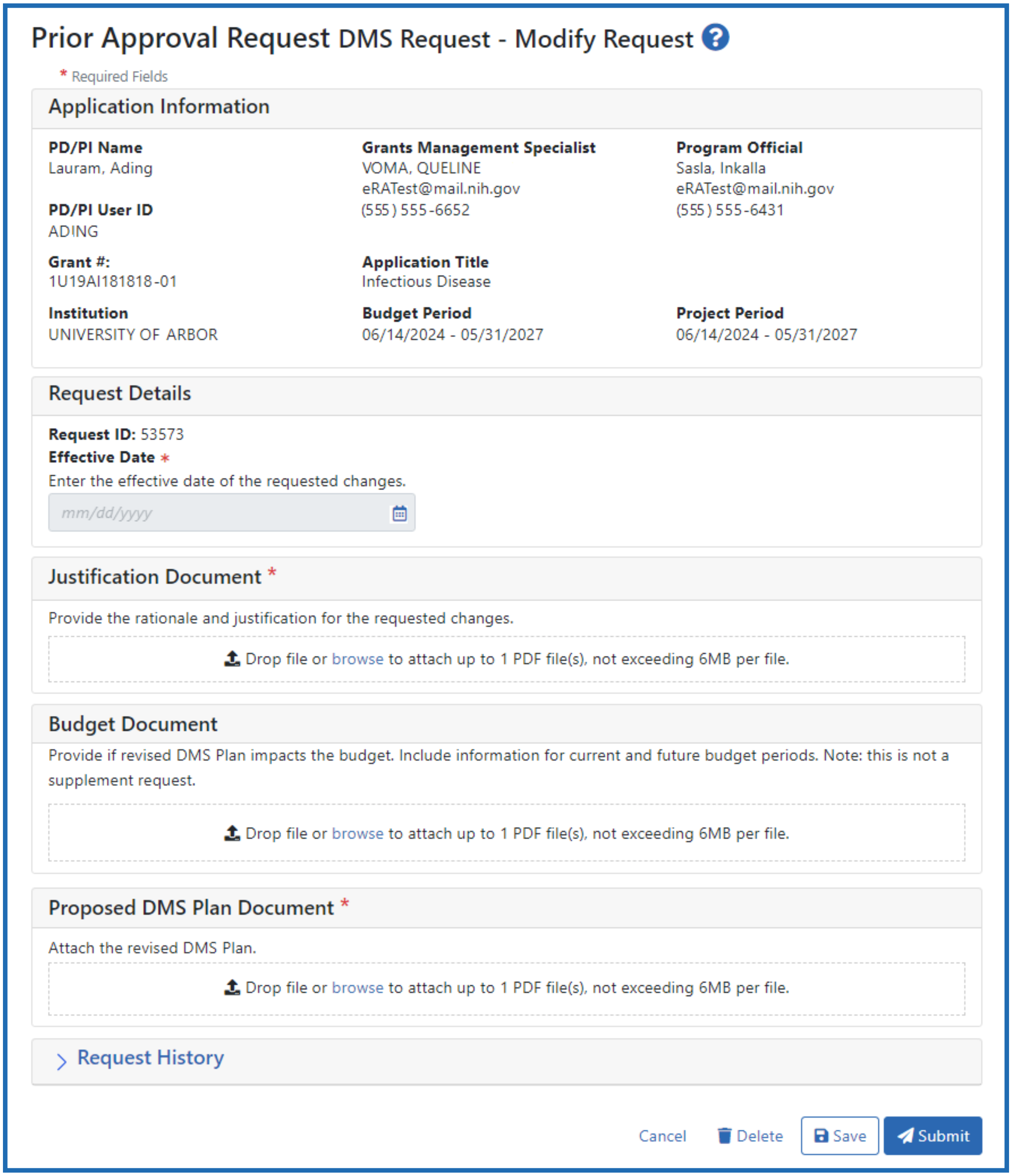
  - **Explanation of Unobligated Balance** - Upload a single PDF document in this section detailing why funds were not spent.
  - **Detailed Budget** - Upload single a PDF document in this section with a budget that incorporates how the carryover funds will be spent.
  - **Scientific Justification** - Upload a single PDF document in this section that explains the need for the carryover funding from a scientific perspective.

Prior Approval - DMS Request

The DMS Request type is used to submit revisions to the approved Data Management and Sharing (DMS) plan. The DMS Request type appears only for signing officials (SOs) and does not appear for program directors/principal investigators (PD/PIs).

When revisions to the DMS Plans need to be made off-cycle (other than at the time of the RPPR), an SO for the recipient organization must use the "DMS Request" in the Prior Approval Module to request the change. This request type is available for NIH awards that are subject to the Final NIH Policy for Data Management and Sharing (DMS) Policy. All uploaded documents must be in PDF format.

See *Viewing and Initiating Requests* on page 274 for details on initiating a request. After initiating a DMS Request, you see the following screen:



Signing officials requesting DMS Plan changes for NIH awards should fill out the form and submit PDF documents related to the change as described below:

Effective Date. Enter the effective date of the requested changes. Only the current date or future dates are acceptable.

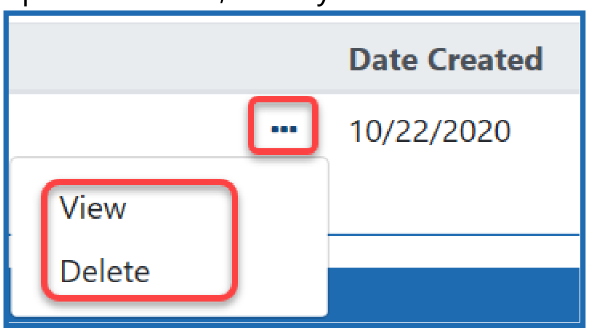
Justification Document. Provide the rationale and justification for the requested changes.

Budget Document. Provide if the revised DMS Plan impacts the budget. Include information for current and future budget periods. Note: This is not a supplement request.

Proposed DMS Plan Document. Attach the revised DMS Plan.

General Instructions for DMS Request

1. Fill out all required fields (which have a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.
2. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to upload another, as only one file is allowed to be uploaded.



All uploaded documents must be in PDF format.

Prior Approval - Change of PD/PI on a Grant

When it is necessary to change the program director/principal investigator (PD/PI) on a grant, a signing official (SO) can use the **Prior Approval** module to create and submit the request to the agency.

PD/PIs do not see the option for a change of PD/PI(s) in the **Prior Approval** module.

What Grants are Eligible for Change of PD/PI Request?

- Grant year is the most recent awarded year in the segment
- Grant family is not past the Project Period End Date
- Grant is not a Fellowship
- Grant is from an IC/agency that supports Change of PD/PI
- Administrative Supplements cannot have a Change of PD/PI initiated
- Can **not** be a multi-project grant

What Can You Change as Part of a PD/PI Request?

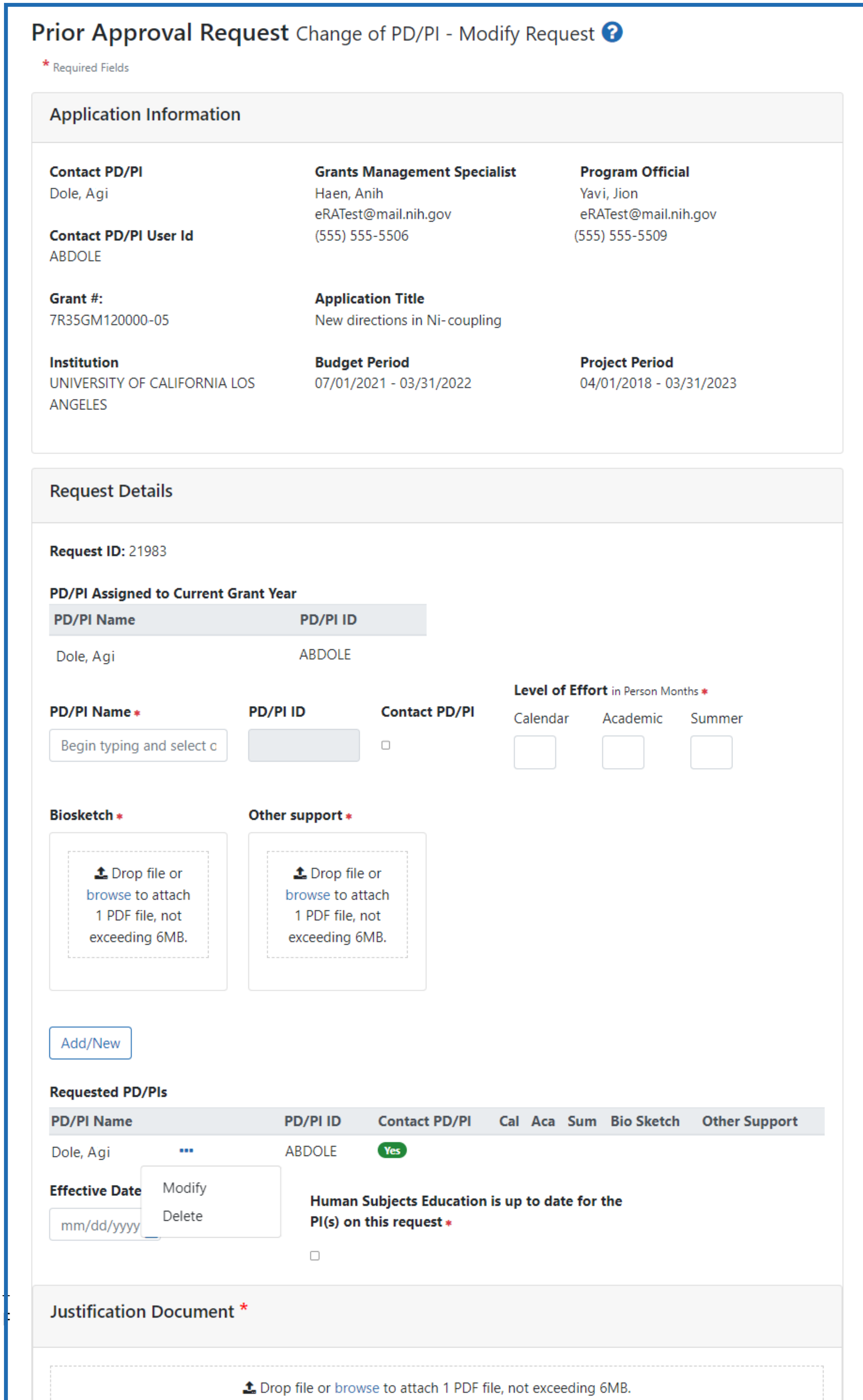
The *Change of PD/PI Modify Request* page consists of read-only application information, OPERA-mandated questions (which may be optional), and IC-specified document uploads.

The current reviewer can modify the following on a *Change of PD/PI Modify Request*:

- Add a PD/PI
- Remove PD/PI
- Mark PD/PI as Contact PD/PI
- Add Level of effort for PD/PI (calendar, or academic and/or summer. May not be zero "0".)
- Effective Date
- Justification
- Leadership for Grants that will become MPI
- Upload Bio Sketch (for each PD/PI)
    - Limit one (1) PDF per PD/PI, and file may not exceed 6 MB.
- Human Subjects checkbox
- Other Support upload (for each PD/PI)
- Other Documents (up to 10, 6 MB size limit per file)
- IC specific upload

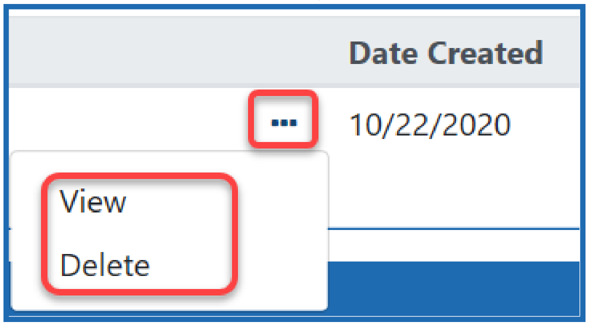
See *Viewing and Initiating Requests* on page 274 for details on initiating a request.

After initiating a Change of PD/PI, you see the following details screen.


Prior Approval Request Change of PD/PI - Modify Request
* Required Fields
Application Information
Contact PD/PI
Dole, Agi
Contact PD/PI User Id
ABDOLE
Grants Management Specialist
Haen, Anih
eRATest@mail.nih.gov
(555) 555-5506
Program Official
Yavi, Jion
eRATest@mail.nih.gov
(555) 555-5509
Grant #:
7R35GM120000-05
Application Title
New directions in Ni-coupling
Institution
UNIVERSITY OF CALIFORNIA LOS ANGELES
Budget Period
07/01/2021 - 03/31/2022
Project Period
04/01/2018 - 03/31/2023
Request Details
Request ID: 21983
PD/PI Assigned to Current Grant Year
PD/PI Name
PD/PI ID
Dole, Agi
ABDOLE
Level of Effort in Person Months *
PD/PI Name *
PD/PI ID
Contact PD/PI
Calendar
Academic
Summer
Begin typing and select c
Biosketch *
Other support *
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Drop file or browse to attach 1 PDF file, not exceeding 6MB.
Add/New
Requested PD/PIs
PD/PI Name
PD/PI ID
Contact PD/PI
Cal
Aca
Sum
Bio Sketch
Other Support
Dole, Agi
ABDOLE
Yes
Effective Date
mm/dd/yyyy
Modify
Delete
Human Subjects Education is up to date for the PI(s) on this request *
Justification Document *
Drop file or browse to attach 1 PDF file, not exceeding 6MB.

1. Be sure to fill out all required fields (with a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.

2. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to upload another, as only one file is allowed to be uploaded.



3. To add a PI:

   - Type part of the **PD/PI Name**, then select from the list (only those researchers in your institution matching the typed text appear).

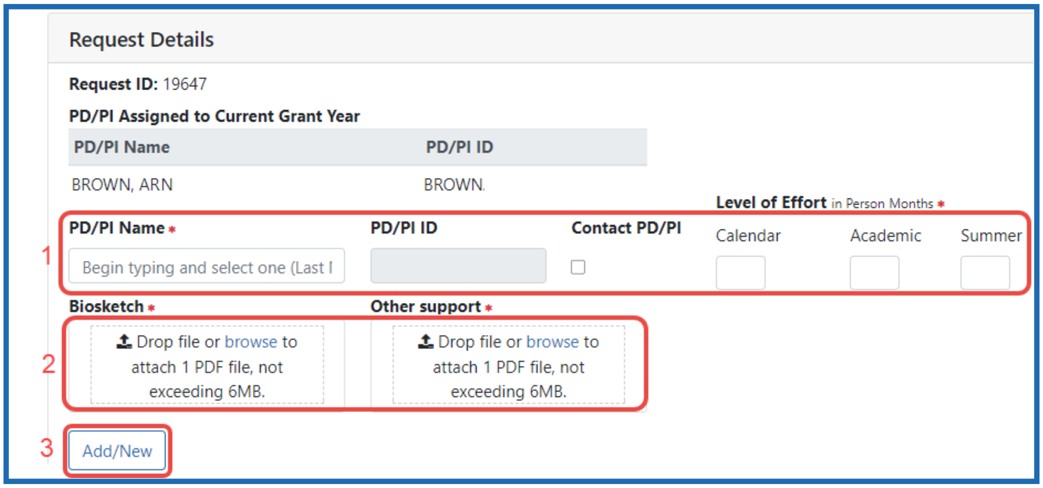
   - Choose whether the PD/PI will be **Contact PD/PI**.

   - Specify the level of effort in months that the PD/PI will spend on the project, either entering between 1 and 12 for the **Calendar** field, or entering a combination of **Academic** (1 to 9) and **Summer** (1 to 3). Enter either **Calendar**, or a combination of **Academic/Summer**, but not both.

   - Add a biosketch and statement of other sources of support for the PD/PI.

   - Click the **Add/New** button. The PD/PI you specified appears in the **Reques-**

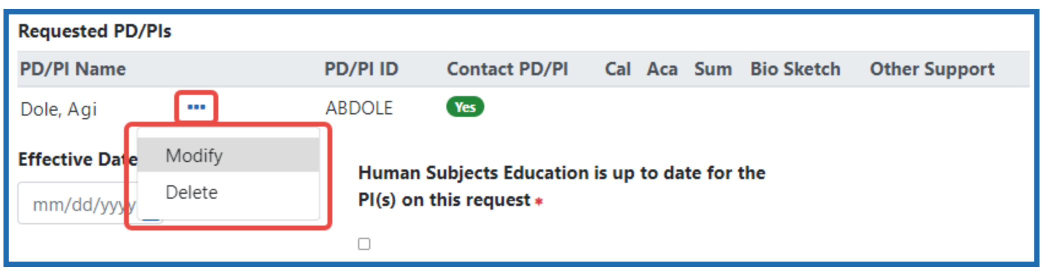
ted PD/PIs table below the **Add/New** button.



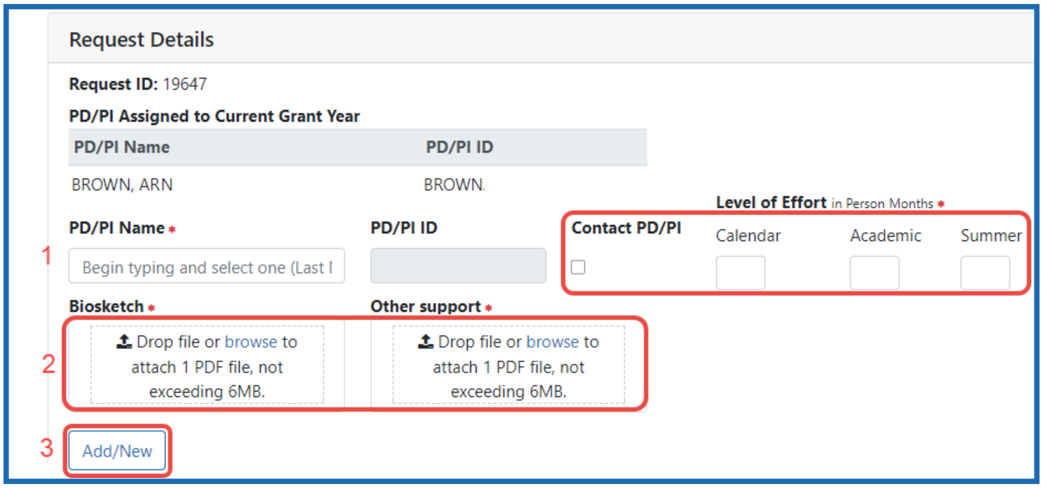
4. Optionally, you can use the steps above to add additional PIs to the request.

5. Optionally, you can change the data on a PI that you already added to the **Requested PD/PIs** table:

   - Click the PD/PI's three-dot ellipsis icon and select **Modify**.

   - 

   - The PD/PI's information appears in the fields above the table (see below). Modify the data outlined in red below, then click the **Add/New** button again (this does not add the person to the table, but instead updates the person when they already exist in the table).

- 

6. Optionally, you can delete a PD/PI that you have added by clicking the person's three-dot ellipsis icon and selecting **Delete**. A confirmation message warns you that all information for the person will be deleted and that the action cannot be undone.

7. You can click **Save** at the bottom of the screen if the request is not ready to submit; a message appears at the top of the page indicating that the request has been saved.

Prior Approval - $500K Request

NOTE: Both principal investigators (PIs) and signing officials (SOs) may respond to $500K requests but only an SO can submit them.

If you are an applicant planning to submit a grant application with $500,000 or more in direct costs in any one budget year (excluding consortium F & A costs), you are required to contact your program official (PO) and obtain approval from the funding agency six weeks prior to application submission.

What Grants are Eligible for $500K Request?

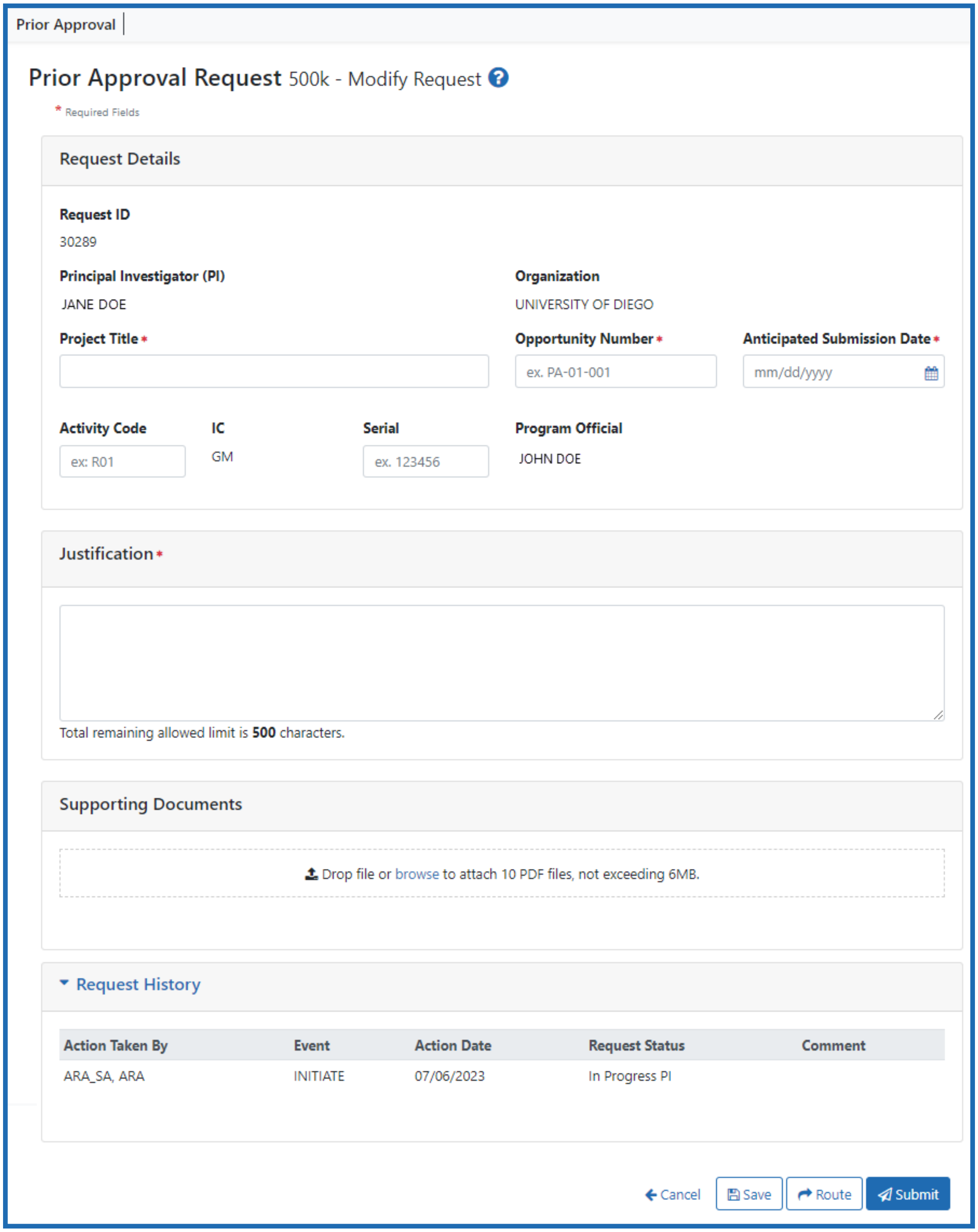
If the program official (PO) determines that you want to facilitate the request through an electronic process, the PO initiates an invitation to the PI, which opens up a 500K request in the *Prior Approval* module. The PI and the Notice of Award contact for the organization/application will receive an email notification of the invitation.

NOTE: The option to submit a $500K request is not visible in the *Prior Approval* module of eRA Commons until the PO has initiated the invitation.

Go to the **Prior Approval** module in eRA Commons to begin the process. You cannot initiate a 500K request; only the program official can. Once the request is in progress, either the PI or the SO can look it up in *Prior Approval* and respond to it with appropriate documentation and justification.

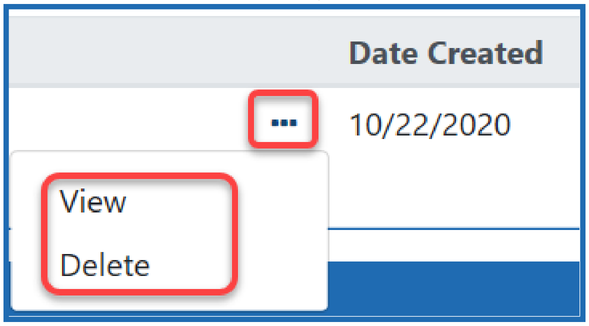
To Respond to $500K Request from PO:

1. Find the request in Prior Approval; see *Searching for and Modifying Existing Prior Approval Requests* on page 279.
2. After opening the 500K request, you see the following details screen.



3. Be sure to fill out all required fields (with a red asterisk). You can drag and drop a PDF file from your file system onto the **Drop file** area, or click **Browse** to locate and select a file.

4. To view or remove a file you have uploaded, click the three-dot ellipsis menu and select **View** or **Delete**. If you upload the wrong file, you must delete it in order to upload another, as only one file is allowed to be uploaded.



NOTES:

- **Anticipated Submission Date** - The date the application is expected to be submitted. This date may not be in the past, or more than 120 days in the future.
- **Justification** - This is a brief description of the justification to submit for over $500K.
- If the $500K request is being submitted for a Renewal (Type 2) application, the user may also provide the Activity Code and Serial Number of the grant family.

After modifying a $500K request, the PI or SO can route the request to the other role; see *Routing a Prior Approval Request* on page 309.

Upon a successful submission, the system sends an email notification the submitter, as well as to the associated PI, informing them that the request was submitted to the agency. $500K requests cannot be deleted.

Submitting or Deleting a Request

Submitting, saving, canceling changes, and deleting requests have the same steps for all request types.

Submitting the Request to the Agency

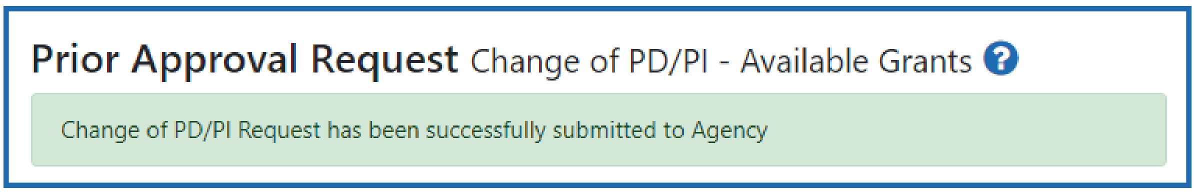
Only the signing official (SO) can submit an *in progress* request to the agency.

1. Find and open an in progress request; see *Searching for and Modifying Existing Prior Approval Requests* on page 279.
2. When all fields of the request's details screen have been populated and all required files have been uploaded, click the **Submit** button at the bottom of the screen to send the request to the agency.

NOTE: Principal investigators (PI) do not see the **Submit** button. Principal investigators do see a **Route** button, by which they can route the request to an SO in their organization who can submit it; see *Routing a Prior Approval Request* on page 309.

3. When the confirmation message asks "Are you sure you wish to submit to Agency?", click the **Yes** button.

Once the system validates that all required fields have been completed and all required documents uploaded, a message is displayed indicating a successful submission. If errors are listed after clicking **Submit**, fix all errors before clicking **Submit** again.



Other actions that occur upon Submit are:

- System generates a PDF of the request including uploaded documents
- System sends notifications (SO, GMS, PO)
- System Stores PDF in Grant Folder for internal and external users

Saving a Request

If you cannot finish the request after initiating or modifying it, you can save it and come back to it later.

1. Find and open an *in progress* request; see *Searching for and Modifying Existing Prior Approval Requests* on page 279.
2. Click the **Save** button at the bottom of the screen.

Canceling Changes to a Request

When you click the **Cancel** button on the details screen for a request, any changes you have made to the request since the last time you saved are discarded, and you are returned to the *Prior Request* landing page. If you have saved any information on the details screen and you click **Cancel**, the saved information will still be available to update later.

Cancel does NOT delete the request. To delete a request, you must open the request for editing and click the **Delete** button at the bottom of the screen.

Deleting a Request

If you decide to delete the request while on a details screen for a request, simply click the **Delete** button at the bottom of the screen. The entire request will be deleted and the screen will return to the *Prior Approval* landing screen.

If you have saved the request and are no longer on its details screen, find the request on the *Prior Approval* landing page, which lists all your in-progress requests by default. If there are too many to easily find it, use the **Search for Requests** button, or type text to match in the **Filter Table** text box.

From the resulting search results, click the linked **Request ID** in the table open the request, or select **Modify** from a request's three-dot ellipsis menu. At the bottom of the request's details page, click the **Delete** button and click **Yes** in the ensuing *Confirmation* popup. You are returned to the *Prior Approval* landing page and the request is deleted.

NOTE: 500K requests cannot be deleted.

Viewing History of a Request

There are two ways to view the history of a request; one method for *in progress* requests that are not yet submitted, and another method for requests that have been submitted to the agency..

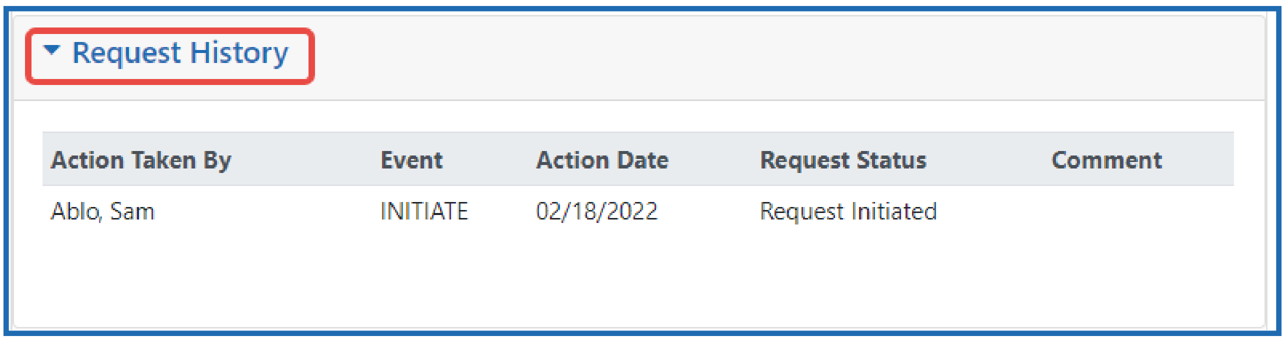
View History for a Work in Progress Request

1. Find the request you want to view history for. All *in progress* requests are listed on the *Prior Approval* landing page. If there are too many to easily find it, SOs can use the **Search for Requests** button, or type text to match in the **Filter Table** text box; see *Searching for and Modifying Existing Prior Approval Requests* on page 279.

2. Open a request.

   - From the *Prior Approval* landing page, click its linked **Request ID** number.
   - From search results listing, select **Modify** from its three-dot ellipsis menu. The details screen for the request appears.

3. Open the **Request History** section of the request, which is at the bottom of the screen.



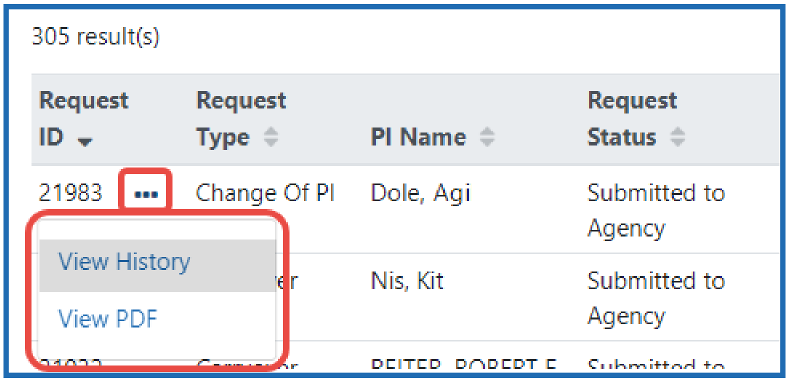
View History for a Submitted Request

Submitted requests do not appear by default on the *Prior Approval* landing page.

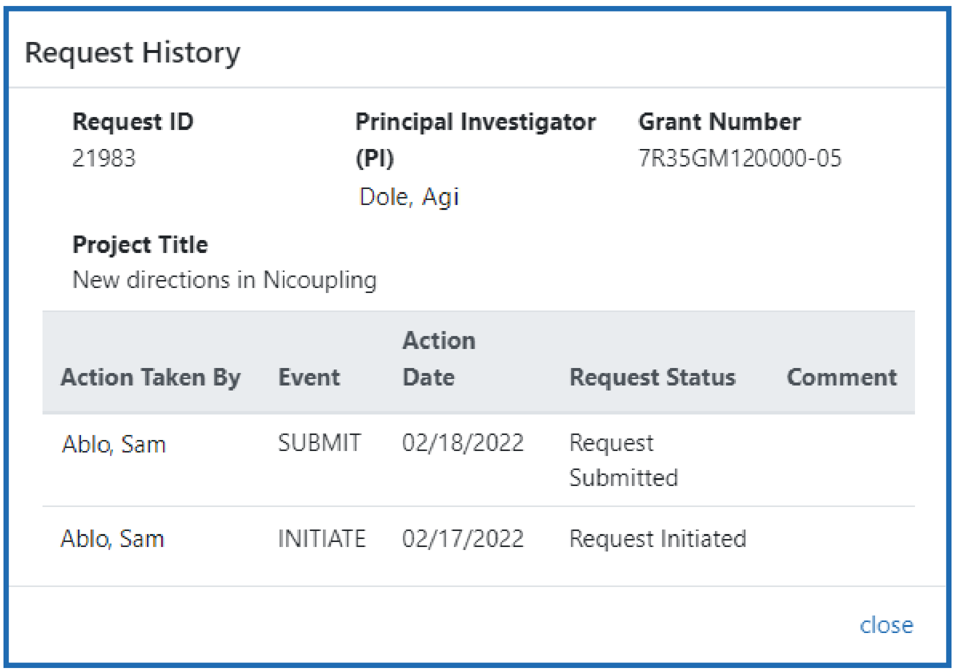
1. Find a submitted prior approval request.

   - SO: Click the **Search for Requests** button, select "Submitted to Agency" in the **Request Status** field, as well as any other search criteria to narrow the results, and click **Search**.
   - PI: Turn the **Submitted to Agency** toggle on.

2. In the search results, click the three-dot ellipsis icon for a request and select **View History**.



The *Request History* screen appears, showing actions that have taken place on the request.



Routing a Prior Approval Request

You can route two types of requests: Withdrawal and 500K. A principal investigator (PI) can initiate a Withdrawal or respond to a 500K request, but the PI cannot submit the request. In this case, the PI can route the request to the signing official (SO). All SOs in the grantee organization will then have access to modify and submit the request.

Likewise, an SO can route a request back to the associated PI, such as if more information is needed. The PI must be affiliated with the grantee institution to see routed requests.

If a request is *In Progress PI* status, the PI can route it to the SO. If the request is *In Progress SO* status, the SO can route it to the PI.

To route a Prior Approval Request:

1. Click the **Route** button at the bottom of the *Modify Request* screen.
    - The *Confirmation* screen displays.

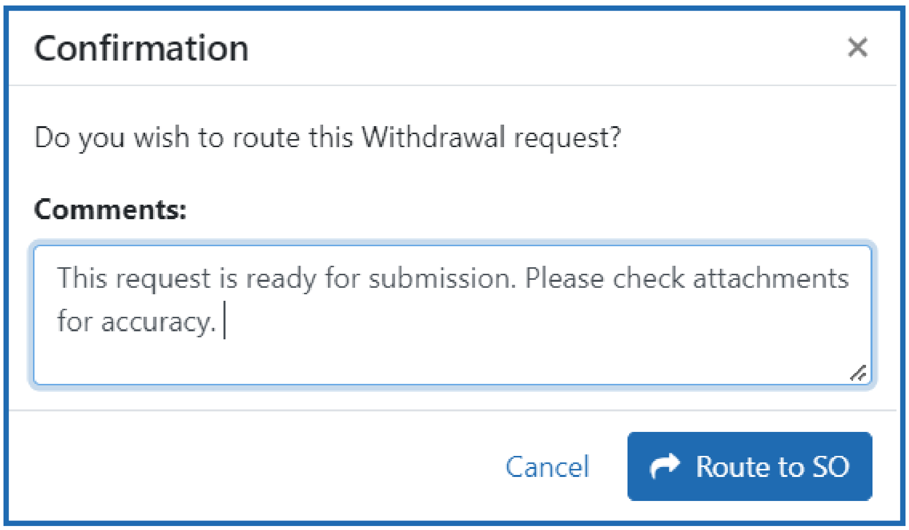


Figure 138: Confirmation popup for routing a withdrawal prior approval request

1. *[Optional*] Enter comments in the **Comments** box to provide information to the next reviewer.
2. Click the **Route to SO** button (or **Route to PI** button if an SO is doing the routing). The system will notify PIs only of a request that has been routed to them.

If the routing is successful, a success message displays and you can no longer edit the request; only the current reviewer can modify it. However, after routing, you can still view the request in read-only mode, and a **Recall** button at the bottom of the read-only screen lets you recall the request. If you recall the request, it is editable again.

Recalling a Prior Approval Request

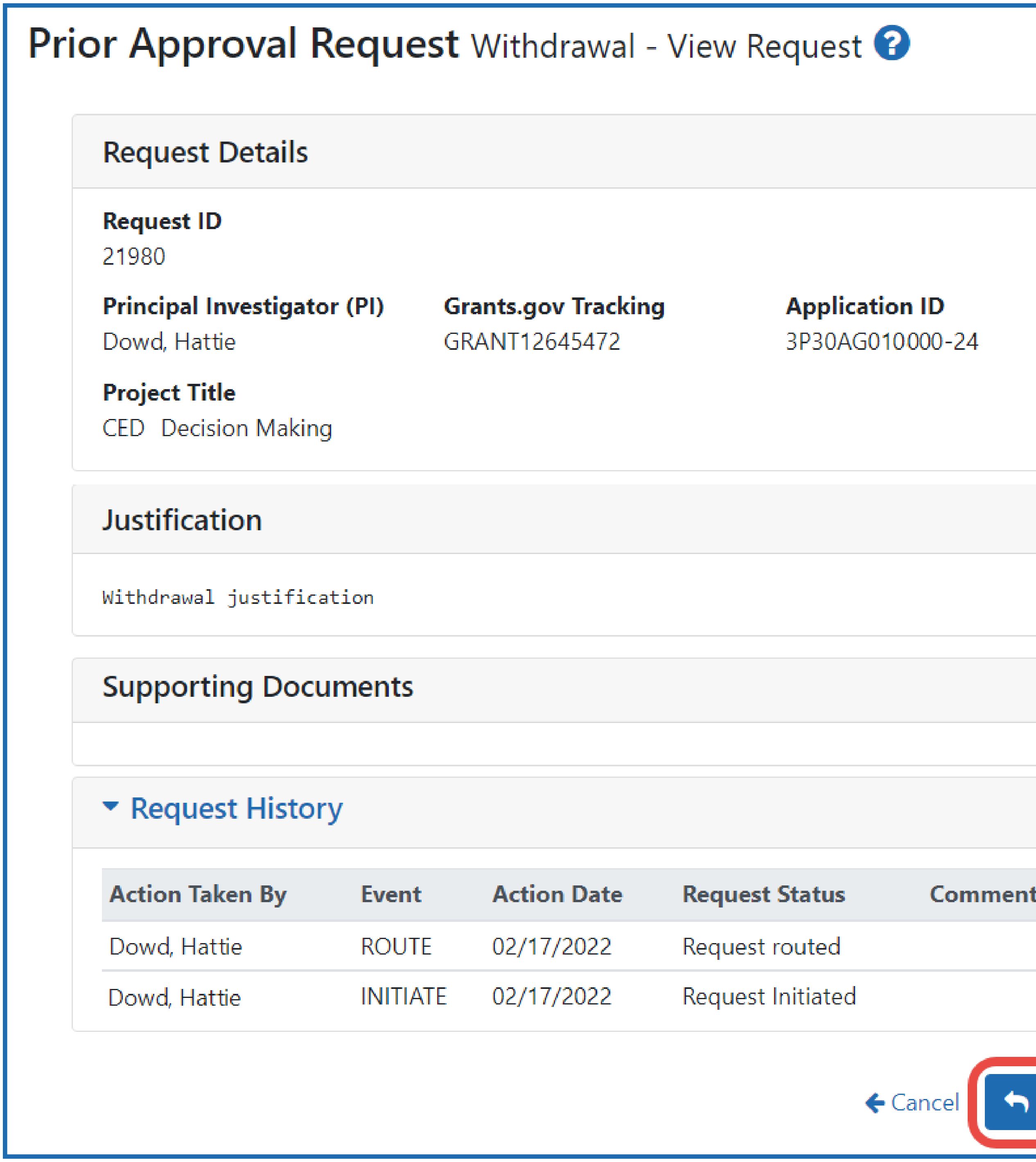
Prior Approval Requests that have been routed to a reviewer can be recalled by the previous reviewer. A signing official (SO) can recall a request even if they were not the last reviewer. After the status of the request becomes "*Submitted to Agency*" it can no longer be recalled. Also see *Routing a Prior Approval Request* on page 309.

For a principal investigator (PI), the **Recall** button appears only for requests that you have routed. For a SO, the **Recall** button appears on any request set to *In Progress PI* status.

To recall a request:

1. Click the **Recall** button from the *View Request* screen.
    - A message displays on the screen indicating that the request has been suc-

cessfully recalled.



The request is now assigned back to you and can be modified.

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.

See Frequently Asked Questions (FAQs) for RPPR here (these do not apply to Department of Commerce--DOC-- awards):

https://grants.nih.gov/faqs#/research-performance-progress-report.htm

RPPR module features include:

- Electronic initiation of an RPPR
- Electronic routing of an RPPR to authorizing officials at the applicant institution for review and approval prior to submission to the agency
- Viewing of RPPR routing history
- Error checking capabilities
- Electronic submission of an RPPR
- Creation of Interim RPPR
- Electronic submission of Interim RPPR
- Creation of Final RPPR
- Electronic submission of Final RPPR
- Ability for an SO to delegate authority to a PD/PI for submitting an RPPR
- PDF generated version stored in the electronic grant folder (Commons Status Information screen)

Agency-Specific Instructions: Department of Commerce (DOC). Delegations cannot be used for DOC awards.

Accessing the RPPR Module

To access the RPPR module after logging into eRA Commons, select Status from the main menu.

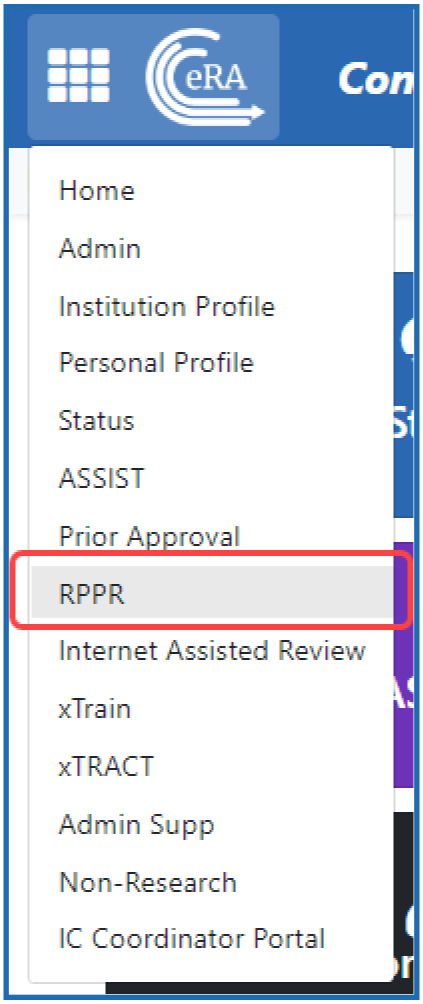


Figure 139: Select RPPR from the main menu, which is under the eRA logo in upper left.

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

Manage RPPR Screen

The *Manage RPPR* screen is the portal into all RPPR functionality. The screen appears when you select **RPPR** from eRA Common navigation. If you are a PI, the screen shows your Not Started or in-progress RPPRs. If you are an SO, search criteria lets you search for RPPRs from your organization.

For instructions on how to use the **Awarding Office/IC** button to limit searches to specific grantor organizations, see *Searching for Awards by Awarding Office/IC (Search Criteria)* on page 116.

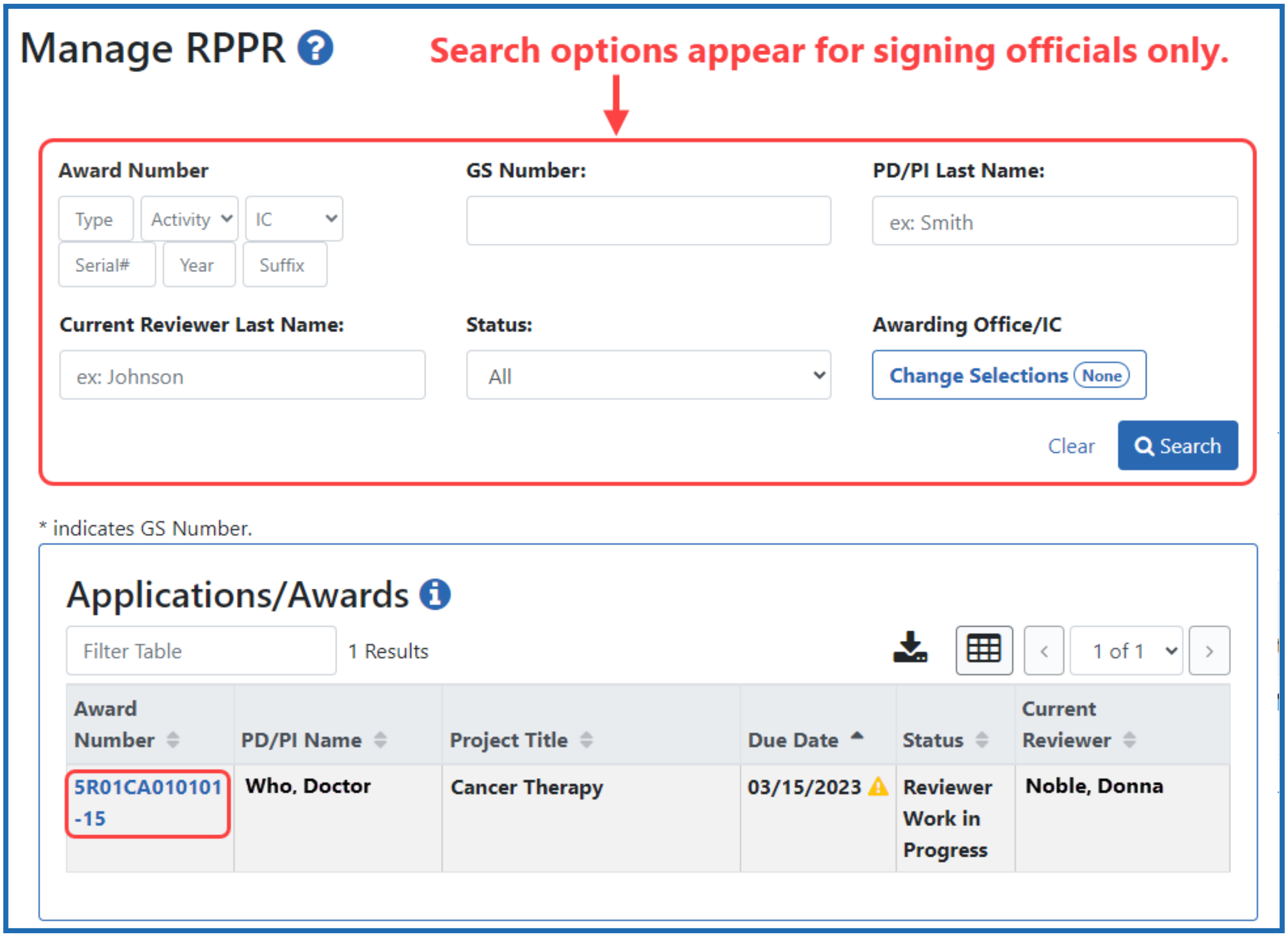
To process your RPPR, click the grant number link in the **Award Number** column, which opens the *RPPR Menu* screen, from which you can access all features including initiating, editing, routing, etc.

Also see Accessing a Single-Project RPPR for Editing or Accessing a Multi-Project or Single-Project with Complicated Structure for Editing.

You can edit an RPPR only if you are the current reviewer. The PI who initiated the RPPR is automatically the current reviewer. When the RPPR is routed to someone else, that person becomes the current reviewer and can edit. See *Routing the RPPR* on page 381.

Agency-Specific Instructions: Department of Commerce. Awards do not appear on the *Manage RPPR* screen for DOC awardees. DOC awardees should initiate or access existing RPPRs from the Status module; see *Accessing a Work-in-Progress DOC RPPR* on page 526.

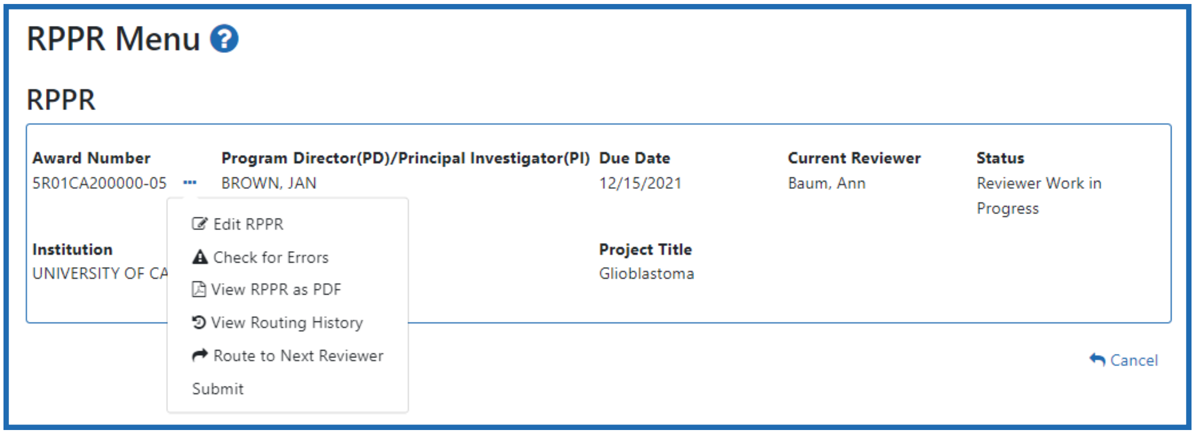
Click here for sample image:



RPPR Menu

The *RPPR Menu* screen provides access to various functions used to complete and process your RPPR. It appears when you click an award number on the Manage RPPR screen. The due date for the RPPR appears on the RPPR Menu screen.

Click here for a sample image.



Buttons or Actions Available in Three-Dot Ellipsis Menu

Available actions, most of which are found by clicking the three-dot ellipsis icon next to the Award Number, vary depending on the status of the RPPR and/or the limitations of the current user's role. The possible available actions are shown here:

Initiate button: Begins the RPPR process. Available for grants with a status of Not Started. Access is granted to PD/PIs and PD/PI delegates. An RPPR can be initiated even if required information in the Personal Profile and Institution Profile sections is missing. If any of this information is incorrect or missing, a prompt will appear to correct/complete the information after initiating the report. Processing may continue on the RPPR without making the corrections; however, the RPPR will not pass validations for submission to the agency until the errors are corrected.

Edit RPPR: Click the three-dot ellipsis icon next to **Award Number** and select **Edit RPPR** to open the RPPR for edits. Available for progress reports with a status of Work in Progress (WIP). Access is granted to PD/PIs or PD/PI delegates when the PD/PI is the current reviewer, AOs when the AO is the current reviewer, and SOs when the SO is the current reviewer. The Edit button allows the user to view and edit RPPR information.

View RPPR as PDF: Click the three-dot ellipsis icon next to **Award Number** and select **View RPPR as PDF** to open the RPPR report in PDF format, as it will be seen by the agency. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers. Until the RPPR is submitted to agency, the PDF report shows a status of Draft and a blank submission date.

Check for Errors: Click the three-dot ellipsis icon next to **Award Number** and select **Check for Errors** to check the RPPR for any errors or warnings. Available for progress reports with a status of Work in Progress (WIP). Access is granted to any user with access to the grant. The RPPR can be validated at any time while in the status of WIP and can be validated multiple times.

View Routing History: Click the three-dot ellipsis icon next to **Award Number** and select **View Routing History** to open a page that displays a routing history table. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers.

Route to Next Reviewer: Click the three-dot ellipsis icon next to **Award Number** and select **Route to Next Reviewer** to route the RPPR to the next reviewer for further review or corrections. Available for progress reports with a status of Work in Progress (WIP). Access is granted to the current reviewer. A PD/PI delegate cannot route an RPPR to the next reviewer.

Recall: Click the three-dot ellipsis icon next to **Award Number** and select **Recall** to recall RPPRs that have been forwarded to another reviewer and resets the user as the current reviewer. Available for reports with a status of Work in Progress (WIP). Access is granted to the last reviewer (who recalls the report from the current reviewer). Signing Officials and PD/PIs can recall an RPPR even if they are not the last reviewer whenever it has a status of Reviewer Work in Progress. This is useful in situations when a RPPR has been routed to the wrong person or to someone who is unavailable.

Submit: Click the three-dot ellipsis icon next to **Award Number** and select **Submit** to submit the RPPR to the agency. Available for reports with a status of Work in Progress (WIP). Access is granted to the SO when the SO is the current reviewer and to the PD/PI when the PD/PI has been delegated Progress Report authority.

Cancel button: Closes the RPPR Menu screen and returns the user to the previous screen.

Individual help topics exist for each of the features. Please refer to the specific help topics linked below.

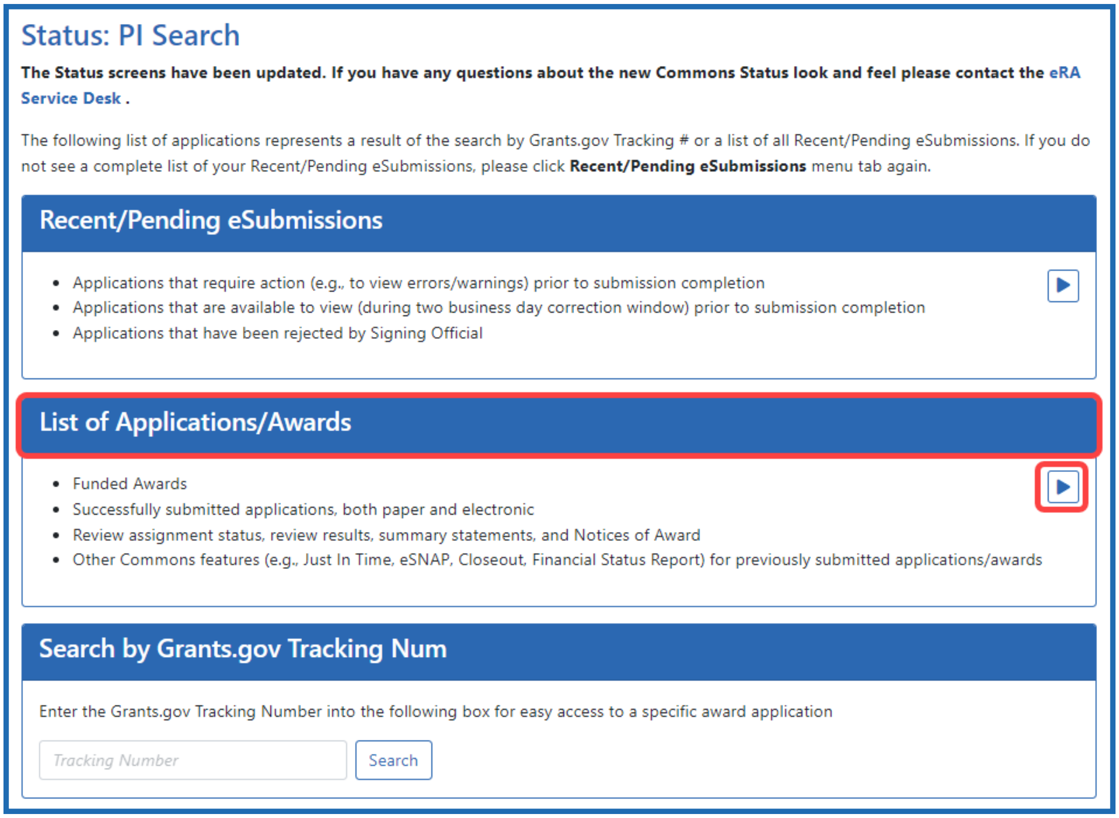
Initiating the RPPR

Agency-Specific Instructions: DEPARTMENT OF COMMERCE. For DOC awards, see these DOC-specific instructions for initiating an RPPR: *Initiating the Department of Commerce RPPR* on page 522

Only the program director/principal investigator (PD/PI) or their PD/PI delegate can initiate an RPPR and only a signing official (SO) can submit it. When there are multiple PIs (MPI), only the Contact PD/PI or the Contact PD/PI's delegate can initiate the RPPR.

To initiate, the user can choose from one of two ways to access the RPPR functionality:

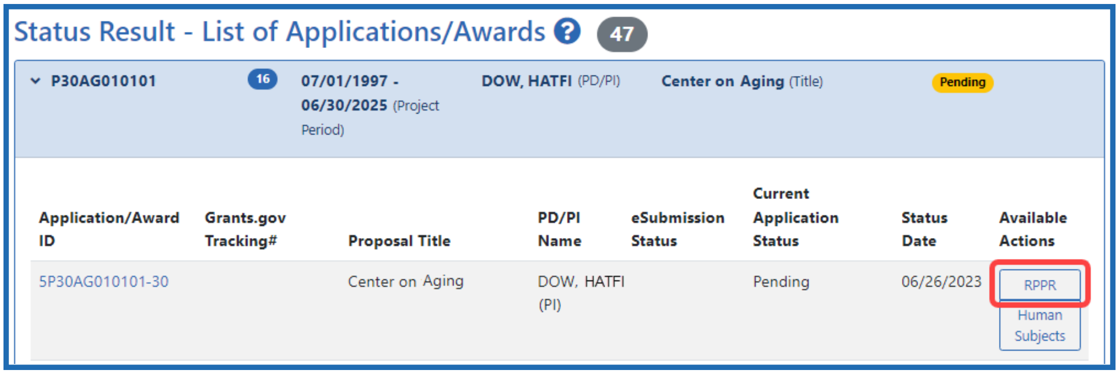
1. Access RPPR from Status.
    a. Navigate to the **Status** module in eRA Commons.
    b. Click the **List of Applications/Awards** heading or arrow on the *Status* screen.



a. From the *Status Result - List of Applications/Grants* screen, locate the award and click the **RPPR** link from the **Actions** drop-down menu in the **Available Actions** column for the specific grant (use *Flat View*). The **RPPR** link for the current reporting period is available once the Notice of Award for the prior year has been issued. This link remains available until the RPPR for the current reporting year has been submitted.

   For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year. The link for a multi-year funded award is available two months prior to the RPPR due date for the current reporting period and remains available until the RPPR is submitted. Note that AHRQ has not yet implemented the RPPR for multi-year funded awards.

NOTE: While **RPPR Year <X>** links for multiple years may appear at the same time in *Status*, you are prevented from initiating a progress report until the previous progress report(s) have been submitted.



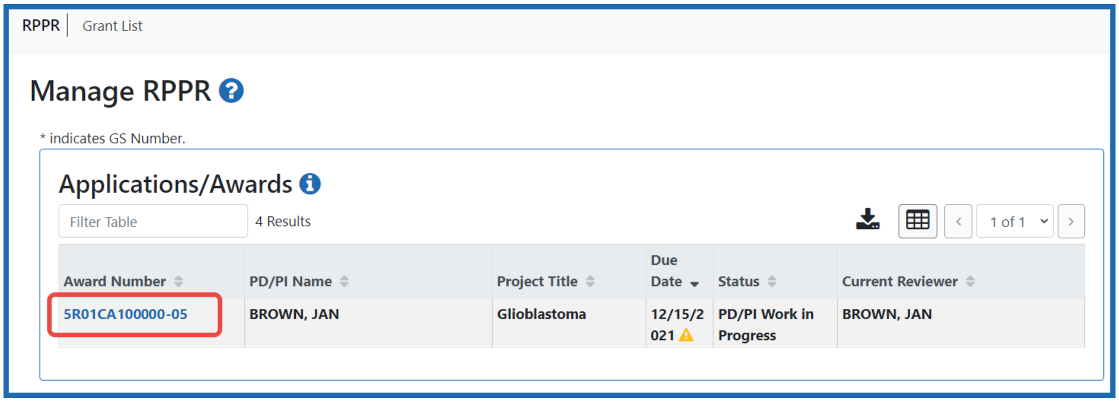
-OR-

1. Access RPPR by clicking **RPPR** in eRA Commons navigation (not applicable for DOC Awards).

   a. [Navigate to the **RPPR** module] in eRA Commons.

      The *Manage RPPR* screen displays, which shows grants that require RPPRs or have RPPRs in progress. The user can select a progress report in order to perform various actions.
      Signing officials and authorized officials see search options on *Manage RPPR*, which let them search for specific awards (see). Search results are listed below.
      Principal investigators or their delegates see only the list of progress reports to which the logged in user has access.

   b. Select a specific award by clicking its link in the **Award Number** column on the *Manage RPPR* screen.



If an RPPR exists already, Commons displays the report for editing.

If the RPPR is not yet started, the *RPPR Menu* screen displays with an **Initiate** button.

The *RPPR Menu* screen includes the following fields:

Award Number

This is the complete number of the grant

PD/PI Name

The PD/PI of the grant award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the Contact PD/PI indicated by the word Contact.

Project Title

The project title of the grant

Due Date

NIH

The due date of the progress report for awards issued under the SNAP (Streamlined Non-competing Award Process) provisions is the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the award is not issued under SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1). If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day. Progress reports for Fellowships are due two months before the beginning date of the next budget period. Occasionally the Notice of Award (NoA) will indicate a different due date that will supersede these dates. Grantees should consult the NoA to determine when SNAP procedures apply.

AHRQ

All AHRQ RPPRs are due 3 months before the anniversary of the award. For example, for an FY2021 award issued with a start date of 2/1/2021, the annual progress report (RPPR) for the award to be issued in FY2022 is due 11/1/2021 (i.e., three months before the FY2022 budget period start date of 2/1/2022). If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

Status

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

Buttons or Actions Available in Three-Dot Ellipsis Menu

Available actions, most of which are found by clicking the three-dot ellipsis icon next to the Award Number, vary depending on the status of the RPPR and/or the limitations of the current user's role. See *RPPR Menu* on page 316 for a list of all possible buttons and actions (under the three-dot ellipsis icon) available on the RPPR Menu screen.

2. Click the **Initiate** button to begin the RPPR.

Once initiated, Commons creates the RPPR in a *PD/PI Work in Progress* status and sets the current reviewer. A message displays as follows:

The RPPR has been successfully initiated.

NOTE: If initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, begin editing by clicking the three-dot ellipsis icon next to **Award Number** and selecting **Edit RPPR**. The RPPR is accessed for editing via the *RPPR Menu* screen. The steps for accessing each type of RPPR are outlined in other topics. Refer to Accessing a Single-Project RPPR for Editing or Accessing a Multi-Project or Single-Project with Complicated Structure for Editing.

Accessing a Work-in-Progress RPPR

If an RPPR is due but not started or already initiated, you can access it via the RPPR module. See *Manage RPPR Screen* on page 314.

You can edit an RPPR only if you are the current reviewer. The PI who initiated the RPPR is automatically the current reviewer. When the RPPR is routed to someone else, that person becomes the current reviewer and can edit. See *Routing the RPPR* on page 381.

Initiating the Department of Commerce RPPR

The Research Performance Progress Report (RPPR) module of eRA Commons is used by awardees of Department of Commerce (DOC) awards to submit research performance progress reports to DOC.

For DOC awards, the RPPR can be accessed ONLY via the RPPR action in the Status module. The *Manage RPPR* screen, which opens if you select RPPR from the Main Menu module navigation, does NOT list DOC awards. This is different from non-DOC awards, where RPPR-eligible awards are listed on the *Manage RPPR* screen.

General Information on DOC RPPR

- For an overview of RPPR, see *Research Performance Progress Report (RPPR) Module* on page 313.
- RPPRs are due semi-annually for DOC awards. Also, awardees submit a Final RPPR as part of the closeout process. See *Closeout Status for DOC Awards* on page 645.
- All DOC awards requiring RPPRs are multi-year.
- RPPRs should be completed/submitted in order. For example, Semi-Annual RPPR 1 must be completed before Semi-Annual RPPR 2.
- After an RPPR has been submitted, you can modify it and resubmit it. This capability to resubmit RPPRs is available for DOC awards only. If you submit a modified RPPR, it replaces the prior submitted RPPR. Once the RPPR is accepted by the agency, you can no longer resubmit.
- For DOC awards, RPPR shows an additional form named J. Misc. Documents, which is simply used to upload up to 20 documents of your choice; see *J. Misc. Documents* on page 365.

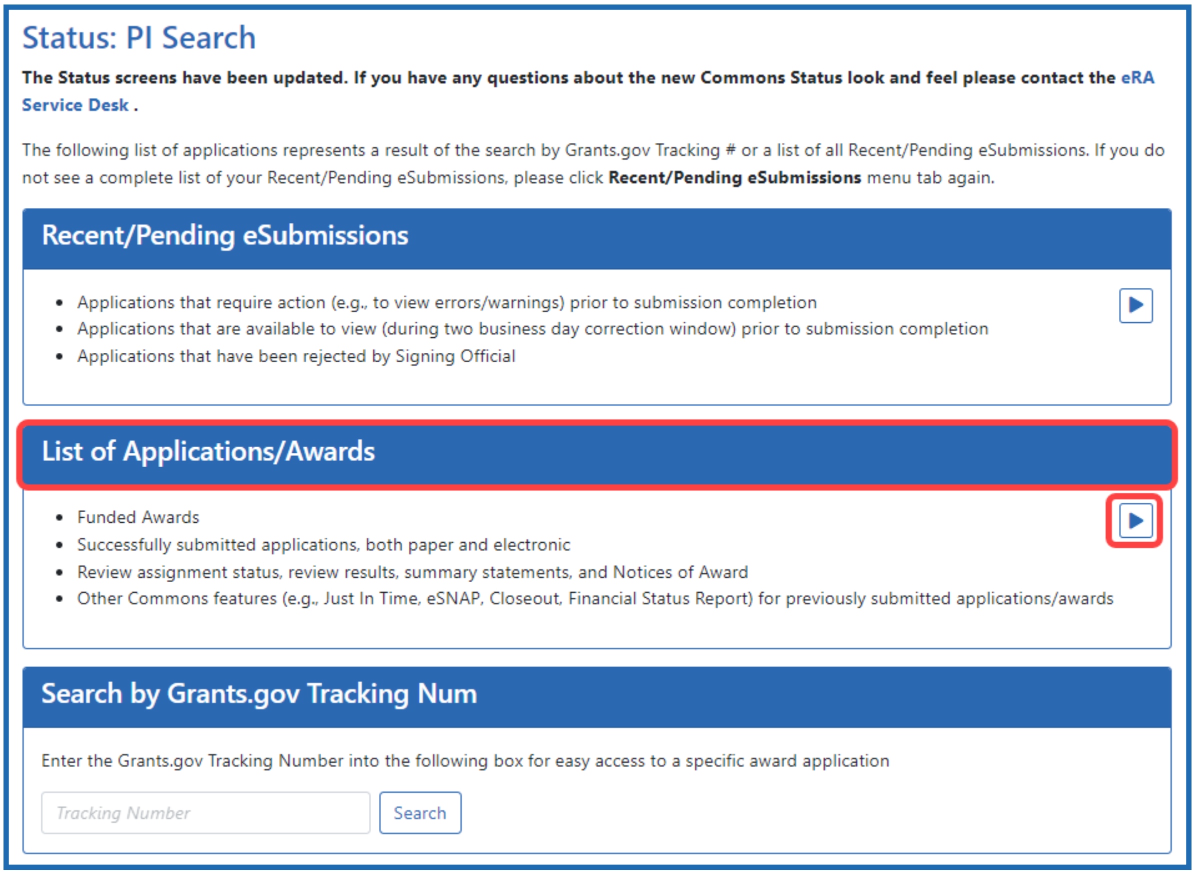
Agency-Specific Instructions: Department of Commerce. The NIH RPPR Instruction guide, titled the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf), is **not applicable** to DOC awards. Consult with your DOC grants management specialist for policy questions on RPPR for your DOC award.

Initiating a Department of Commerce (DOC) RPPR

Only the principal investigator/program director (PD/PI) can initiate an RPPR and only a signing official (SO) can submit it. When there are multiple PIs (MPI), only the Contact PI can initiate the report. For DOC awards, no RPPR functionality can be delegated.

To initiate or access a DOC RPPR from the Status module:

1. Navigate to the **Status** module in eRA Commons.
2. Click the **List of Applications/Grants** link from the *Status* screen or from the menu options.



3. From the *Status Result - List of Applications/Grants* screen, locate the award and click the **Semi-Annual RPPR x** link from the **Actions** drop-down menu in the **Available Actions** column for the specific grant (use *Flat View*).

   For all awards, the link will display as **Semi-Annual RPPR <X>**, the <X>

representing the sequential number of the semi-annual RPPR. The RPPR link for the current reporting period becomes available on the first day of the due period and remains available until the RPPR is submitted. If, after submission, the RPPR is returned from the DOC agency to the awardee, the RPPR link becomes available again.

NOTE: If multiple RPPR links appear for an award (for example, **Semi-Annual RPPR 1**, **Semi-Annual RPPR 2**, **Semi-Annual RPPR 3**), you are prevented from initiating a progress report until the previous progress reports have been submitted.

If an RPPR exists already, Commons displays the report for editing.

If the RPPR is not yet started, the *RPPR Menu* screen displays with an **Initiate** button.

The *RPPR Menu* screen includes the following fields:

Award Number

This is the complete number of the award.

PD/PI Name

The PD/PI of the grant award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the Contact PD/PI indicated by the word Contact.

Project Title

The project title of the grant

Due Date

The due date of the progress report.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

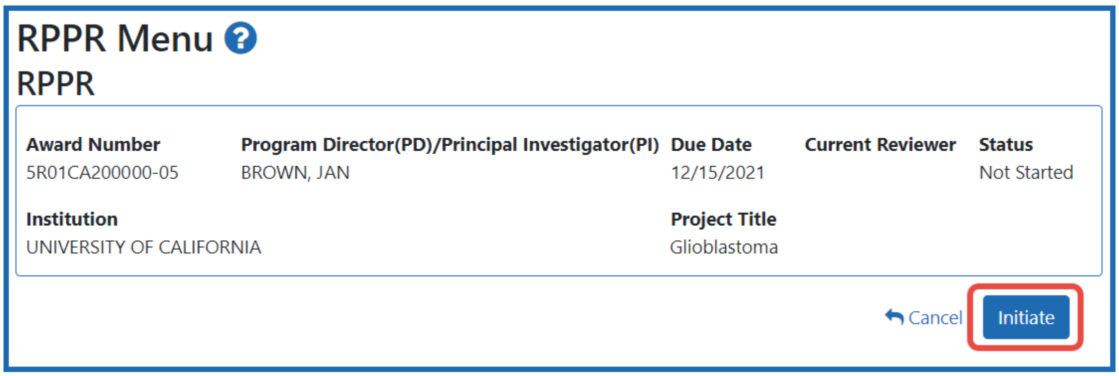
Status

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

Buttons or Actions Available in Three-Dot Ellipsis Menu

Available actions, most of which are found by clicking the three-dot ellipsis icon next to the Award Number, vary depending on the status of the RPPR and/or the limitations of the current user's role. See *RPPR Menu* on page 316 for a list of all possible buttons and actions (under the three-dot ellipsis icon) available on the RPPR Menu screen.

4. Click the **Initiate** button to begin the RPPR.



Once initiated, Commons creates the RPPR in a *PD/PI Work in Progress* status and sets you as the current reviewer. A message displays as follows:

The RPPR has been successfully initiated.

NOTE: If initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, begin editing by clicking the three-dot ellipsis icon next to **Award Number** and selecting **Edit RPPR**. The steps for accessing a DOC RPPR are outlined below.

Accessing a Work-in-Progress DOC RPPR

If an RPPR is already initiated, you can access it via the Status module. You can edit an RPPR only if you are the current reviewer. The PI who initiated the RPPR is automatically the current reviewer. When the RPPR is routed to someone else, that person becomes the current reviewer and can edit. See *Routing the RPPR* on page 381.

Principal Investigator

A PI navigates to the Status module, expands the award that has the RPPR, and clicks the RPPR Semi-Annual x action.

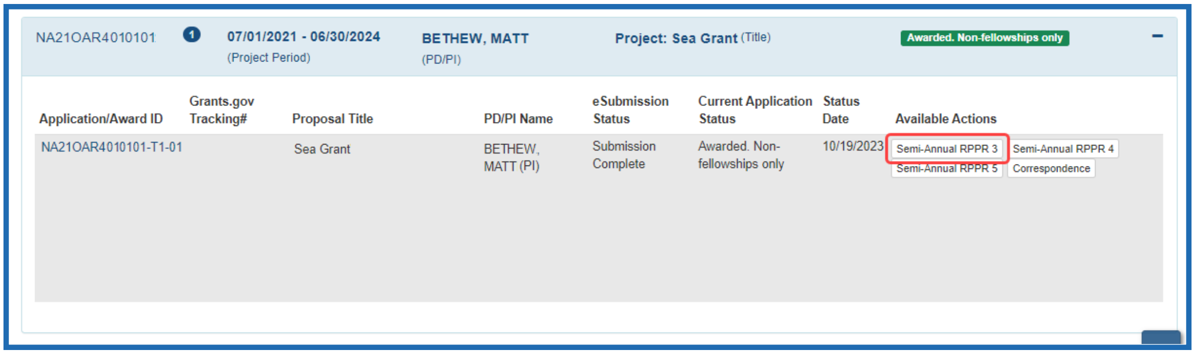
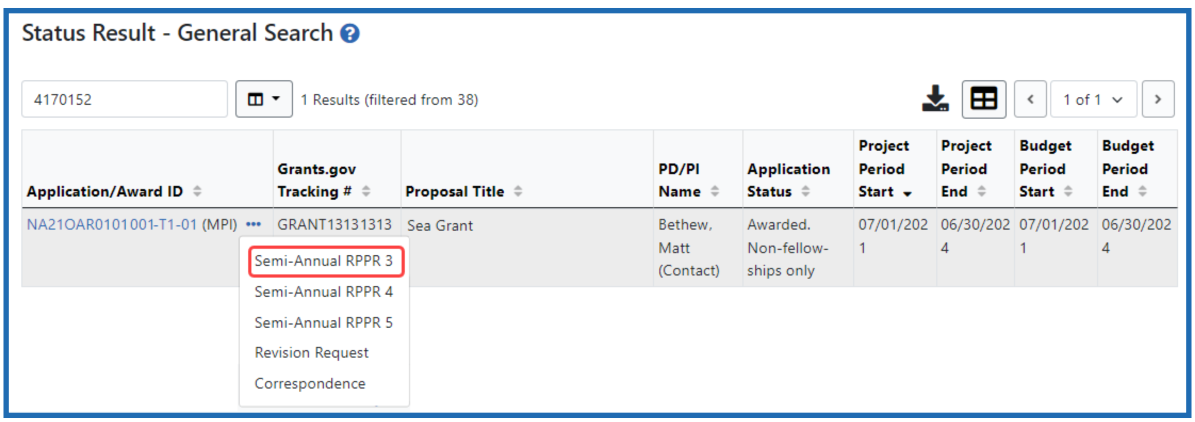


Figure 140: Section of PI Status results, showing the Semi-Annual RPPR action

Signing Official

An SO navigates to the Status module, does a search to find the award, clicks the three-dot ellipsis menu, and clicks the **RPPR Semi-Annual x** action.



Editing the RPPR Forms

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

NOTE: PDF uploads for all RPPR sections are required to be a flattened PDF. A flattened PDF is one that does not have fillable forms or other layers, such as movable images. The easiest way to flatten a PDF using Adobe Acrobat Reader is to print the document, but choose the “Print to PDF” option in the Print dialog, and save to a new file name when prompted. If you attempt to upload and save a file that is not a flattened PDF, you see this error message, "Error Uploading PDF. Please ensure all files are flattened. ....".

See screenshots of each form at the links below. Not all forms apply to all awards and specific questions on each form may be applicable or not depending on the award type and the awarding agency's policies.

A. Cover Page on page 337

B. Accomplishments on page 338

C. Products on page 340

D. Participants on page 346

E. Impact on page 348

F. Changes on page 348

G. Special Reporting Req on page 350

H. Budget on page 352

I. Outcomes on page 364

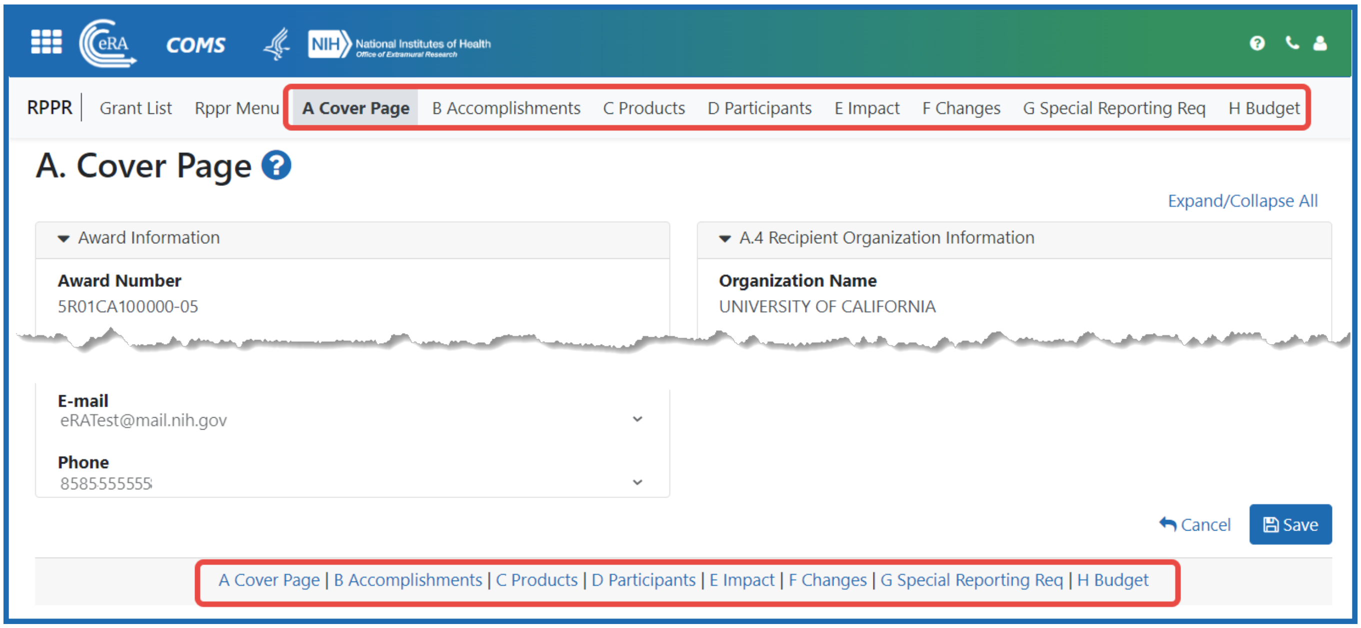
J. Misc. Documents on page 365

Editing the RPPR

To edit the RPPR:

1. Update the information as necessary and click the **Save** button.

   The *RPPR* includes tabs at the top and links at the bottom of the page for navigating to the other sections (e.g., **Accomplishments**, **Participants**), which may be completed in any order. Before navigating to and from any of these sections, you must click the **Save** button--navigating away from any page on the RPPR without clicking **Save** results in the loss of any information entered prior to the last save.



2. Sections can be completed in any order. To navigate and populate the other sections of the RPPR, select the links from the top or bottom of the page.
3. Complete the appropriate fields of the report.

   Details for completing each section are discussed in the RPPR Instruction Guide (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). Many of the fields on these pages, however, behave in a similar manner.

4. Click the **Save** button before navigating to the next page.

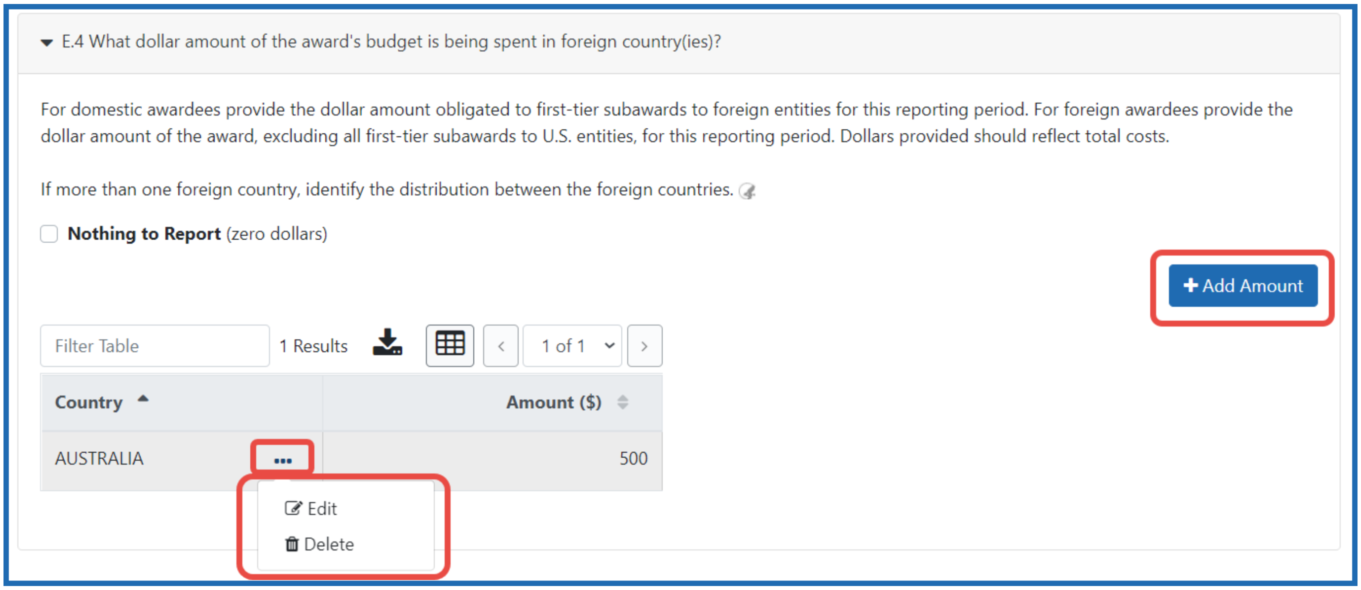
5. To return to the *RPPR Menu*, click the **Cancel** button.

When an RPPR is ready for review and submission, it is routed to the next reviewer. Refer to *Routing the RPPR* on page 381

Using the Buttons, Tables, and other Web Page Items to Fill Out RPPR Forms

+ Add Button

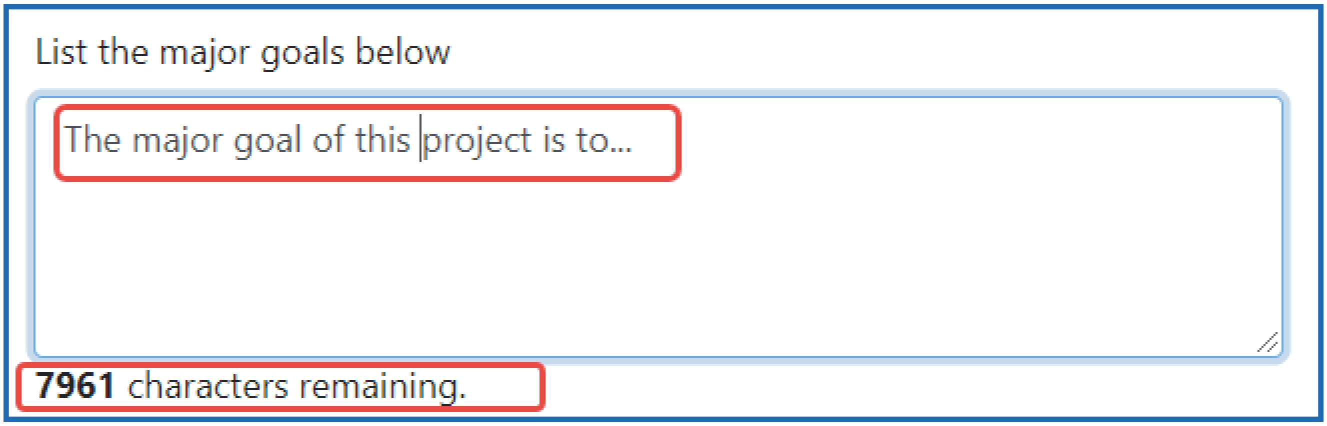
To use an **Add** button, click it to see a popup, then enter or select data into the appropriate fields.



You can edit or delete items from the table using the actions listed under the three-dot ellipsis menu.

Text Box

All text boxes on the RPPR have character limits. The number of characters available is reflected beneath each text box as characters are entered.



Changing Saved Responses

While in work-in-progress (WIP) status, the RPPR is editable. A warning message displays as follows:

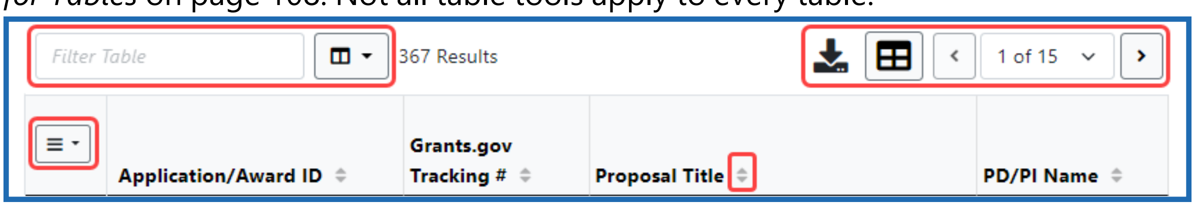
The entered/uploaded response will be deleted. Do you wish to continue?

The user editing the information can choose to **Continue** or **Cancel** the action. Choosing **Continue** deletes the previous response, removes any attachments, and disables the relevant fields associated with the question. Choosing **Cancel** cancels the change.

Using Table Tools

You might notice various icons above tables in RPPR. Several built-in table tools let you work with data in tables.

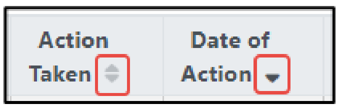
TIP: Table tools might include the ability to: filter results; show/hide columns; download to Excel or print; specify number of visible records; navigate through tables of data; select and unselect records in bulk; and sort. Table tools are described in *Standard Tools for Tables* on page 108. Not all table tools apply to every table.



Filter

Entering filter text to see instant filtering of the list as you type, with the number of found results updated as you type. The text you type in filter is highlighted in the table.

Sorting Columns



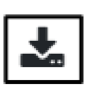
Click column headers to sort by that column. Gray up and down triangles indicated a non-sorted column. A solid black up arrow indicates the table is sorted by that column-descending and solid black down arrow indicates the table is sorted by that column ascending.

Bulk Select/Deselect Tool

Use the bulk actions tool to select or deselect all items in a table, or to select all/deselect all of those items currently visible on the page. , and to show selected rows only or all rows. Other bulk action tools might also let you mark or clear the checkboxes of all currently visible rows (such as those found by typing filter text).

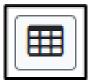
Check All marks all checkboxes regardless of the number of pages of records shown. In other words, if there are 10 pages of records available, with only the first page currently visible, **Check All** marks all enabled checkboxes on all pages. By contrast, **Check All Visible** marks only those enabled checkboxes on the currently visible page. See **Page Navigation** below for directions on how to navigate between pages of data.

Download/Print Tool



Use the download tool to export table data to Excel or PDF, or to print. Data from all columns is exported/printed even if only a subset of columns are visible.

Grid Tool



To help avoid scrolling, use the grid tool to specify how many table rows appear per page.

Search Results Navigation

Navigate to each page of search results using the above tool.

How Do I Fill Out the RPPR Forms?

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

Please refer to the following sections of the PDF RPPR Instruction Guide (linked above) when completing your report:

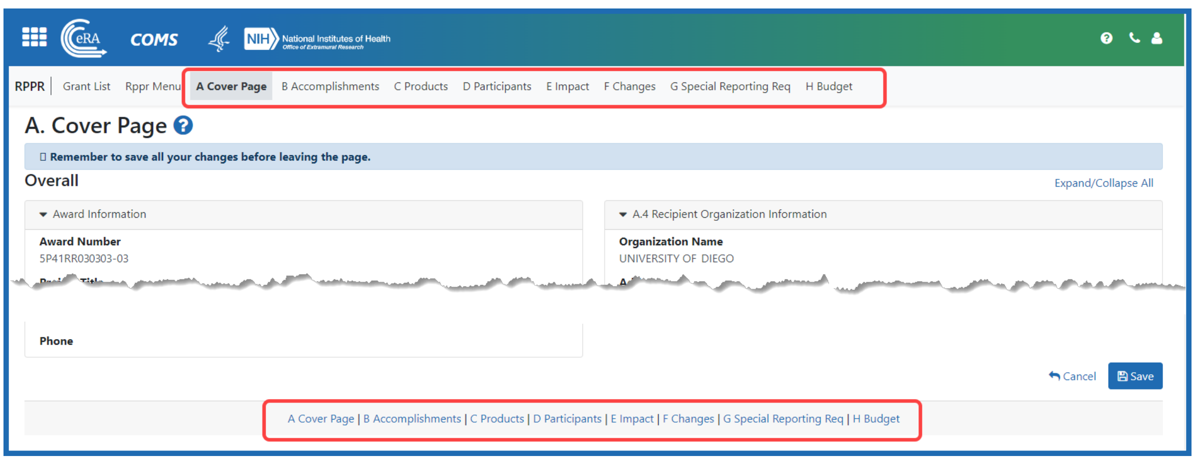
- **Cover Page** - See "Section A – Cover Page"
- **Accomplishments** - See "Section B – Accomplishments"
- **Products** - See "Section C – Products"
- **Participants** - See "Section D – Participants"
- **Impact** - See "Section E – Impact"
- **Changes** - See "Section F – Changes"
- **Special Reporting Requirements** - See "Section G – Special Reporting Requirements"
- **Budget** - See "Section H – Budget"
- **Outcomes** - See "Section I – Outcomes"

Agency-Specific Instructions: Department of Commerce awards: The **Section J. Misc. Documents** RPPR form is for Department of Commerce only and does not appear for awards from other agencies. Section J is NOT documented in the *NIH and Other PHS Agency RPPR Instruction Guide*. See *J. Misc. Documents* on page 365or the Department of Commerce Grant Enterprise Managment Solution site.

NOTE: PDF uploads for all RPPR sections are required to be a flattened PDF. A flattened PDF is one that does not have fillable forms or other layers, such as movable images. The easiest way to flatten a PDF using Adobe Acrobat Reader is to print the document, but choose the “Print to PDF” option in the Print dialog, and save to a new file name when prompted. If you attempt to upload and save a file that is not a flattened PDF, you see this error message, "Error Uploading PDF. Please ensure all files are flattened. ....".

RPPR Navigation

The RPPR is completed using eRA Commons. The report in Commons consists of separate screens for each of the sections listed below:



A. Cover Page

B. Accomplishments

C. Products

D. Participants (only section D.1 for FRPPR)

E. Impact

F. Changes (not used for FRPPR)

G. Special Reporting Requirements

H. Budget (not used for FRPPR)

I. Outcomes (only used for FRPPR)

J. Misc. Documents (available for Department of Commerce awards only)

Users can work on various sections in any order; however, it is important to click the **Save** button at the bottom of a screen to retain data entered on that screen. Upon submission to the awarding agency, the system generates a PDF of the progress report, which you can view from the *RPPR Menu* screen by clicking an award's three-dot ellipsis menu and selecting the **View RPPR as PDF** button.

Once submitted, the Final RPPR, in PDF format, is accessible in Commons via the *Status Information* screen. Refer to *Viewing the RPPR in Commons* on page 434

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

A. Cover Page

After accessing the RPPR, the section *A. Cover Page* displays. The *Cover Page* includes information about the grant, PD/PI, signing and administrative officials, organization, and project/reporting/budget periods. Much of this information is pre-populated from data in eRA systems, but certain fields are editable.

See the RPPR Instruction Guide for details of how to fill this form out.

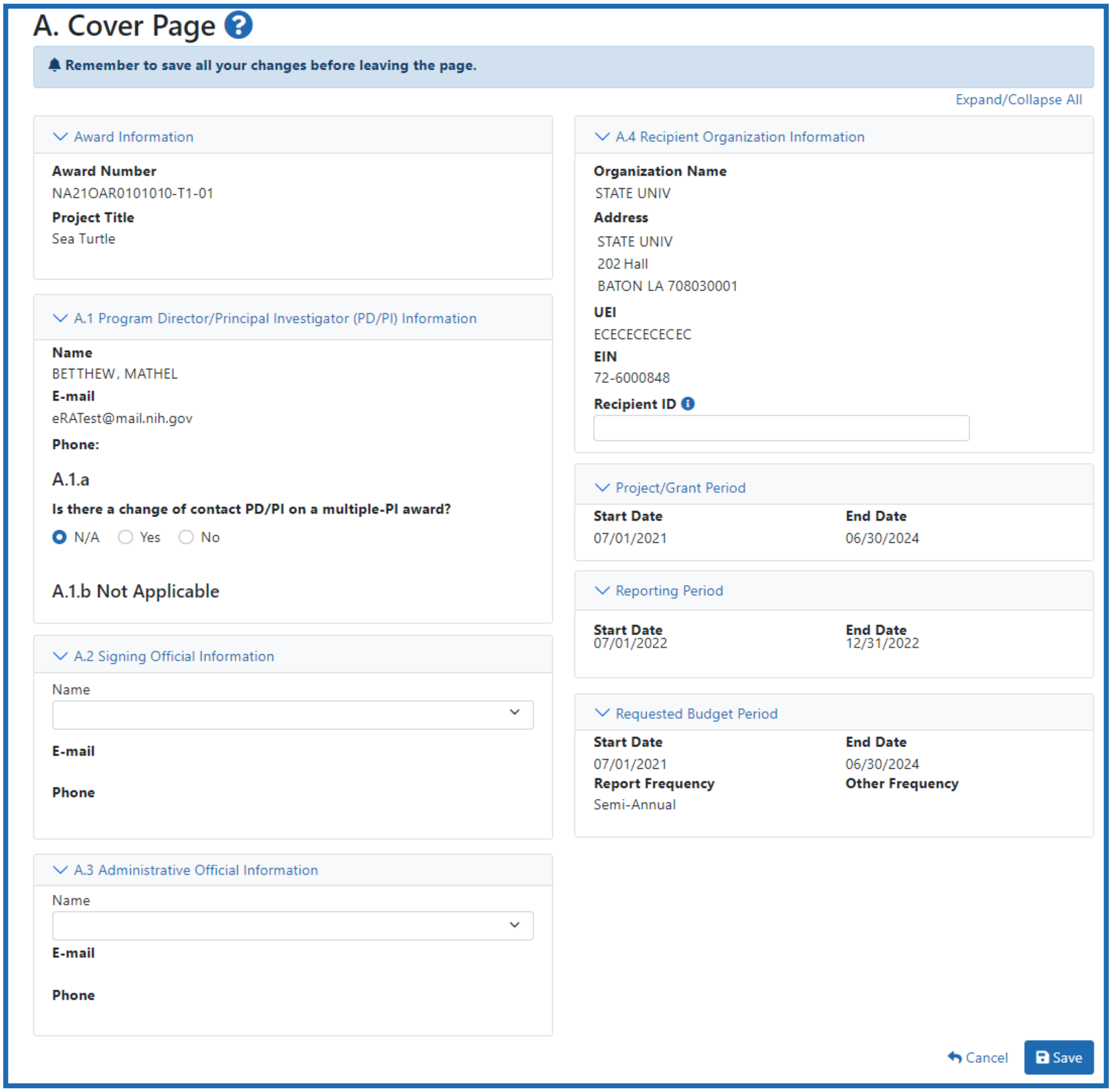


Figure 141: The A. Cover Page section of the RPPR

B. Accomplishments

The RPPR section B. Accomplishments allows the agency to assess whether satisfactory progress has been made during the reporting period.

See the RPPR Instruction Guide for details of how to fill this form out.

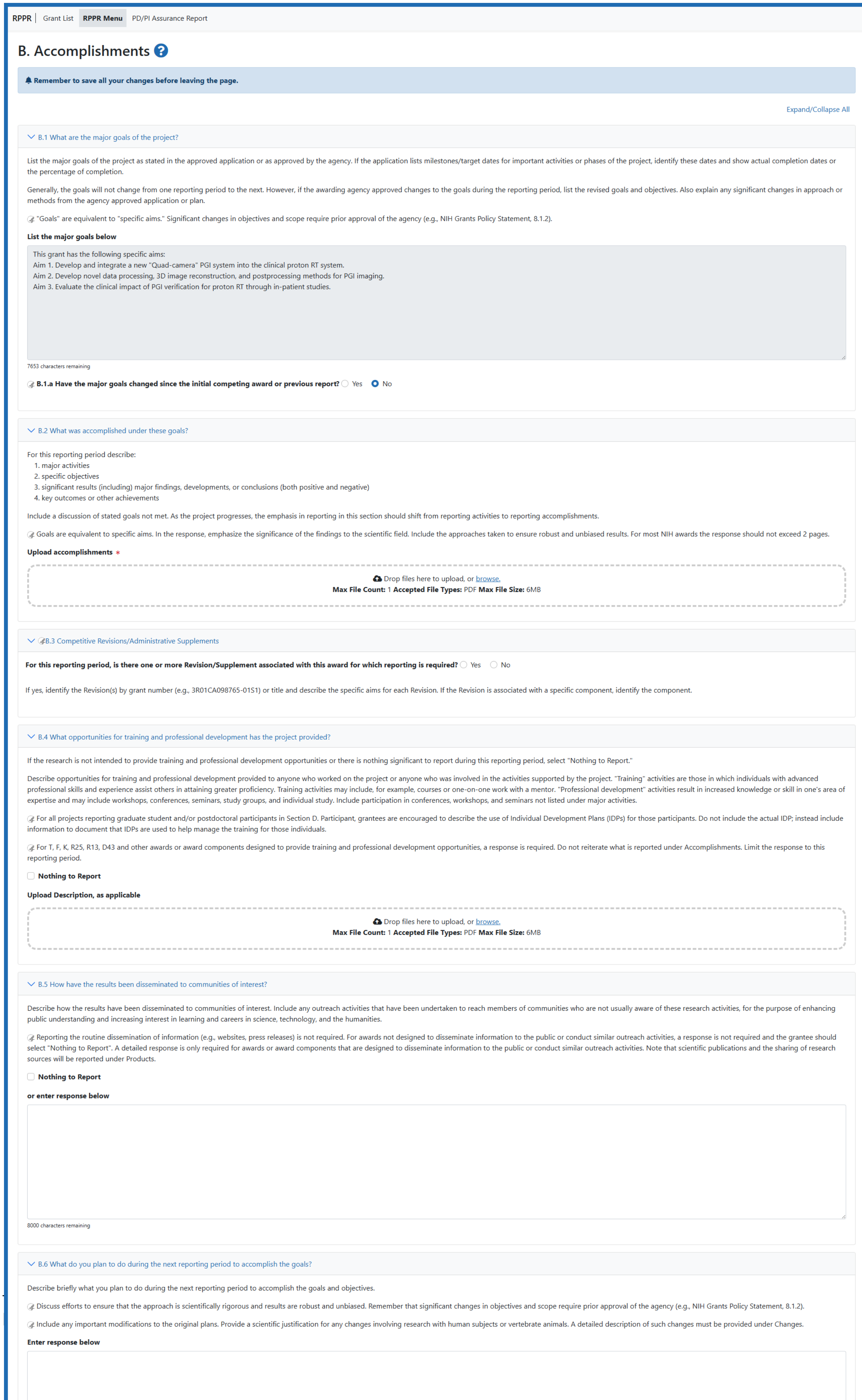
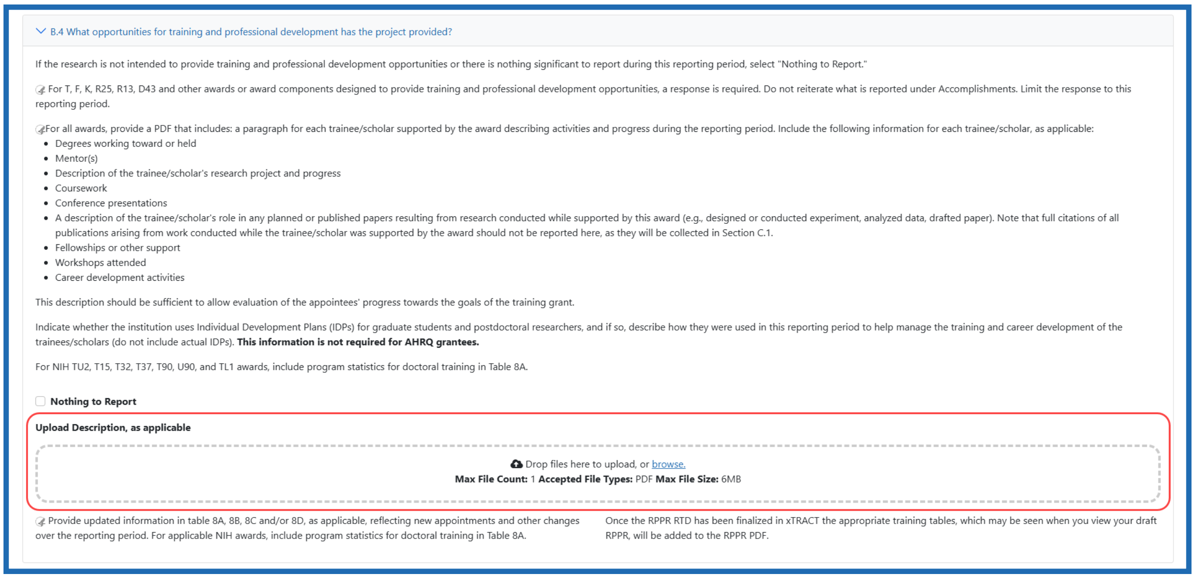

RPPR | Grant List RPPR Menu PD/PI Assurance Report
B. Accomplishments
Remember to save all your changes before leaving the page.
Expand/Collapse All
B.1 What are the major goals of the project?
List the major goals of the project as stated in the approved application or as approved by the agency. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion.
Generally, the goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the agency approved application or plan.
"Goals" are equivalent to "specific aims." Significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2).
List the major goals below
This grant has the following specific aims:
Aim 1. Develop and integrate a new "Quad-camera" PGI system into the clinical proton RT system.
Aim 2. Develop novel data processing, 3D image reconstruction, and postprocessing methods for PGI imaging.
Aim 3. Evaluate the clinical impact of PGI verification for proton RT through in-patient studies.
7653 characters remaining
B.1.a Have the major goals changed since the initial competing award or previous report? Yes No
B.2 What was accomplished under these goals?
For this reporting period describe:
1. major activities
2. specific objectives
3. significant results (including) major findings, developments, or conclusions (both positive and negative)
4. key outcomes or other achievements
Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.
Goals are equivalent to specific aims. In the response, emphasize the significance of the findings to the scientific field. Include the approaches taken to ensure robust and unbiased results. For most NIH awards the response should not exceed 2 pages.
Upload accomplishments *
Drop files here to upload, or browse.
Max File Count: 1 Accepted File Types: PDF Max File Size: 6MB
B.3 Competitive Revisions/Administrative Supplements
For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required? Yes No
If yes, identify the Revision(s) by grant number (e.g., 3R01CA098765-01S1) or title and describe the specific aims for each Revision. If the Revision is associated with a specific component, identify the component.
B.4 What opportunities for training and professional development has the project provided?
If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, select "Nothing to Report."
Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. "Training" activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional development" activities result in increased knowledge or skill in one's area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.
For all projects reporting graduate student and/or postdoctoral participants in Section D. Participant, grantees are encouraged to describe the use of Individual Development Plans (IDPs) for those participants. Do not include the actual IDP; instead include information to document that IDPs are used to help manage the training for those individuals.
For T, F, K, R25, R13, D43 and other awards or award components designed to provide training and professional development opportunities, a response is required. Do not reiterate what is reported under Accomplishments. Limit the response to this reporting period.
Nothing to Report
Upload Description, as applicable
Drop files here to upload, or browse.
Max File Count: 1 Accepted File Types: PDF Max File Size: 6MB
B.5 How have the results been disseminated to communities of interest?
Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.
Reporting the routine dissemination of information (e.g., websites, press releases) is not required. For awards not designed to disseminate information to the public or conduct similar outreach activities, a response is not required and the grantee should select "Nothing to Report". A detailed response is only required for awards or award components that are designed to disseminate information to the public or conduct similar outreach activities. Note that scientific publications and the sharing of research sources will be reported under Products.
Nothing to Report
or enter response below
8000 characters remaining
B.6 What do you plan to do during the next reporting period to accomplish the goals?
Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.
Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased. Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2).
Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Changes.
Enter response below

Figure 142: The B. Accomplishments section of the RPPR

Uploading Documentation

Section B.4 provides area where you can upload a document that describe opportunities for training and professional development supported by the project.

You drag and drop a PDF formatted file to the designated drop area or use the browse link to navigate to the document. You are permitted one PDF document no larger than 6MB.


B.4 What opportunities for training and professional development has the project provided?

If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, select "Nothing to Report."

For T, F, K, R25, R13, D43 and other awards or award components designed to provide training and professional development opportunities, a response is required. Do not reiterate what is reported under Accomplishments. Limit the response to this reporting period.

For all awards, provide a PDF that includes: a paragraph for each trainee/scholar supported by the award describing activities and progress during the reporting period. Include the following information for each trainee/scholar, as applicable:

- Degrees working toward or held
- Mentor(s)
- Description of the trainee/scholar's research project and progress
- Coursework
- Conference presentations
- A description of the trainee/scholar's role in any planned or published papers resulting from research conducted while supported by this award (e.g., designed or conducted experiment, analyzed data, drafted paper). Note that full citations of all publications arising from work conducted while the trainee/scholar was supported by the award should not be reported here, as they will be collected in Section C.1.
- Fellowships or other support
- Workshops attended
- Career development activities

This description should be sufficient to allow evaluation of the appointees' progress towards the goals of the training grant.

Indicate whether the institution uses Individual Development Plans (IDPs) for graduate students and postdoctoral researchers, and if so, describe how they were used in this reporting period to help manage the training and career development of the trainees/scholars (do not include actual IDPs). **This information is not required for AHRQ grantees.**

For NIH TU2, T15, T32, T37, T90, U90, and TL1 awards, include program statistics for doctoral training in Table 8A.

Nothing to Report

Upload Description, as applicable

Drop files here to upload, or browse.
Max File Count: 1 **Accepted File Types:** PDF **Max File Size:** 6MB

Provide updated information in table 8A, 8B, 8C and/or 8D, as applicable, reflecting new appointments and other changes over the reporting period. For applicable NIH awards, include program statistics for doctoral training in Table 8A.

Once the RPPR RTD has been finalized in xTRACT the appropriate training tables, which may be seen when you view your draft RPPR, will be added to the RPPR PDF.

Figure 143: Section B4 showing the upload area for describing opportunities for training and professional development

NOTE: The file is not uploaded until the RPPR form is saved.

C. Products

The RPPR section C. Products allows agencies to assess and report both publications and other products to Congress, communities of interest, and the public.

Note that there are two versions of Form C Products, and the type of award determines which version you see. If you are viewing an NIH, AHRQ, or VA award, you will see the first version below. If you are viewing a Department of Commerce award, you will see the second version below. The first version connects to My NCBI and lists publications published there. The second version does not connect to My NCBI, but allows you to manually citations for publications that you wish to associate with this RPPR.

See the RPPR Instruction Guide for details of how to fill this form out.

C. Products Form for NIH, AHRQ, VA

The form automatically lists publications from My NCBI that are associated with this project. Select the checkboxes of the publications in "All publications affiliated with this project in My NCBI" to affiliate with this project report.

Use the bulk tool  to bulk select or deselect publications.

> **Agency-Specific Instructions:** The following form does not apply to Department of Commerce (DOC) awards. See the next section for the DOC Products form.

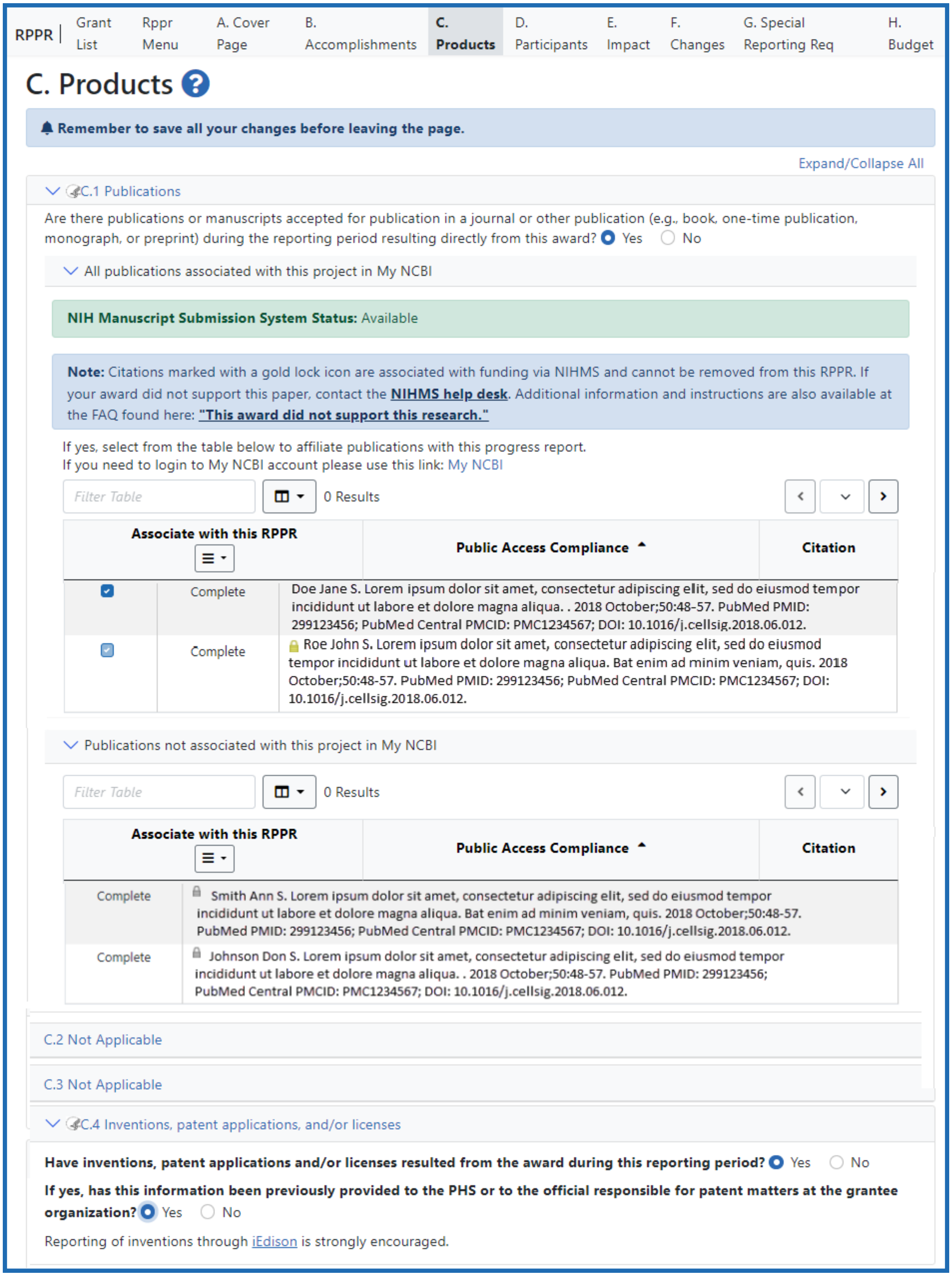

RPPR | Grant List Rppr Menu A. Cover Page B. Accomplishments C. Products D. Participants E. Impact F. Changes G. Special Reporting Req H. Budget
C. Products
Remember to save all your changes before leaving the page.
Expand/Collapse All
C.1 Publications
Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph, or preprint) during the reporting period resulting directly from this award? Yes No
All publications associated with this project in My NCBI
NIH Manuscript Submission System Status: Available
Note: Citations marked with a gold lock icon are associated with funding via NIHMS and cannot be removed from this RPPR. If your award did not support this paper, contact the NIHMS help desk. Additional information and instructions are also available at the FAQ found here: "This award did not support this research."
If yes, select from the table below to affiliate publications with this progress report.
If you need to login to My NCBI account please use this link: My NCBI
Filter Table
0 Results
Associate with this RPPR
Public Access Compliance
Citation
Complete
Doe Jane S. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. . 2018 October;50:48-57. PubMed PMID: 299123456; PubMed Central PMCID: PMC1234567; DOI: 10.1016/j.cellsig.2018.06.012.
Complete
Roe John S. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Bat enim ad minim veniam, quis. 2018 October;50:48-57. PubMed PMID: 299123456; PubMed Central PMCID: PMC1234567; DOI: 10.1016/j.cellsig.2018.06.012.
Publications not associated with this project in My NCBI
Filter Table
0 Results
Associate with this RPPR
Public Access Compliance
Citation
Complete
Smith Ann S. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Bat enim ad minim veniam, quis. 2018 October;50:48-57. PubMed PMID: 299123456; PubMed Central PMCID: PMC1234567; DOI: 10.1016/j.cellsig.2018.06.012.
Complete
Johnson Don S. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. . 2018 October;50:48-57. PubMed PMID: 299123456; PubMed Central PMCID: PMC1234567; DOI: 10.1016/j.cellsig.2018.06.012.
C.2 Not Applicable
C.3 Not Applicable
C.4 Inventions, patent applications, and/or licenses
Have inventions, patent applications and/or licenses resulted from the award during this reporting period? Yes No
If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization? Yes No
Reporting of inventions through iEdison is strongly encouraged.

Figure 144: Shows C.1 through C.4 of the C. Products section of the RPPR for most awards

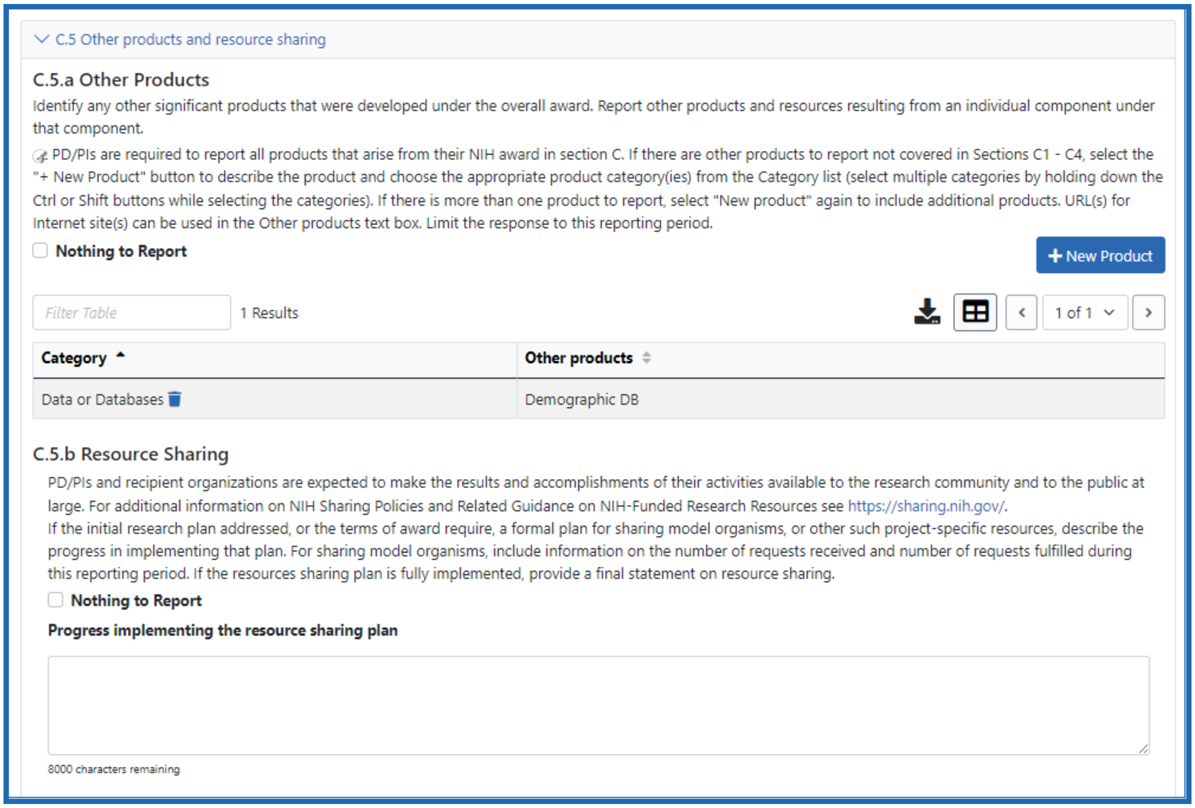
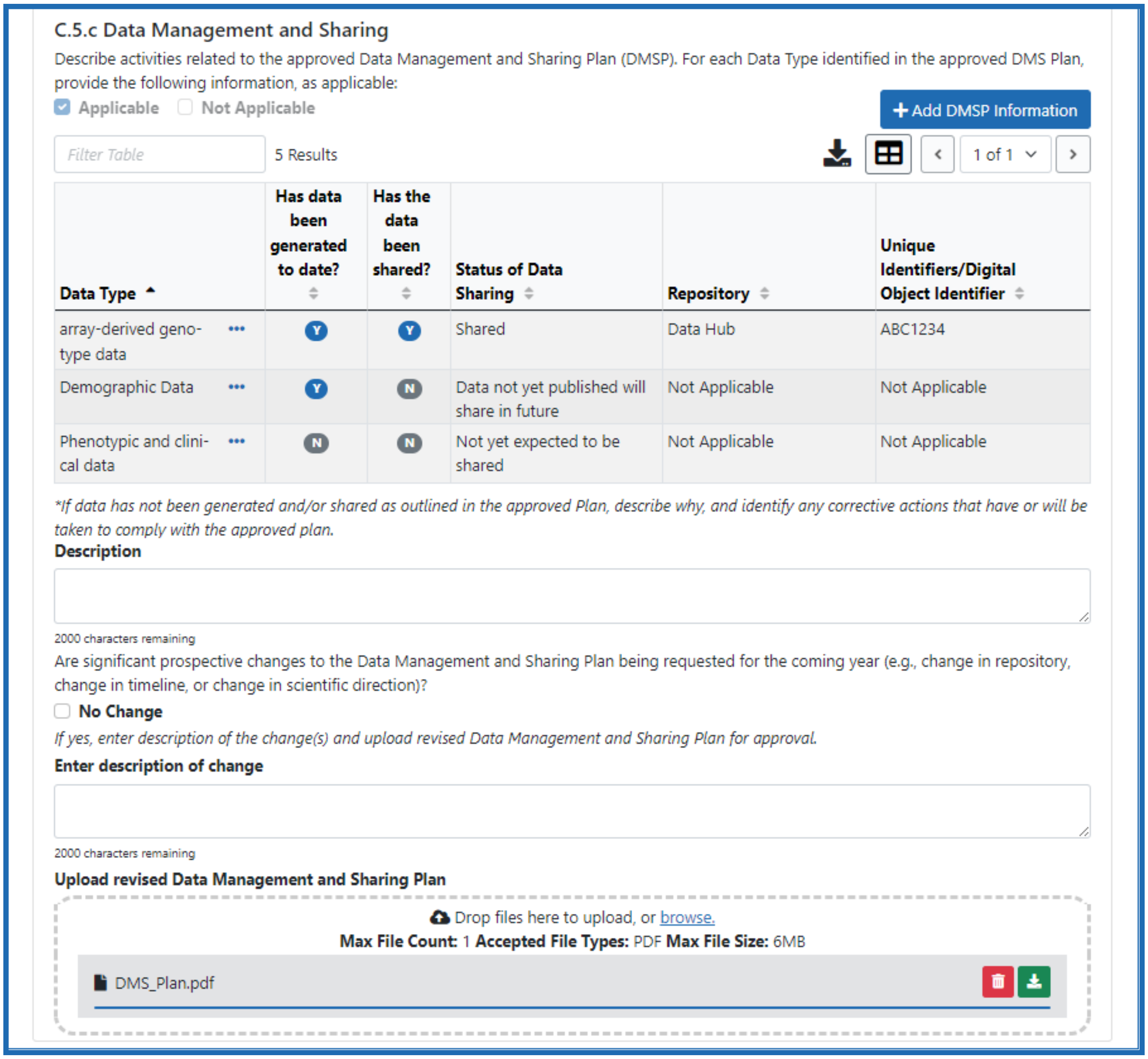


Figure 145: Questions C.5.a, Other Products, and C.5.b, Resource Sharing of section C of the RPPR



C.5.c Data Management and Sharing

Describe activities related to the approved Data Management and Sharing Plan (DMSP). For each Data Type identified in the approved DMS Plan, provide the following information, as applicable:

Applicable Not Applicable

+ Add DMSP Information

Filter Table 5 Results 1 of 1

Data Type	Has data been generated to date?	Has the data been shared?	Status of Data Sharing	Repository	Unique Identifiers/Digital Object Identifier
array-derived genotype data	Y	Y	Shared	Data Hub	ABC1234
Demographic Data	Y	N	Data not yet published will share in future	Not Applicable	Not Applicable
Phenotypic and clinical data	N	N	Not yet expected to be shared	Not Applicable	Not Applicable

*If data has not been generated and/or shared as outlined in the approved Plan, describe why, and identify any corrective actions that have or will be taken to comply with the approved plan.

Description

2000 characters remaining

Are significant prospective changes to the Data Management and Sharing Plan being requested for the coming year (e.g., change in repository, change in timeline, or change in scientific direction)?

No Change

If yes, enter description of the change(s) and upload revised Data Management and Sharing Plan for approval.

Enter description of change

2000 characters remaining

Upload revised Data Management and Sharing Plan

Drop files here to upload, or browse.

Max File Count: 1 Accepted File Types: PDF Max File Size: 6MB

DMS_Plan.pdf

Figure 146: Question C.5.c, Data Management and Sharing, of section C of the RPPR. The DMS section appears only for those awards subject to the [Final NIH Policy for Data Management and Sharing (DMS) Policy](#).

C. Products Form for Department of Commerce (DOC)

The DOC Products form does not connect to My NCBI. Manually enter citations of publications that should be affiliated with this RPPR, as described below.

Agency-Specific Instructions: The following form applies ONLY to Department of Commerce (DOC) awards. See the previous section for the Products form that applies to other agencies.

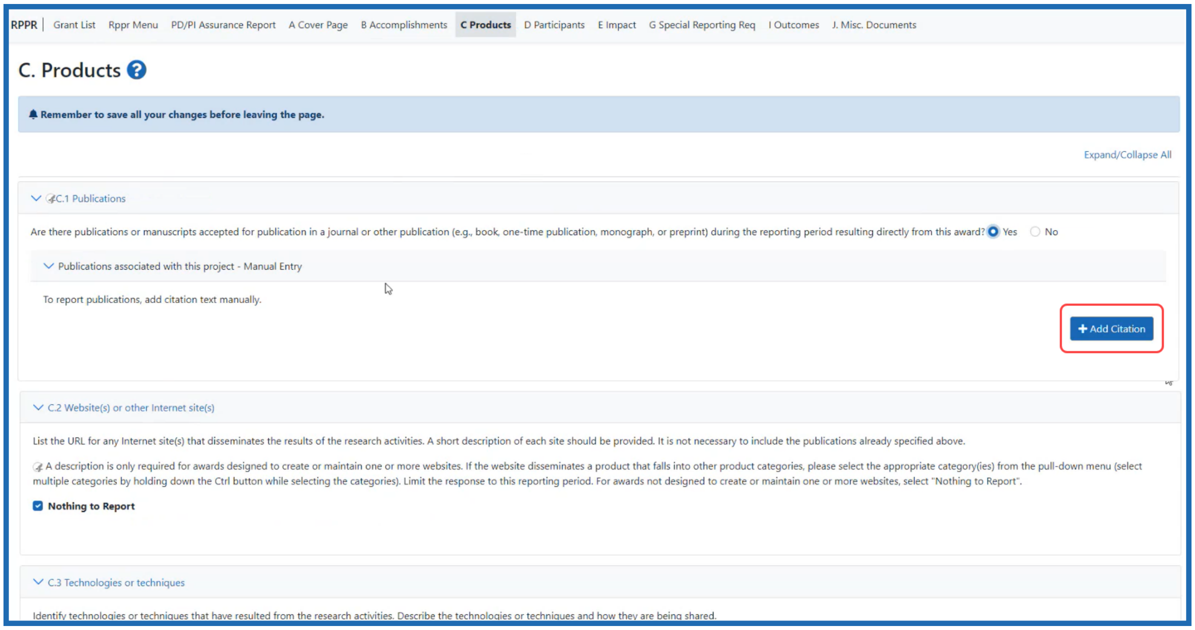


Figure 147: The C. Products section of the RPPR for Department of Commerce Awards

Add citations manually by clicking the **Add Citation** button. The *Add Manual Citations* popup appears, where you fill out the **Citation Description** field and click the **Add Citation** button.

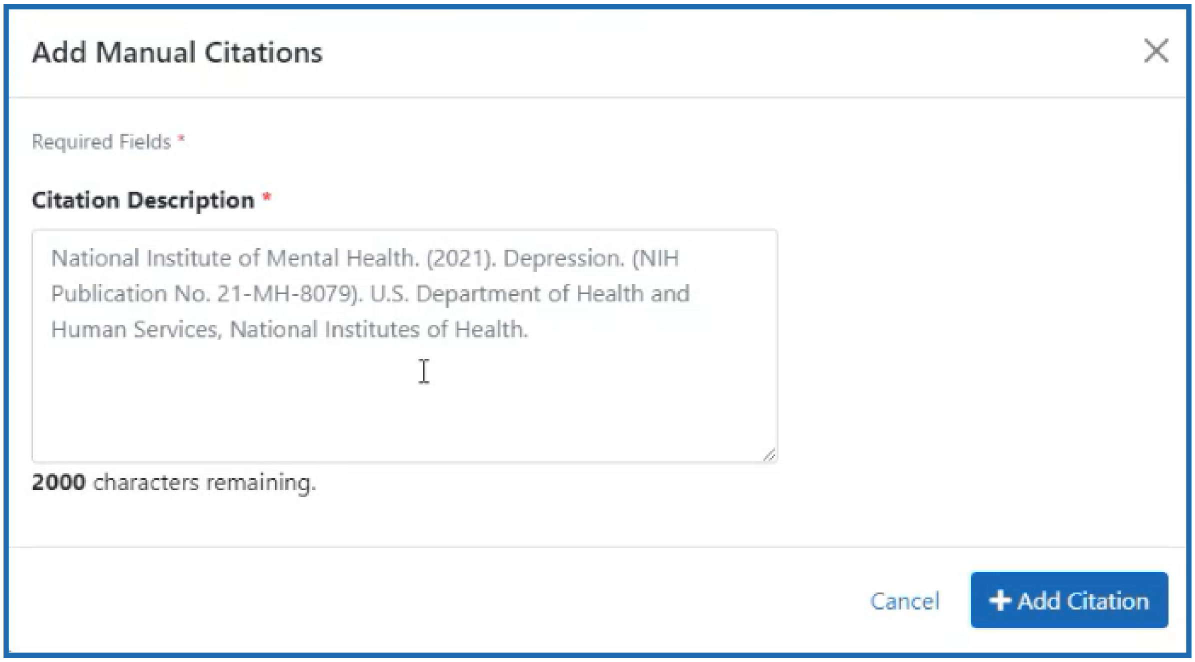
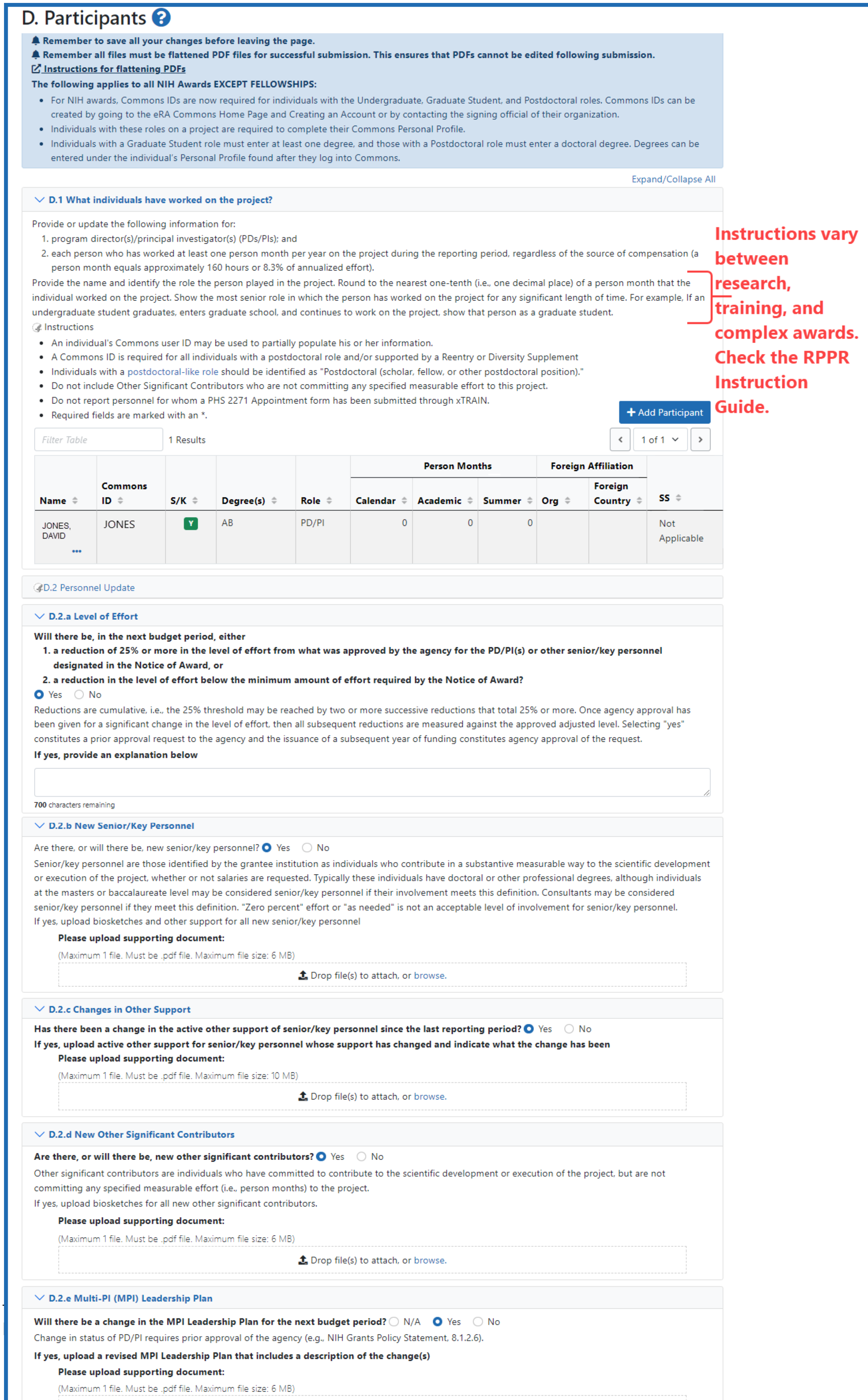


Figure 148: The Add Manual Citations popup for Department of Commerce Awards

D. Participants

The RPPR Section D. lets the agency know who has worked on the project to gauge and report performance in promoting partnerships and collaborations.

Read all onscreen instructions before completing this form. Onscreen instructions for D.1 vary slightly between research, training, and complex awards. See the RPPR Instruction Guide for details.



D. Participants

Remember to save all your changes before leaving the page.

Remember all files must be flattened PDF files for successful submission. This ensures that PDFs cannot be edited following submission.

Instructions for flattening PDFs

The following applies to all NIH Awards EXCEPT FELLOWSHIPS:

- For NIH awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles. Commons IDs can be created by going to the eRA Commons Home Page and Creating an Account or by contacting the signing official of their organization.
- Individuals with these roles on a project are required to complete their Commons Personal Profile.
- Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree. Degrees can be entered under the individual's Personal Profile found after they log into Commons.

Expand/Collapse All

D.1 What individuals have worked on the project?

Provide or update the following information for:

1. program director(s)/principal investigator(s) (PDs/PIs); and
2. each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort).

Provide the name and identify the role the person played in the project. Round to the nearest one-tenth (i.e., one decimal place) of a person month that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student.

Instructions vary between research, training, and complex awards. Check the RPPR Instruction Guide.

Instructions

- An individual's Commons user ID may be used to partially populate his or her information.
- A Commons ID is required for all individuals with a postdoctoral role and/or supported by a Reentry or Diversity Supplement
- Individuals with a postdoctoral-like role should be identified as "Postdoctoral (scholar, fellow, or other postdoctoral position)."
- Do not include Other Significant Contributors who are not committing any specified measurable effort to this project.
- Do not report personnel for whom a PHS 2271 Appointment form has been submitted through xTRAIN.
- Required fields are marked with an *.

+ Add Participant

Filter Table 1 Results 1 of 1

					Person Months			Foreign Affiliation		
Name	Commons ID	S/K	Degree(s)	Role	Calendar	Academic	Summer	Org	Foreign Country	SS
JONES, DAVID •••	JONES	Y	AB	PD/PI	0	0	0			Not Applicable

D.2 Personnel Update

D.2.a Level of Effort

Will there be, in the next budget period, either

1. **a reduction of 25% or more in the level of effort from what was approved by the agency for the PD/PI(s) or other senior/key personnel designated in the Notice of Award, or**
2. **a reduction in the level of effort below the minimum amount of effort required by the Notice of Award?**

Yes No

Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once agency approval has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level. Selecting "yes" constitutes a prior approval request to the agency and the issuance of a subsequent year of funding constitutes agency approval of the request.

If yes, provide an explanation below

700 characters remaining

D.2.b New Senior/Key Personnel

Are there, or will there be, new senior/key personnel? Yes No

Senior/key personnel are those identified by the grantee institution as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not salaries are requested. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants may be considered senior/key personnel if they meet this definition. "Zero percent" effort or "as needed" is not an acceptable level of involvement for senior/key personnel.

If yes, upload biosketches and other support for all new senior/key personnel

Please upload supporting document:

(Maximum 1 file. Must be .pdf file. Maximum file size: 6 MB)

Drop file(s) to attach, or browse.

D.2.c Changes in Other Support

Has there been a change in the active other support of senior/key personnel since the last reporting period? Yes No

If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been

Please upload supporting document:

(Maximum 1 file. Must be .pdf file. Maximum file size: 10 MB)

Drop file(s) to attach, or browse.

D.2.d New Other Significant Contributors

Are there, or will there be, new other significant contributors? Yes No

Other significant contributors are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project.

If yes, upload biosketches for all new other significant contributors.

Please upload supporting document:

(Maximum 1 file. Must be .pdf file. Maximum file size: 6 MB)

Drop file(s) to attach, or browse.

D.2.e Multi-PI (MPI) Leadership Plan

Will there be a change in the MPI Leadership Plan for the next budget period? N/A Yes No

Change in status of PD/PI requires prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.6).

If yes, upload a revised MPI Leadership Plan that includes a description of the change(s)

Please upload supporting document:

(Maximum 1 file. Must be .pdf file. Maximum file size: 6 MB)

Drop file(s) to attach, or browse.

Figure 149: The D. Participants section of the RPPR. S/K in the list of participants stands for Senior/Key, meaning is the participant a senior or key personnel on the project. The instructions on this page vary between research, training, and complex awards. Check the [RPPR Instruction Guide] for details.

E. Impact

The RPPR Section E Impact will be used to describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period.

See the RPPR Instruction Guide for details of how to fill this form out.

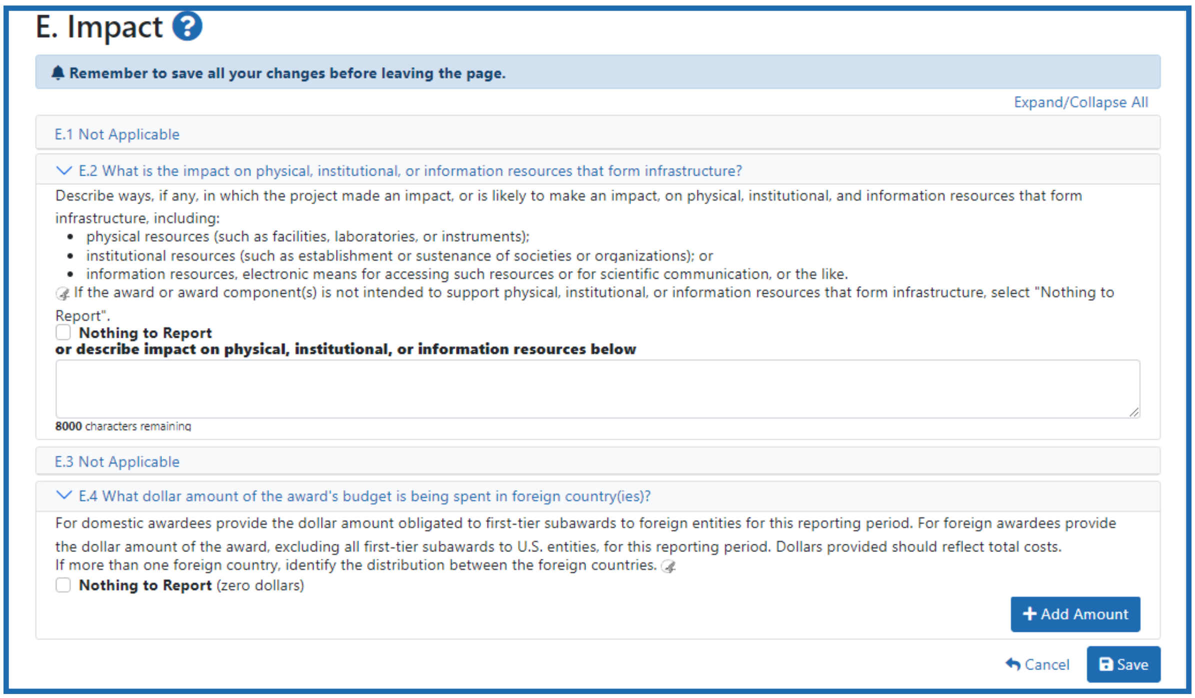


Figure 150: The E. Impact section of the RPPR

F. Changes

The RPPR Section F addresses Changes. Recipients are reminded that significant changes in objectives and scope require prior approval of the agency. This form is not required for Final or Interim RPPRs.

See the RPPR Instruction Guide for details of how to fill this form out.

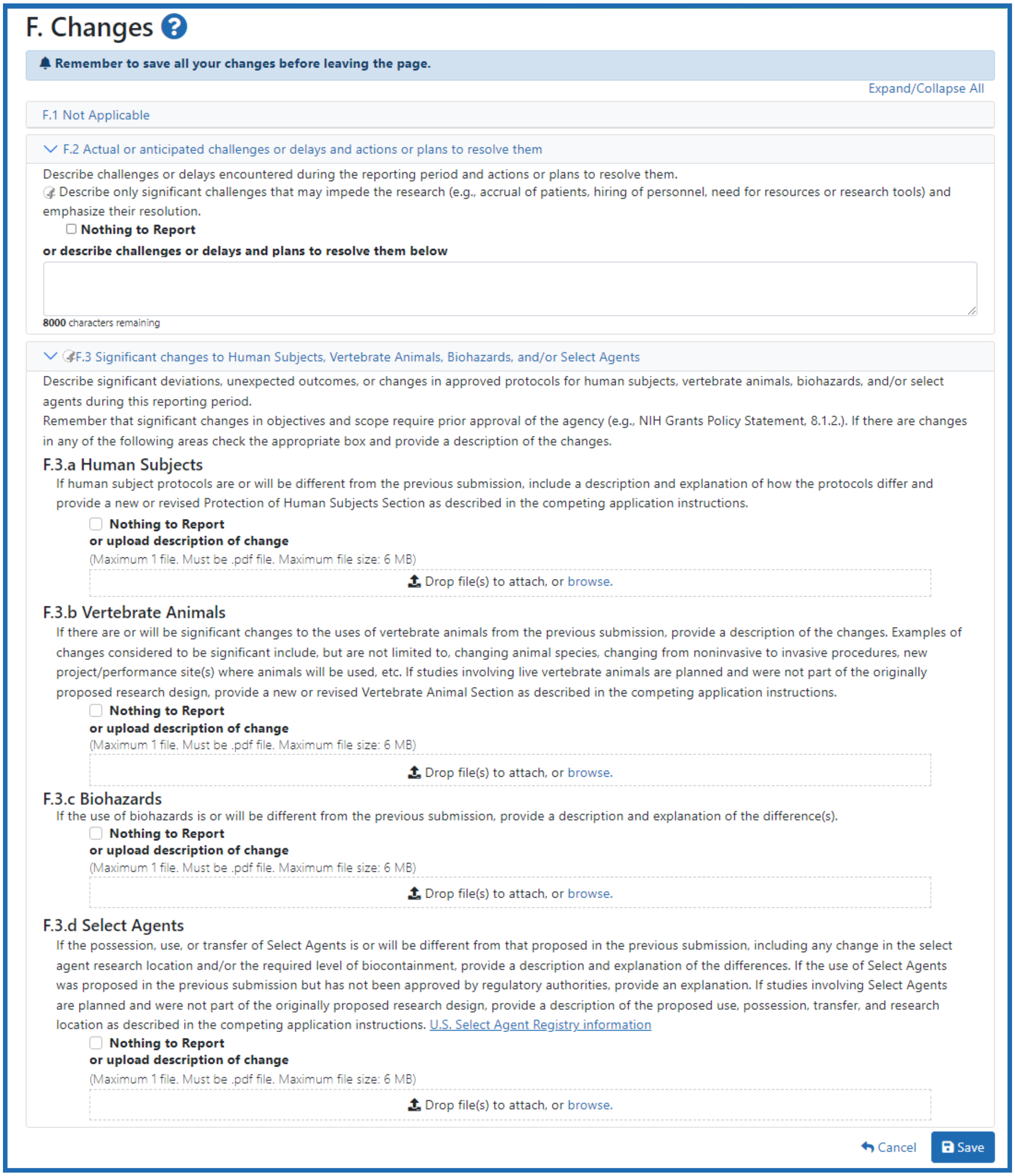


Figure 151: The F. Changes section of the RPPR

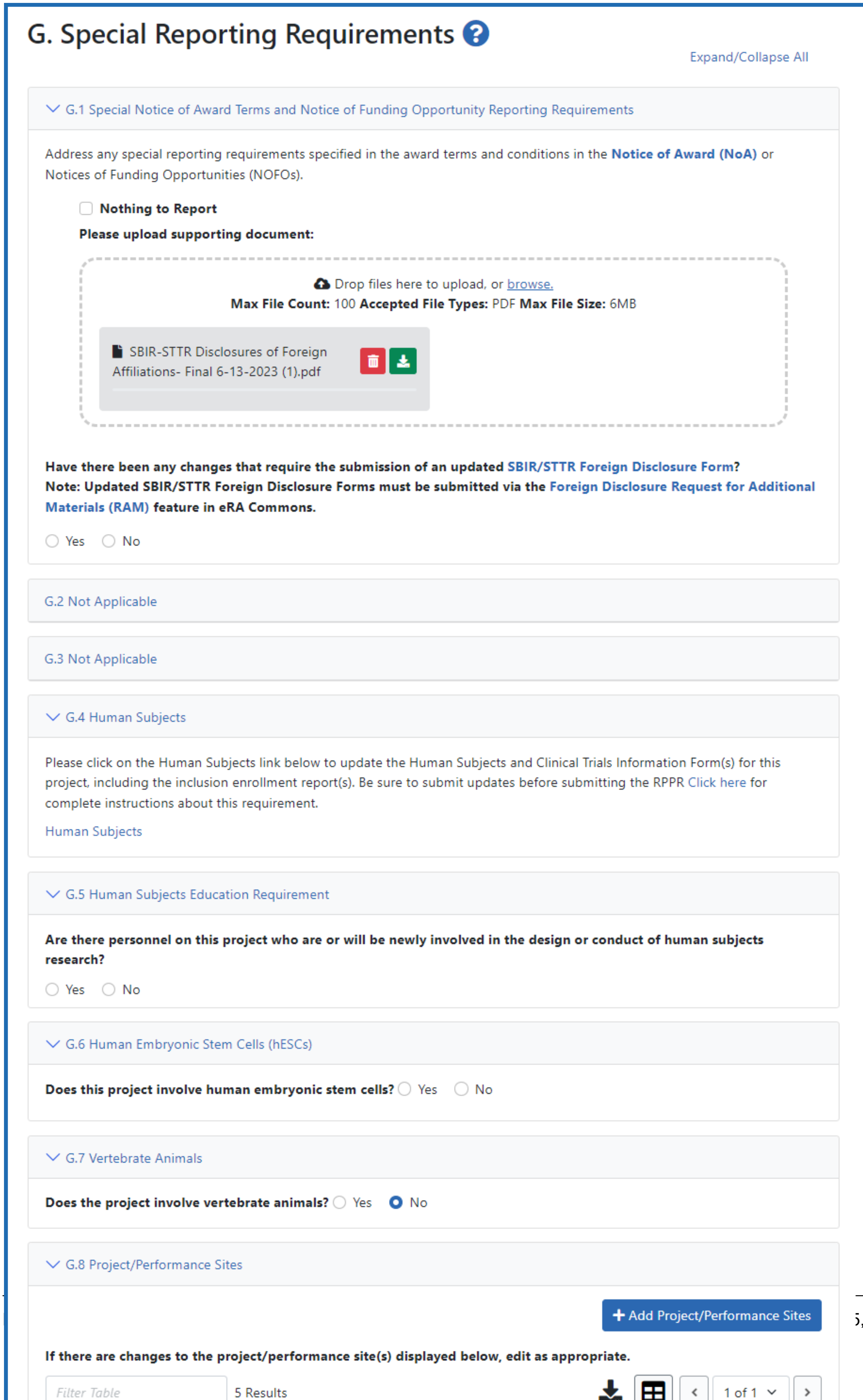
G. Special Reporting Req

The RPPR Section G Special Reporting Requirements address agency-specific award terms and conditions, as well as any award specific reporting requirements.

Note that the question regarding the SBIR/STTR Foreign Disclosure Form in G.1 appears only for SBIR/STTR awards and only after the award has undergone due diligence during the award process.

See the RPPR Instruction Guide for details of how to fill this form out.

> **Agency-Specific Instructions:** Department of Commerce (DOC). Sections G.2, G.3, and G.13 are not applicable for DOC awards.


G. Special Reporting Requirements

Expand/Collapse All

G.1 Special Notice of Award Terms and Notice of Funding Opportunity Reporting Requirements

Address any special reporting requirements specified in the award terms and conditions in the **Notice of Award (NoA)** or Notices of Funding Opportunities (NOFOs).

☐ **Nothing to Report**

Please upload supporting document:

Drop files here to upload, or browse.
Max File Count: 100 **Accepted File Types:** PDF **Max File Size:** 6MB

SBIR-STTR Disclosures of Foreign Affiliations- Final 6-13-2023 (1).pdf

Have there been any changes that require the submission of an updated SBIR/STTR Foreign Disclosure Form?
Note: Updated SBIR/STTR Foreign Disclosure Forms must be submitted via the Foreign Disclosure Request for Additional Materials (RAM) feature in eRA Commons.

Yes No

G.2 Not Applicable

G.3 Not Applicable

G.4 Human Subjects

Please click on the Human Subjects link below to update the Human Subjects and Clinical Trials Information Form(s) for this project, including the inclusion enrollment report(s). Be sure to submit updates before submitting the RPPR Click here for complete instructions about this requirement.

Human Subjects

G.5 Human Subjects Education Requirement

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research?

Yes No

G.6 Human Embryonic Stem Cells (hESCs)

Does this project involve human embryonic stem cells? Yes No

G.7 Vertebrate Animals

Does the project involve vertebrate animals? Yes No

G.8 Project/Performance Sites

+ Add Project/Performance Sites

If there are changes to the project/performance site(s) displayed below, edit as appropriate.

Filter Table 5 Results 1 of 1

Figure 152: The G. Special Reporting Requirements section of the RPPR

H. Budget

This form lets you add a budget to the RPPR. The Budget form is not required for Final or Interim RPPRs.

See the RPPR Instruction Guide for details of how to fill this form out.

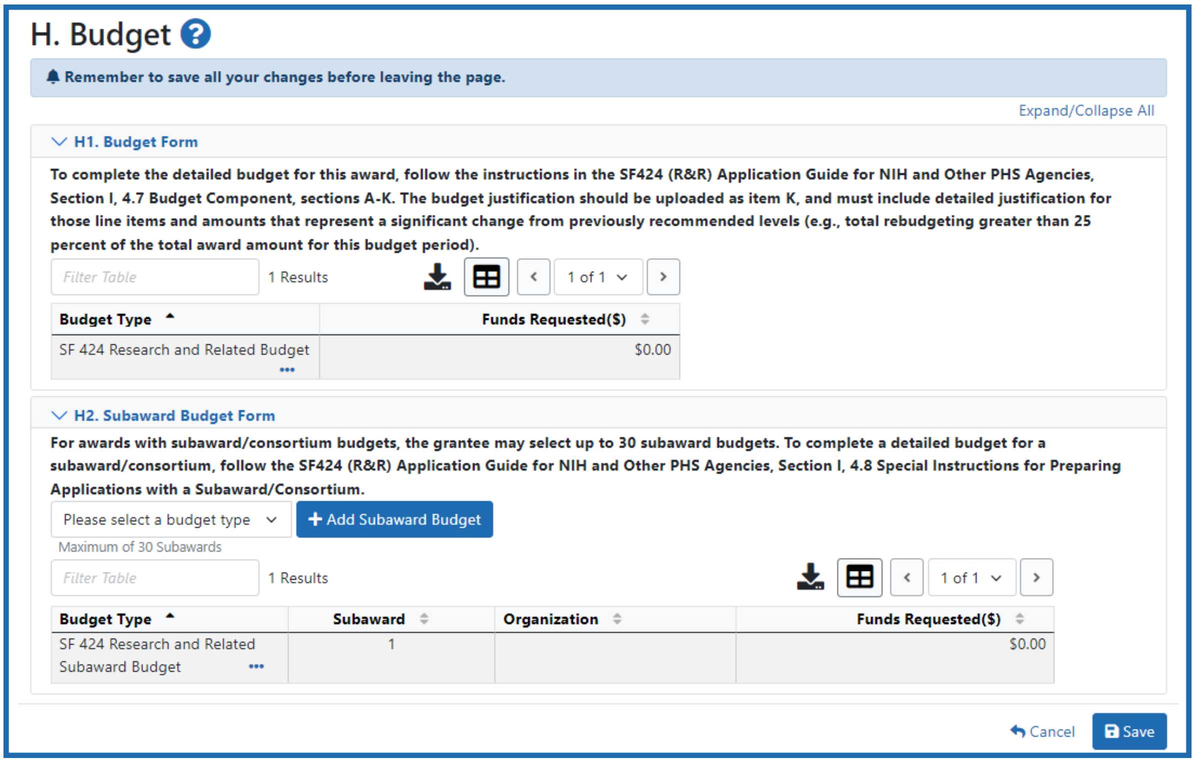


Figure 153: The H. Budget section of the RPPR

Budget Form (H.1)

To add a budget, choose an option from the drop-down list and click the **Add Budget** button. The added budget type appears in the first table. Use the **Edit** option under the three-dot ellipsis icon open the form for editing. Click the **Save** button before exiting the form. Most awards now use the SF424 R&R budget form. However, training awards may use the SF424 and/or the PHS 398 training budget. The *PHS Additional Indirect Costs* budget form is available as an optional form for the Overall component of a multi-project award with multiple institutions/organizations. Please contact the Grants Management Specialist assigned to your grant if you have questions on the appropriate form to use.

Budget types include:

- SF 424 Research & Related Budget form
- PHS 398 Training Budget
- PHS Additional Indirect Costs form

NOTE: You can delete a budget that you added by clicking its three-dot ellipsis icon and selecting **Delete**.

Subaward Budget Form (H.2)

To add a subaward budget, choose an option from the drop-down list and click the **Add Subaward Budget** button. The added budget type appears in the second table. Use the **Edit** option under the three-dot ellipsis icon to open the form for editing. Click the **Save** button before exiting the form.

Subaward budget types include:

- SF 424 Research & Related Subaward Budget form
- PHS 398 Subaward Training Budget

NOTE: You can delete a budget that you added by clicking its three-dot ellipsis icon and selecting **Delete**.

Click here to display an image of the RPPR *H.Budget* screen.

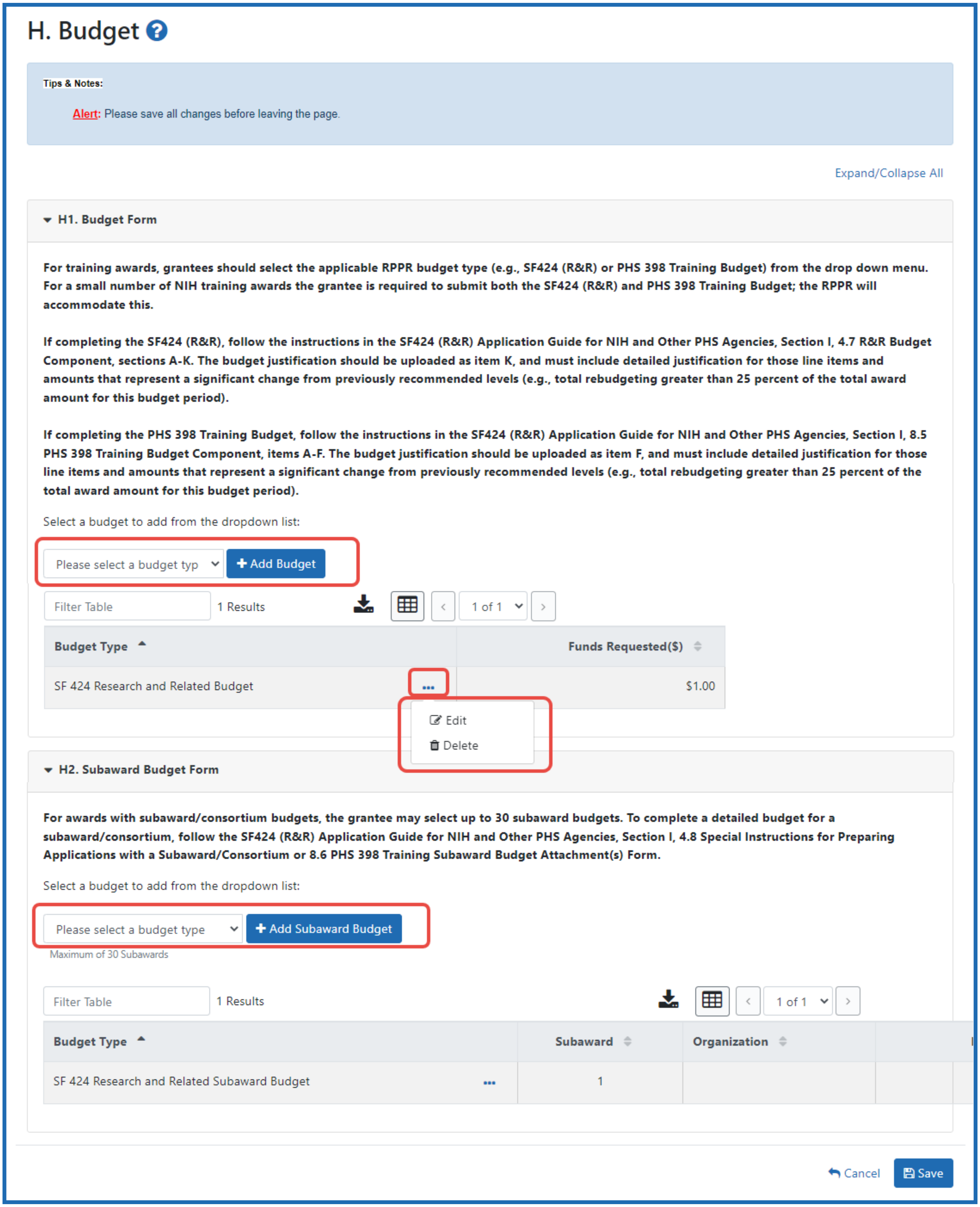
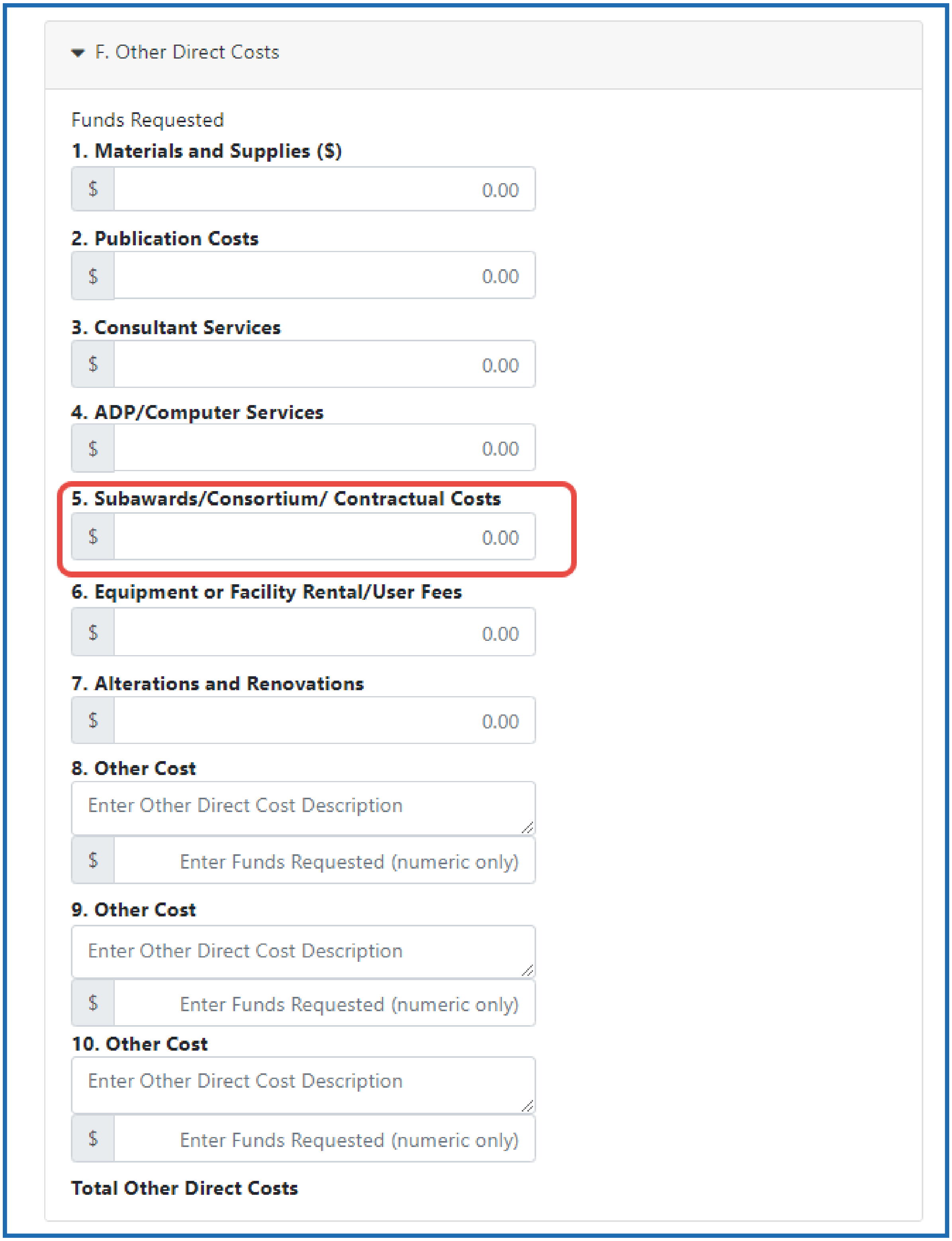

H. Budget
Tips & Notes:
Alert: Please save all changes before leaving the page.
Expand/Collapse All
H1. Budget Form
For training awards, grantees should select the applicable RPPR budget type (e.g., SF424 (R&R) or PHS 398 Training Budget) from the drop down menu. For a small number of NIH training awards the grantee is required to submit both the SF424 (R&R) and PHS 398 Training Budget; the RPPR will accommodate this.
If completing the SF424 (R&R), follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.7 R&R Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).
If completing the PHS 398 Training Budget, follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 8.5 PHS 398 Training Budget Component, items A-F. The budget justification should be uploaded as item F, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).
Select a budget to add from the dropdown list:
Please select a budget typ
Add Budget
Filter Table
1 Results
1 of 1
Budget Type
Funds Requested($)
SF 424 Research and Related Budget
$1.00
Edit
Delete
H2. Subaward Budget Form
For awards with subaward/consortium budgets, the grantee may select up to 30 subaward budgets. To complete a detailed budget for a subaward/consortium, follow the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium or 8.6 PHS 398 Training Subaward Budget Attachment(s) Form.
Select a budget to add from the dropdown list:
Please select a budget type
Add Subaward Budget
Maximum of 30 Subawards
Filter Table
1 Results
1 of 1
Budget Type
Subaward
Organization
SF 424 Research and Related Subaward Budget
1
Cancel
Save

Figure 154: The H. Budget section of the RPPR with the Select a budget type dropdown and Add Subaward Budget button outlined in red

If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget (click to view figure). Total consortium costs for the main budget MUST be computed and entered manually into budget line item F.5.


F. Other Direct Costs

Funds Requested

1. Materials and Supplies ($)

$ 0.00

2. Publication Costs

$ 0.00

3. Consultant Services

$ 0.00

4. ADP/Computer Services

$ 0.00

5. Subawards/Consortium/ Contractual Costs

$ 0.00

6. Equipment or Facility Rental/User Fees

$ 0.00

7. Alterations and Renovations

$ 0.00

8. Other Cost

Enter Other Direct Cost Description

$ Enter Funds Requested (numeric only)

9. Other Cost

Enter Other Direct Cost Description

$ Enter Funds Requested (numeric only)

10. Other Cost

Enter Other Direct Cost Description

$ Enter Funds Requested (numeric only)

Total Other Direct Costs

Figure 155: The F. Other Direct Costs popup with the Subawards/Consortium/Contractual Costs field outlined in red

Unique Entity Identifier

For single component RPPRs, the grantee's unique entity identifier (UEI) and organization name automatically populate the **Unique Entity Identifier** and **Organization Name** fields of the budget form. For single component RPPRs, these fields cannot be edited.

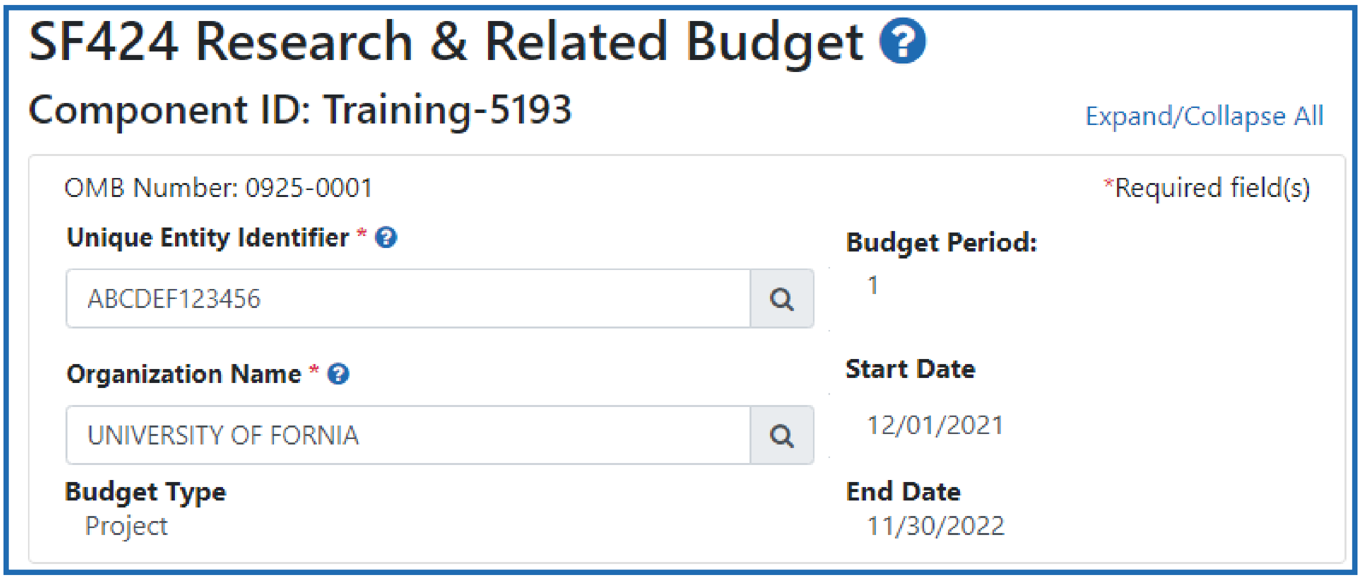


Figure 156: The SF424 Research & Related Budget UEI and Organization Name fields

For multi-component RPPRs, the **Unique Entity Identifier** and **Organization Name** fields are prepopulated based on the overall component, but can be changed, as described below.

Changing the UEI or the Organization Associated With A Component Budget

1. Go to the *Budget* section of a component project's RPPR and select the **Edit** option from a budget's three-dot ellipsis menu to open it for editing.

   The budget appears, with editable UEI and organization name fields. These fields are not editable if you are working on a single-component RPPR.

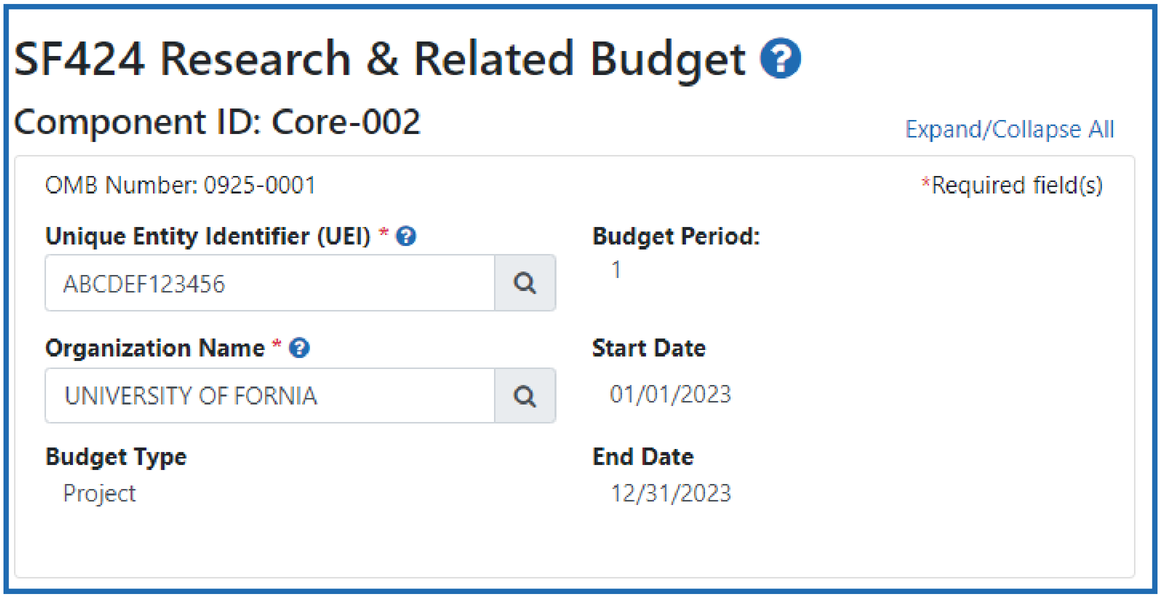


Figure 157: The SF424 Research & Related Budget UEI and Organization Name fields while editable

2. Click either one of the magnifying glass icons--next to the **Unique Entity Identifier (UEI)** or **Organization Name** fields.

   The *Search Organization* popup appears.

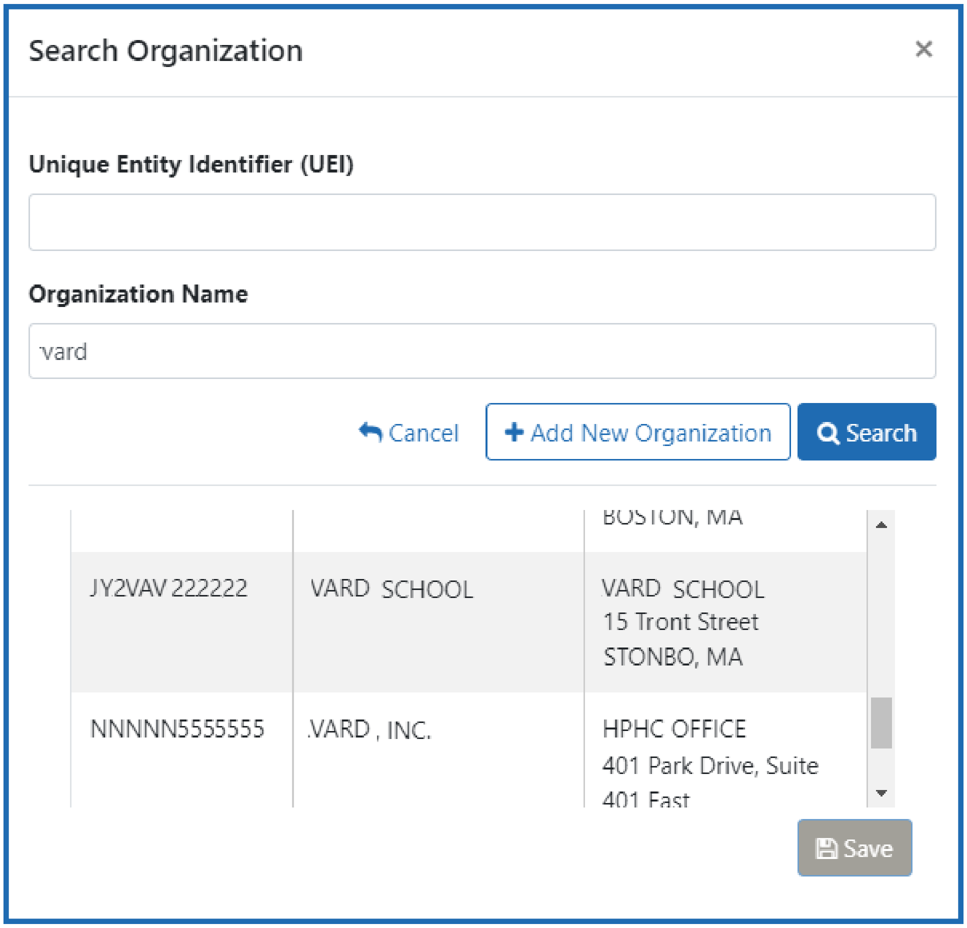


Figure 158: The Search Organization popup available from the SF424 Research & Related Budget form, where you can search for UEI and Organization Name

3. Enter information in either field (**Unique Entity Identifier** or **Organization Name**) and click **Search**.

   A list of matches appears.

   NOTE: If no matches appear, you can click the **Add New Organization** button to type the UEI and organization name and click **Save**. Whatever you entered will then populate the **Unique Entity Identifier** and **Organization Name** fields. It is required that both fields be populated.

   ---

4. Select the organization you are searching for and click **Save**.

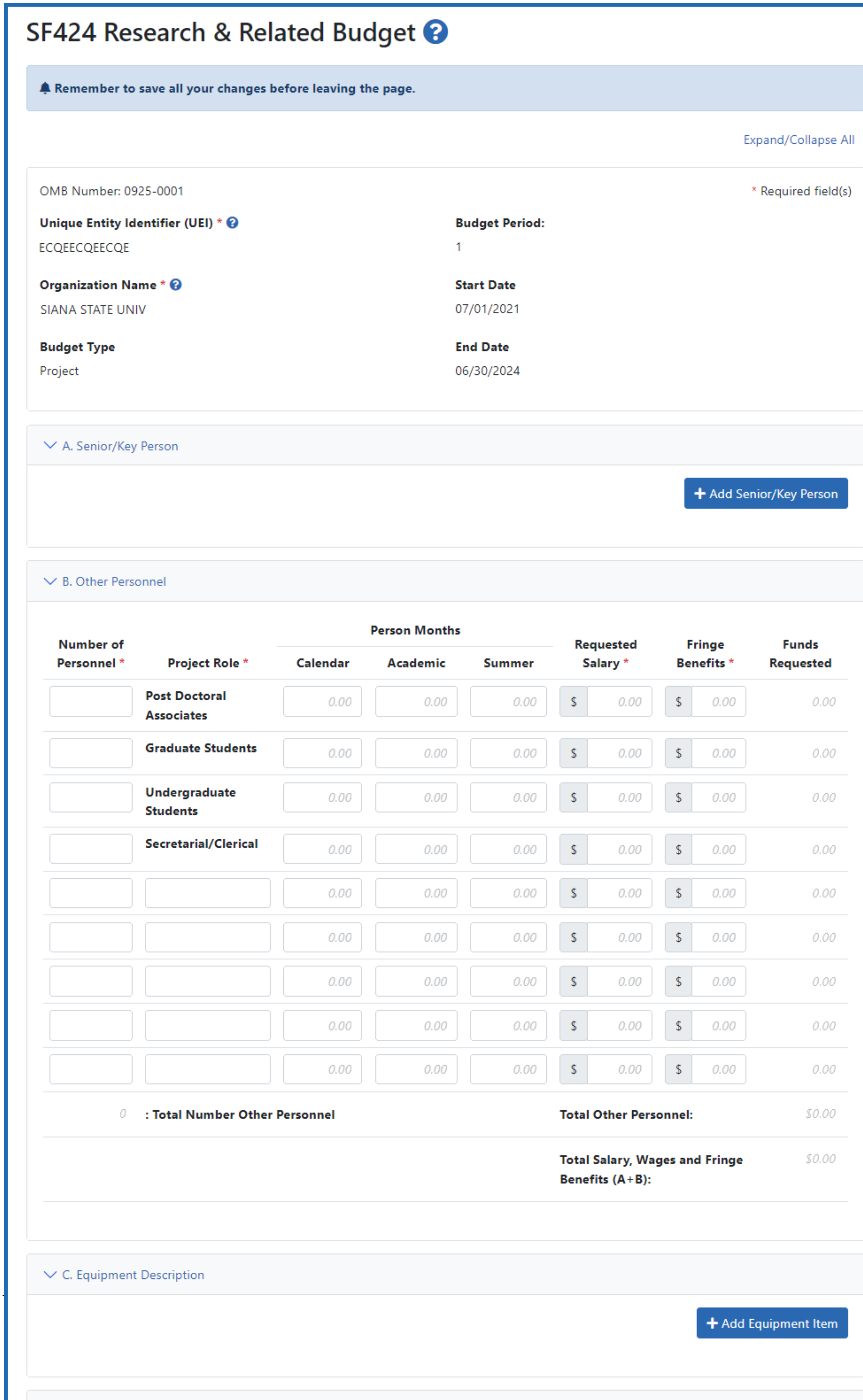
Both the **Unique Entity Identifier** and **Organization Name** fields are updated with the information of the organization you selected.

SF 424 Research and Related Budget

For assistance with the information required on the forms, please refer to the Application Guide. On the How to Apply - Application Guide page, navigate to the desired **Application Form Instructions** and then navigate to the **R&R Budget Form** topic.

> **Agency-Specific Instructions:** Department of Commerce (DOC). The How to Apply - Application Guide does not apply to DOC awards; however the SF 424 Research and Related Budget form is required for DOC awards.

Sample SF424 Research & Related Budget form:



SF424 Research & Related Budget

Remember to save all your changes before leaving the page.

Expand/Collapse All

OMB Number: 0925-0001

* Required field(s)

Unique Entity Identifier (UEI) *
ECQEECQEECQE

Budget Period:
1

Organization Name *
SIANA STATE UNIV

Start Date
07/01/2021

Budget Type
Project

End Date
06/30/2024

A. Senior/Key Person

+ Add Senior/Key Person

B. Other Personnel

Number of Personnel *	Project Role *	Person Months: Calendar	Person Months: Academic	Person Months: Summer	Requested Salary *	Fringe Benefits *	Funds Requested
	Post Doctoral Associates	0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
	Graduate Students	0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
	Undergraduate Students	0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
	Secretarial/Clerical	0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
		0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
		0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
		0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
		0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
		0.00	0.00	0.00	$ 0.00	$ 0.00	0.00
0	: Total Number Other Personnel				Total Other Personnel:		$0.00
					Total Salary, Wages and Fringe Benefits (A+B):		$0.00

C. Equipment Description

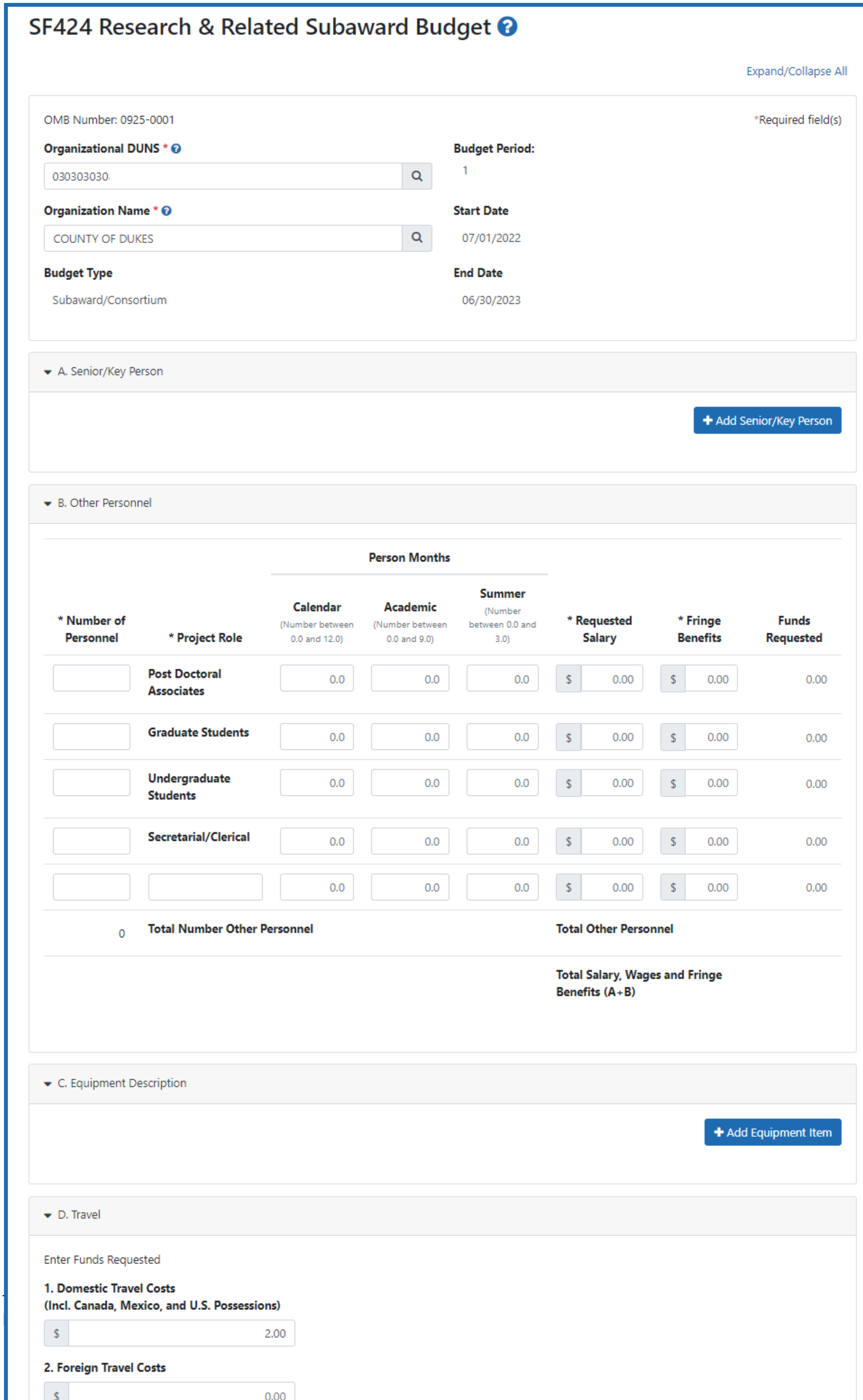
+ Add Equipment Item

SF 424 Research and Related Sub Award Budget

For assistance with the information required on the forms, please refer to the Application Guide. On the How to Apply - Application Guide page, navigate to the desired **Application Form Instructions** and then navigate to the **R&R Subaward Budget** topic.

Agency-Specific Instructions: Department of Commerce (DOC). The How to Apply - Application Guide does not apply to DOC awards; however the SF 424 Research and Related Subaward Budget form may be required for DOC awards.

Sample SF424 Research & Related Subaward Budget form:



SF424 Research & Related Subaward Budget

Expand/Collapse All

OMB Number: 0925-0001

*Required field(s)

Organizational DUNS *

030303030

Budget Period:

1

Organization Name *

COUNTY OF DUKES

Start Date

07/01/2022

Budget Type

Subaward/Consortium

End Date

06/30/2023

A. Senior/Key Person

Add Senior/Key Person

B. Other Personnel

* Number of Personnel	* Project Role	Person Months: Calendar (Number between 0.0 and 12.0)	Person Months: Academic (Number between 0.0 and 9.0)	Person Months: Summer (Number between 0.0 and 3.0)	* Requested Salary	* Fringe Benefits	Funds Requested
	Post Doctoral Associates	0.0	0.0	0.0	$ 0.00	$ 0.00	0.00
	Graduate Students	0.0	0.0	0.0	$ 0.00	$ 0.00	0.00
	Undergraduate Students	0.0	0.0	0.0	$ 0.00	$ 0.00	0.00
	Secretarial/Clerical	0.0	0.0	0.0	$ 0.00	$ 0.00	0.00
		0.0	0.0	0.0	$ 0.00	$ 0.00	0.00
0	Total Number Other Personnel				Total Other Personnel		
					Total Salary, Wages and Fringe Benefits (A+B)		

C. Equipment Description

Add Equipment Item

D. Travel

Enter Funds Requested

1. Domestic Travel Costs (Incl. Canada, Mexico, and U.S. Possessions)

$ 2.00

2. Foreign Travel Costs

$ 0.00

PHS 398 Training Budget

For assistance with the information required on the forms, please refer to the Application Guide. On the How to Apply - Application Guide page, navigate to the desired **Application Form Instructions** and then navigate to the **PHS Training Budget** topic.

> **Agency-Specific Instructions:** Department of Commerce (DOC). This form is not applicable to DOC awards.

PHS 398 Training SubAward

For assistance with the information required on the forms, please refer to the Application Guide. On the How to Apply - Application Guide page, navigate to the desired **Application Form Instructions** and then navigate to the **PHS 398 Training Subaward Budget** topic.

> **Agency-Specific Instructions:** Department of Commerce (DOC). This form is not applicable to DOC awards.

I. Outcomes

This form is used to provide information regarding the cumulative outcomes or findings of the project. This form is applicable only to Final RPPRs.

See the RPPR Instruction Guide for details of how to fill this form out.

> **Agency-Specific Instructions:** Department of Commerce (DOC). This form is not applicable to DOC awards.

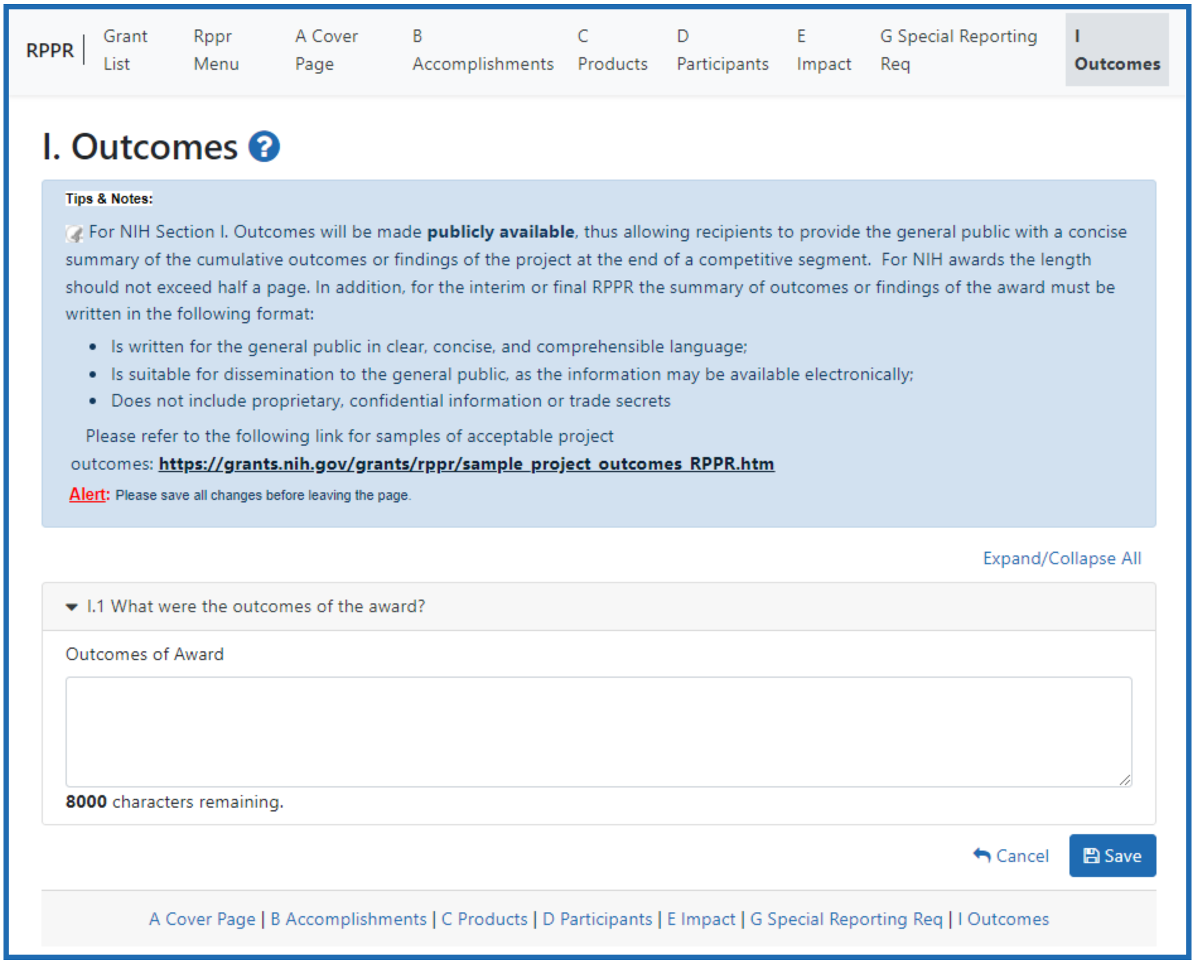


Figure 159: The I. Outcomes section of the RPPR

J. Misc. Documents

This form lets you upload up to 25 files with sizes of up to 6MB each to be submitted with your RPPR.

Agency-Specific Instructions: This form appears for Department of Commerce (DOC) awards only.

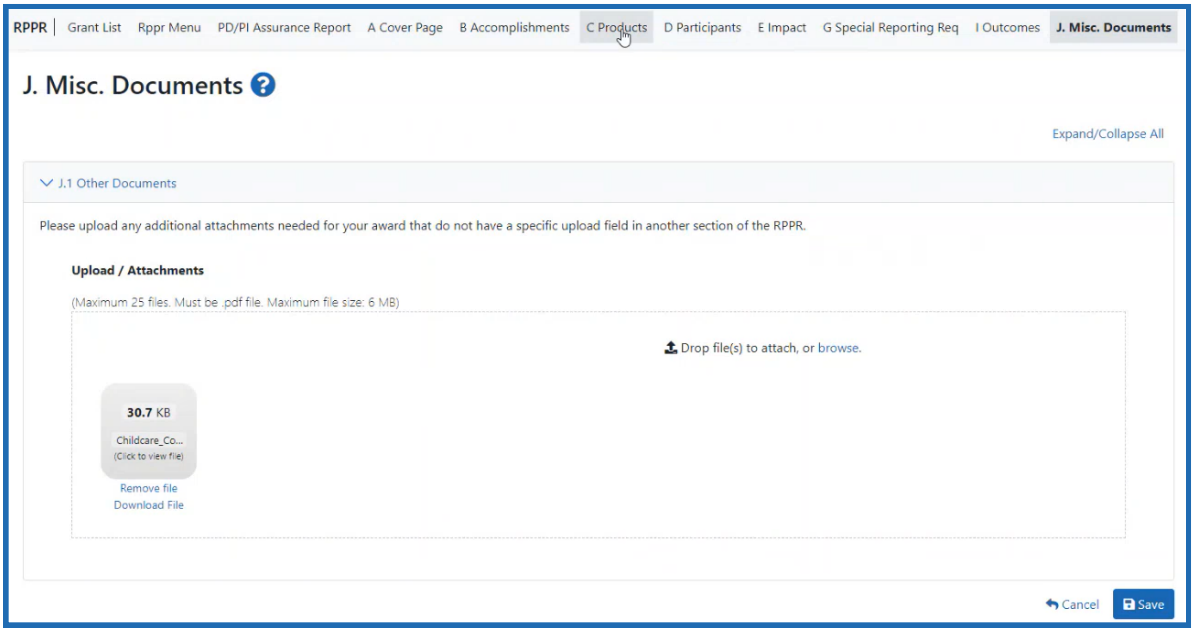


Figure 160: The J. Misc. Documents section of the RPPR, available for Department of Commerce awards only

Accessing the RPPR for Editing

Once an RPPR is initiated, its status becomes *PD/PI Work in Progress* and it becomes available for editing for the PI who initiated it. The PD/PI or delegate uses the **Edit** option for viewing and completing the report. If the RPPR is routed by the PI to another user (such as an SO or AO), then that user becomes the current reviewer and can edit the RPPR.

Agency-Specific Instructions: Department of Commerce (DOC). For DOC award RPPRs, see this topic for information on accessing an RPPR: *Accessing a Work-in-Progress DOC RPPR* on page 526.

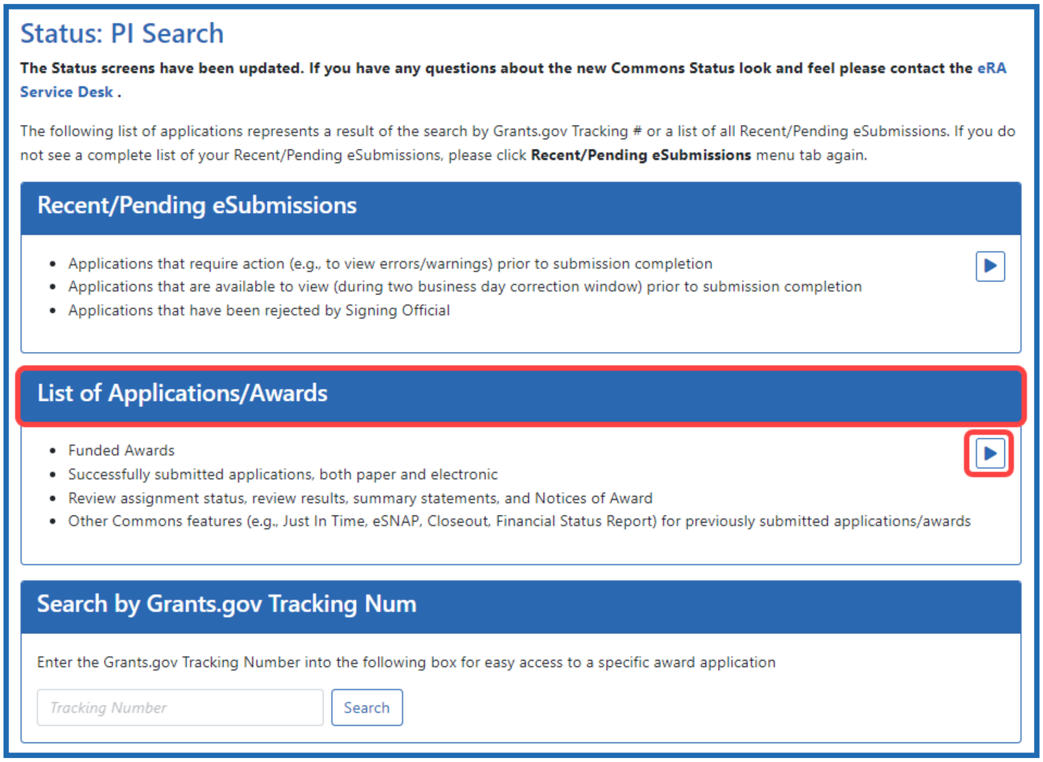
NOTE: For RPPRs with multiple PD/PIs (MPI awards), only the Contact PD/PI has access to **Edit** unless the Contact PD/PI has granted progress report authority to other PD/PIs. Without this authority, MPIs can only view the RPPR PDF and its routing history.

There are two means of accessing the progress report for editing. These are similar methods used for initiating the report and are as follows:

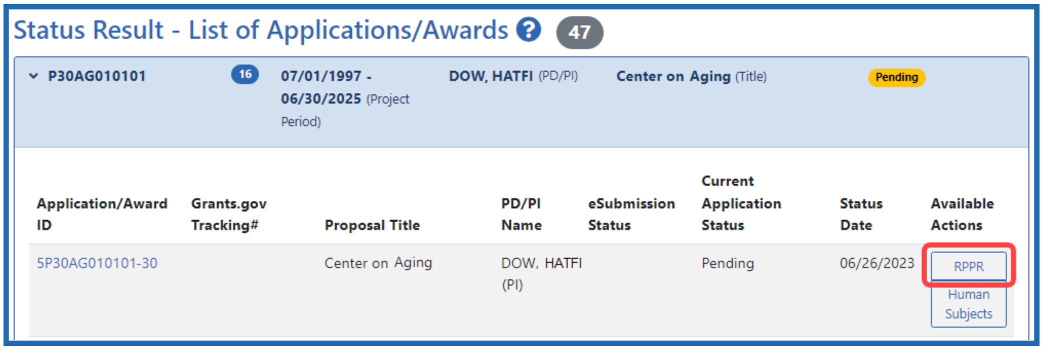
1. Access **RPPR** from the Status module.

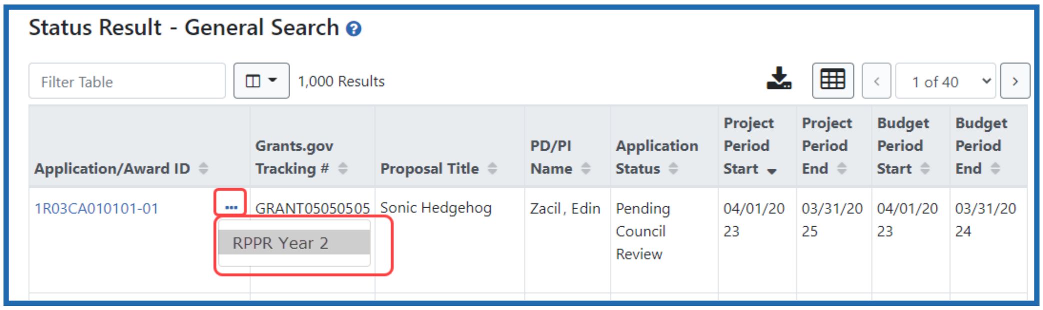
   a. Navigate to the **Status** module in eRA Commons.

   b. Click the **List of Applications/Grants** link from the *Status* screen or from the menu options.



   c. From the *Status Result - List of Applications/Grants* screen, locate the grant and click the **RPPR** link from the **Action** column for the specific grant. For multi-year funded awards, the link displays as **RPPR Year <X>**, the <X> representing the reporting year.



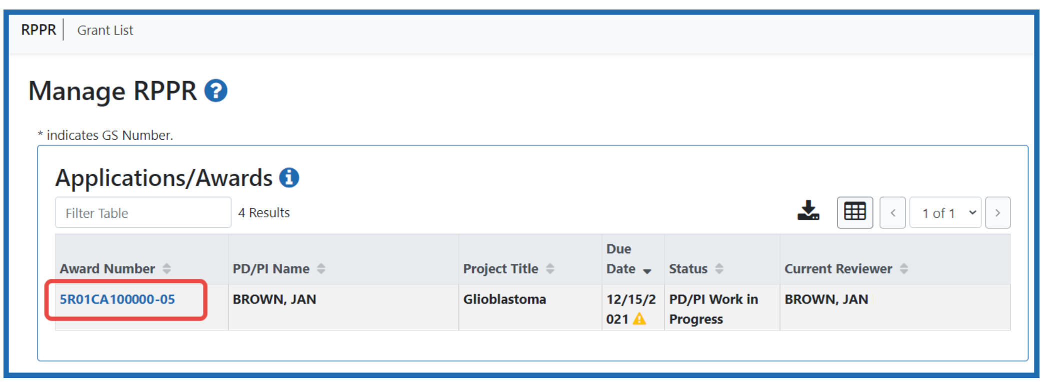


-OR-

1. Access RPPR from **RPPR** module.

   a. [Navigate to the **RPPR** modue](#) in eRA Commons.

   b. Select the specific grant by clicking the link in the **Award Number** column on the *Manage RPPR* screen. SOs/AOs must perform a query first.



The appropriate *RPPR Menu* screen – either for single-project or multi-project RPPRs – displays with editing options.

Access Human Subjects System (HSS)

Principal investigators (PIs) or signing officials (SOs) can access the Human Subjects System (HSS) / HSCT form using the **Human Subjects** links in either the RPPR or the Status screen in eRA Commons.

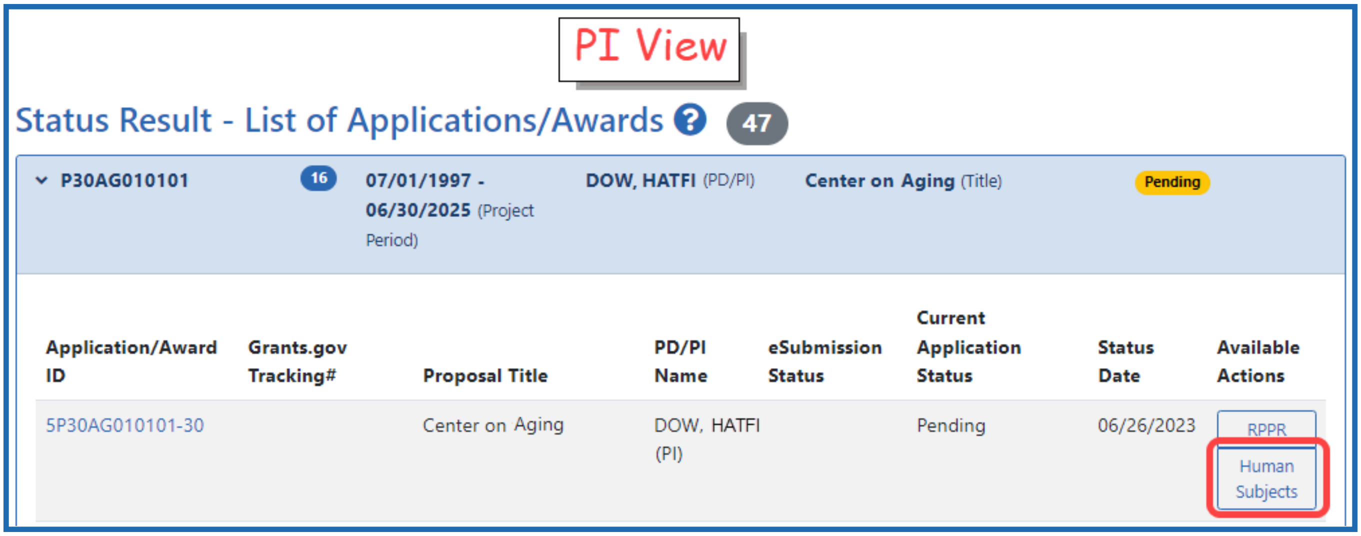
Agency-Specific Instructions: Department of Commerce (DOC). This topic does not apply to DOC award RPPRs.

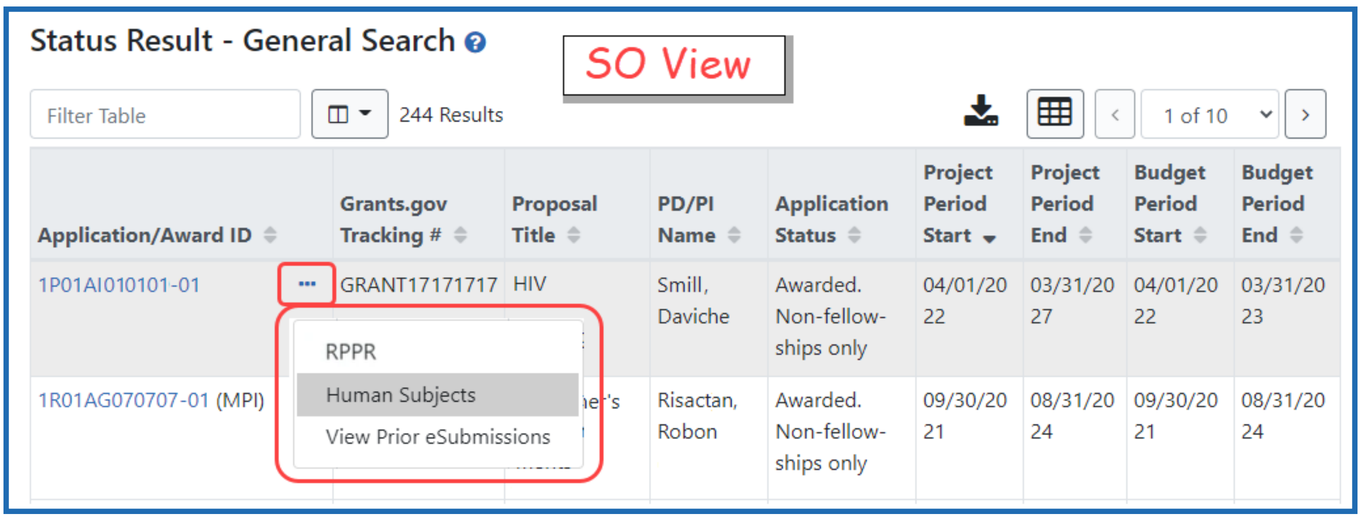
Human Subjects Information May Need To Be Updated in the Following Scenarios:

- Post-award for updates to the Research Performance Progress Report (RPPR), including updates to inclusion enrollment reports and the Clinical Trial Milestone Plan (Section 6)
- Pre-award (post review) for Just-in-Time (JIT) information or correction of human subjects data
- Off-cycle updates as required in the Funding Opportunity Announcement (FOA) or terms and conditions of award
- Corrections to human subject data

To Edit an Existing Study, Log Into Era Commons and Access the Human Subjects Link via the RPPR or Status Tabs

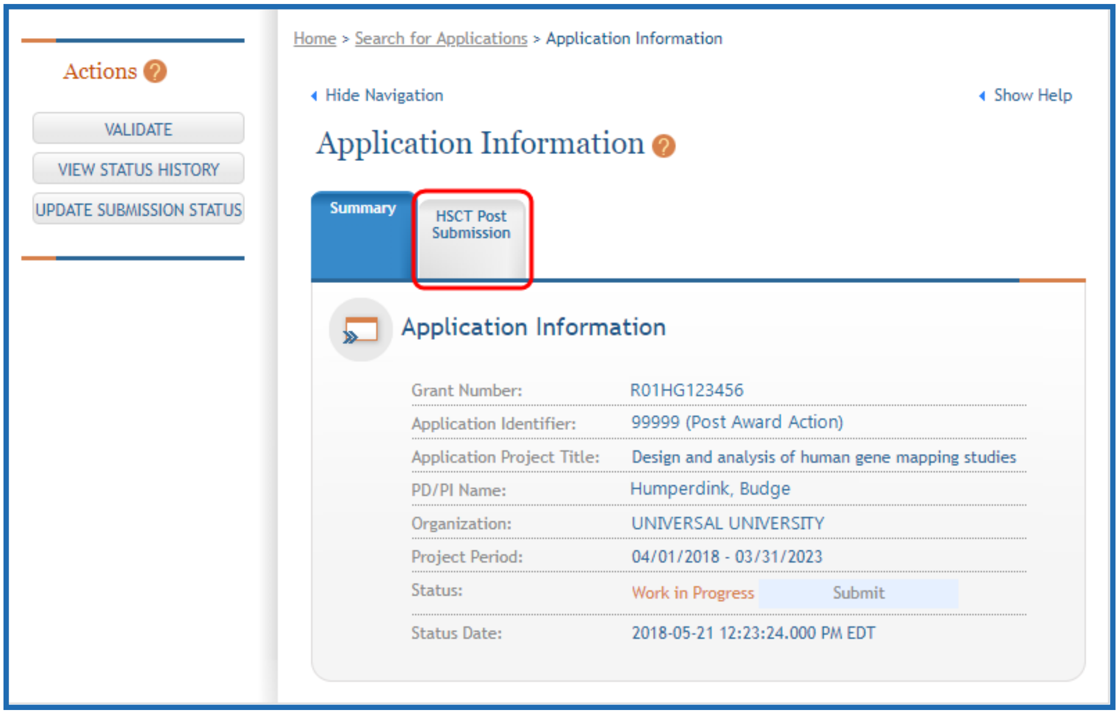
For more detailed instructions, see Editing Studies in the HSS Online Help.





- The Application Information screen is displayed, showing a summary of your grant. You have two ways of accessing and editing the study data. Both begin by accessing the HSCT Post Submission tab.
- Click the HSCT Post Submission tab. This takes you to a Study Record(s) screen where all study records and delayed onset studies associated with your grant are displayed.
- **Note:** In order to edit, the HSS record must be in Work in Progress status. See How To Change the Application Status and Resubmit for instructions on updating the

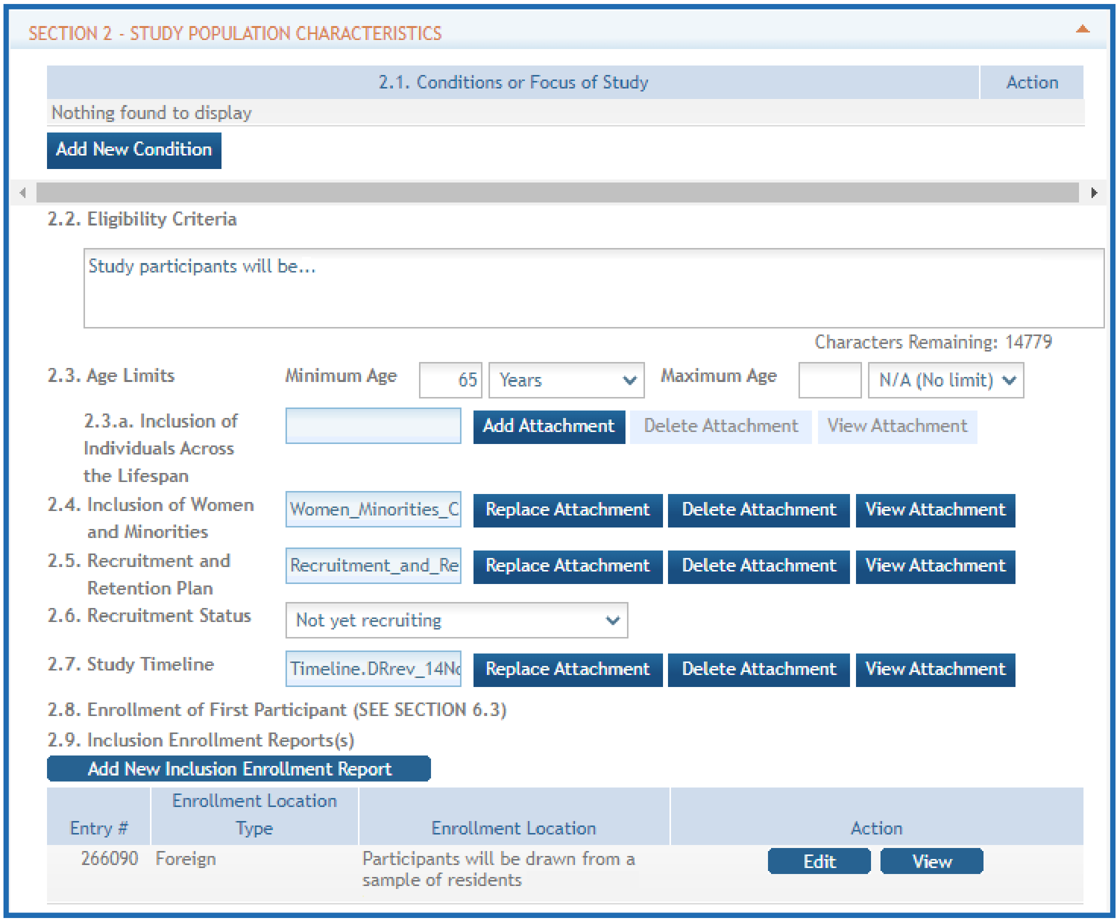
status.



- Click a study record's **View** button to bring up a study in read-only mode.
- To update the human subjects information on a study, including inclusion enrollment data, click the **Edit** button at the top of the screen.

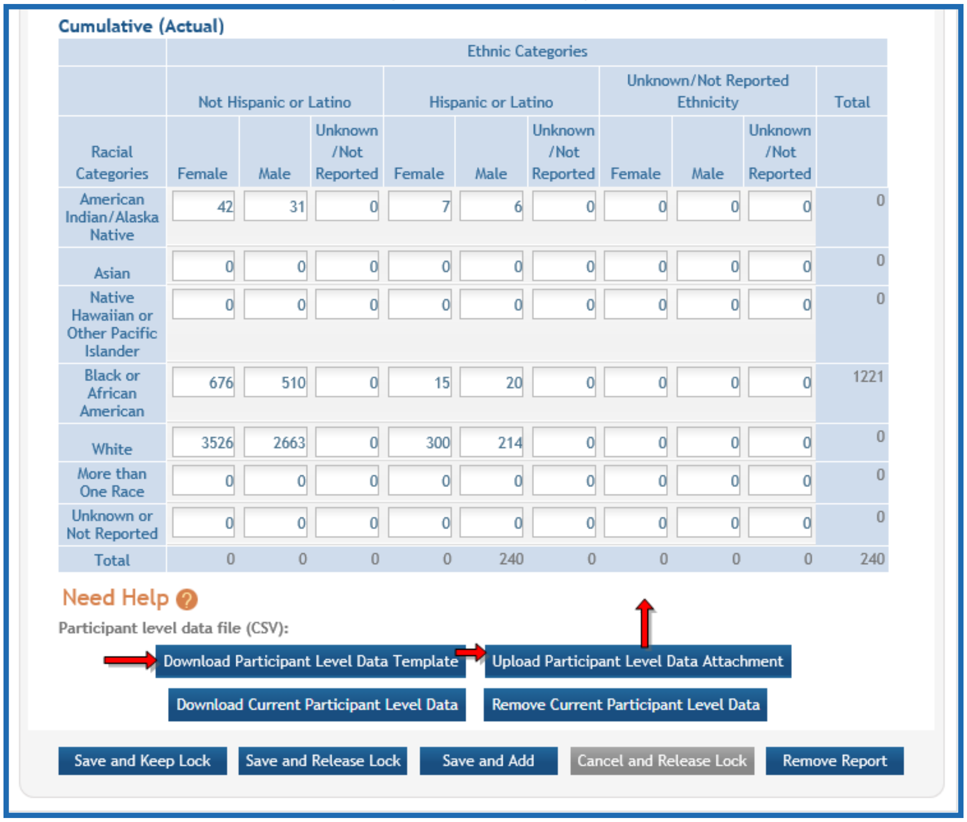

Home > Search for Applications > Application Information
Hide Navigation
Show Help
Actions
RETURN TO SUMMARY
VALIDATE
VIEW STATUS HISTORY
Application Information
Summary
HSCT Post Submission
Clinical Trial Post Submission
Clinical Trial Post Submission v1.0
Edit
Study Record(s)
Showing 1 - 1 of total 1
Study ID
Study Title
Clinical Trial?
Study Status
Last Submission Date
Action
123123
Research Consortium of HPV-related Cervical Cancer
Yes
WorkInProgress
03/29/2018
View

- Inclusion data is found at the end of Section 2.



- There are two ways to edit the existing Inclusion Enrollment Report (IER) data for Cumulative (Actual) counts:
  1. You can update the cells online in the existing report itself.
  2. Or you can download a spreadsheet template for entering participant-level data by clicking the 'Download Participant Level Data Template' button.
     - Fill the template out with data and then upload the spreadsheet by clicking the 'Upload Participant Level Data Attachment' button. This uploaded data will populate the cells in the report.

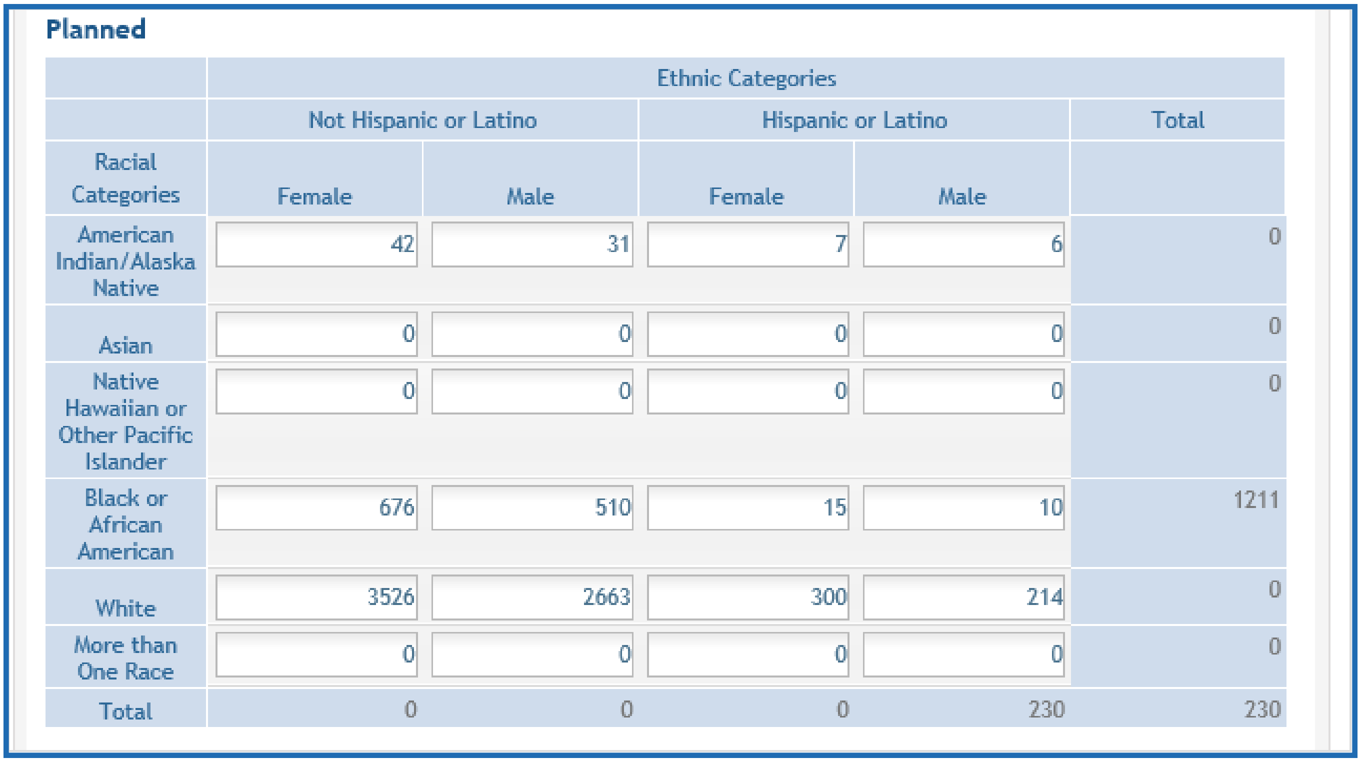
- You can click the ‘Download Current Participant Level Data’ button to download the file containing the data for your own records.



NOTES:

- If you plan to upload the data, you must use the template by selecting the **Download Participant Level Data Template**. This will be a CSV file that can be updated with new totals.
- Once the new totals have been entered into the template and the file has been saved, use the **Upload Participant Level Data Attachment** button to upload the file which will update the Cumulative counts.
- Individual-level participant data on characteristics at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116).

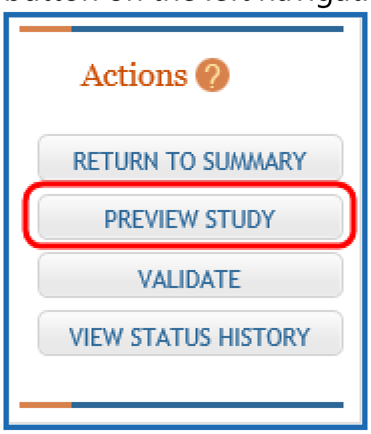
- For the Planned counts, the cells must be updated online in the report itself.



Planned

	Ethnic Categories				
	Not Hispanic or Latino		Hispanic or Latino		Total
Racial Categories	Female	Male	Female	Male	
American Indian/Alaska Native	42	31	7	6	0
Asian	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	676	510	15	10	1211
White	3526	2663	300	214	0
More than One Race	0	0	0	0	0
Total	0	0	0	230	230

- The entire study can be previewed before submission by clicking the Preview Study button on the left navigational column under Actions.



If the PI is making changes:

- The PI can click the **Save and Release Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- PI changes status to *Ready for Submission*.

- Signing Official (SO) gets an email that the application is ready for submission.
- SO logs into ASSIST, finds the application and submits it.

If the SO is making changes:

- The SO can click the **Save and Keep Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- SO changes status to *Ready for Submission*.
- The *Submit* action becomes active on the Application Information page.
- SO clicks on the **Submit** button

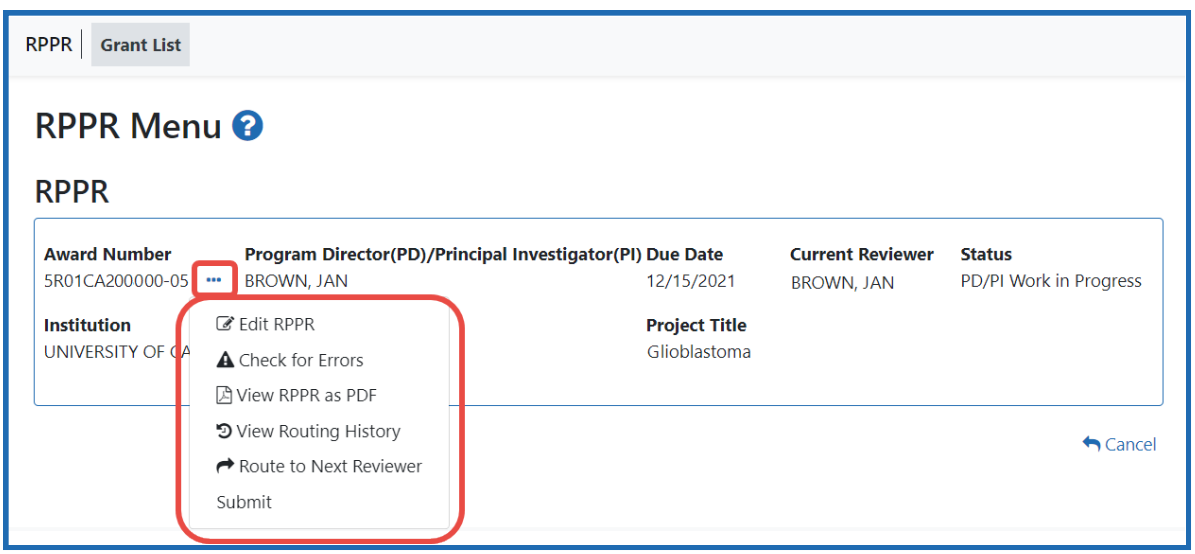
Unless an SO has delegated Submit authority to the contact PI, only the SO can submit the application to NIH. The submission sends all updated study records associated with the application to NIH at one time.

Program officials and grant specialists are notified automatically of study changes and can review those changes. Some changes may require prior approval.

Accessing Single-Project RPPR for Editing

For single-project awards, the *RPPR Menu* screen displays as follows:

NOTE: Once an RPPR has been routed for review, the **Recall** button is enabled. Recall is covered in other topics.



Click the three-dot ellipsis icon and select **Edit RPPR** to open the RPPR for editing.

Refer to *Editing the RPPR Forms* on page 329 for more information on editing the forms.

Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing

A *multi-project RPPR* is a progress report submitted for a funded program (activity code) which has multiple, interrelated components sharing a common focus or objective.

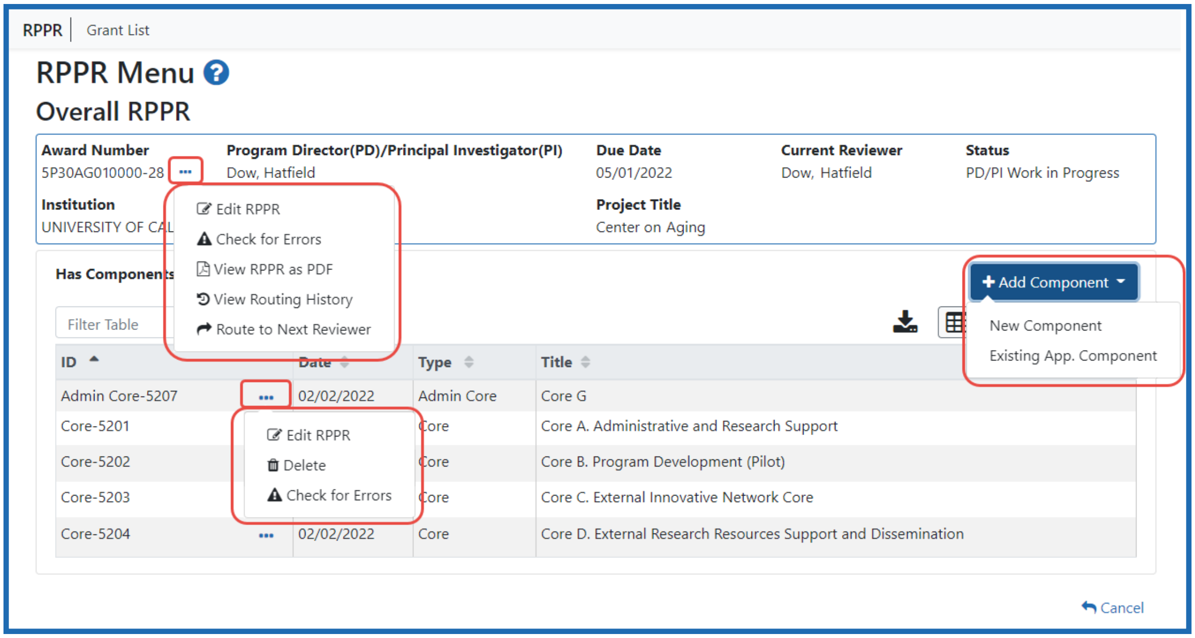
> **Agency-Specific Instructions:** Department of Commerce (DOC). This topic does not apply to DOC award RPPRs.

A *component* (for the purposes of applications and progress reports) is a distinct, reviewable part of the multi-project application or progress report for which there is a business need to gather detailed information identified in the funding opportunity announcement (FOA).

Components typically include general information (component organization, project periods, project title, etc.), performance sites, personnel, and budget. The FOA defines the construction and naming convention for the application; the funded application defines the construction and naming convention for the progress report.

When you access the RPPR for a multi-project award, you can select awarded components rather than manually adding them.

For multi-project awards, the *RPPR Menu* screen displays the following screen:



Overall RPPR

Below the **Overall RPPR** is a table of components that belong to the Overall component.

The *RPPR Menu* for a multi-project RPPR without components does not include the component table. Additionally, the **No** radio button on the **Has components?** field is selected and disabled.

To edit the RPPR for the Overall component, click the three-dot ellipsis icon next to **Award Number** for Overall and select **Edit RPPR**.

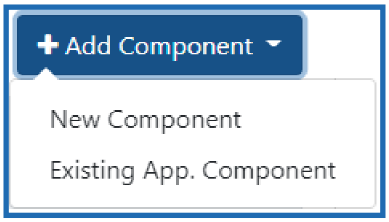
Adding Individual Components

If the award has individual components (e.g., a multi-project award), *each* component must be reported in the RPPR. To add components if none are displayed, select the **Yes** radio button next to the question **Has components?**

NOTE: Any individual components previously added will already be displayed in a table. In this scenario, the **Has components?** option is disabled. This includes components which were part of a previously submitted progress report for the grant.

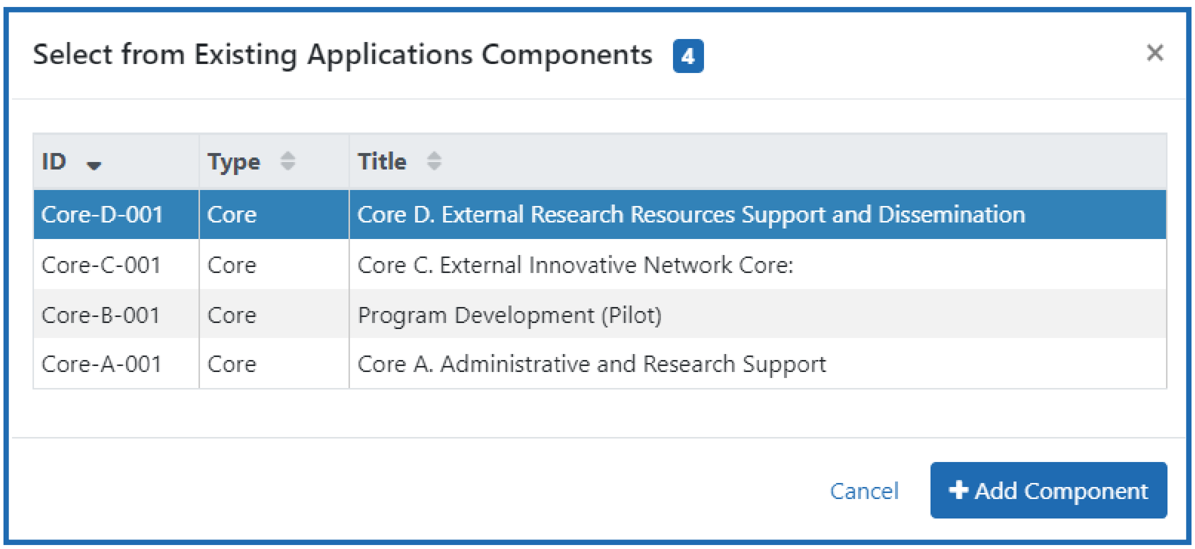
There are two ways to add a component for multi-component grants: you can select components from a list of existing components, or add a new component manually. The list of components is pulled from the beginning of the segment award of the last completing application that was awarded, plus whatever was entered manually prior.

To add components from a list, click the **Add Component** button and select **Existing App. Component**.



1. Click the **Select from existing App Components** button.

   A popup window appears.

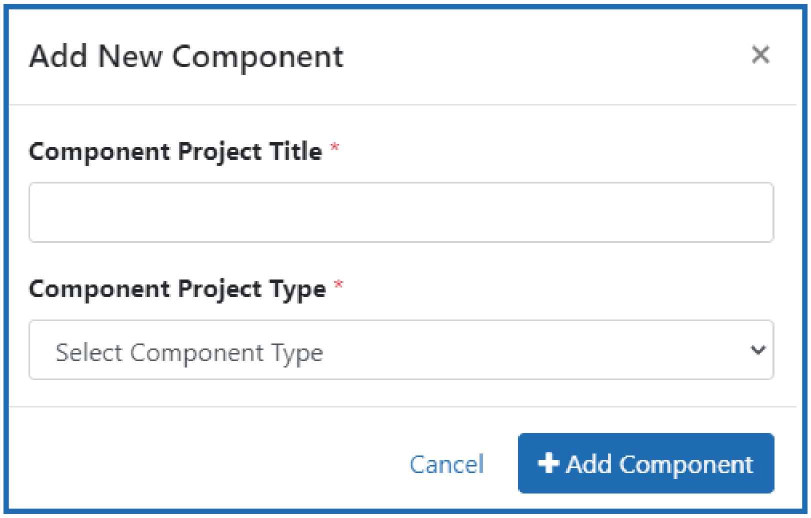


2. Select the component you want to add and click the **Add Component** button.

   Components you add appear in the table of components.

3. To edit the RPPR of the component you added, click its three-dot ellipsis icon and select **Edit RPPR**.

To add an individual component manually, click the **Add Component** button and select **New Component**.



1. Enter the **Component Project Title**.
2. Select the correct option from the **Component Project Type** drop-down list.
3. Click the **Add Component** button.

   Components you add appear in the table of components.
4. To edit the RPPR of the component you added, click its three-dot ellipsis icon and select **Edit RPPR**.

Refer to *Editing the RPPR Forms* on page 329 for more information on editing the RPPR forms.

To remove a component from the table of components:

1. For the component you want to remove, click its three-dot ellipsis icon and select **Delete**.

You can delete added components, but you cannot delete the Overall component.

IMPORTANT: If you choose to delete a component, all data related to this component – including all budget data – will be lost. ***This data cannot be recovered once it has been deleted.***

To check for RPPR errors on either the Overall component or an individual component, click its three-dot ellipsis icon and select **Check for Errors**. Errors will be displayed at the top of the screen.

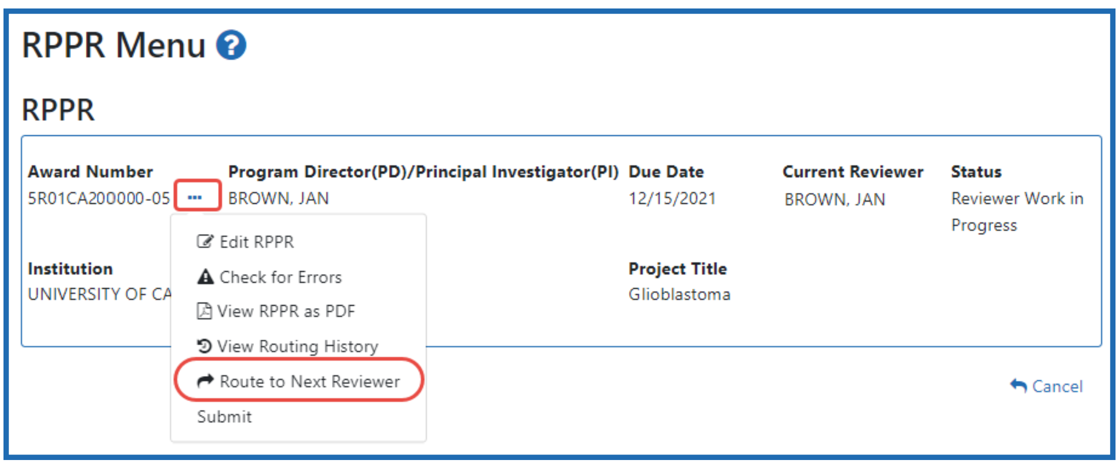
Routing the RPPR

NOTE: If you are looking for help routing PRAM, see Routing PRAM. A person who is *delegated* a role of ASST cannot route an RPPR to the next reviewer.

Progress reports in *Work in Progress (WIP*) status can be routed to others for review or corrections by the current reviewer of the report. The routing feature is found on the *RPPR Menu* screen.

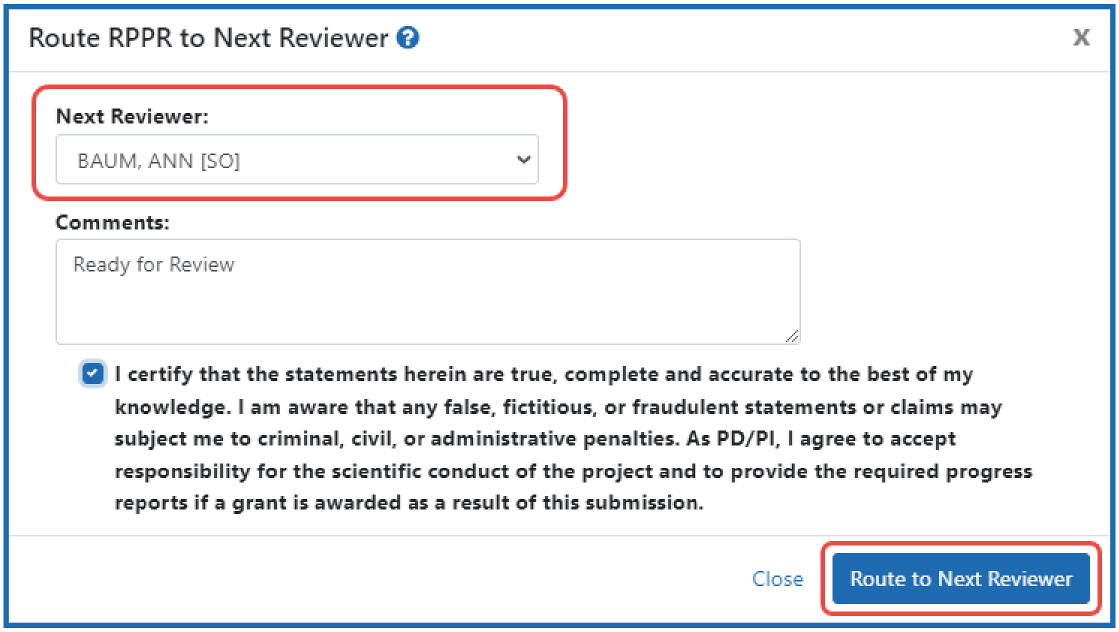
To route an RPPR to the next reviewer:

1. On the RPPR Menu screen, click the three-dot ellipsis icon and select **Route to Next Reviewer**.



NOTE: The figure above shows a single-project RPPR's *RPPR Menu*, however, multi-project RPPRs have a similar **Route** option on their own *RPPR Menu* screen.

The *Route RPPR to Next Reviewer* screen displays. On this screen, choose the next reviewer from a list of reviewers and add comments.



2. Select a reviewer from the **Next Reviewer** dropdown.
3. *Optional*: Enter comments in the **Comments** box to provide information to the next reviewer.
4. *Required for PD/PI ONLY:* Click the checkbox that certifies statements are true. Signing officials do not see the **"I certify that the statements herein are true..."** checkbox.
5. Click the **Route to Next Reviewer** button.

A success message appears in the *Route to Next Reviewer* popup, stating, *The RPPR was successfully routed to [REVIEWER NAME]*. Click the **Close** link in the success message and the RPPR Menu displays once again.

The person who routed the RPPR can no longer edit the report (the **Edit RPPR** option disappears from the three-dot ellipsis menu). Editing is now available only to the new reviewer. The RPPR status is updated to *Reviewer Work in Progress*.

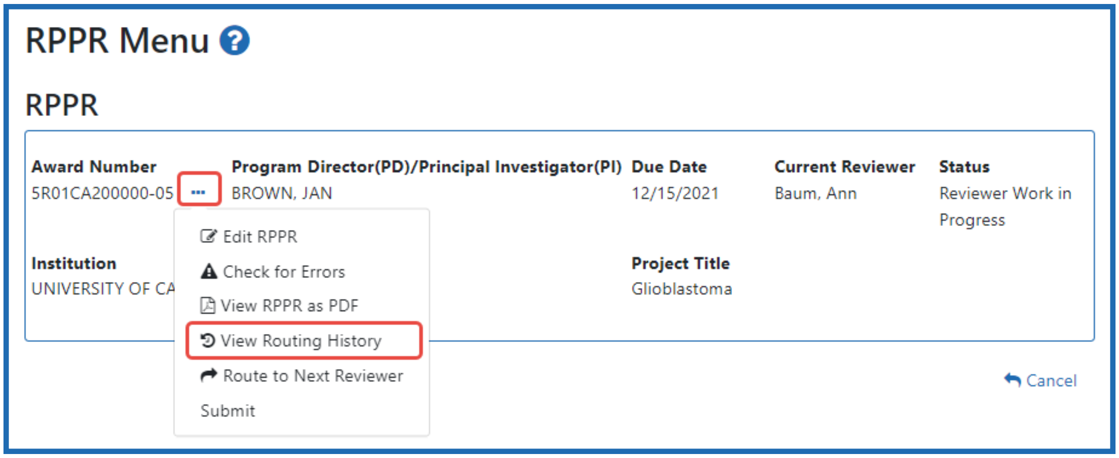
RPPR Routing History

From initiation to submission to the agency, the routing of an RPPR is captured for auditing purposes. PD/PIs, PD/PI delegates, and reviewers can view the routing history for

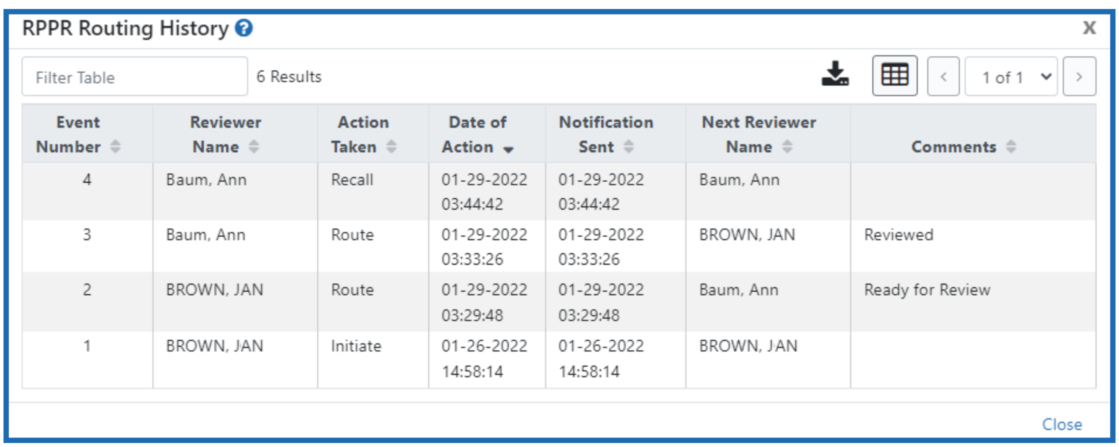
Work in Progress or *Submitted to Agency* RPPRs at any time, even when not they are not the current reviewer.

To view the routing history:

1. On the *RPPR Menu* screen, click the three-dot ellipsis icon and select **View Routing History**.



The *RPPR Routing History* screen displays.


RPPR Routing History

Filter Table 6 Results 1 of 1

Event Number	Reviewer Name	Action Taken	Date of Action	Notification Sent	Next Reviewer Name	Comments
4	Baum, Ann	Recall	01-29-2022 03:44:42	01-29-2022 03:44:42	Baum, Ann	
3	Baum, Ann	Route	01-29-2022 03:33:26	01-29-2022 03:33:26	BROWN, JAN	Reviewed
2	BROWN, JAN	Route	01-29-2022 03:29:48	01-29-2022 03:29:48	Baum, Ann	Ready for Review
1	BROWN, JAN	Initiate	01-26-2022 14:58:14	01-26-2022 14:58:14	BROWN, JAN	

Close

2. To close the screen, click the **Close** link.

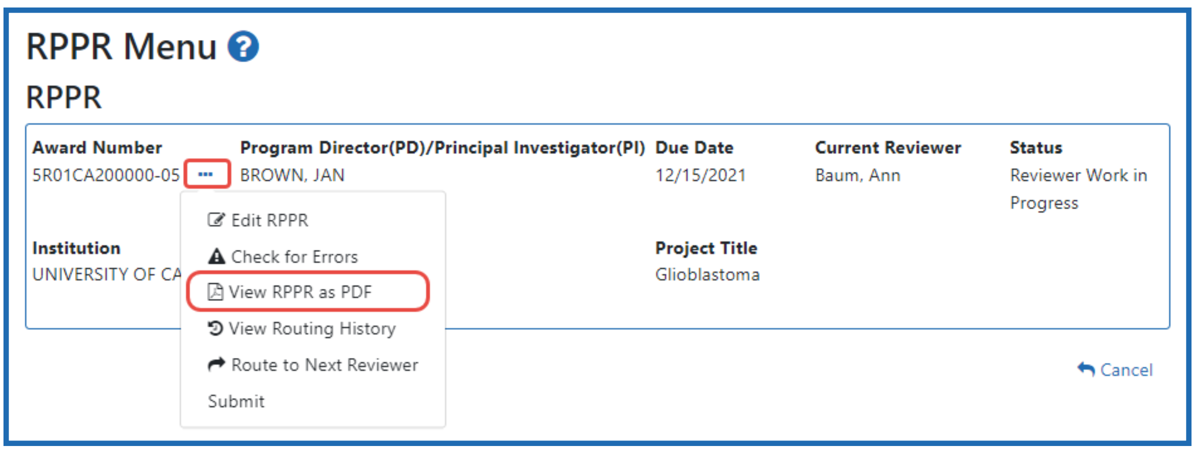
[Link to routeHistory_generic.htm]()

Viewing the RPPR as PDF

Grantees are **strongly** encouraged to view the RPPR as a PDF prior to submission to ensure that the correct information and attachments are provided.

PD/PIs, PD/PI delegates, and reviewers can view a PDF version of an RPPR in *Work in Progress (WIP)* or *Submitted to Agency* status to see how it will be seen by the agency. Until the RPPR is submitted to the agency, the PDF report shows a status of *Draft* and a blank submission date.

To view the RPPR form: On the RPPR Menu screen, click the three-dot ellipsis icon and select **View RPPR as PDF**.



Submitting RPPR to Agency

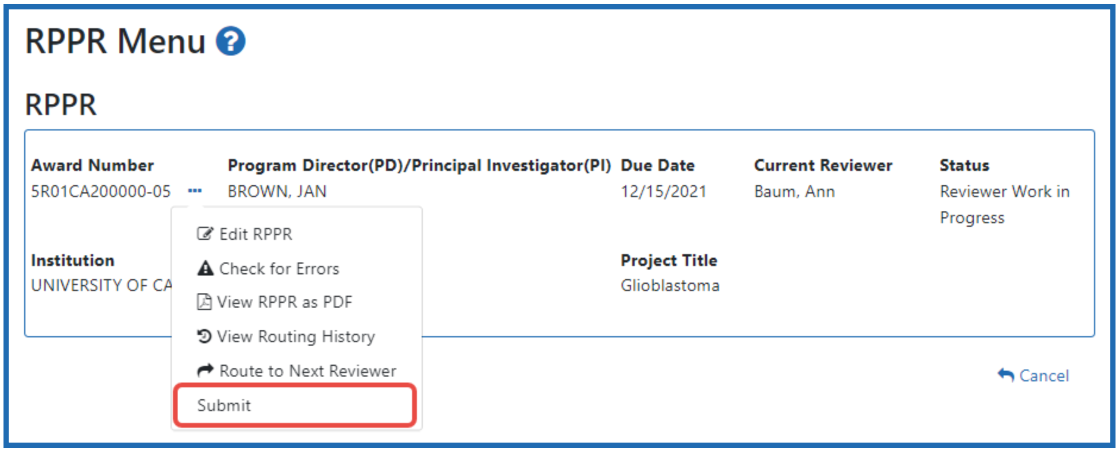
Grantees are strongly encouraged to view the RPPR as a PDF prior to submission to ensure that the correct information and attachments are provided. Refer to *Viewing the RPPR as PDF* on page 384.

Completed and validated RPPRs in a status of *Work in Progress* can be submitted to the agency for acceptance. The signing official (SO) can submit when the SO is the current reviewer of the report; current reviewers are set by routing, as described in *Routing the RPPR* on page 381. For SNAP awards only, PD/PIs may also submit the report if they have been delegated submit authority by the SO. Delegation of RPPR privileges is not allowed on Department of Commerce (DOC) awards.

NOTE: A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

To submit the RPPR to agency:

1. Click the three-dot ellipsis menu for an RPPR and select **Submit**.



You can do this from the RPPR Menu, Interim RPPR Menu, or Final RPPR Menu screens.

The Submit RPPR screen displays a certification statement.

In submitting this Progress Report, the SO (or PD/PI with delegated authority), certifies that the awardee organization is in compliance with the terms and conditions specified in the Notice of Award and Awards 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 awardee organization will be accountable for the appropriate use of any funds awarded and for the performance of the award-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 awardee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

2. Click the **I Agree** button to sign off on certification.

   The RPPR is validated for system and business rules. If there are any validation failures, they are indicated by error messages on the *RPPR Menu* screen. Errors must be corrected in order to submit the RPPR.

   If warnings exist, they are displayed on the *RPPR Menu* screen. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

3. *If Warnings Exist*: To address issues associated with warnings, click the **Cancel** button, correct the issue, and resubmit the RPPR again. To continue with submission despite the warnings, click the **OK** button.

If all validations pass, the *RPPR Menu* screen displays the following message: The RPPR has been successfully submitted to PHS.

The current reviewer is updated to the awarding agency, the RPPR status is updated to *Submitted to Agency*, and the RPPR Submission date is recorded. The routing history is updated to reflect the submission to the agency.

Any citations associated with the RPPR in **C.1. Publications** are officially associated with the award in MyNCBI.

If inclusion enrollment data are reported in the RPPR, this information will be provided in a structured data form and updated into the eRA inclusion data system for NIH staff review and acceptance. The data then becomes the data of record for the particular grant year.

When an RPPR is submitted to the agency, email notification is sent to the PD/PI (Contact PI) on the grant and the SO and AO assigned to the RPPR.

Submission Errors & Warnings for Multi-Project RPPRs

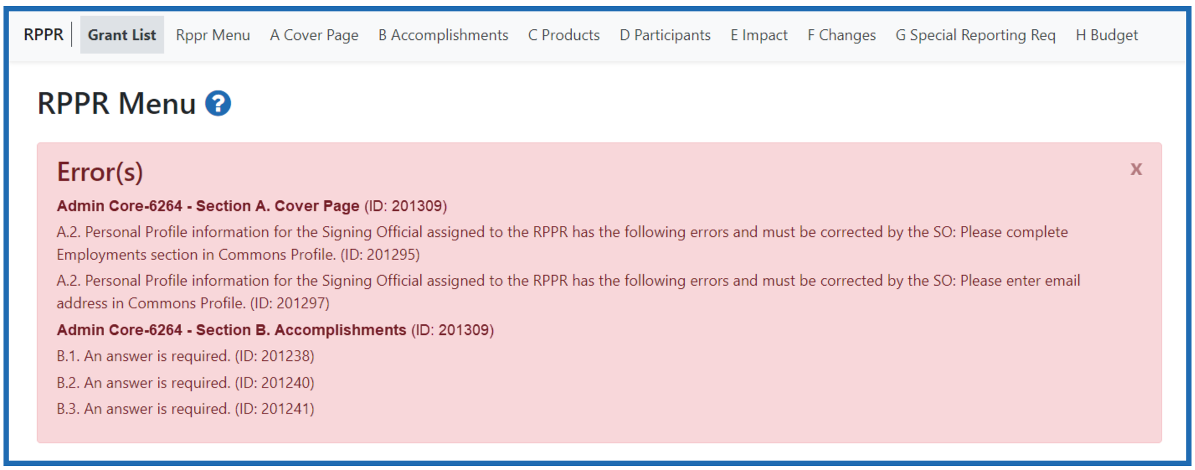
Agency-Specific Instructions: Department of Commerce (DOC). Multi-project RPPRs are not applicable for DOC awards.

Upon submission, multi-project RPPRs are validated for system and business rules just as are single-project RPPRs. However, for multi-projects, the errors and warnings are displayed differently. When errors and/or warnings are found on multi-project RPPRs, the *RPPR Menu* screen displays the Overall messages followed by the messages of the other components.

All errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the *RPPR Menu* screen under the errors. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

Click here to view a sample of possible error messages.

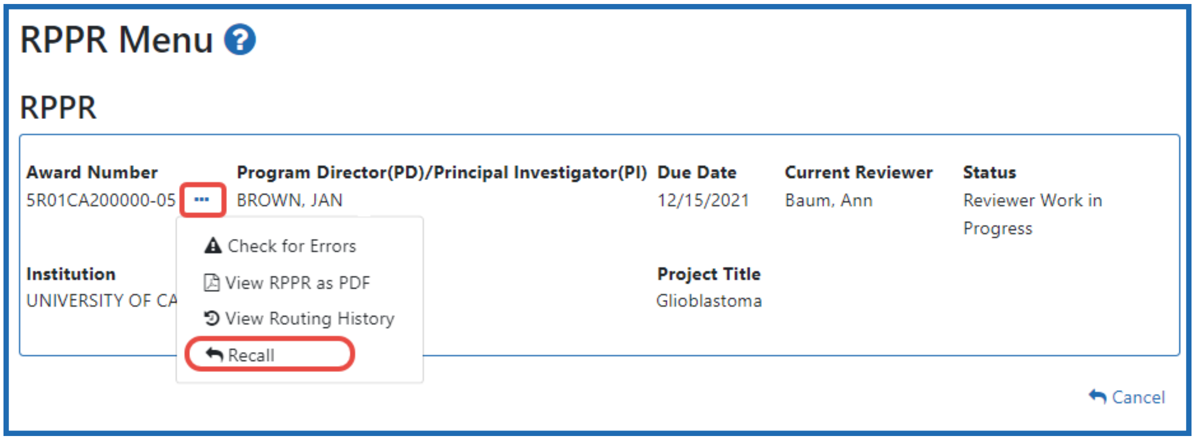


Recalling the RPPR

RPPRs that have been routed to a reviewer can be recalled by the person who performed the routing action. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, signing officials at the institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A person who has been **delegated** the PD/PI role does not have the ability to recall the RPPR.

To recall an RPPR, on the *RPPR Menu* screen, click the three-dot ellipsis icon and select **Recall**.



A message displays on the screen indicating: The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.

The status of the RPPR is updated to *PD/PI Work in Progress* or *Reviewer Work in Progress*, the reviewer from whom the RPPR is recalled receives an email about this action, and the RPPR routing audit history is updated to reflect the action.

Additionally, the **Edit RPPR** and **Route to Next Reviewer** options appear under the three-dot ellipsis menu, providing the new reviewer with the ability to continue editing the RPPR or to route it to another reviewer.

Overview of the Interim RPPR

Agency-Specific Instructions: Department of Commerce (DOC). Interim RPPRs are not applicable for DOC awards. Only Semi-Annual and Final RPPRs are applicable for DOC awards.

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports (Final RPPR)]() — Guide Notice NOT-OD-17-022.

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report would be required for the current competitive segment, then submission of an *Interim RPPR* via eRA Commons is required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration — (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are identical in process and information required. The difference between them is when and where they are made available to initiate and submit. The **Interim RPPR** link is available to the signing official (SO) and principal investigator on the *Status* screen when a grant is eligible for submission for a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the **Process Final RPPR** link only appears on the Closeout Status screen.

NOTE: If a system check by the agency does not detect that there is a pending Type 5 renewal application associated with the award when the grant goes into a Closeout Module, any Interim RPPR that has been started will be converted to a Final RPPR and will be accessible through the *Closeout* link in the **Status** column.

The format of the Interim RPPR, the Final RPPR, and the annual RPPR are the same, making it easier for grantees to navigate and complete them.

Differences between Interim/Final RPPR and the annual RPPR are:

- In the Interim/Final RPPR, only *D.1* is required in the *Participants* section
- *Sections F: Changes* and *Section H: Budget* are not part of the Interim/Final RPPR
- *Section I: Outcomes* is required for both the Interim/Final RPPR

Since a renewal application is competitive, there is no guarantee it will be funded. Therefore the following scenarios should be noted:

Competing Renewal Application Status	Action
Not submitting a Competing Renewal	Submit a Final RPPR no later than 120

<table>
<tr><th>Competing Renewal
Application Status</th><th colspan="2">Action</th></tr>
<tr><td>application</td><td colspan="2">days from the project period end date</td></tr>
<tr><td rowspan="3">Submitting a Competing Renewal applic-ation</td><td colspan="2">Submit an Interim RPPR no later than 120 days from the project period end date</td></tr>
<tr><td>Funded</td><td>Not Funded</td></tr>
<tr><td>The Interim RPPR is accepted as the annual RPPR</td><td>The Interim RPPR is accepted as the Final RPPR</td></tr>
</table>

https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-022.html

https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-037.html

Agency for Healthcare Research and Quality (AHRQ)

All Agency for Healthcare Research and Quality (AHRQ) grantees are required to use the eRA Commons RPPR module.

The RPPR includes numerous references to the NIH Grants Policy Statement, 8.1.2 requirement that significant changes in objectives and scope require prior approval of the agency; for AHRQ awardees the analogous requirement is in the HHS Grants Policy Statement under "Prior Approval Requirements."

Department of Veterans Affairs

Progress reports (RPPRs) are required to continue support of a VA-ORD award for each budget year within a competitive segment. Interim reports are due when the project period is over and the award is not in Closeout (i.e., a renewal application is pending or has been selected for funding). If the pending renewal application is not funded, the Interim report becomes the Final report. Final reports are required for any funded award that has ended and will not be extended through renewal. Note: For VA awards the outcomes are not published. Guidance on completing report content specific to VA-ORD requirements, as well as navigating, validating, routing, and submitting the report to VA-ORD for review and approval can be found at: https://www.research.va.gov/resources/RPPR.cfm. It is important to review the VA-ORD instructions as there are sections where specific VA-ORD information is requested that differs from that noted within the NIH progress report template:

https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-022.html

https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-037.html

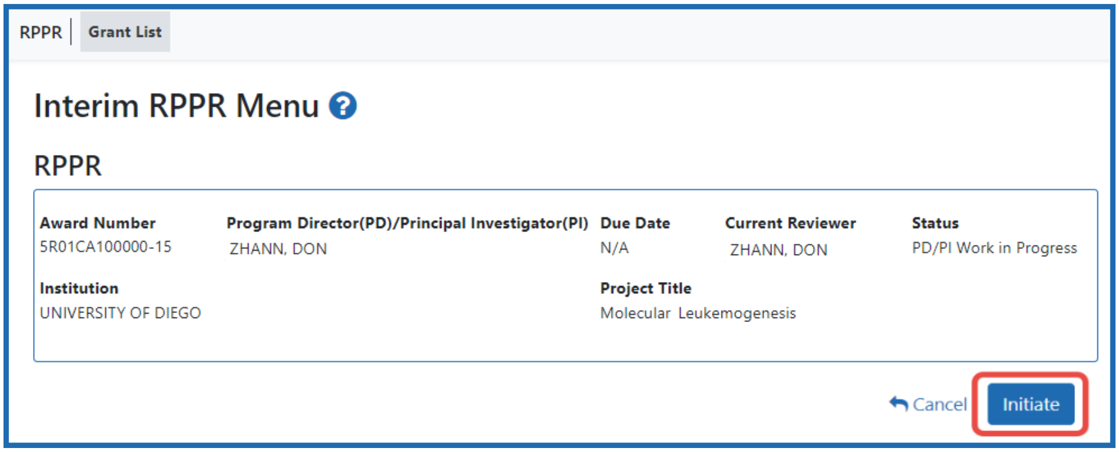
Submitting Your Interim RPPR

Agency-Specific Instructions: Department of Commerce (DOC). Interim RPPRs are not applicable for DOC awards. Only Semi-Annual and Final RPPRs are applicable for DOC awards.

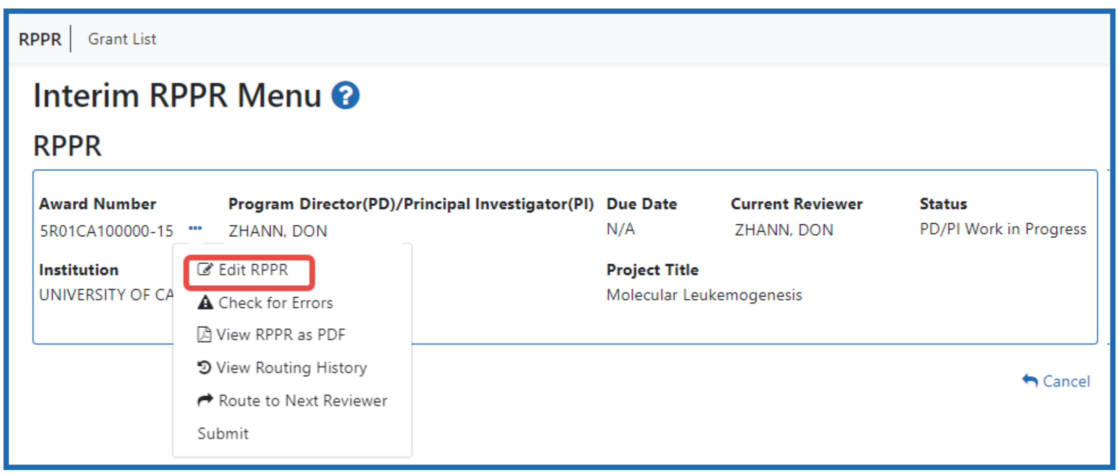
To submit your Interim RPPR:

1. Click the *Interim RPPR* link for the grant from *Status* search results.

   The *Interim RPPR* link will appear for both the principal investigator (PI) and the signing official (SO) one day after the budget period end date and before the award moves to Closeout.
2. Clicking the *Interim RPPR* link opens the *Interim RPPR Menu* screen:



3. Click the **Initiate** button to create the Interim RPPR. A message appears, saying "*The RPPR has been successfully initiated*" and a three-dot ellipsis icon appears next to the **Award Number**. Click the three-dot ellipsis icon to see a menu of available actions.



4. Select **Edit RPPR** from the three-dot ellipsis menu to start editing.

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms]() for help completing each section.

   Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

In the *Final RPPR Menu* screen, there are several actions in the three-dot ellipsis menu that you can use to complete the Interim RPPR; see *RPPR Menu* on page 316.

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

Interim Report Additional Materials (IRAM)

The awarding agency might issue the awardee a request for *Interim Report Additional Materials* (IRAM) following the submission of an Interim RPPR (research performance progress report). This type of request lets the awardee enter, review, and submit information in response to a specific request for additional information from the program official at the awarding agency.

Either the principal investigator (PI) or signing official (SO) (or their delegates) can upload files and provide a revised project outcome in response to an IRAM request. For a multi-PI project, the contact PI can respond to the IRAM. However, only a SO can submit the IRAM package to the agency.

Agency-Specific Instructions: Department of Commerce (DOC). Interim Report Additional Materials are not applicable for DOC awards.

About Revised Outcomes

For **Revised Outcome**, please review the instructions at the top of the IRAM screen as well as the following information.

To submit revised project outcomes, enter text in the Revised Outcome text box on the *Interim Progress Report Additional Materials (IRAM)* screen. The **Save** button at bottom of screen saves the text you enter.

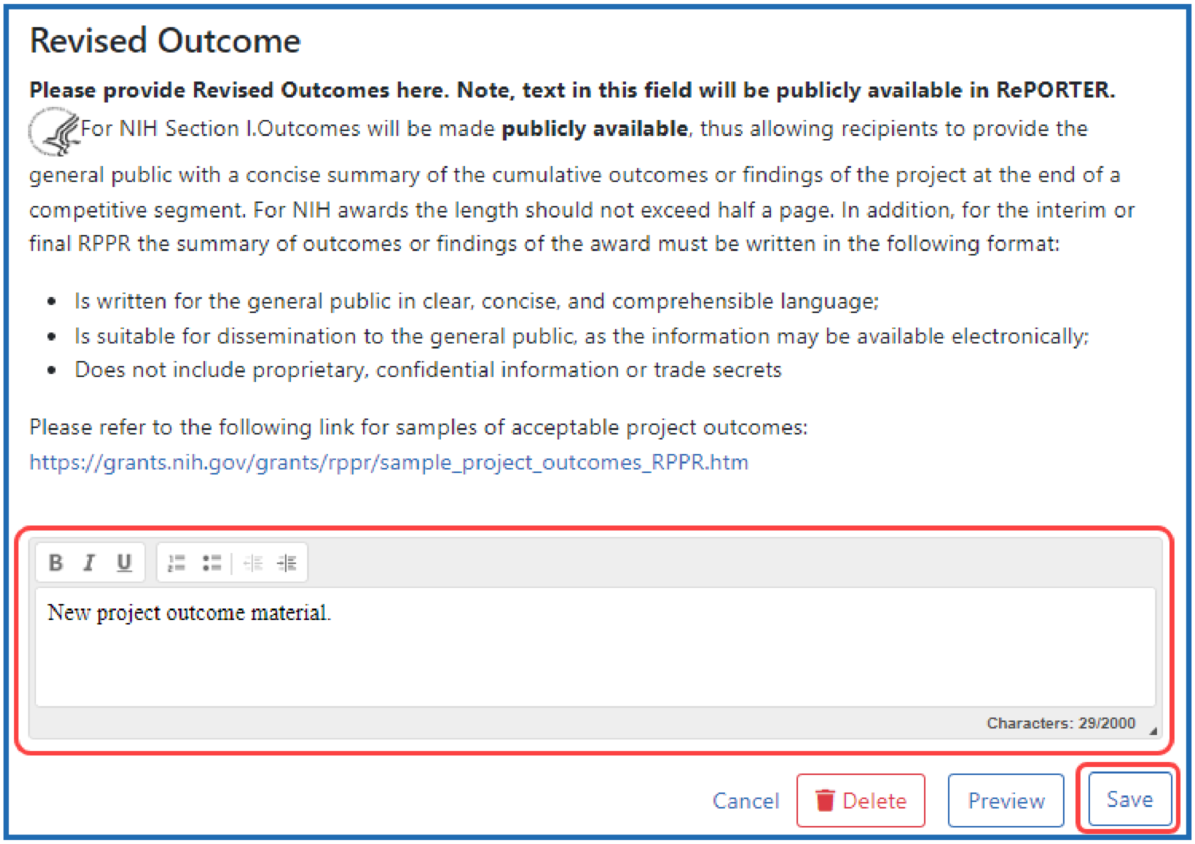


Figure 161: Revised Outcomes field of the Interim Request for Additional Materials screen in Status

Project outcomes provide information regarding the cumulative outcomes or findings of the project. Note that outcomes are made available to the general public once approved by the program official, allowing recipients to provide a concise summary with of the cumulative outcomes or findings of the project at the end of a competitive segment. The name of the PI will be attached to the public posting in RePORTER.

For NIH awards the length of the outcome statement should not exceed 2000 characters. In addition, the summary of outcomes or findings of the award must be written according to these guidelines:

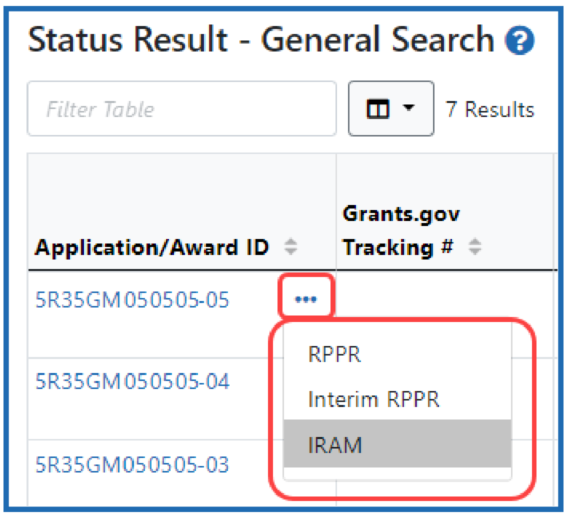
- Is written for the general public in clear, concise, and comprehensible language
- Is suitable for dissemination to the general public, as the information may be available electronically
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes: https://-grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm
See NIH notices NOT-OD-17-022 and NOT-OD-17-037 for additional details on this requirement.

Accessing the IRAM Screen

You can access an IRAM by clicking an IRAM action in the Status module. The SO view and the PI view of the Status module are different.

SOs access the Status module, search for awards, click the three-dot ellipsis menu on an award, and select **IRAM**.

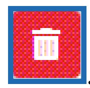
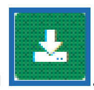


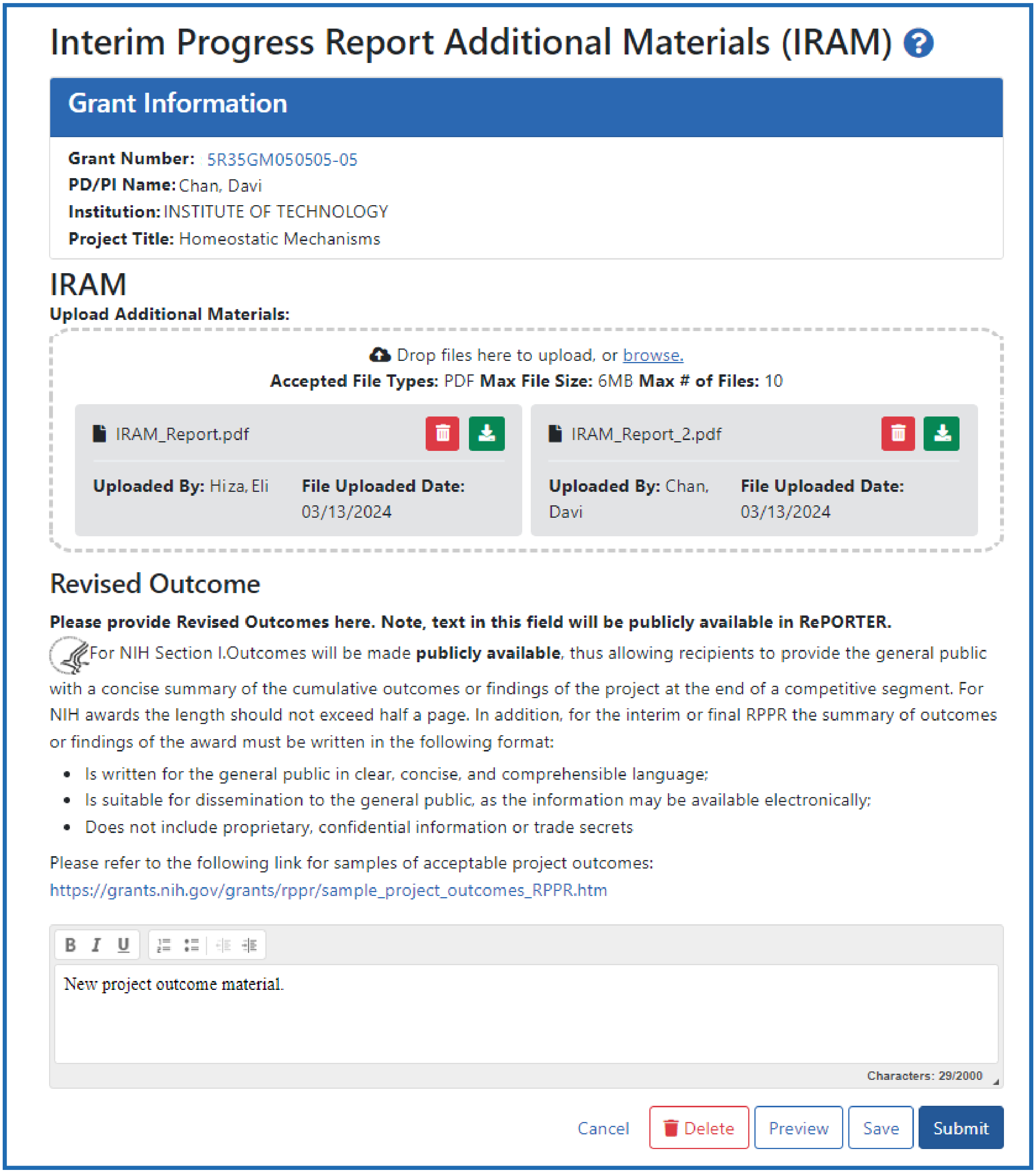
PIs access the Status module, expand an awards section, and click the IRAM button in the Available Actions column.

Using the IRAM Screen

The IRAM screen appears after you click an award's IRAM action. Prepare your response to the IRAM and save it in up to 10 PDF files that are each smaller than 6MB. If you have questions about what to include in your response, consult with your program official.

On the IRAM screen, you can:

- Drag or browse to files to upload using the "**Drop files here to upload or browse**" section. The files you upload are instantly saved to eRA Commons system, but are not available to the agency until they are submitted.
- Remove files by clicking the trash can icon .
- Download/view files by clicking the download icon .
- Enter up to 2000 characters as a revised outcome, using the guidelines that are provided onscreen and in this topic.
- Click the **Save** button to save the text entered into the Revised Outcome text box.
- Click the **Preview** button to preview the entire submission package. Clicking **Preview** downloads a file that has a summary page listing files uploaded and the uploader's name and time uploaded, followed by the new Revised Outcome and the contents of the uploaded files.
- Click **Delete** to delete the submission package
- Click **Submit** to submit the IRAM package to the awarding agency, where the PO can review it. Only SOs have a **Submit** button; PIs cannot submit IRAM to the agency.


Interim Progress Report Additional Materials (IRAM)
Grant Information
Grant Number: 5R35GM050505-05
PD/PI Name: Chan, Davi
Institution: INSTITUTE OF TECHNOLOGY
Project Title: Homeostatic Mechanisms
IRAM
Upload Additional Materials:
Drop files here to upload, or browse.
Accepted File Types: PDF Max File Size: 6MB Max # of Files: 10
IRAM_Report.pdf
Uploaded By: Hiza, Eli
File Uploaded Date: 03/13/2024
IRAM_Report_2.pdf
Uploaded By: Chan, Davi
File Uploaded Date: 03/13/2024
Revised Outcome
Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.
For NIH Section I.Outcomes will be made publicly available, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:
Is written for the general public in clear, concise, and comprehensible language;
Is suitable for dissemination to the general public, as the information may be available electronically;
Does not include proprietary, confidential information or trade secrets
Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm
B I U
New project outcome material.
Characters: 29/2000
Cancel
Delete
Preview
Save
Submit

Closeout—Final Research Performance Progress Report for NIH Awards

Agency-Specific Instructions: NIH ONLY. The policy guidance in this topic applies to NIH only. See *Closeout—Final Research Performance Progress Report for NON-NIH Awards* on page 695for Final RPPR guidance for awards that are NOT funded by NIH.

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See NIH Implementation of Final Research Performance Progress Reports (Final RPPR) — Guide Notice NOT-OD-17-022.

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report would be required for the current competitive segment, then submission of an *Interim RPPR* via eRA Commons is required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration — (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are identical in process and information required. The difference between them is when and where they are made available to initiate and submit. The **Interim RPPR** link is available to the signing official (SO) and principal investigator on the *Status* screen when a grant is eligible for submission for a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the **Process Final RPPR** link only appears on the Closeout Status screen.

The format of the Interim RPPR, the Final RPPR, and the annual RPPR are the same, making it easier for grantees to navigate and complete them.

Differences between Interim/Final RPPR and the annual RPPR are:

- In the Interim/Final RPPR, only *D.1* is required in the *Participants* section
- *Sections F: Changes* and *Section H: Budget* are not part of the Interim/Final RPPR
- *Section I: Outcomes* is required for both the Interim/Final RPPR

Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award, and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

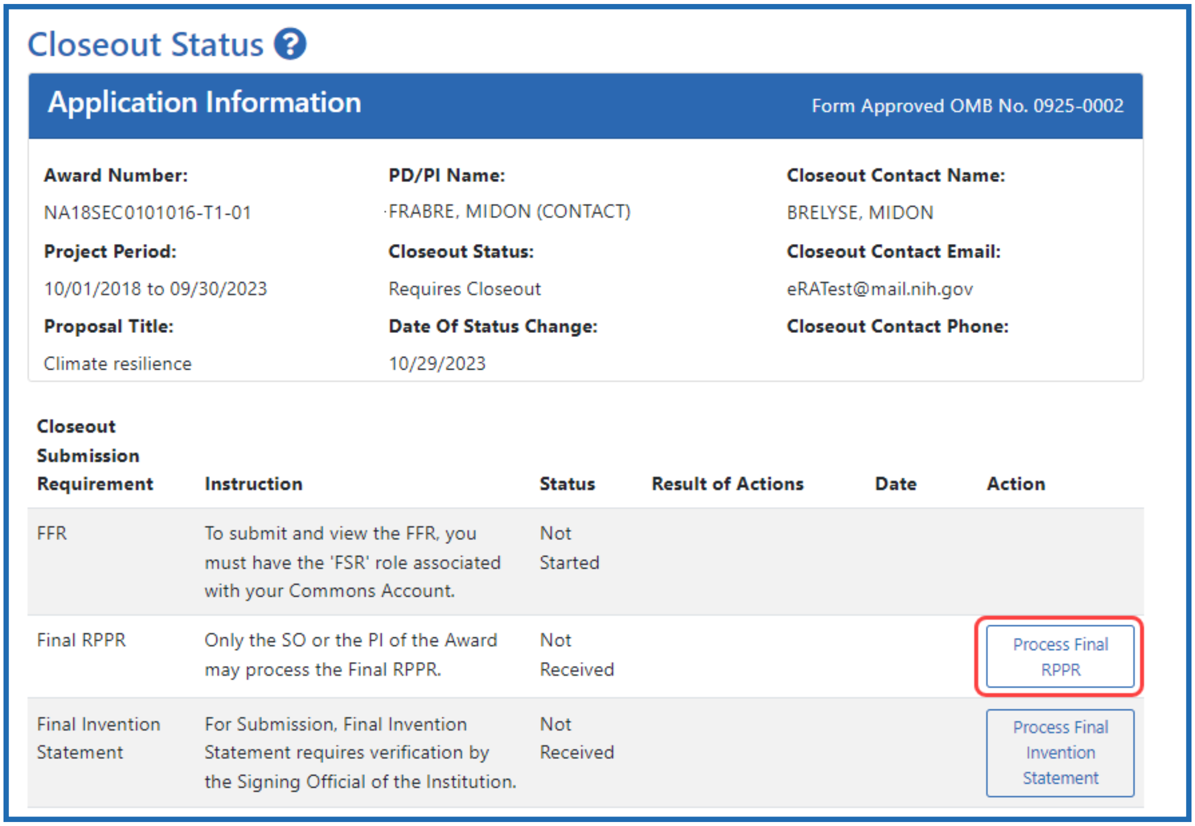


Figure 162: Closeout Status screen showing Process Final RPPR button, outlined

The RPPR Menu screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

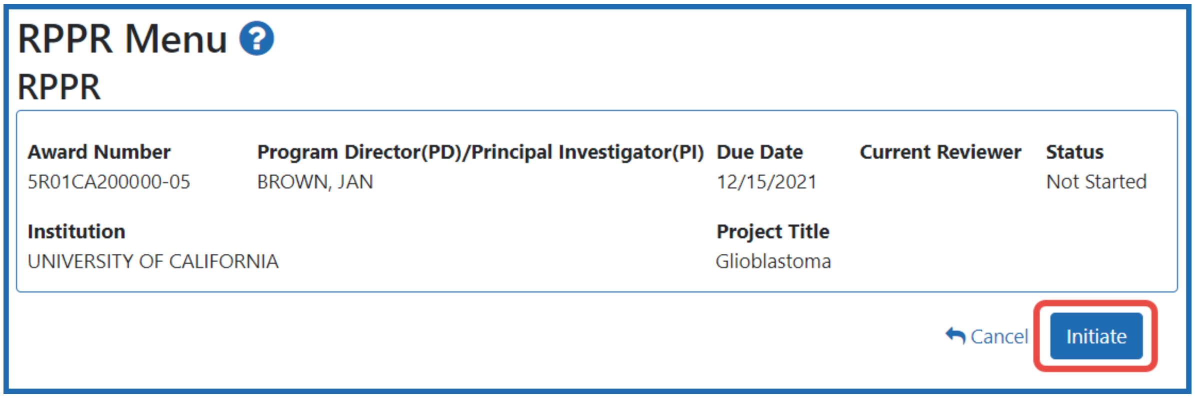


Figure 163: RPPR Menu screen, showing the Initiate button outlined

4. Click the **Initiate** button to create the Final RPPR. The Final RPPR Menu will then change, showing the option to Edit the Final RPPR under the thee-dot ellipsis menu:

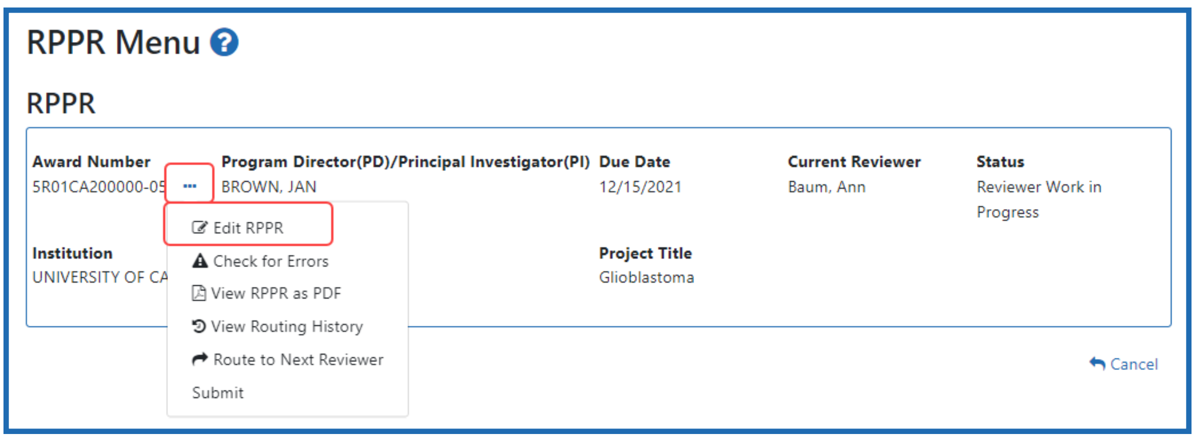


Figure 164: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

5. Select Edit RPPR from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

Editing Inclusion Enrollment Data

Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

This topic discusses inclusion data in the Human Subjects System (HSS) as accessed and processed via your RPPR. For more information on HHS or accessing HSS via Commons, please refer to the HSS Online Help.

To update inclusion enrollment data, click the **Human Subjects** link from question **G.4.b** of section **G. Special Reporting Requirements**. For additional information on inclusion procedures in the RPPR, please review the section titled "Section G – Special Reporting Requirements" of the RPPR Instruction Guide. (http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf)

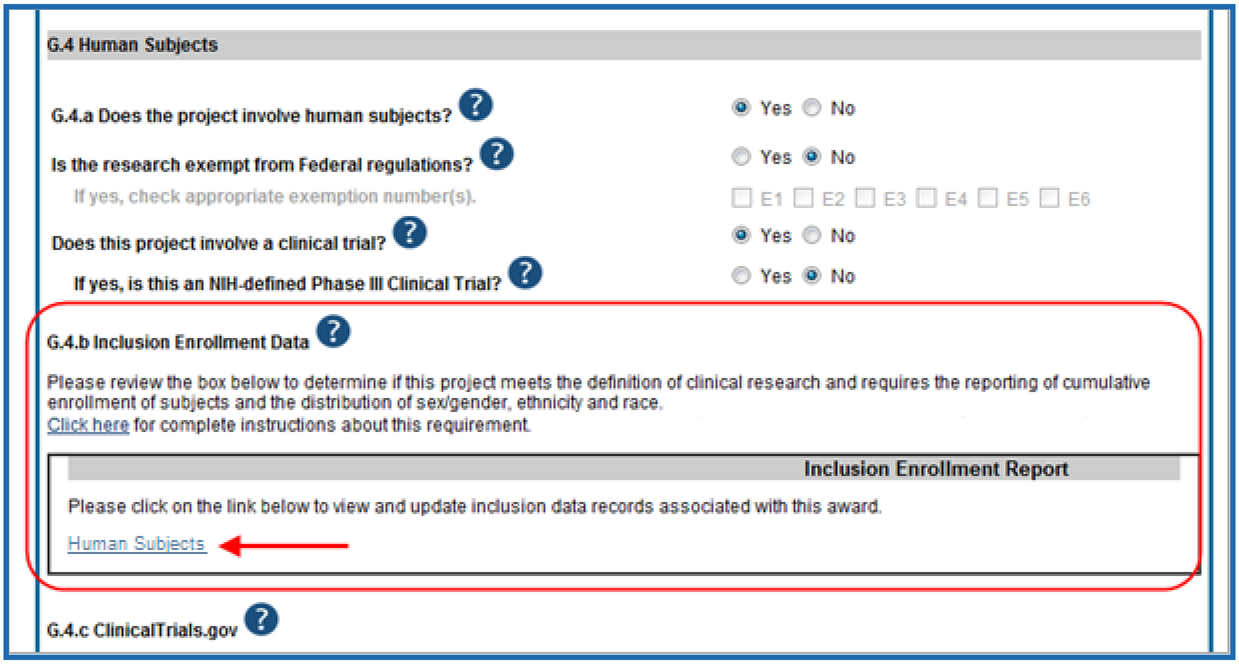
IMPORTANT: *Before clicking the Human Subjects link,* click the **Save** button on the RPPR to save all your work in **Section G**. Failure to do so will result in a loss of data on your report.

If you click the **Human Subjects** more than 60 days before the progress report due date, the following warning is displayed:

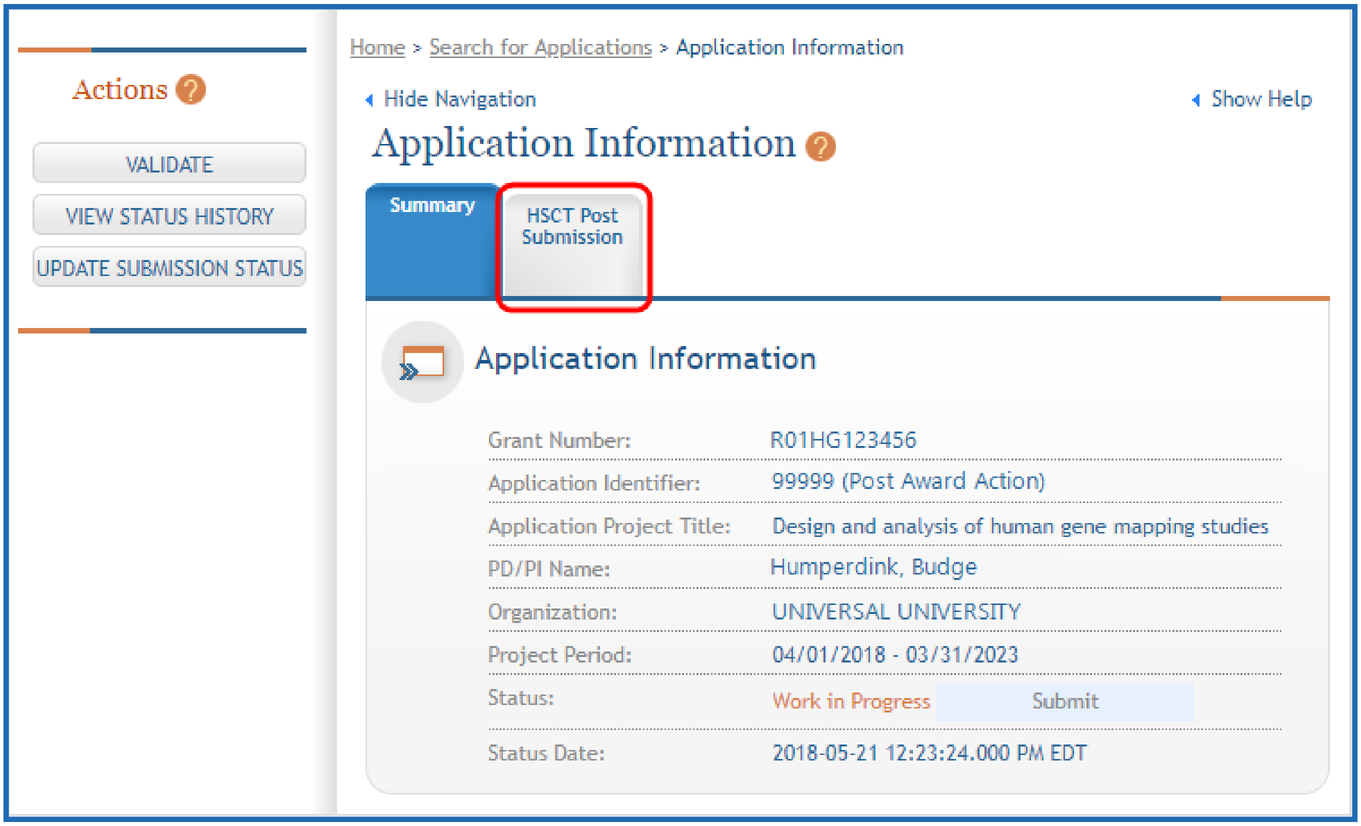
Based on the due date of this RPPR, inclusion data is not yet needed. If you proceed, access to the inclusion data via Commons/Status will be blocked. You cannot undo this action. Are you sure you want to proceed?

If you continue past this warning, it results in inclusion data being blocked for editing when accessed via Commons Status (**View** action only). In this event, you will see the following message when accessing via Status: RPPR has been initiated. Currently, the data is editable accessing via RPPR only.

The ability to edit Inclusion Enrollment Reports via the Commons Status module will be restored after the successful submission of the RPPR and until the award of the current year.

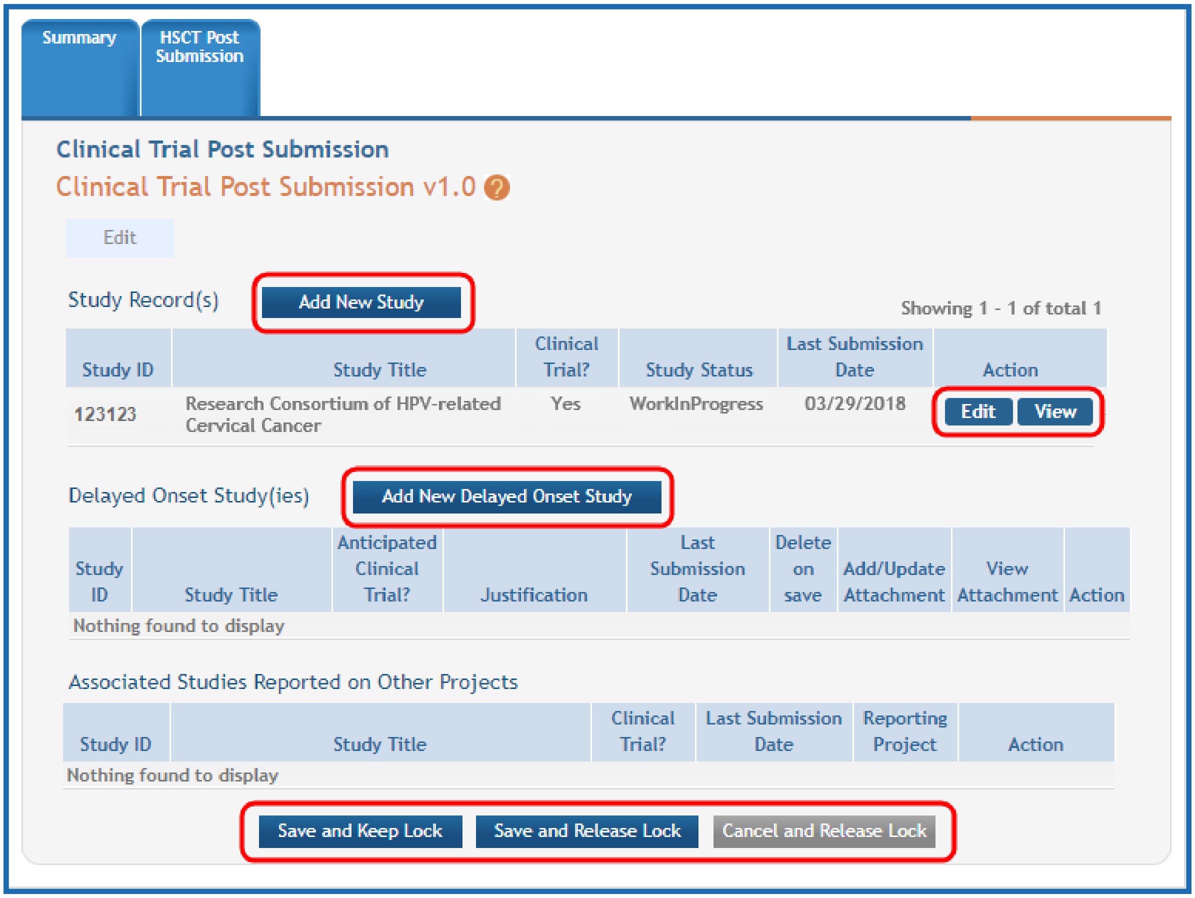


The *Application Information* screen is displayed, showing a summary of your grant. Click the *Human Subjects Post Submission* tab. This will take you to a Study Record(s) screen where all study records and delayed onset studies associated with your grant are displayed.


Home > Search for Applications > Application Information
Actions
VALIDATE
VIEW STATUS HISTORY
UPDATE SUBMISSION STATUS
Hide Navigation
Show Help
Application Information
Summary
HSCT Post Submission
Application Information
Grant Number: R01HG123456
Application Identifier: 99999 (Post Award Action)
Application Project Title: Design and analysis of human gene mapping studies
PD/PI Name: Humperdink, Budge
Organization: UNIVERSAL UNIVERSITY
Project Period: 04/01/2018 - 03/31/2023
Status: Work in Progress
Submit
Status Date: 2018-05-21 12:23:24.000 PM EDT

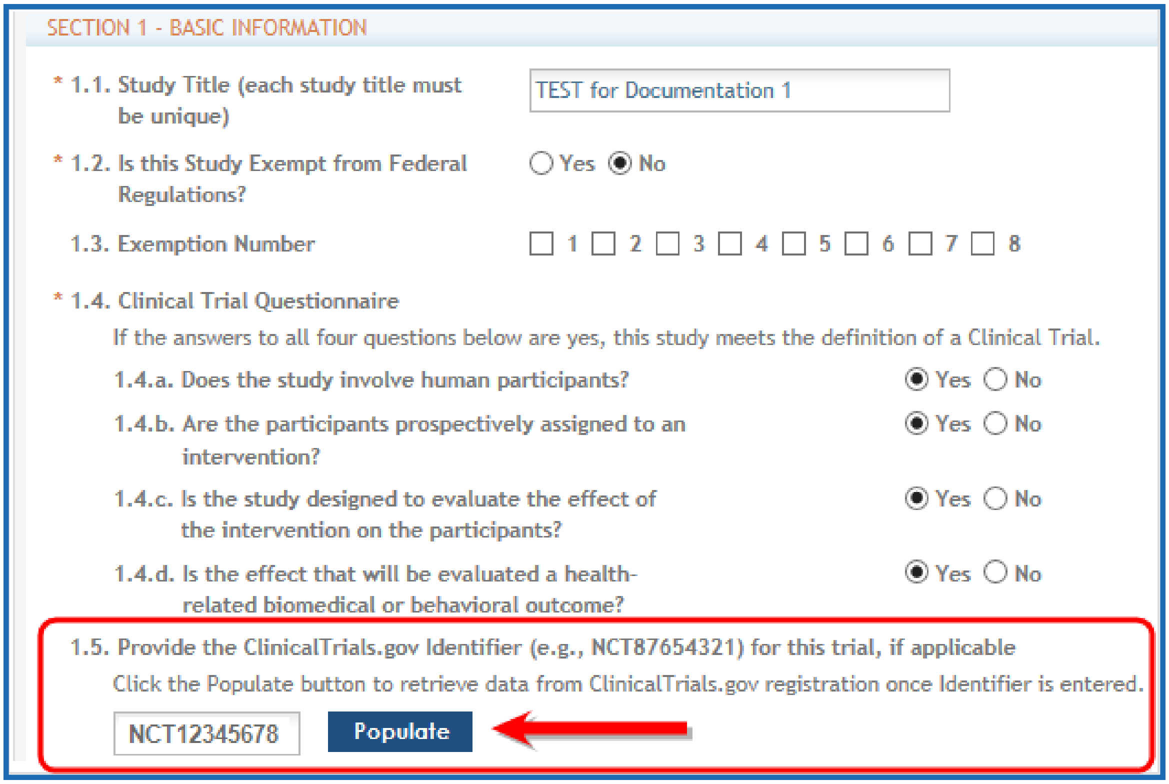
Click the **View** button to bring up a study.

Next, you see that the existing study has an **Edit** button available and there are additional buttons to add regular or delayed onset studies.



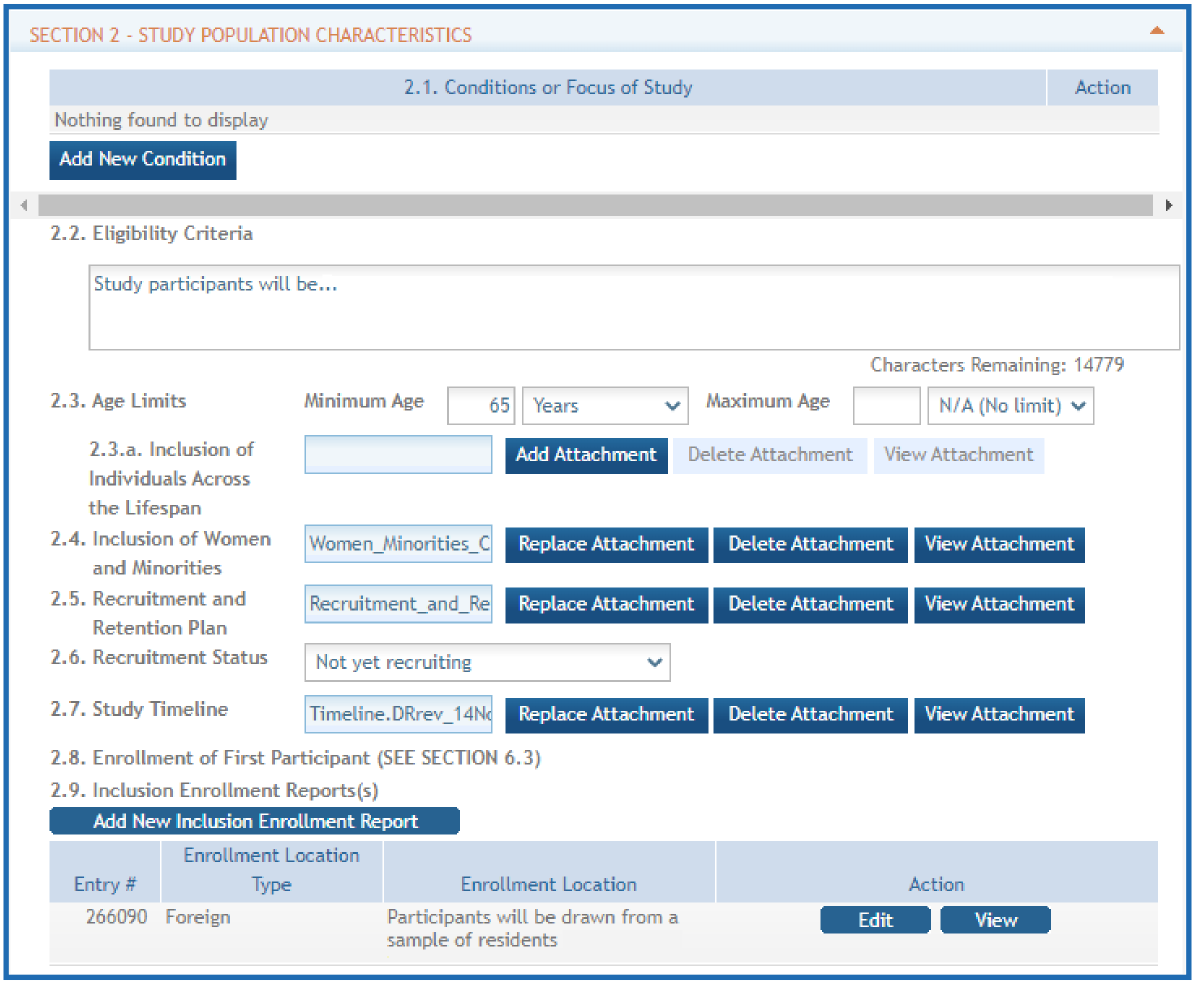
Clicking the **Edit** button for the existing study will open the *Application Information* screen.

IMPORTANT: If the initial competitive segment was submitted on or after January 25, 2018 (i.e. a Forms E application) without a ClinicalTrials.gov Identifier (an NCT number), enter the appropriate NCT number in the field numbered 1.5.
Click the **Populate** button and the system will do a best effort copy of form data from the official Clinical Trials records.



Inclusion Enrollment Report

Standalone PHS Inclusion Enrollment Report forms are no longer used. Instead, data collection for up to 20 *Inclusion Enrollment Reports* has been folded into each *Study Record*. Click the link in *Section 2* of the *Study Record* screen to initiate the *Inclusion Enrollment Report*.



For each *Inclusion Enrollment Report*, applicants will need to indicate whether an existing dataset or resource will be used and whether the enrollment location type is domestic or foreign.

There are also a few optional fields in the report, including a text entry ***Comments*** section.

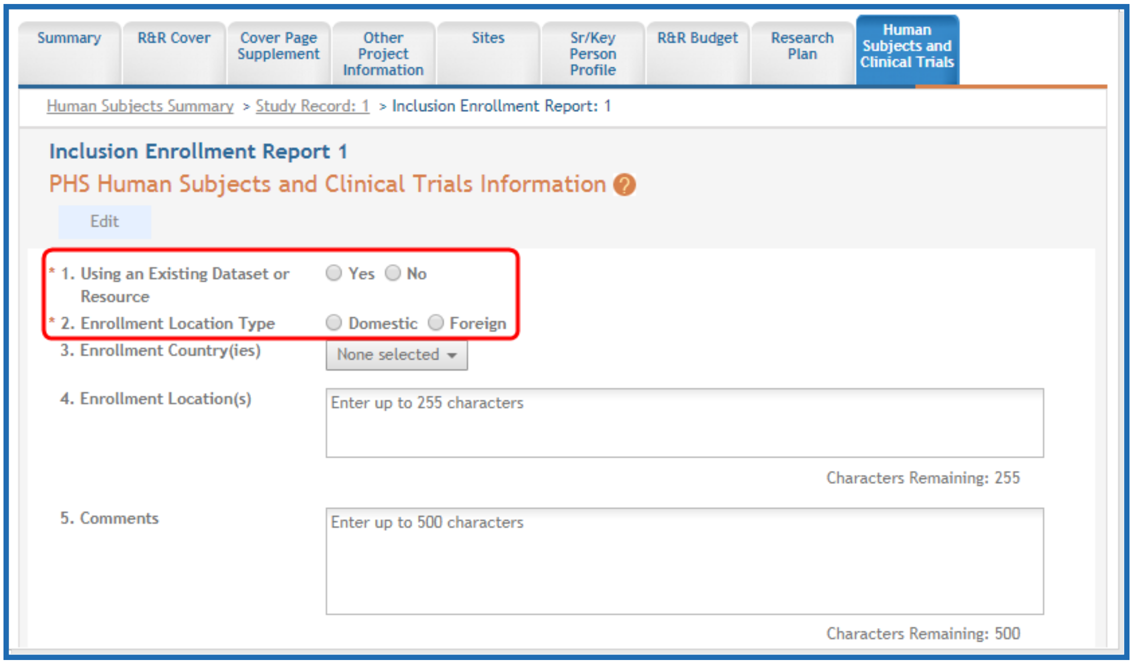
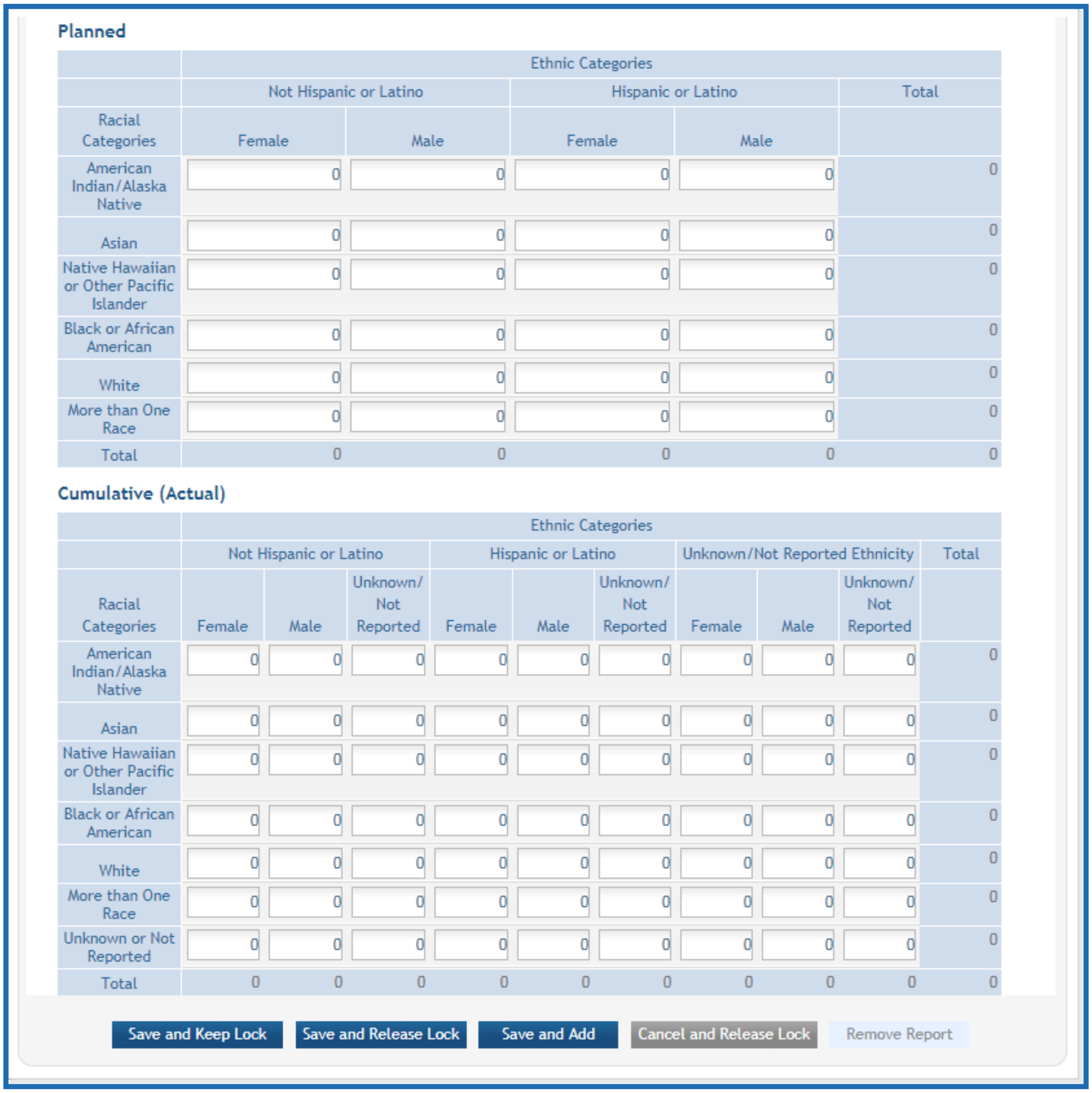


Figure 165: Top part of the Inclusion Enrollment Report screen

Planned and *Cumulative* enrollment data collection has been separated into separate tables.



Planned

	Ethnic Categories				
	Not Hispanic or Latino		Hispanic or Latino		Total
Racial Categories	Female	Male	Female	Male	
American Indian/Alaska Native	0	0	0	0	0
Asian	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	0	0	0	0	0
White	0	0	0	0	0
More than One Race	0	0	0	0	0
Total	0	0	0	0	0

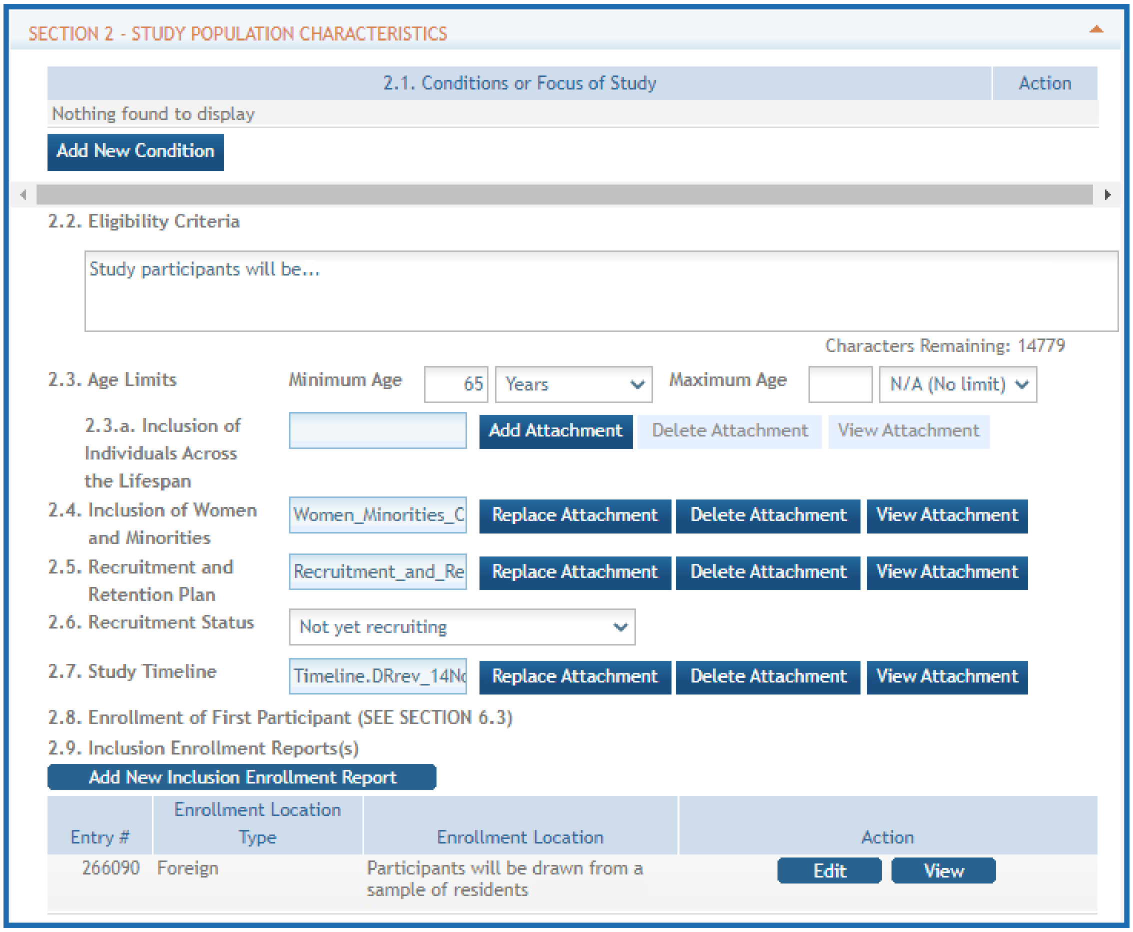
Cumulative (Actual)

	Ethnic Categories									
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			Total
Racial Categories	Female	Male	Unknown/ Not Reported	Female	Male	Unknown/ Not Reported	Female	Male	Unknown/ Not Reported	
American Indian/Alaska Native	0	0	0	0	0	0	0	0	0	0
Asian	0	0	0	0	0	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	0	0	0	0	0	0	0	0	0	0
White	0	0	0	0	0	0	0	0	0	0
More than One Race	0	0	0	0	0	0	0	0	0	0
Unknown or Not Reported	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0

Figure 166: Bottom part of the Inclusion Enrollment Report screen

Editing Inclusion counts

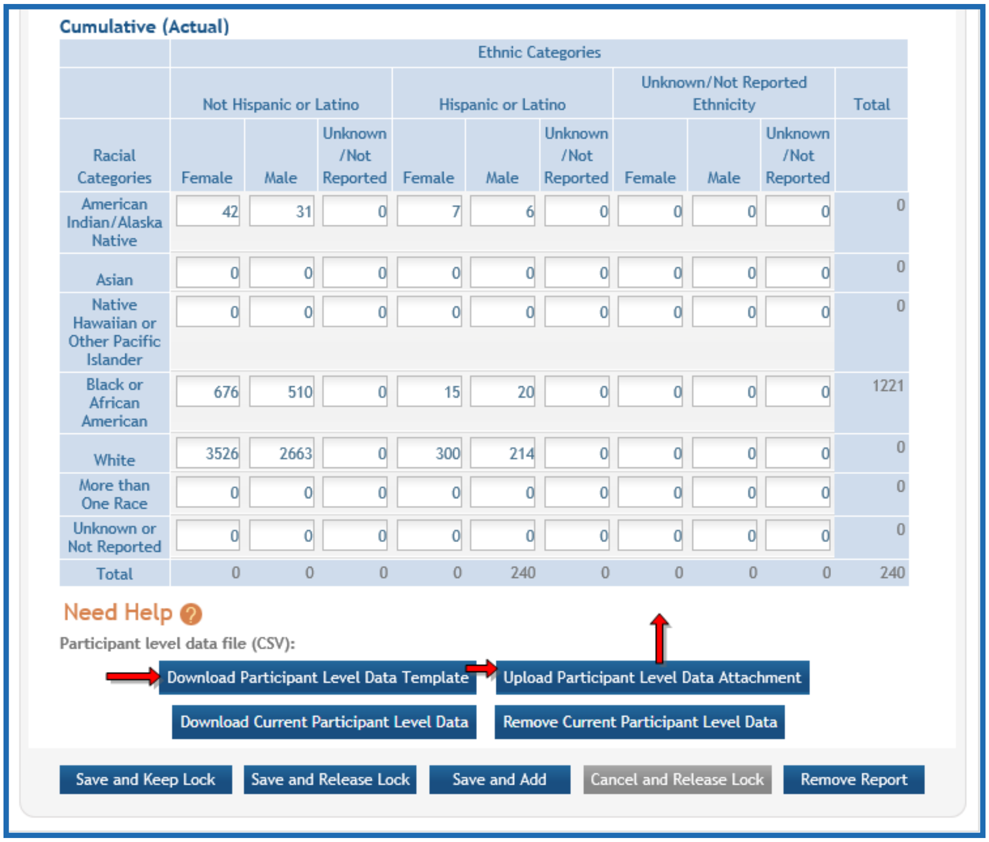
Inclusion data is found at the end of Section 2.



There are two ways to edit the existing Inclusion Enrollment Report (IER) data for Cumulative (Actual) counts:

1. You can update the cells online in the existing report itself.
2. You can download a template for entering participant-level data by clicking the **Download Participant Level Data Template** button.
   This will download a spreadsheet file in the proper CSV format to be used by the system.
   - Fill the template out with data, save the changes, and then upload the spreadsheet by clicking the **Upload Participant Level Data Attachment** button. This uploaded data will populate the cells in the report.
   - You can click the **Download Current Participant Level Data** button to download the file containing the data for your own records.

- If you need to clear the current records, use the **Remove Current Participant Level Data** button.



NOTE:

If you plan to upload the data, you must use the template by clicking the **Download Participant Level Data Template** button. This is a CSV file that can be updated with new totals.

Once the new totals have been entered into the template and the file has been saved, click the **Upload Participant Level Data Attachment** button to upload the file which will update the Cumulative counts.

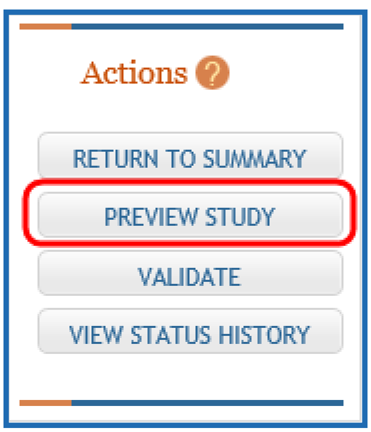
Individual-level participant data on characteristics at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116).

For the Planned counts, the cells must be updated online in the report itself.

Planned

	Ethnic Categories				
	Not Hispanic or Latino		Hispanic or Latino		Total
Racial Categories	Female	Male	Female	Male	
American Indian/Alaska Native	42	31	7	6	0
Asian	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	676	510	15	10	1211
White	3526	2663	300	214	0
More than One Race	0	0	0	0	0
Total	0	0	0	230	230

The entire study can be previewed before submission by clicking the **Preview Study** button on the left navigational column under Actions.



PI and SO Actions

If the PI is making changes:

- The PI can click the **Save and Release Lock** button to save the changes.
- The submission status changes to *Work in Progress*.

- PI changes status to *Ready for Submission*.
- SO logs into ASSIST, finds the application, and submits it.

If the SO is making changes:

- The SO can click the **Save and Keep Lock** button to save the changes.
- The submission status remains in *Work in Progress*.
- The SO must click the **Save and Release Lock** button to allow the application to have the status changed.
- SO changes status to *Ready for Submission*.
- The *Submit* action becomes active on the *Application Information* page.
- SO clicks on the **Submit** button

Only the SO can submit the application to NIH. The submission sends all updated study records associated with the application to NIH at one time.

Program officials and grant specialists are notified automatically of study changes and can review those changes. Some changes may require prior approval.

NOTE: If the application has been submitted and needs to be placed back into a work in progress status, refer to these instructions to perform this action; https://www.era.nih.gov/erahelp/ASSIST/default.htm#ASSIST_Help_Topics/5_Preview_Print_Submit/Revise_Application.htm?Highlight=status

Editing Studies

Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Study Records is not applicable for DOC awards.

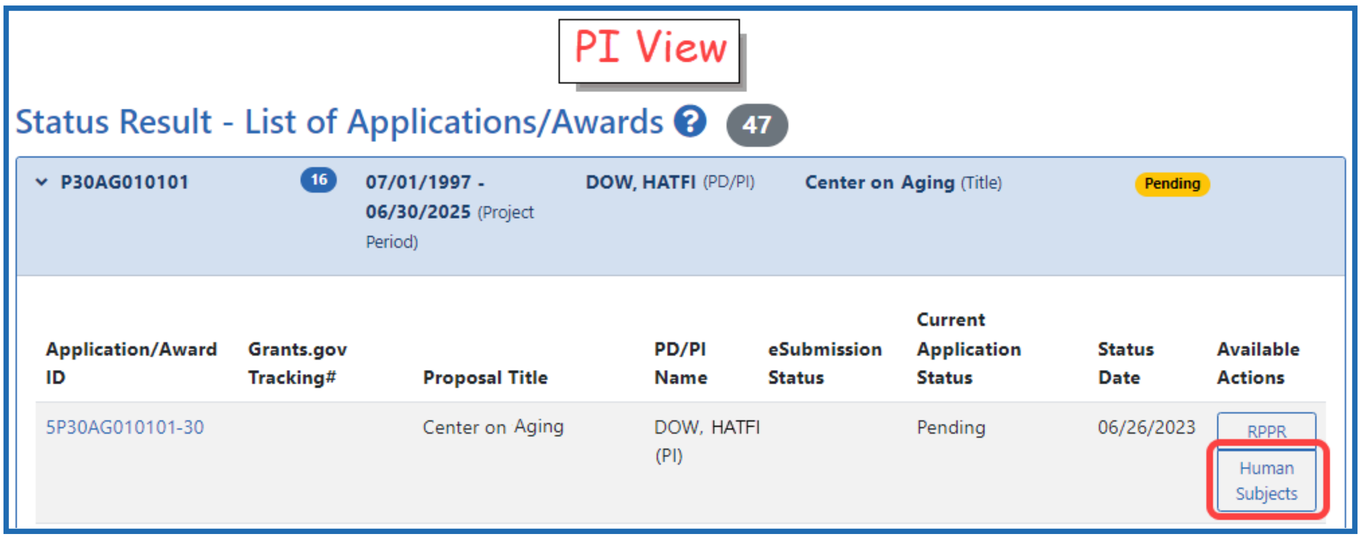
Below is information specific to editing inclusion study records. More comprehensive help is found in the Human Subjects System (HSS) online help.

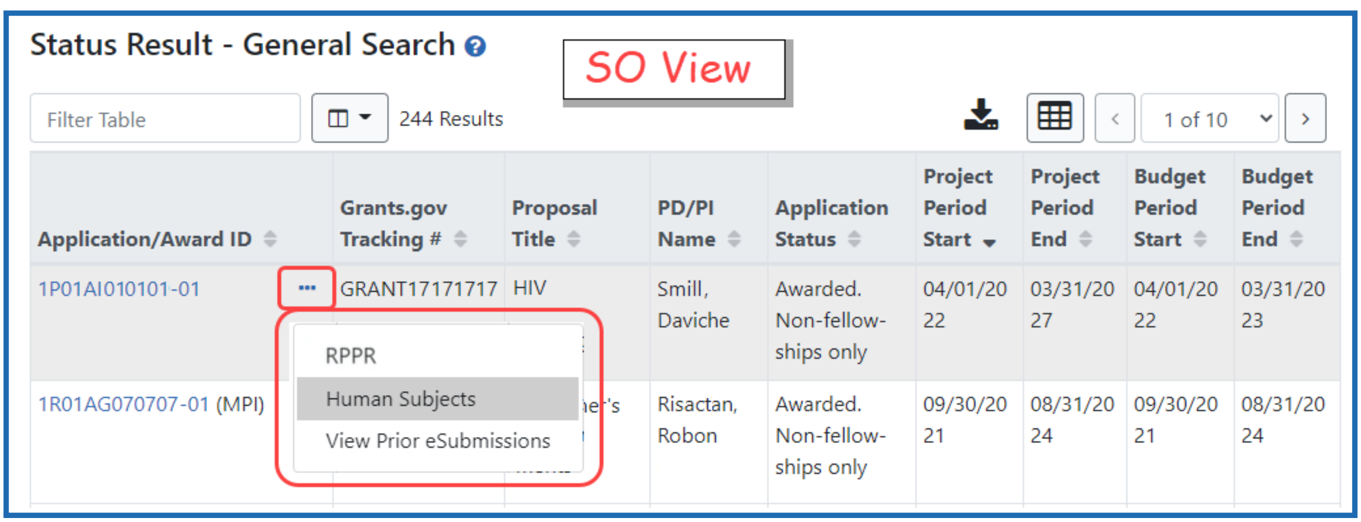
To edit study information, the Principal Investigators (PIs) or Signing Officials (SOs) can access the HSCT form using the *Human Subjects* links in either the RPPR or through the *Status* screen in eRA Commons.

Human subjects information may need to be updated in the following scenarios:

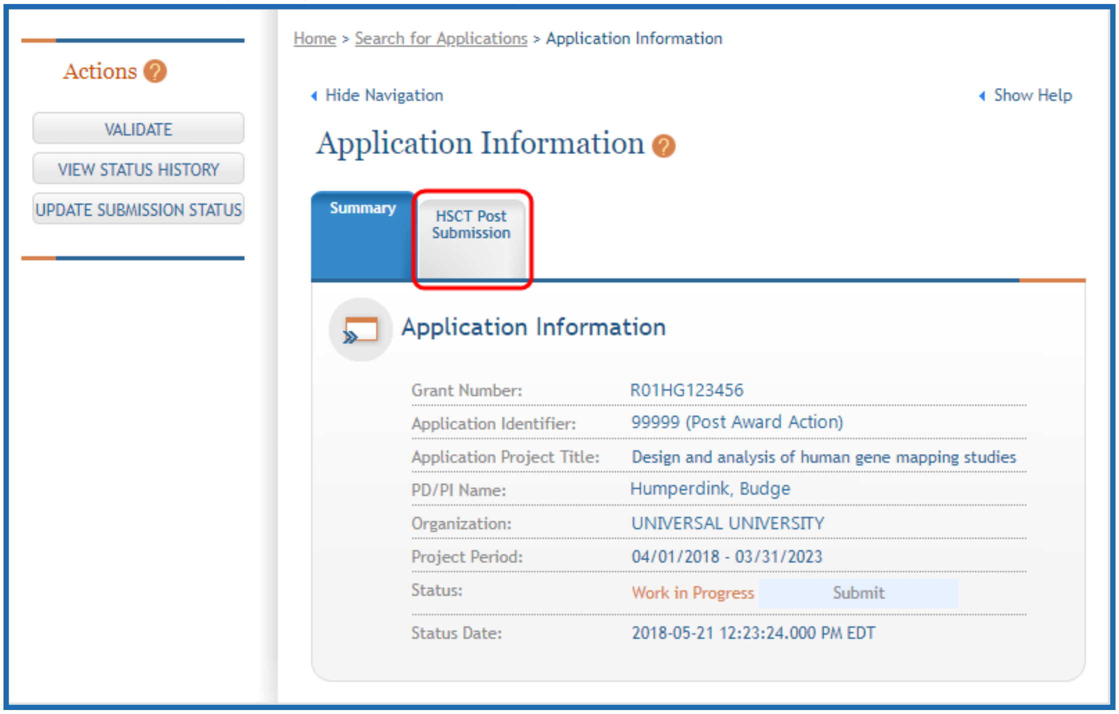
- Post-award for updates to the Research Performance Progress Report (RPPR)
- Pre-award (post review) for just-in-time (JIT) information or correction of human subjects data
- Off-cycle updates as required in the Funding Opportunity Announcement or terms and conditions of award

To edit an existing study, log into eRA Commons and access the Human Subjects link via the RPPR or Status modules.





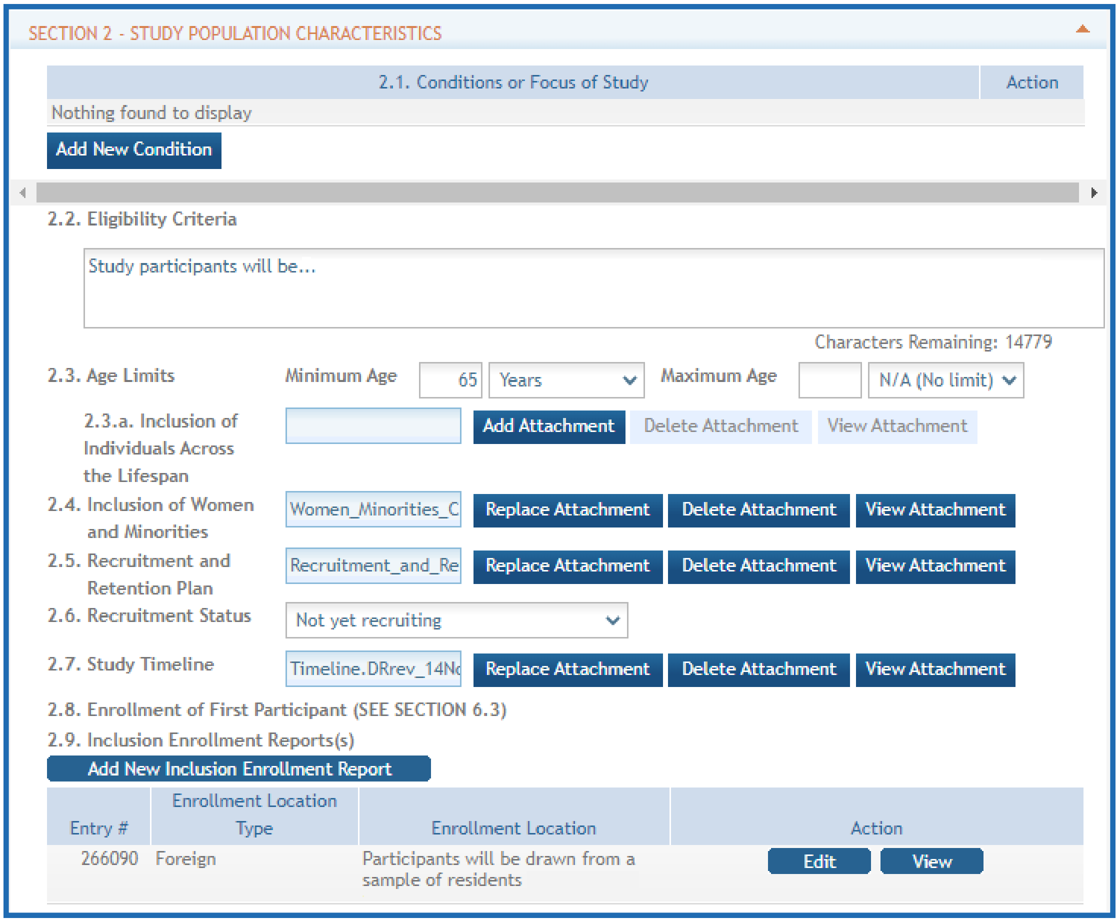
- The Application Information screen is displayed, showing a summary of your grant. Click the Human Subjects Post Submission tab. This will take you to a summary page Study Record(s) screen where all study records and delayed onset studies associated with your grant are displayed.



- Click the **View** button to bring up a study.

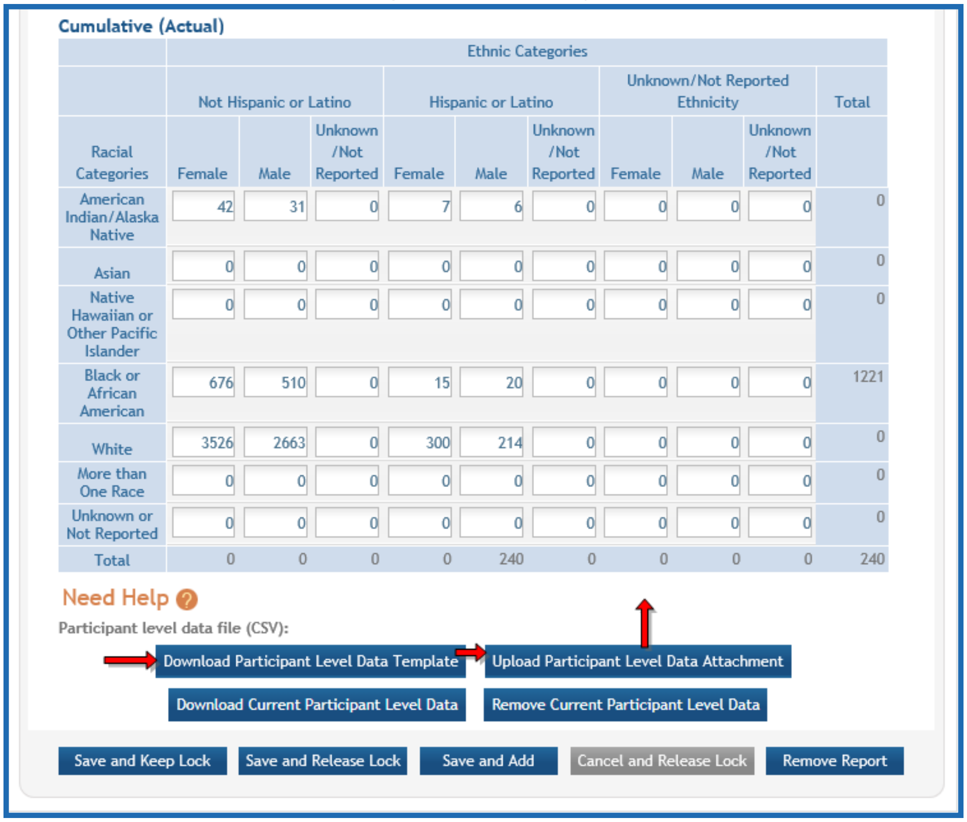
- To update the human subjects information on that study, including inclusion enrollment data, click the **Edit** button at the top of the screen.

- Inclusion data is found at the end of Section 2



- There are two ways to edit the existing Inclusion Enrollment Report (IER) data for Cumulative (Actual) counts:
  1. You can update the cells online in the existing report itself.
  2. Or you can download a spreadsheet template for entering participant-level data by clicking the **Download Participant Level Data Template** button.
     - Fill the template out with data and then upload the spreadsheet by clicking the **Upload Participant Level Data Attachment** button. This uploaded data will populate the cells in the report.

- You can click the **Download Current Participant Level Data** button to download the file containing the data for your own records.



Cumulative (Actual)

Racial Categories	Not Hispanic or Latino: Female	Not Hispanic or Latino: Male	Not Hispanic or Latino: Unknown /Not Reported	Hispanic or Latino: Female	Hispanic or Latino: Male	Hispanic or Latino: Unknown /Not Reported	Unknown/Not Reported Ethnicity: Female	Unknown/Not Reported Ethnicity: Male	Unknown/Not Reported Ethnicity: Unknown /Not Reported	Total
American Indian/Alaska Native	42	31	0	7	6	0	0	0	0	0
Asian	0	0	0	0	0	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	676	510	0	15	20	0	0	0	0	1221
White	3526	2663	0	300	214	0	0	0	0	0
More than One Race	0	0	0	0	0	0	0	0	0	0
Unknown or Not Reported	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	240	0	0	0	0	240

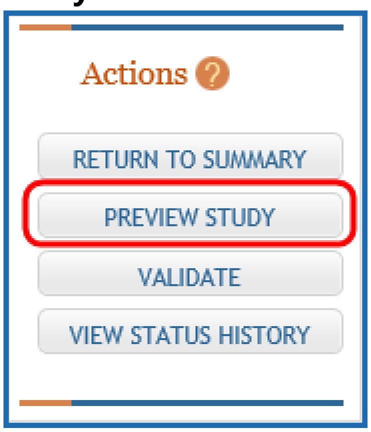
- Notes:
  - If you plan to upload the data, you must use the template by selecting the **Download Participant Level Data Template**. This will be a CSV file that can be updated with new totals.
  - Once the new totals have been entered into the template and the file has been saved, use the **Upload Participant Level Data Attachment** button to upload the file which will update the Cumulative counts.
  - Individual-level participant data on characteristics at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116).

- For the Planned counts, the cells must be updated online in the report itself.

Planned

	Ethnic Categories				
	Not Hispanic or Latino		Hispanic or Latino		Total
Racial Categories	Female	Male	Female	Male	
American Indian/Alaska Native	42	31	7	6	0
Asian	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0
Black or African American	676	510	15	10	1211
White	3526	2663	300	214	0
More than One Race	0	0	0	0	0
Total	0	0	0	230	230

- The entire study can be previewed before submission by clicking the **Preview Study** button on the left navigational column under Actions.



If the PI is making changes:

- The PI can click the **Save and Release Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- PI changes status to *Ready for Submission*.
- Signing Official (SO) gets an email that the application is ready for submission.
- SO logs into ASSIST, finds the application and submits it.

If the SO is making changes:

- The SO can click the **Save and Keep Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- SO changes status to *Ready for Submission*.
- The *Submit* action becomes active on the Application Information page.
- SO clicks on the **Submit** button

Only the SO can submit the application to NIH. The submission sends all updated study records associated with the application to NIH at one time.

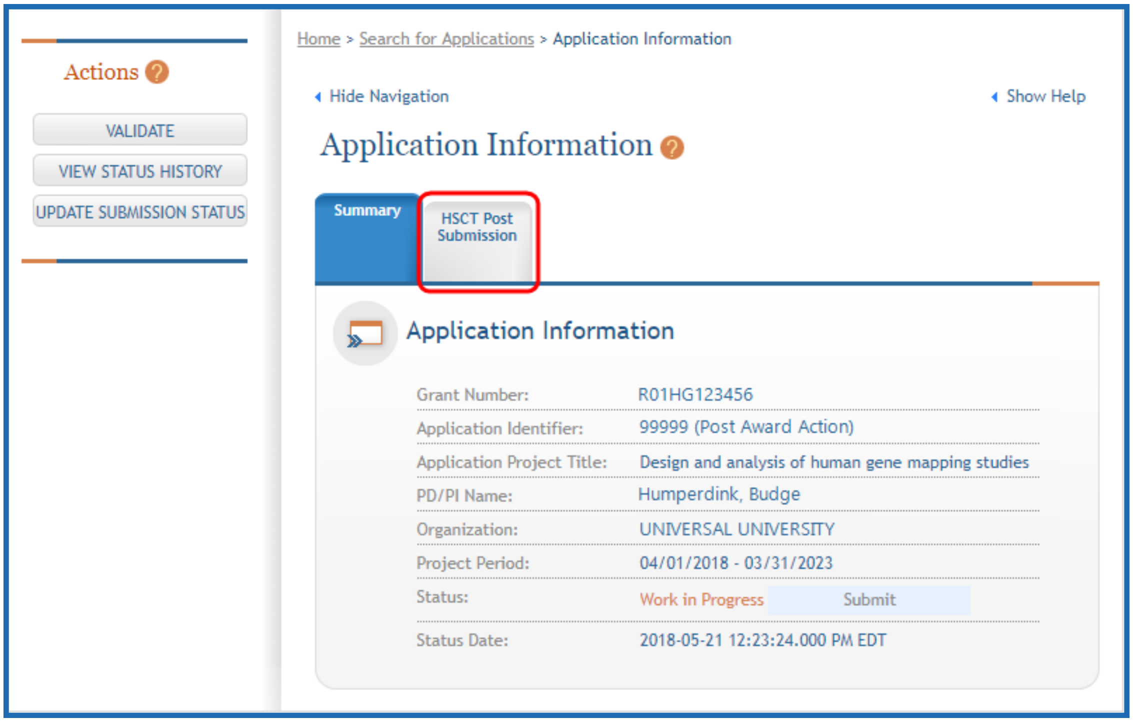
Program officials and grant specialists are notified automatically of study changes and can review those changes. Some changes may require prior approval.

Changes to Planned Enrollment

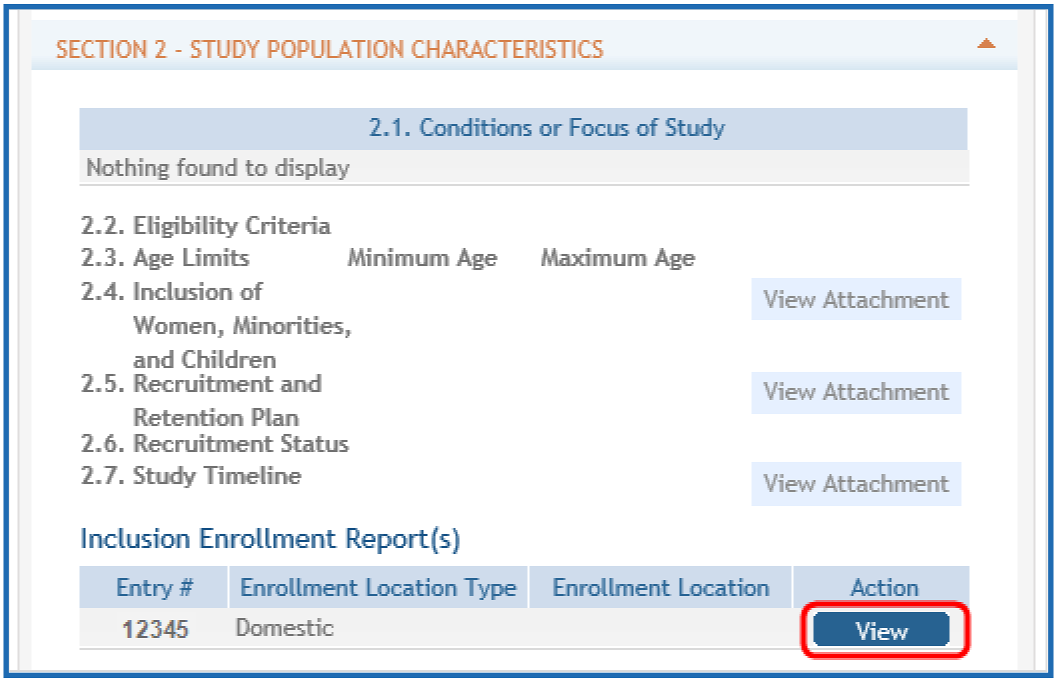
Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

If there are changes from the planned enrollment originally approved for funding, contact the program officer to discuss updating/revising the planned enrollment. For more information, refer to review the section titled "Section G – Special Reporting Requirements" of the RPPR Instruction Guide. (http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf)

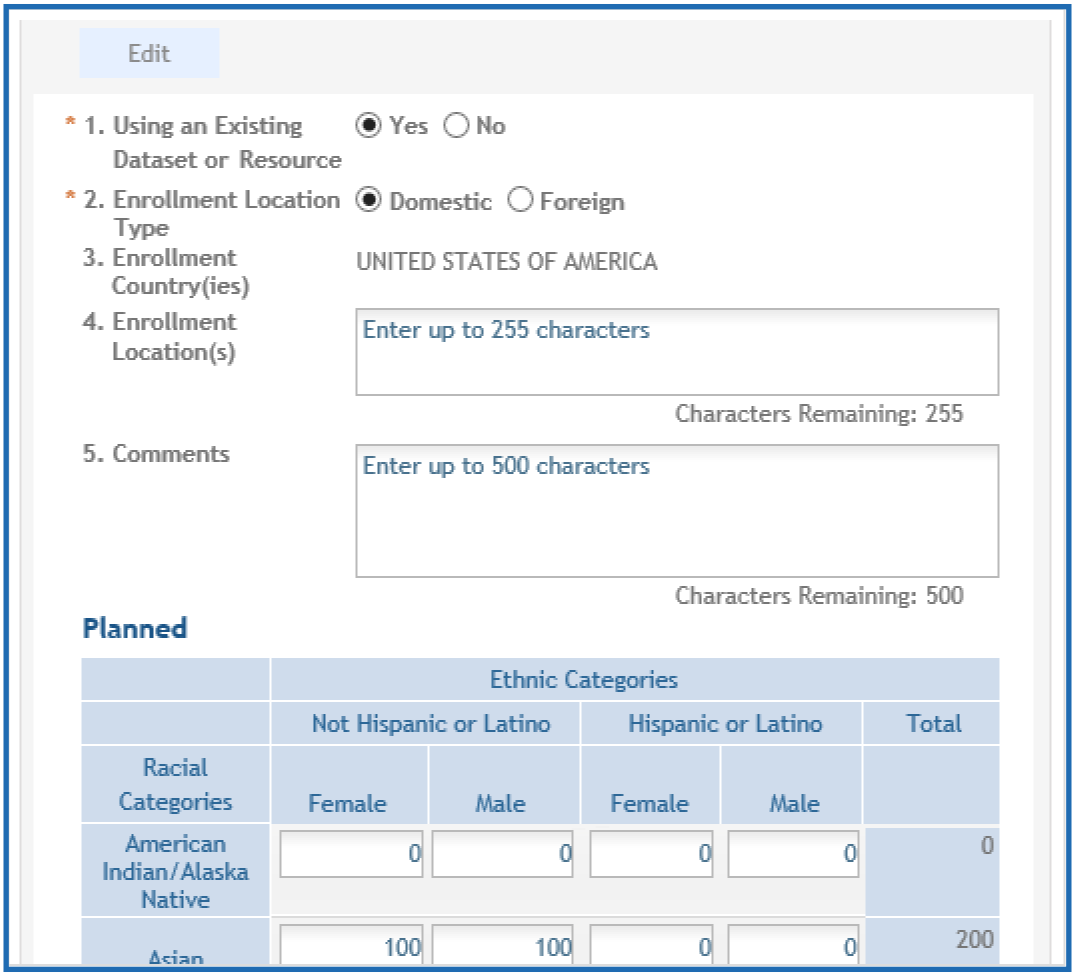
Click the *Human Subjects* link in the **Action** column of the *Status Results* screen. This opens the *Application Screen*. Click the *HSCT Post Submission* tab and then the **View** button for the study requiring updates.



This will open the *Clinical Trial Post Submission* form. In SECTION 2 - STUDY POPULATION CHARACTERISTICS, click the **Edit** button for the report you wish to update.



The Inclusion Enrollment Report will open in a new view and fields will be editable.



If the PI is making changes:

- The PI can click the **Save and Release Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- PI changes status to *Ready for Submission*.
- SO logs into ASSIST, finds the application, and submits it.

If the SO is making changes:

- The SO can click the **Save and Keep Lock** button to save the changes.
- The submission status remains in *Work in Progress*.
- The SO must click the **Save and Release Lock** button to allow the application to have the status changed.
- SO changes status to *Ready for Submission*.

- The *Submit* action becomes active on the *Application Information* page.
- SO clicks on the **Submit** button

Only the SO can submit the application to NIH. The submission sends all updated study records associated with the application to NIH at one time.

Program officials and grant specialists are notified automatically of study changes and can review those changes. Some changes may require prior approval.

NOTE: If the application has been submitted and needs to be placed back into a work in progress status, refer to these instructions to perform this action; https://www.era.nih.gov/erahelp/ASSIST/default.htm#ASSIST_Help_Topics/5_Preview_Print_Submit/Revise_Application.htm?Highlight=status

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

No Inclusion Enrollment Records Provided

Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

When inclusion monitoring is required and no inclusion enrollment records (IERs) exist, the RPPR system will not allow the submission of the progress report without an IER. An error message will be displayed when you check errors:

"NIH policy requires inclusion to be monitored on Study#<Study#, Study#>, but no Inclusion Enrollment Report(s) have been provided for this study. Please navigate to G.4.b of the RPPR to update this study and provide an Inclusion Enrollment Report"

Warning messages may also display when additional data is expected or when actuals have not been updated in over one year. Those situations and the resulting warning messages are below:

- When the study level inclusion code is *Yes*, and IERs exist without Cumulative totals (only Planned totals), you should receive a warning message.

“No Cumulative inclusion enrollment data has been provided for the Study#<study#, study#>. Is this correct? If enrollment has not begun, you may proceed and submit the RPPR. If participants have been enrolled, navigate to section G.4.b of the RPPR to update inclusion enrollment report(s) cumulative enrollment data for these studies.”

- When the study level inclusion code is *Yes*, and IERs exist with Cumulative totals, but the dataset and actuals have not been updated in the past year (365 days) you should receive a warning message.

  “Updates to Inclusion enrollment report(s) have not been made for study#<study #, study#>. If updates are needed, navigate to G.4.b of the RPPR to access this study and update inclusion enrollment reports.”

Submit New Planned Inclusion Record

Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

Click the **Submit New Planned Inclusion Record** link to access the *Edit Planned Inclusion Data* screen and submit planned enrollment and create a new IER. For multi-year funded awards, this link is available only for the current fiscal year. Upon a successful save of a new IER, attributes (Study Title, Foreign/domestic indicator/planned comments), Planned Inclusion Data (as entered), and Cumulative Inclusion Data (as zeroes) are also created; the new IER is assigned a unique IER #; and the IER status is set to Grantee Updates in Progress (when accessing through Status in Commons).

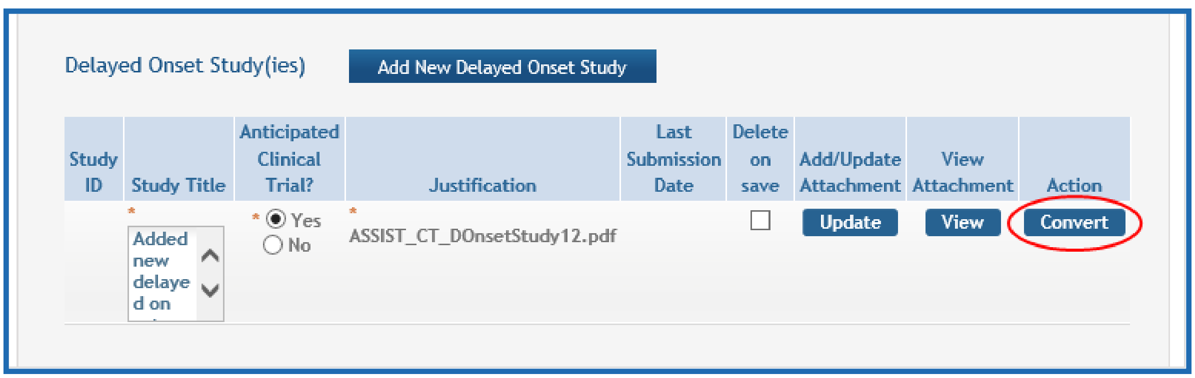
Convert Delayed Onset to Full Study Record

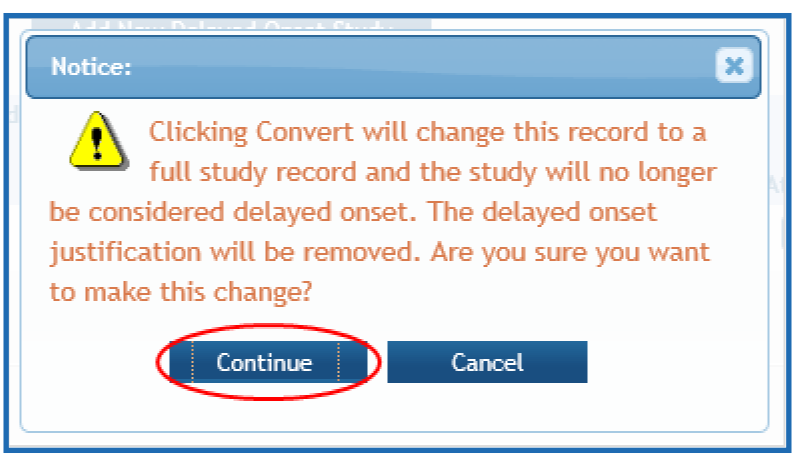
Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

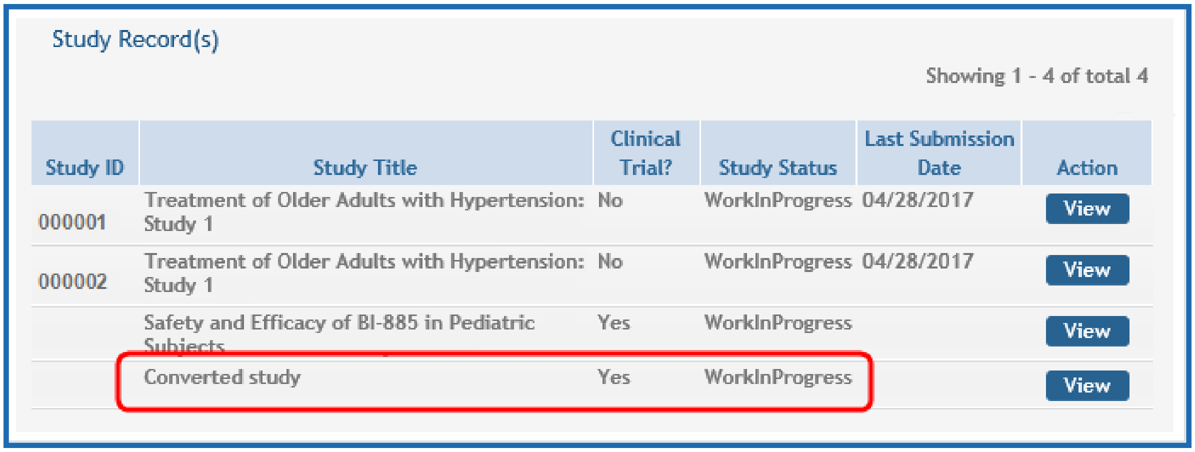
When it is time to activate a delayed onset study, access the study record through *Status* and use the **Convert** action to change the status to a full study.

Steps:

1. Click the **Convert** button – the system displays following warning:
    a. Clicking "Convert" will change this record to a full study record and the study will no longer be considered delayed onset. The delayed onset justification will be removed. Are you sure you want to make this change?"
    b. If you choose the **Continue** option, you will be taken to the *Study Page* with title populated and rest of the fields empty.
    c. If you choose the **Cancel** option, you will stay on the *Post Submission* screen and the Delayed Onset remains as Delayed Onset
2. Select **Save** (and keep or release lock) after completing the fields on the *Study Page*.
3. The action of saving the study removes the study from the *Delayed Onset Study* table and a new study is saved and added to the *Study Record* table.







Inclusion Enrollment Record (IER) Statuses

Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

A status will be maintained for each study version. IER Status values are as follows:

Accepted – Not Rolled Forward: The IER is either marked as Not Funded or as Type 2 Progress Report. The project is awarded, but the IER is not rolled forward into an out-year record.

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

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

Accepted by Agency: OER has frozen ability to modify inclusion enrollment records for IERs on contracts or intramural projects for the selected FY.

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

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

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

Pending SO: IER has been routed to the Institution's Signing Official (SO)

Received by Agency: IER form (Planned or Cumulative) has been received as part of the electronic application submission (i.e., Grants.gov/eSub or ASSIST); Grantee user (SO) has routed the IER via HSS in the Commons Status module to the agency; the agency user has created a new IER in HSS; IER is inserted or updated via web service. This applies to intramural projects and certain contracts.

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

When Should I Access HSS via the Status Module?

Agency-Specific Instructions: Department of Commerce (DOC). Editing Inclusion Enrollment Data is not applicable for DOC awards.

HSS is used to view and maintain inclusion data associated with your grant(s) and can be accessed in one of two ways, both through the eRA Commons system: via the **Status** module –or– via the RPPR **Section G. Special Reporting Requirements**.

When to Use the Status Module Instead of RPPR

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

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

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

For details on using the Status module for accessing HSS, please refer to Access HSS. You can also access the HSS Online Help by selecting the help icons (?) on any of the HSS screens.

Checking for Errors and Warnings

At any time before an RPPR is submitted to agency, an error check can be performed to verify that the report passes the business rules and system validations in place. Any user who has access to the RPPR may perform the error check.

Errors and warnings that are reported are underlined and linked. Click the error description to be taken to the screen and field where the error was found. There are two ways to check for errors:

1. Check for errors on the current form: Use the **Check for Errors** button at the bottom of the current form.

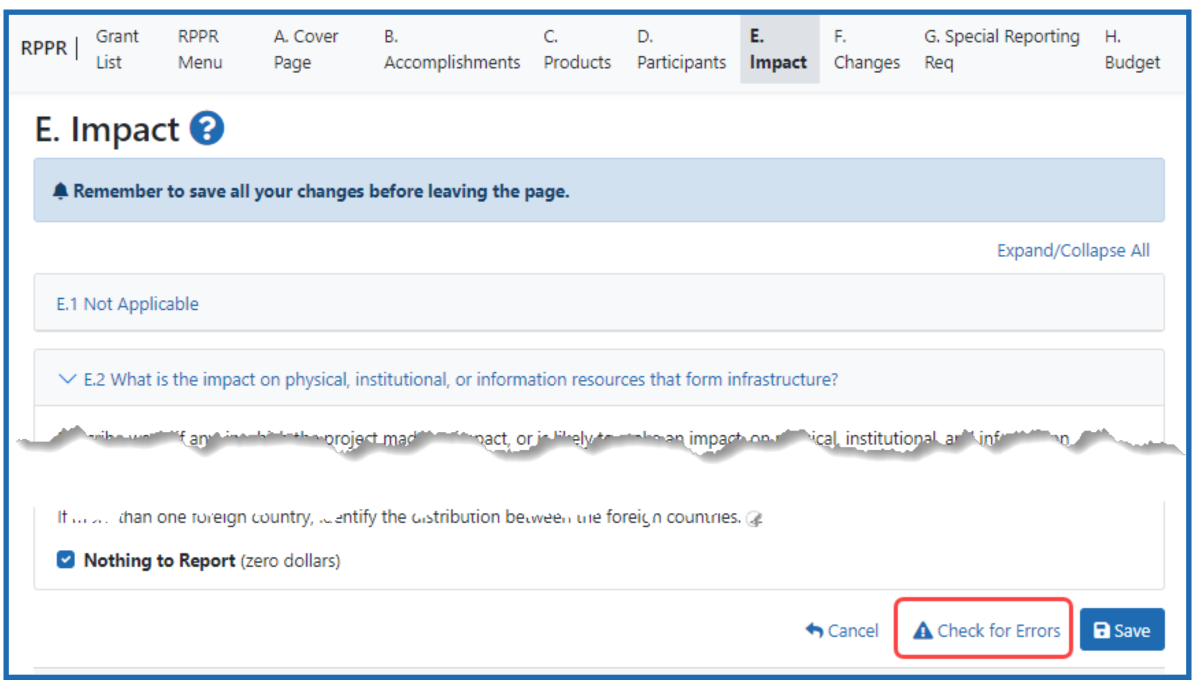


Figure 167: Check for Errors button on the bottom of each RPPR form

2. Check for errors on all forms at once: Use the **Check for Errors** option in the three-dot ellipsis menu on the *RPPR Menu* screen.

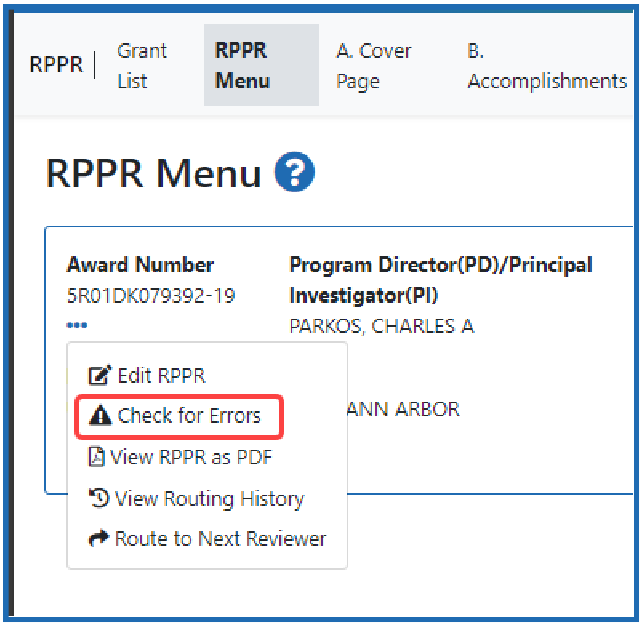


Figure 168: Check for Errors button in the three-dot ellipsis menu on the RPPR Menu screen

Refer to *Checking for Errors on Single-Project RPPRs* on page 431 for more information on error checking single-project RPPRs.

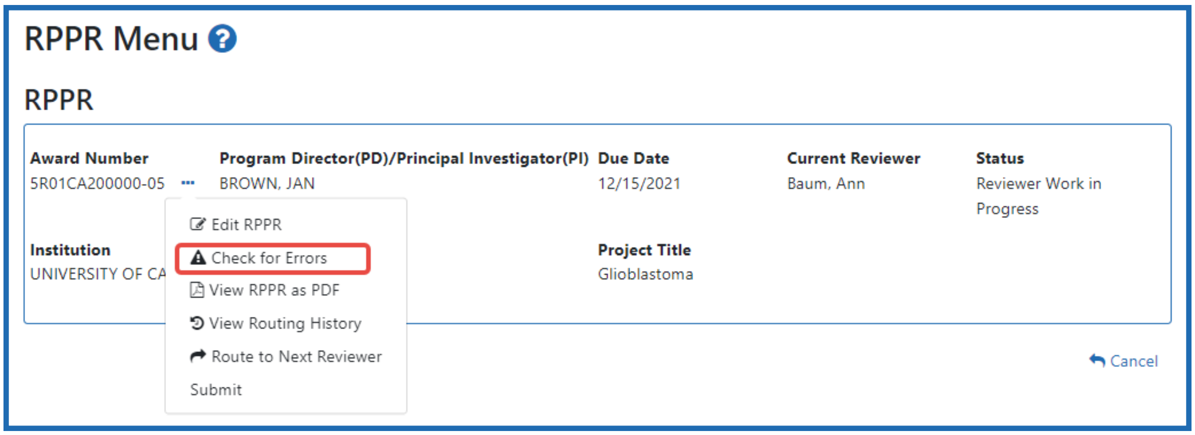
Refer to *Checking for Errors on a Multi-Project RPPR* on page 432for more information on error checking multi-project RPPRs.

NOTE: All PDFs you upload are recommended to be a flattened PDF, and may cause an error if not flattened. For more information on flattening PDFs, see the FAQ titled, *"When submitting PDFs to eRA Commons, particularly for RPPRs and Just-in-Time, I am getting an error telling me to ensure all files are flattened PDFs. What does flattening a PDF mean and how do you do it?"*

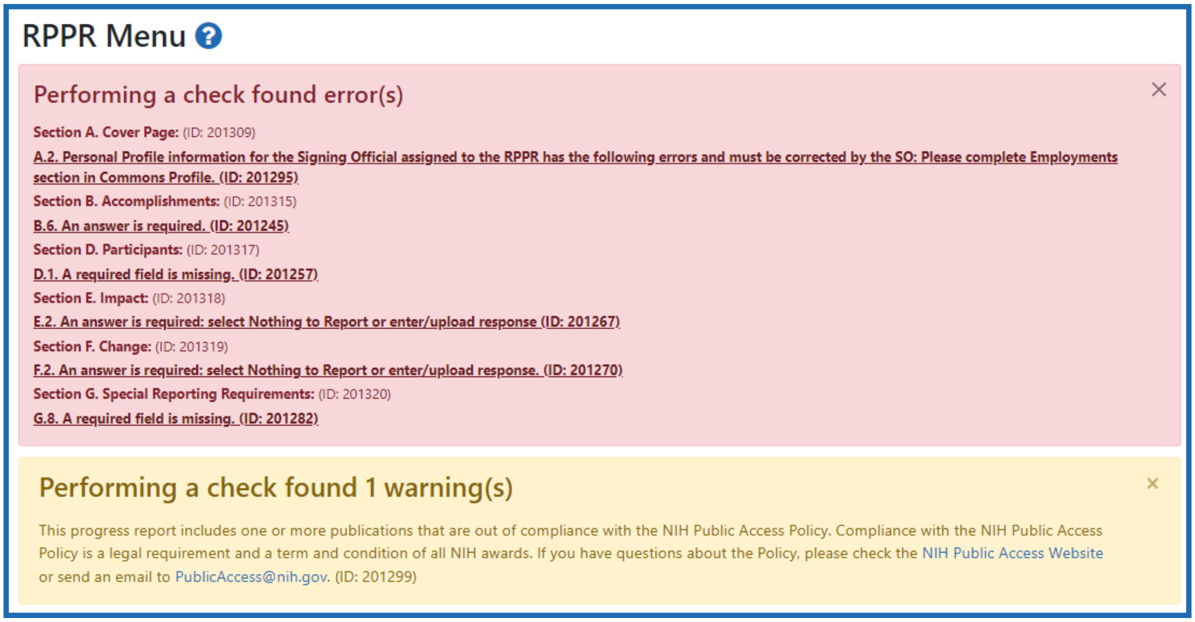
Checking for Errors on Single-Project RPPRs

You can check for errors on the entire RPPR using the **Check for Errors** menu option under the three-dot ellipsis menu on the *RPPR Menu* screen. To check only a single form, for example, the *Section B. Accomplishments* form, simply go to the form and click the **Check for Errors** button at the bottom of the form.

To perform an error check on the RPPR for single-project RPPRs, click the three-dot ellipsis menu and select **Check for Errors** on the *RPPR Menu* screen.



If errors or a warning exist, the appropriate error or warning message displays for each failed occurrence. **Listed errors, which are clickable, must be corrected prior to submission**; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.



If all validations pass, a message displays indicating: No errors found on validation.

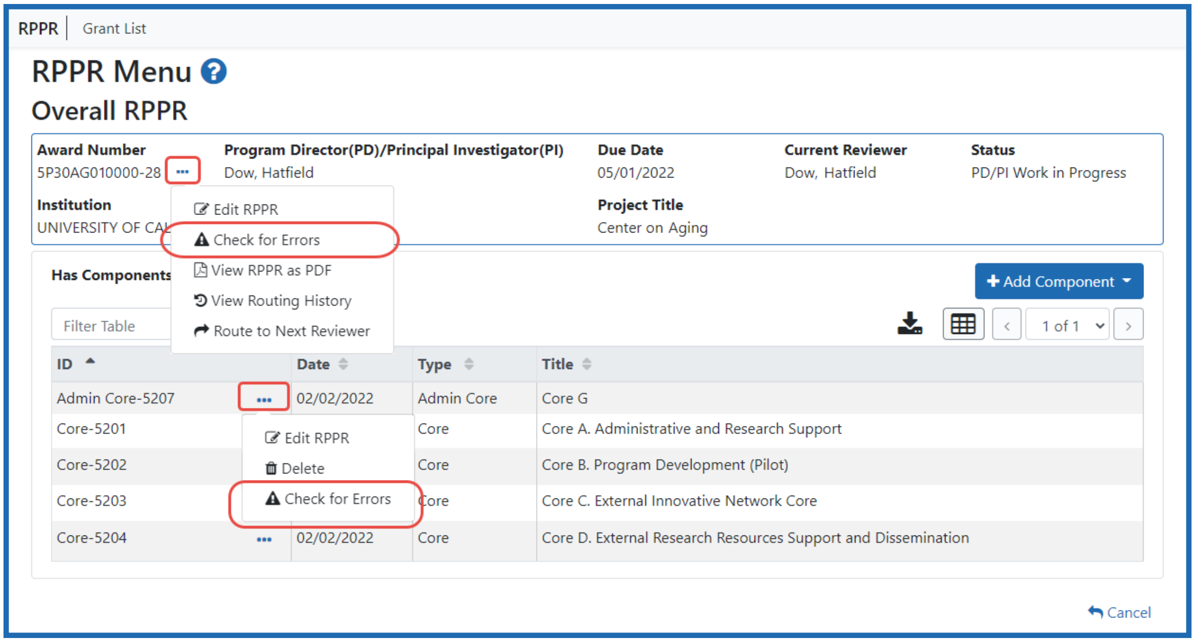
Checking for Errors on a Multi-Project RPPR

You can check for errors on the entire RPPR using the **Check for Errors** menu option under the three-dot ellipsis menu on the *RPPR Menu* screen. To check only a single form, for example, the *Section B. Accomplishments* form, simply go to the form and click the **Check for Errors** button at the bottom of the form.

To perform an error check on the Overall or individual component of a multi-project RPPRs, click the three-dot ellipsis icon and select **Check for Errors** on the *RPPR Menu* screen for the Overall or individual component being validated.

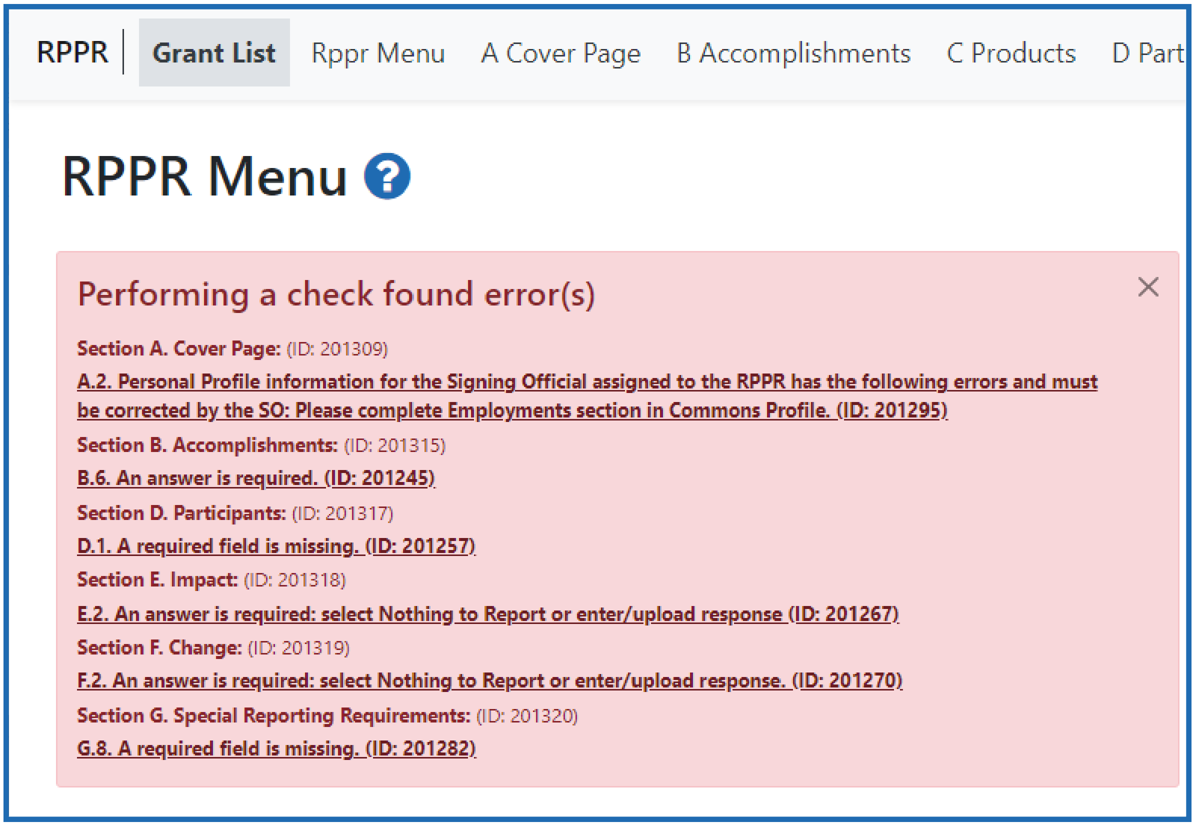
Agency-Specific Instructions: Department of Commerce (DOC). This topic does not apply to DOC award RPPRs.

NOTE: Refer to *Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing* on page 377 for information on adding individual components to the RPPR.



If errors or a warning exist for the chosen component, the appropriate error or warning message displays for each failed occurrence. Select **Check for Errors** for other components to perform a check against them.

Listed errors, which are clickable, must be corrected prior to submission; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed. Warnings are in yellow; errors are in red/pink.

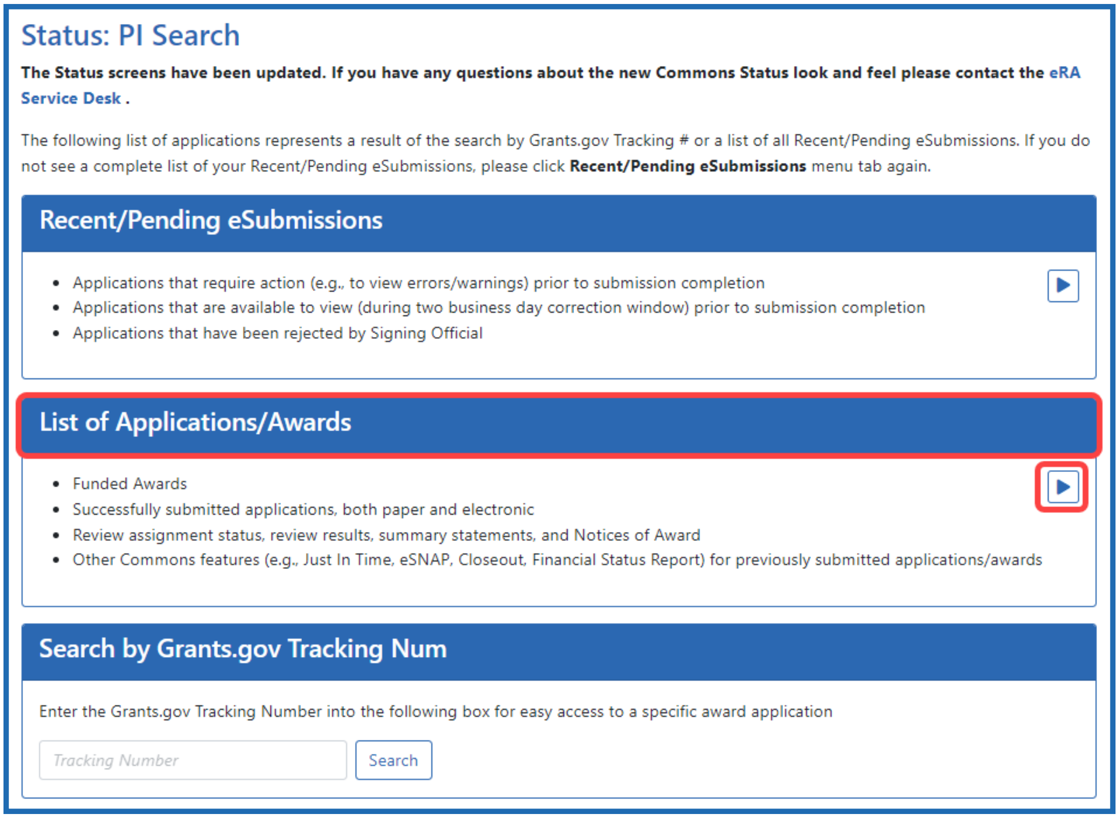


If all validations pass, a message displays indicating: No errors found on validation.

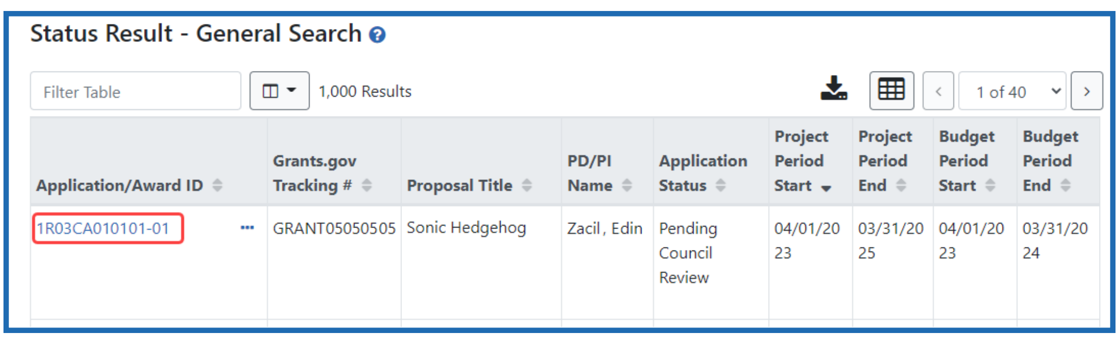
Viewing the RPPR in Commons

The RPPR, in PDF format, is accessible in Commons within the *Status Information* screen. To view the RPPR, perform the following steps:

1. Navigate to the **Status** module in eRA Commons.
2. Click the link for **List of Applications/Grants**.

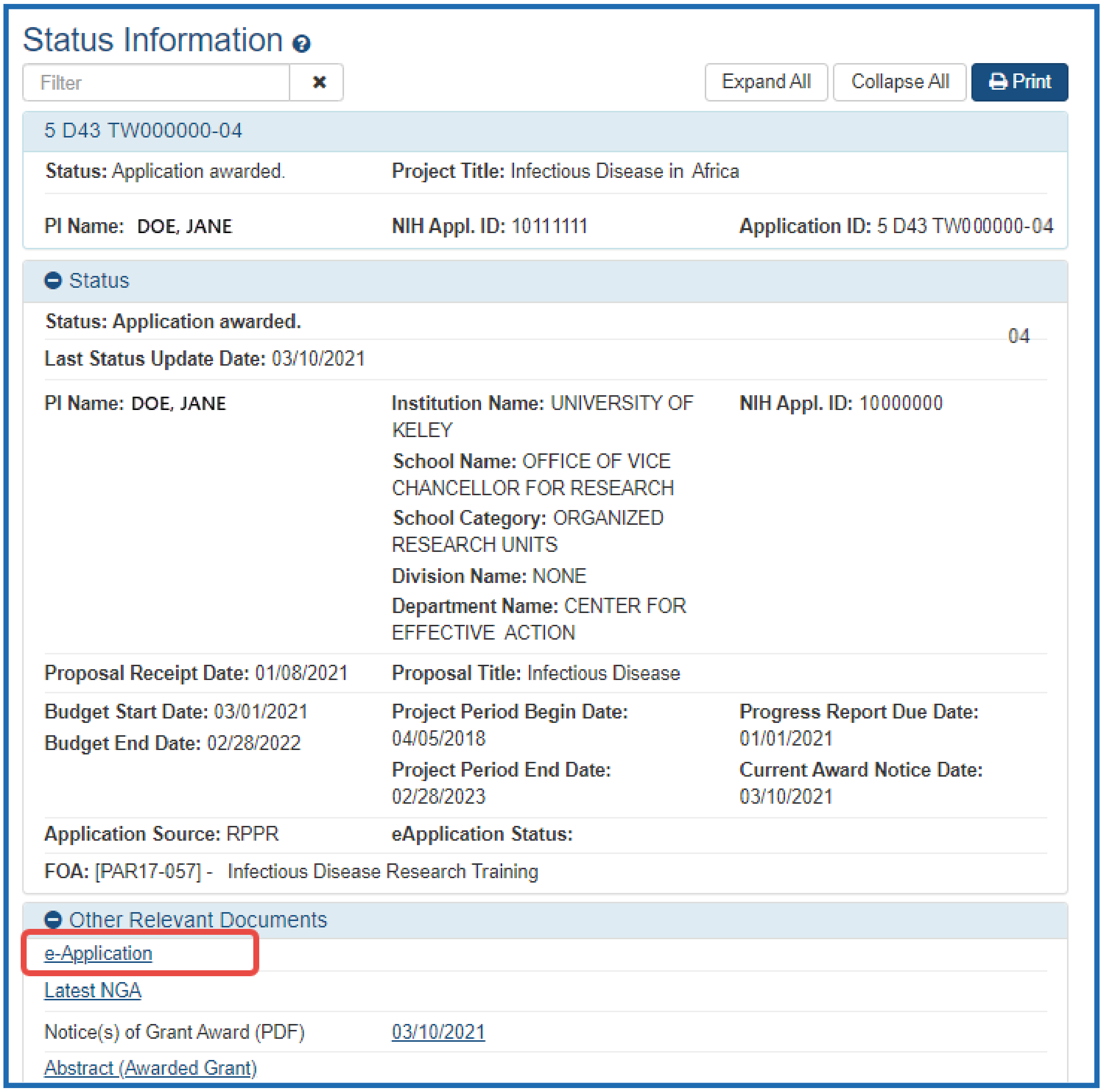


3. From the *Status Result – List of Applications/Grants* screen, select the link for the specific Application ID.

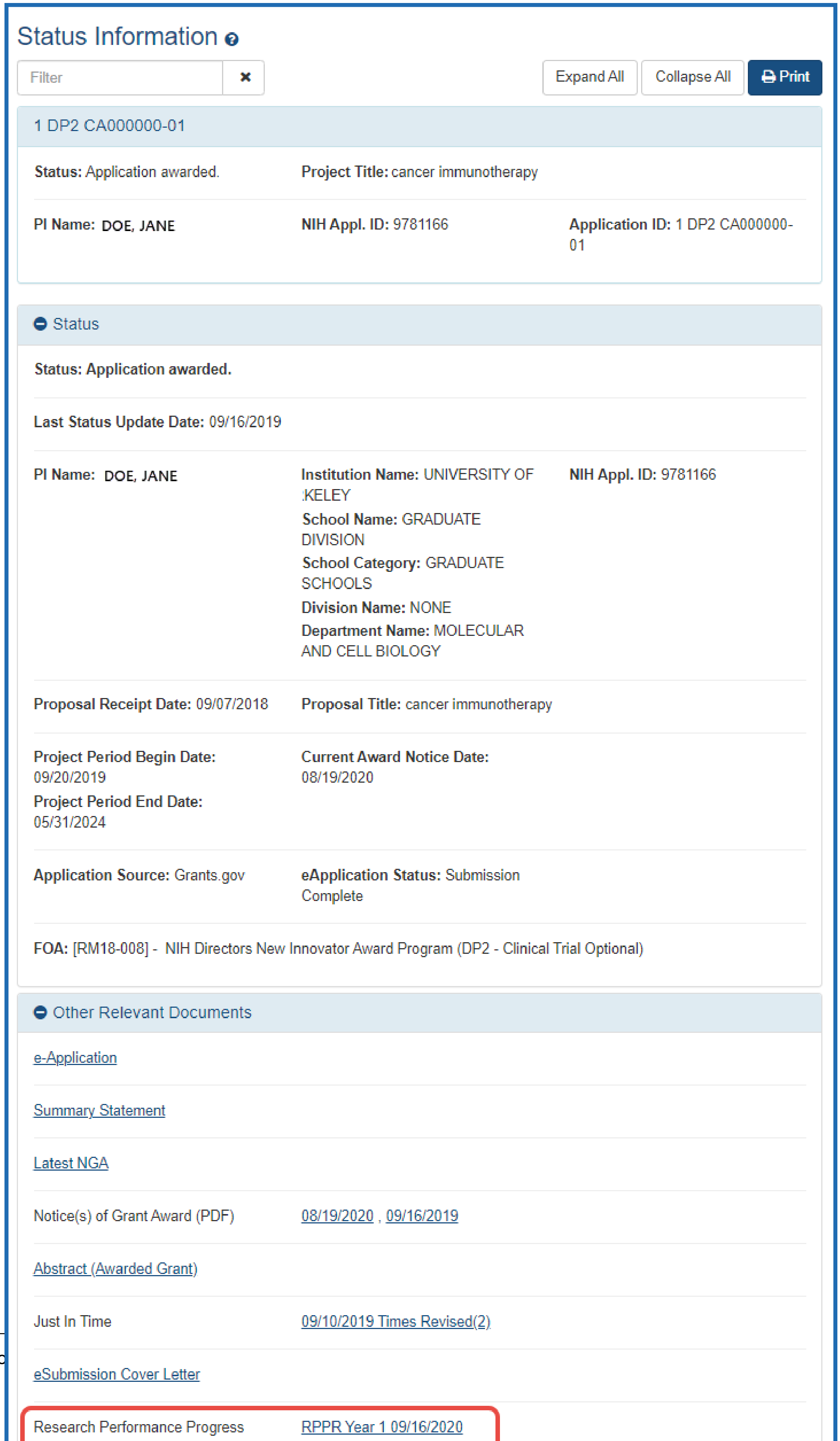


The *Status Information* screen displays with the **Other Relevant Documents** section in the top right corner.

4. The progress reports for incrementally-funded and multi-year funded awards are displayed differently in **Other Relevant Documents**.
    a. *For an incrementally-funded RPPR*: Click the **e-Application** link from the **Other Relevant Documents** section of the *Status Information* screen.



    b. For multi-year funded awards: Click the appropriate year's link in the **Other Relevant Documents** section. Links will appear as follows: **RPPR Year <X> <MM/DD/YYYY>** .



Status Information
Filter
Expand All
Collapse All
Print
1 DP2 CA000000-01
Status: Application awarded.
Project Title: cancer immunotherapy
PI Name: DOE, JANE
NIH Appl. ID: 9781166
Application ID: 1 DP2 CA000000-01
Status
Status: Application awarded.
Last Status Update Date: 09/16/2019
PI Name: DOE, JANE
Institution Name: UNIVERSITY OF :KELEY
School Name: GRADUATE DIVISION
School Category: GRADUATE SCHOOLS
Division Name: NONE
Department Name: MOLECULAR AND CELL BIOLOGY
NIH Appl. ID: 9781166
Proposal Receipt Date: 09/07/2018
Proposal Title: cancer immunotherapy
Project Period Begin Date: 09/20/2019
Project Period End Date: 05/31/2024
Current Award Notice Date: 08/19/2020
Application Source: Grants.gov
eApplication Status: Submission Complete
FOA: [RM18-008] - NIH Directors New Innovator Award Program (DP2 - Clinical Trial Optional)
Other Relevant Documents
e-Application
Summary Statement
Latest NGA
Notice(s) of Grant Award (PDF)
08/19/2020 , 09/16/2019
Abstract (Awarded Grant)
Just In Time
09/10/2019 Times Revised(2)
eSubmission Cover Letter
Research Performance Progress
RPPR Year 1 09/16/2020

The PDF version of the RPPR opens in a separate window.

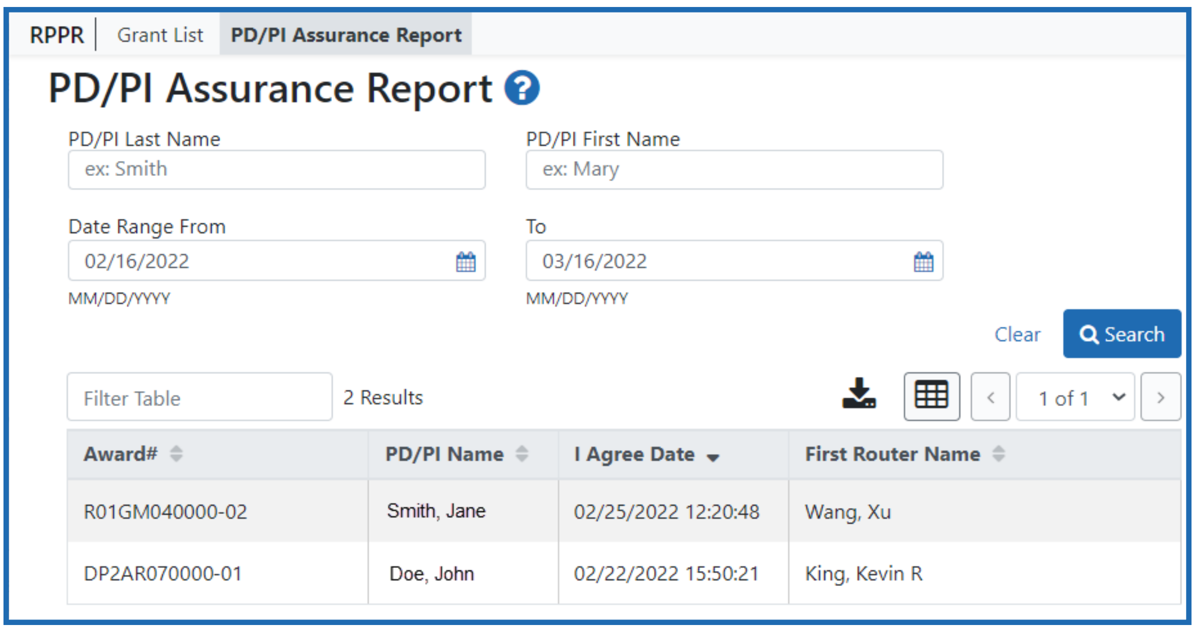
NOTE: The submitted RPPR can also be accessed from the *RPPR Menu* screen. The **View RPPR As PDF** option under the three-dot ellipsis icon opens the PDF version of the RPPR.

PD/PI Assurance Report

The *PD/PI Assurance Report* displays instances when PI users agreed to the PD/PI Assurance message upon routing or submitting a Research Performance Progress Reports (RPPR).

If you hold an SO role, you have access to the PD/PI Assurance Report menu option; principal investigators (PI) cannot see this screen. To view the report:

1. Navigate to the **RPPR** module in eRA Commons.
2. From the *Manage RPPR* screen, select the **PD/PI Assurance Report** option.



PD/PI Assurance Report Screen

3. The *PD/PI Assurance Report* screen opens. You can perform a search for a specific PI, by a range of dates for all PIs in the organization, or by using both criteria. A search with no specified PI returns the records for all PIs in the organization.

4. Enter your search criteria and click the **Search** button.

   The search results display at the bottom of the screen.

Public Access PRAM

> **Agency-Specific Instructions:** Department of Commerce (DOC). Public Access PRAM is not applicable for DOC awards.

The Public Access Progress Report Additional Materials (PRAM) screen lets awardees upload, review, and submit information in response to the automated notification sent when an NIH awardee submits an RPPR with non-compliant publications. The system sends the automated email to the PD/PI requesting verification that all publications are in compliance with the NIH Public Access Policy. The SO and AO assigned to the RPPR on the cover page receive a copy (cc) of the email.

Using the PRAM screen, awardees can upload and submit a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Compliant papers have a status of *Complete*, *N/A* (not applicable), *PMC Journal in Process*, or *In process at NIHMS*. Please see http://publicaccess.nih.gov/include-pmcid-citations.htm for additional information. If unable to provide the verification of compliance, awardees can upload and submit justification for why specific publications cannot be brought into compliance.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the Public Access PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to the agency.

Responding to Public Access PRAM

> **Agency-Specific Instructions:** Department of Commerce (DOC). Public Access PRAM is not applicable for DOC awards.

The principal investigator (Contact PI) or PI delegate can respond to a Public Access PRAM (Progress Report Additional Materials) request by following the steps below. Signing officials can also respond to a PRAM request. Only signing officials or those delegated with submit progress report authority can submit the request to the requesting agency.

If the **Route** button is missing, the request might be in another user's queue. Public Access PRAM can be submitted only one time, and only one file can be submitted.

Accessing the PRAM Screen

The principal investigator (PI) and the signing official (SO) both use Status to access the *Progress Report Additional Materials (PRAM)* screen, but the Status module is different for a PI and a SO.

The contact PI accesses the Public Access PRAM request by going to the Status module, expanding the award information, and clicking on the **Public Access PRAM** button:

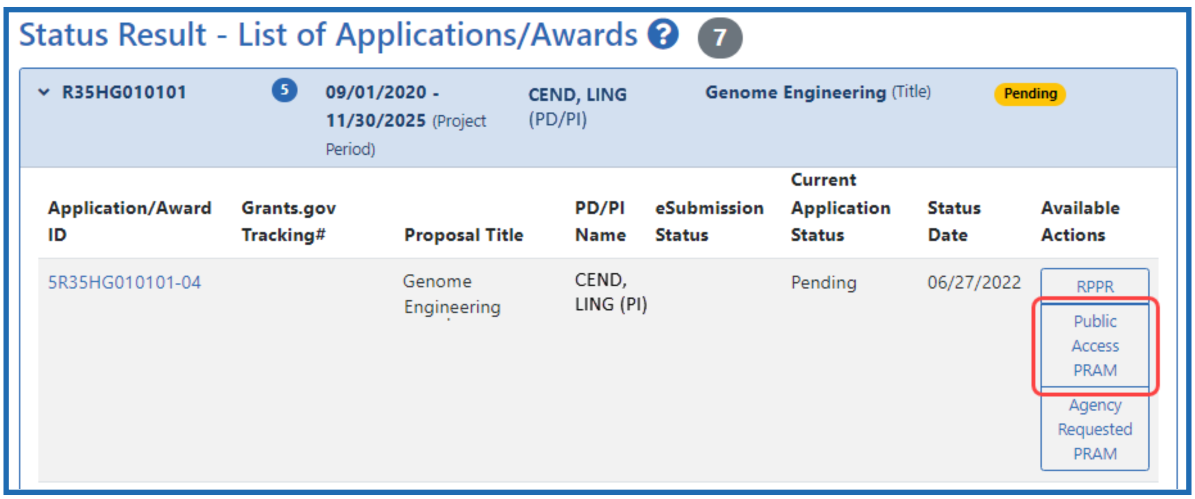
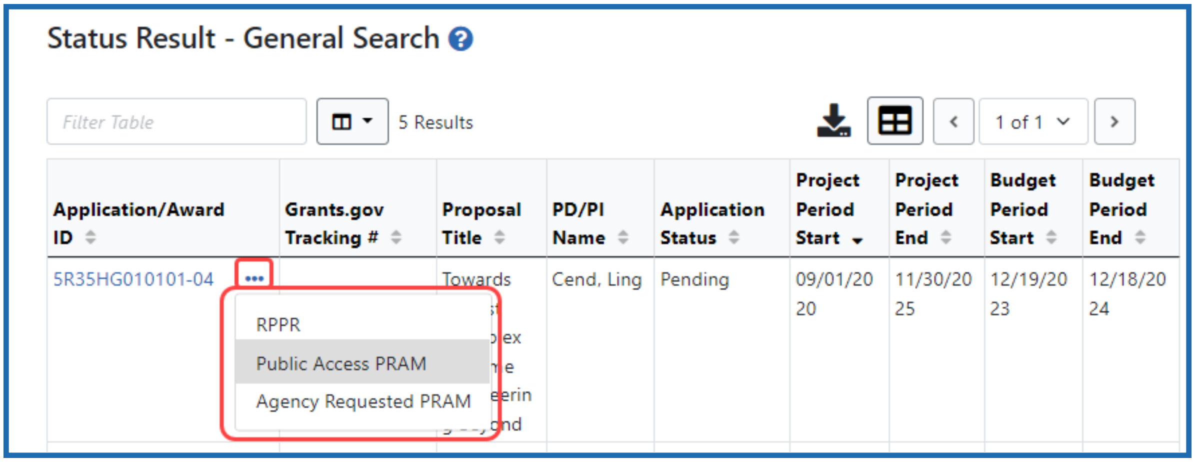


Figure 169: Principal investigator view of Status, showing Public Access PRAM button

The SO accesses the Public Access PRAM request by going to the Status module, searching for an award, and selecting **Public Access PRAM** from the award's three-dot ellipsis menu:



Responding to the PRAM Request

The *Progress Report Additional Materials (PRAM)* screen displays **Grant Information** at the top of the screen, and includes the person who is the current reviewer of this request. Only the current reviewer can edit the request.

The current reviewer uses the **Public Access Compliance** section at the bottom to add the requested materials. If a user cannot upload files or sees a **Recall** button, then the user is not the current reviewer. PIs do not see a **Submit** button; only an SO can submit the files for this request.

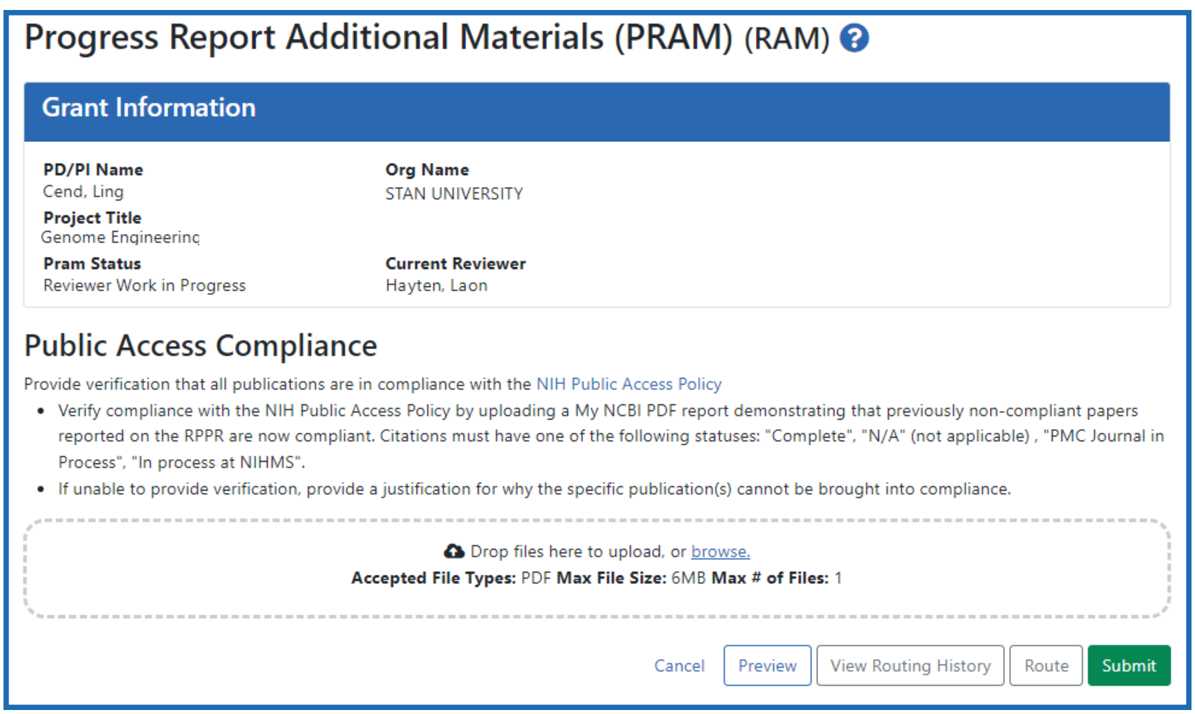


Figure 170: PRAM screen for Public Access Compliance showing the SO view of the screen with Submit button

1. Drag and drop one file to the "**Drop Files Here...**" area, or click the **browse** link and choose a file from your drive. The drop files area specifies how many files and what file types are allowed.

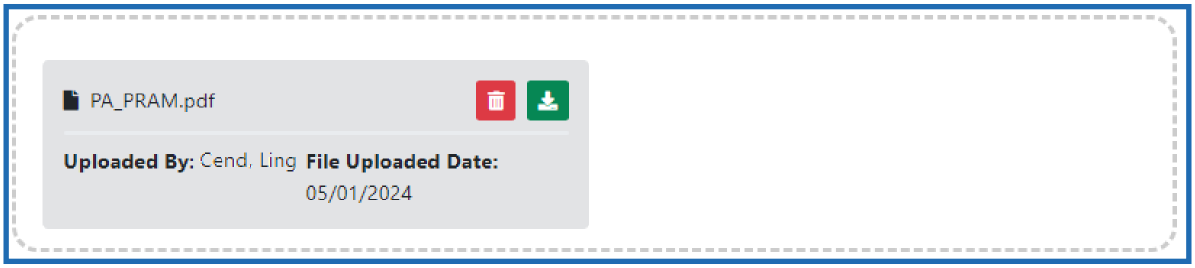
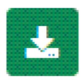


Figure 171: Uploaded files area, showing delete and download icons

For the uploaded file, you can:

- Click the **Download** icon  and the browser will open or download the file.
- Click the **Delete** icon  to remove the file. Only the current reviewer can delete a file.

2. After you add files, you can do any of the following:

- **Preview.** Click the **Preview** button to see the entire PRAM submission package, with a summary at top that shows the award number, PI name, title, and file names of uploaded files, followed by the contents of the uploaded files.
- **View Routing History.** Click this to see a history of all the users who have taken action on this request.
- **Route.** A PI can route the PRAM to any SO in the organization. An SO can route the PRAM to either the contact PI or to any other SO in the organization. See the section titled *Routing the PRAM Request to the Next Reviewer* below. The person to whom the request is routed receives a notification email.

- **Recall.** The **Recall** button is available to the PI after the PI has routed the request. The **Recall** button is also available to any SO in the organization, as a means of assigning the request to themself. Simply click the **Recall** button After a recall, the person to whom the request had been assigned receives a notification email that they are no longer the current reviewer.
- **Submit** (SO Only). If the submission package is ready to submit, the SO can submit it by clicking the **Submit** button, which appears for SOs only (or those delegating signing authority). See the section titled *Submitting the PRAM Request* below.

Routing the PRAM Request to the Next Reviewer

If a PRAM is routed to you, you receive an email notifying you of the event.

1. Click the **Route** button to send the PRAM for review.

   The *Route PRAM to Next Reviewer* screen displays with a list of all available reviewers. .

2. Select a name from the **Next Reviewer** dropdown.
3. Optionally, enter text into the **Comments** field.

4. Click the **Submit** button.

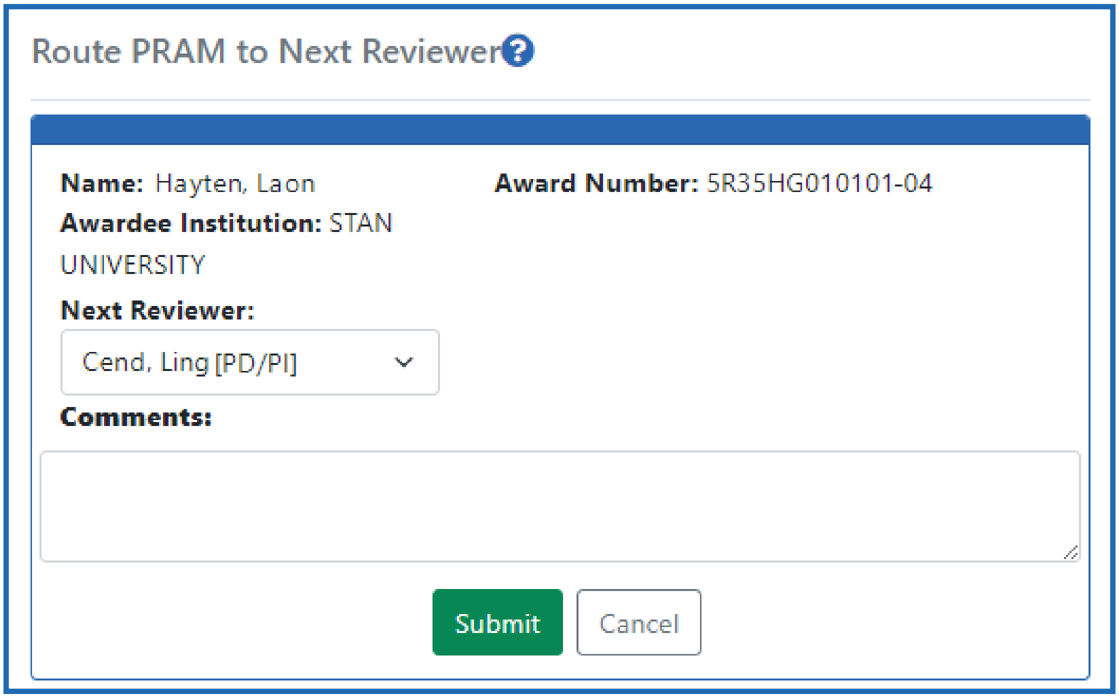


Figure 172: Route PRAM to Next Reviewer popup, where you can route a request to the PI or to any SO along with comments

If you are a PI, then the *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement. SOs do not see this screen when routing. PIs should read this statement to confirm agreement with it.

5. Click the **Submit** button to route the PRAM to the next reviewer.

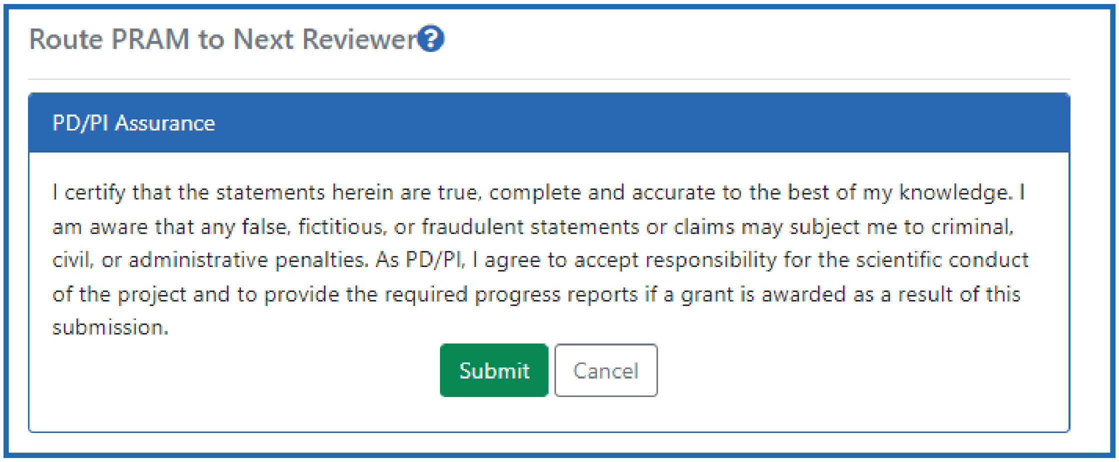


Figure 173: PD/PI Assurance screen, which appears to PIs when routing a request

The *Progress Report Additional Materials (PRAM)* screen displays a success message that the PRAM was successfully routed. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM, the attachments, the Preview, and the Routing History; the PD/PI can not edit the PRAM. The SO can route the PRAM back to the contact PI, or the PI can click the **Recall** button to reassign the PRAM back to the PI.

Recalling the PRAM Request

PRAM in a status of *Reviewer Work in Progress* that has been routed can be recalled by the contact PI or any SO at the institution. Recalling can be done up until the submission of the current PRAM attachment(s) to the agency. This is useful in situations when the request was routed to the wrong person or the reviewer is unavailable. If you are the current reviewer of a PRAM, and it is recalled, you receive an email notifying you of the event.

NOTE: A PD/PI *delegate* does not have the ability to recall the PRAM.

To recall a PRAM, simply use the Status module to search for an award, select **Public Access PRAM** from the three-dot ellipsis menu or Action column, and then click the **Recall** button.

Submitting the PRAM Request (SO Only)

When the PRAM is in *Reviewer Work in Progress* status, the current reviewer of the PRAM can submit it to the agency. Any signing official can submit. The PD/PI can submit the information only if they have been delegated *Submit Progress Report* authority by an SO. If the PD/PI lacks the authority to submit, they should route the PRAM to an SO to submit. Any SO can click the **Recall** button to become the current reviewer.

To submit a PRAM, simply use the Status module to search for an award, select **Agency Requested PRAM** from the three-dot ellipsis menu or Action column, and then click the **Submit** button. Read the certification statement and click the **I Agree** button.

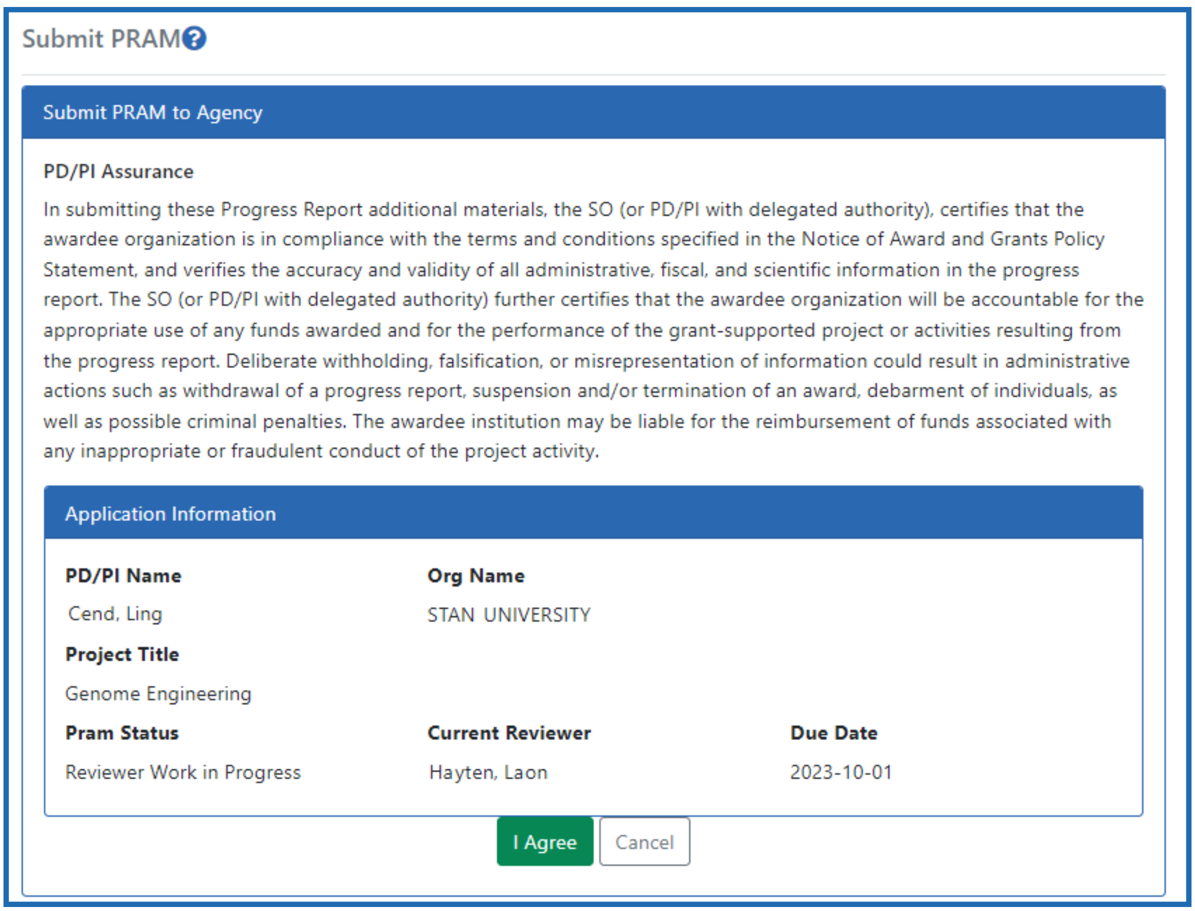


Figure 174: Signing official Submit PRAM certification screen, which appears while submitting

Viewing Public Access PRAM for Multi-Year Funded Awards

Agency-Specific Instructions: Department of Commerce (DOC). Public Access PRAM is not applicable for DOC awards.

After submitting Public Access PRAM for multi-year funded awards, users can view the PRAM via the *Status Information* screen.

To see submitted PRAM via the Status Information screen:

1. Use the Status module to look up an award.
2. Click the award/application ID, which opens the award or application's *Status Information* screen.
3. Under **Other Relevant Documents**, click the PRAM link.

The Progress Report Additional Materials file opens as a PDF document. The file has a header for each PRAM submission followed by the documents that were uploaded and submitted. If multiple submissions of PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions.

IC (Agency) Requested PRAM

The Agency Requested Progress Report Additional Materials (PRAM) request lets the awardee attach, review, route, and submit information in response to a specific request by the program official (PO) at the awarding IC or agency for additional information following the submission of an RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to the agency.

NOTE: Agency requested PRAM is not available for multi-year funded awards at this time.

Responding to Agency Requested PRAM

The principal investigator (Contact PI) or PI delegate can respond to an agency-requested PRAM (Progress Report Additional Materials) request by following the steps below. Signing officials can also respond to a PRAM request. Only signing officials or those delegated with submit progress report authority can submit the request to the requesting agency.

If the **Route** button is missing, the request might be in another user's queue. Agency-requested PRAM can be submitted multiple times, as long as the **Agency Requested PRAM** link remains available in the Status module.

Accessing the PRAM Screen

The principal investigator (PI) and the signing official (SO) both use Status to access the *Progress Report Additional Materials (PRAM)* screen, but the Status module is different for a PI and a SO.

The contact PI accesses the agency-requested PRAM request by going to the Status module, expanding the award information, and clicking on the **Agency Requested PRAM** button:

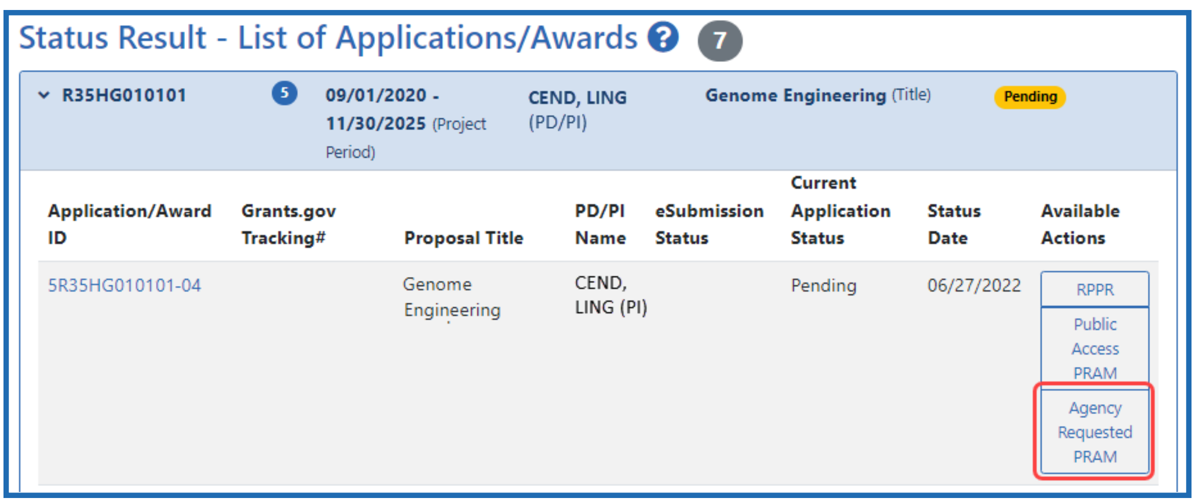


Figure 175: Principal investigator view of Status, showing Agency Requested PRAM button

The SO accesses the agency-requested PRAM request by going to the Status module, searching for an award, and selecting **Agency Requested PRAM** from the award's three-dot ellipsis menu:

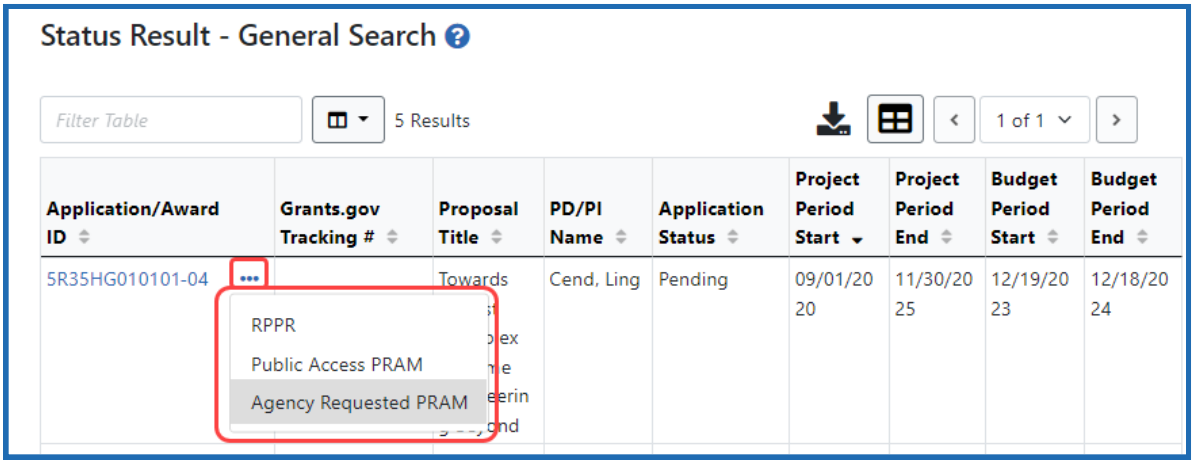
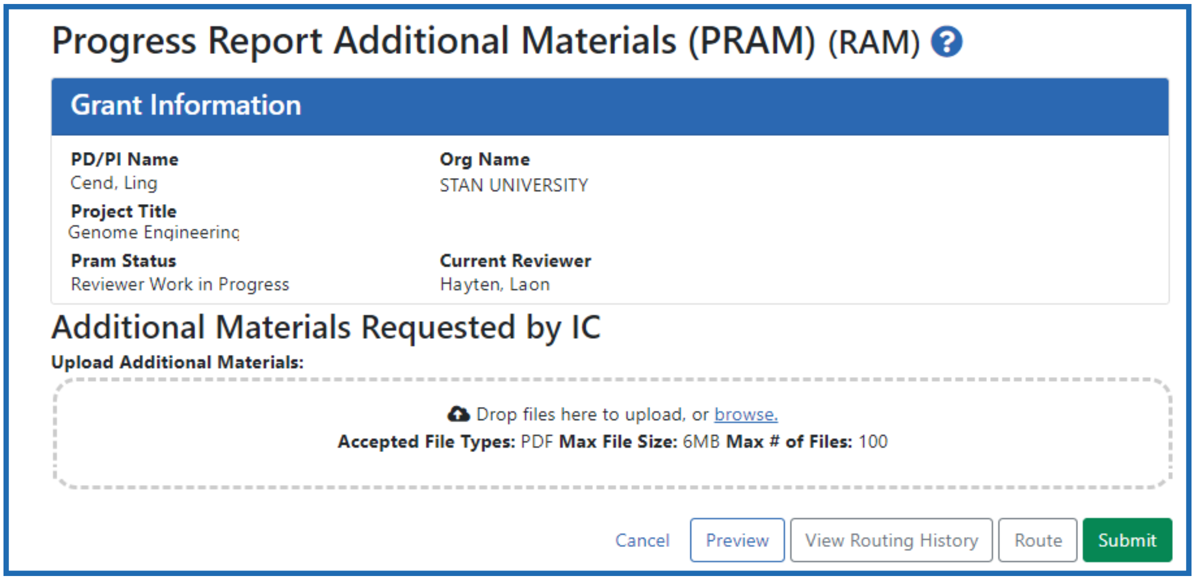


Figure 176: Signing official view of Status, showing Agency Requested PRAM option under three-dot ellipsis menu

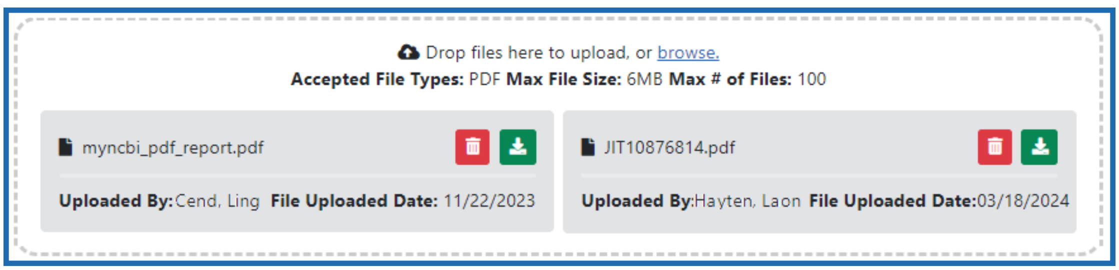
Responding to the PRAM Request

The *Progress Report Additional Materials (PRAM)* screen displays **Grant Information** at the top of the screen, and includes the person who is the current reviewer of this request. Only the current reviewer can edit the request.

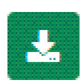
The current reviewer uses the **Additional Materials Requested by IC** section at the bottom to add the requested materials. If a user cannot upload files or sees a **Recall** button, then the user is not the current reviewer. PIs do not see a **Submit** button; only an SO can submit the files for this request.



1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed.



For uploaded files, you can:

- Click the **Download** icon  and the browser will open or download the file.
- Click the **Delete** icon  to remove the file. Only the current reviewer can delete a file.

2. After you add files, you can do any of the following:

   - **Preview.** Click the **Preview** button to see the entire PRAM submission package, with a summary at top that shows the award number, PI name, title, and file names of uploaded files, followed by the contents of the uploaded files.

- **View Routing History.** Click this to see a history of all the users who have taken action on this request.
- **Route.** A PI can route the PRAM to any SO in the organization. An SO can route the PRAM to either the contact PI or to any other SO in the organization. See the section titled *Routing the PRAM Request to the Next Reviewer* below. The person to whom the request is routed receives a notification email.
- **Recall.** The **Recall** button is available to the PI after the PI has routed the request. The **Recall** button is also available to any SO in the organization, as a means of assigning the request to themself. Simply click the **Recall** button After a recall, the person to whom the request had been assigned receives a notification email that they are no longer the current reviewer.
- **Submit** (SO Only). If the submission package is ready to submit, the SO can submit it by clicking the **Submit** button, which appears for SOs only (or those delegating signing authority). See the section titled *Submitting the PRAM Request* below.

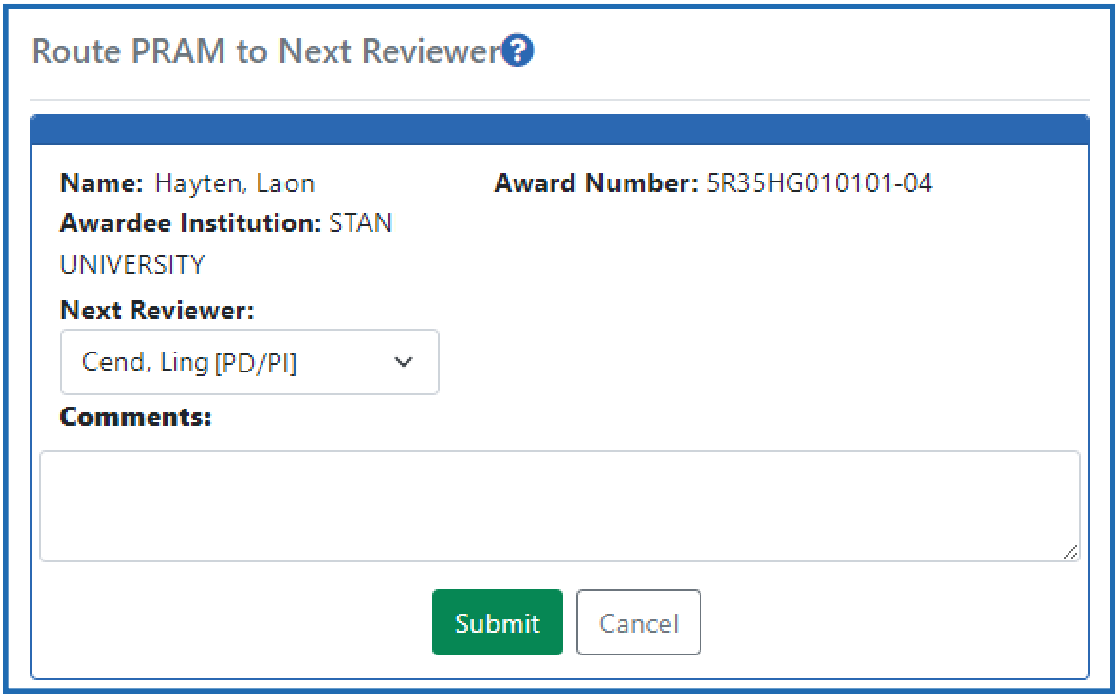
Routing the PRAM Request to the Next Reviewer

If a PRAM is routed to you, you receive an email notifying you of the event.

1. Click the **Route** button to send the PRAM for review.

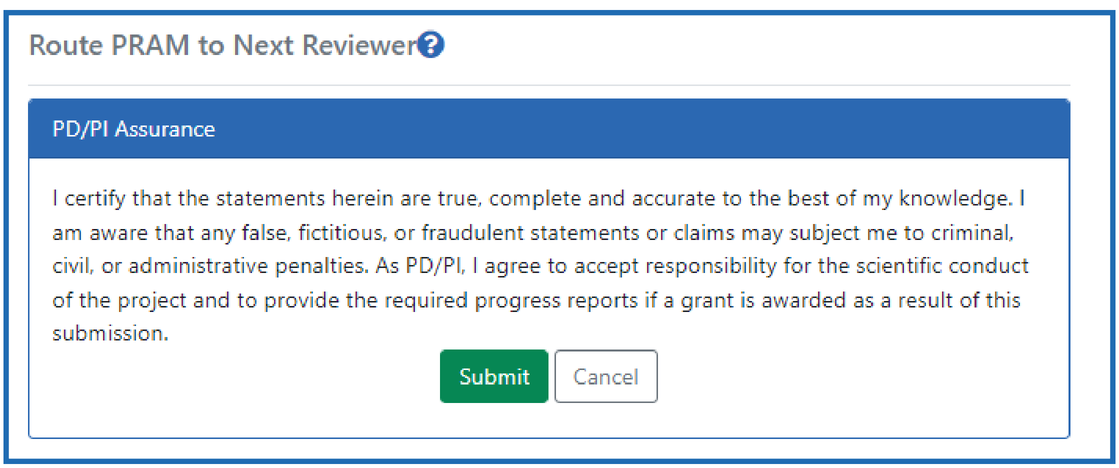
   The *Route PRAM to Next Reviewer* screen displays with a list of all available reviewers. .
2. Select a name from the **Next Reviewer** dropdown.
3. Optionally, enter text into the **Comments** field.

4. Click the **Submit** button.



If you are a PI, then the *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement. SOs do not see this screen when routing. PIs should read this statement to confirm agreement with it.

5. Click the **Submit** button to route the PRAM to the next reviewer.



The *Progress Report Additional Materials (PRAM)* screen displays a success message that the PRAM was successfully routed. Additionally, the status is updated and shown as

Reviewer Work in Progress. At this point, the PD/PI can only view the PRAM, the attachments, the Preview, and the Routing History; the PD/PI can not edit the PRAM. The SO can route the PRAM back to the contact PI, or the PI can click the **Recall** button to reassign the PRAM back to the PI.

Recalling the PRAM Request

PRAM in a status of *Reviewer Work in Progress* that has been routed can be recalled by the contact PI or any SO at the institution. Recalling can be done up until the submission of the current PRAM attachment(s) to the agency. This is useful in situations when the request was routed to the wrong person or the reviewer is unavailable. If you are the current reviewer of a PRAM, and it is recalled, you receive an email notifying you of the event.

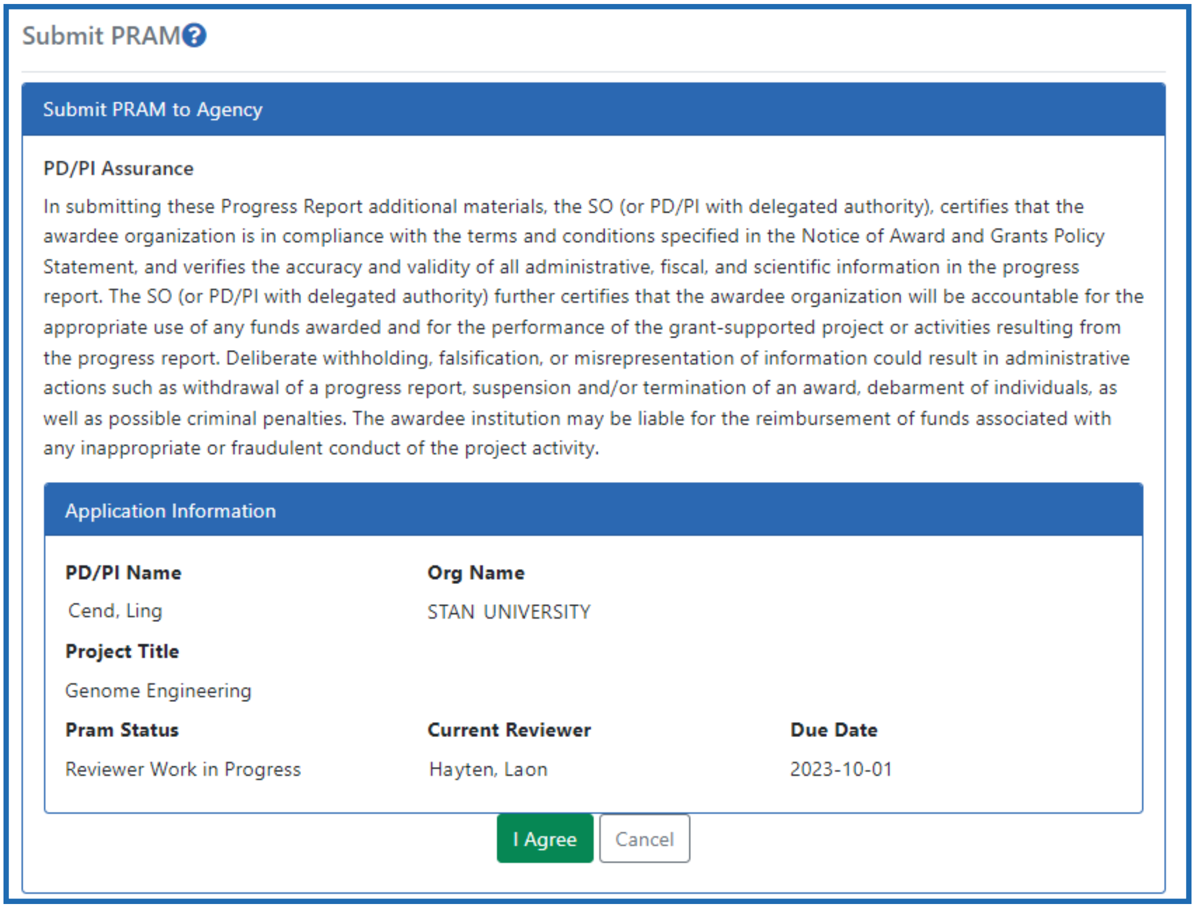
NOTE: A PD/PI *delegate* does not have the ability to recall the PRAM. If prior PRAM submissions to the Agency exist, these attachments are not included in the recall.

To recall a PRAM, simply use the Status module to search for an award, select **Agency Requested PRAM** from the three-dot ellipsis menu or Action column, and then click the **Recall** button.

Submitting the PRAM Request (SO Only)

When the PRAM is in *Reviewer Work in Progress* status, the current reviewer of the PRAM can submit it to the agency. Any signing official can submit. The PD/PI can submit the information only if they have been delegated *Submit Progress Report* authority by an SO. If the PD/PI lacks the authority to submit, they should route the PRAM to an SO to submit. Any SO can click the **Recall** button to become the current reviewer.

To submit a PRAM, simply use the Status module to search for an award, select **Agency Requested PRAM** from the three-dot ellipsis menu or Action column, and then click the **Submit** button. Read the certification statement and click the **I Agree** button.



Viewing Agency Requested PRAM from Status Information

After submitting Agency Requested PRAM, users can view the PRAM via the Status Information screen.

To see submitted PRAM via the Status Information screen:

1. Use the Status module to look up an award.
2. Click the award/application ID, which opens the award or application's *Status Information* screen.
3. Under **Other Relevant Documents**, click the PRAM link.

The Progress Report Additional Materials file opens as a PDF document. The file has a header for each PRAM submission followed by the documents that were uploaded and submitted. If multiple submissions of PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions

Status Module

The Status screens lets program directors/principal investigators (PD/PIs), their delegates, and signing officials (SOs) perform the following tasks securely:

- Track the status of a grant applications through the submission process. To see a list of each application status, see https://www.era.nih.gov/docs/era_status_codes.pdf.
- View all their applications as well as NoAs and other key documents
- Complete several post-submission and post-award transactions
- Access and update Human Subjects information through the Human Subjects System (HSS).
- Bypass the 2 business day viewing window for administrative supplements (SOs only); see *Bypassing the 2-Business-Day Application Viewing Window for Administrative Supplements* on page 489.

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 *How Does an AOR or SO Check Submission Status?* on page 465 if you have an SO or AO role.

Refer to *Status for Program Directors/Principal Investigators (PI Role)* on page 475 if you have a PI role.

Accessing the Status Module

To access the Status module after logging into eRA Commons, use one of the two following methods:

1. Click the Status button on the main eRA Commons home page:

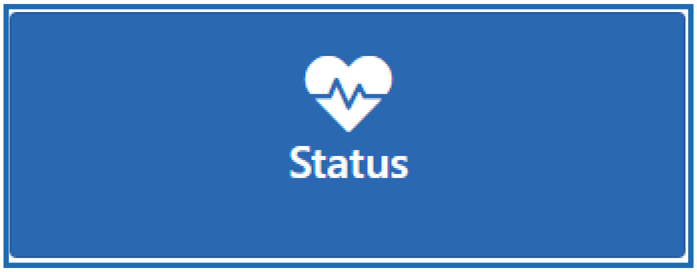


Figure 177: Click the Status button on the main eRA Commons home page to access the Status module.

2. Select Status from the main menu:

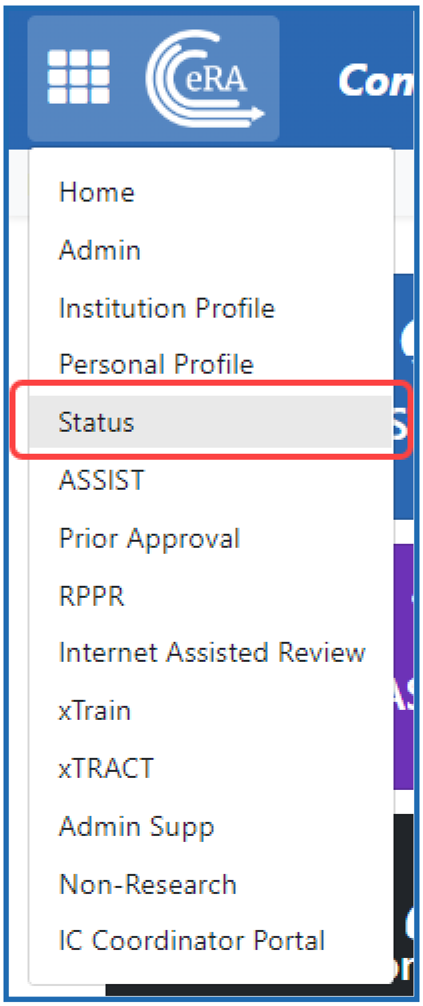


Figure 178: Select Status from the main menu, which is under the eRA logo in upper left.

Status Search for SOs

If you are a signing official for an organization, you can use the Status module to select one of a variety of search screens that let you find specific applications or awards. Search results appear in a table; to learn about the tools that appear above the search results table, see *Standard Tools for Tables* on page 108.

Multiple search types use the **Awarding Office/IC** field to narrow results to one or more agencies, ICs, or departments. See *Searching for Awards by Awarding Office/IC (Search Criteria)* on page 116 for more information on using this search critieria.

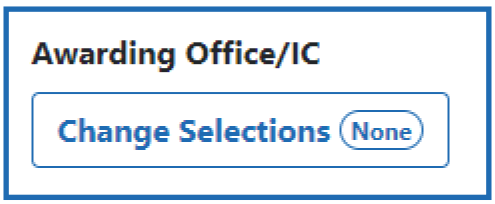


Figure 179: Awarding Office/IC search criteria with Change Selections button

Search Type: General (Search on Variety of Criteria)

With the general search, you can search on the various parts of the award number, including type, activity code, IC, serial number, support year, and suffix; see [Deciphering NIH Application/Grant Numbers](). You can also search by PD/PI name, budget start and end dates, application status, and grants.gov number.

As an alternative to the award number, you can search on **Project Number**. If you are searching for a contract project, type all or part of the contract number in the **Project Number** field, which appears below the six award number fields.

NOTE: Use either the six award number fields OR use the **Project Number** field; do not use both simultaneously because each searches a different type of numbering system and no results will appear when they are used together.

1. Navigate to the Status module and select **General** from the **Search Type** drop-down.

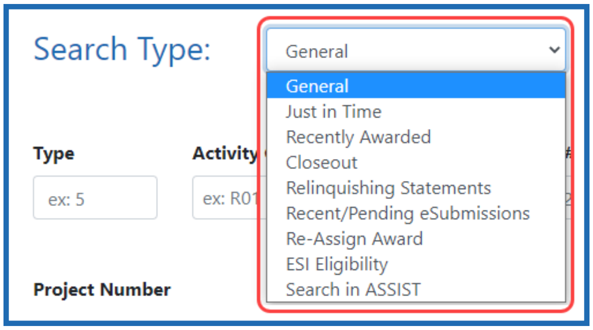


Figure 180: Search Type dropdown in Status

The following screen appears.

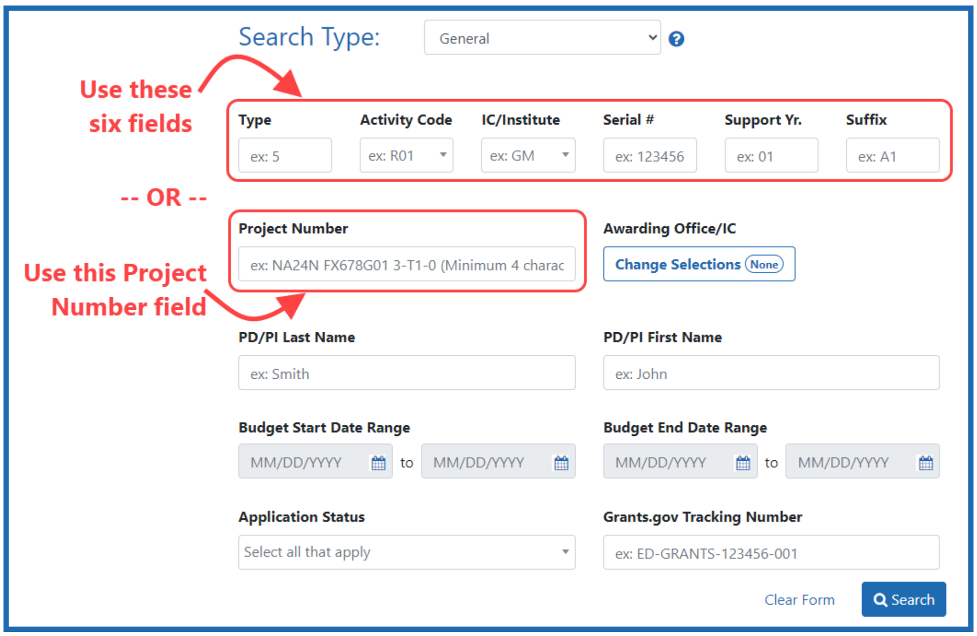


Figure 181: General search criteria in Status. Use EITHER the six grant number fields OR use the Project Number field to search, but do not use both.

2. Enter criteria and click **Search**.

In the Status Results, click the Application/Award ID to see the *Status Information* screen for the award, and click its three-dot ellipsis menu for actions that can be performed on the award. See Sample Search Results below.

See *Searching for Awards by Awarding Office/IC (Search Criteria)* on page 116 for information on using the Awarding/IC dropdown, which lets users search for awards based on what entity awarded the grant.

NOTE: The *Status Result - General Search* screen differs from the results displayed for PI users. Refer to *Status for Program Directors/Principal Investigators (PI Role)* on page 475 for more information.

Search Type: Just in Time (Search for awards/applications with JIT requests)

See *Just in Time (JIT) Search for SOs* on page 538.

Search Type: Recently Awarded (Search by Days Since Awarded)

The Recently Awarded search is similar to the General Search, except the Recently Awarded Search lets you choose **Days Since Awarded** as a search criteria.

Search Type: Closeout (Search by Closeout Status and Requirements for Final RPPR, Final Invention Statement, and FRAM)

See *Closeout Status* on page 581.

Status Search Type: Relinquishing Statements

See *Managing Relinquishing Statements* on page 724.

Search Type: Recent/Pending eSubmissions

See *How Does an AOR or SO Check Submission Status?* on page 465

Search Type: Re-Assign Award

See *Steps for SO to Re-assign an Award* on page 470.

Search Type: ESI Eligibility

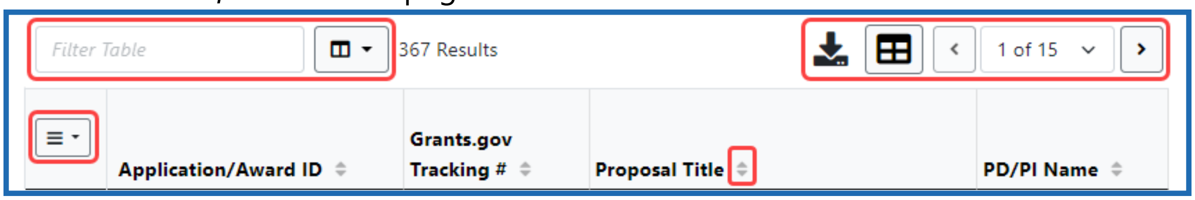
See *ESI Eligibility Search* on page 208.

Search Type: Search in ASSIST

This search option simply redirects you to the search screen in the ASSIST module, where you can start a new application or find and update an existing application. In ASSIST, click the HSS Applications checkbox to find any human subjects applications with required post submissions. Enter other search criteria, such as the PI name, to narrow the search results further. Consult the ASSIST help for help with the ASSIST search screen.

Working With Table Tools

NOTE: For information on working with table tools to filter results, choose visible columns, download/print, limit rows per page, or navigate through pages of results, see *Standard Tools for Tables* on page 108.



Sample Search Results

The figure below represents a sample of various action links that could be displayed.

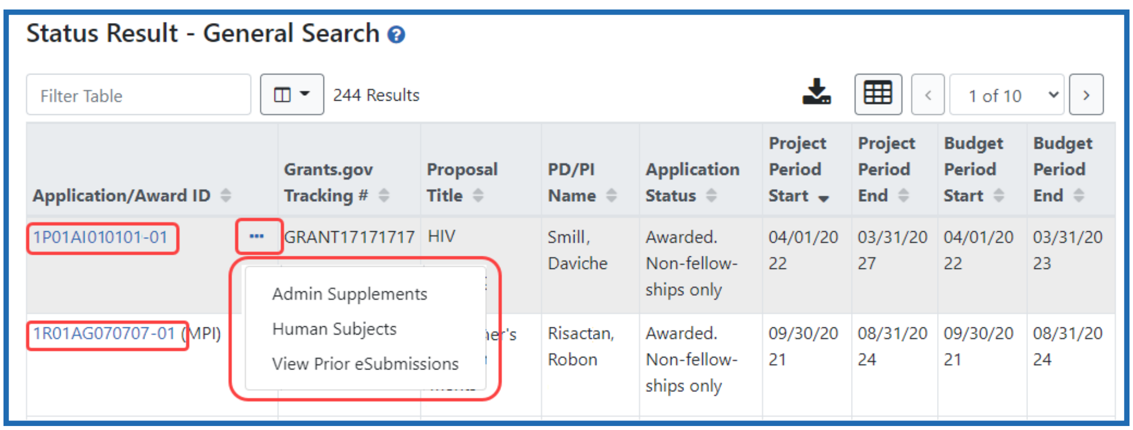


Figure 182: Status Result - General Search

The results include the following information:

- **Application/Award 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 *Status Information* on page 491 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. To see a list of each application status, see https://www.era.nih.gov/docs/era_status_codes.pdf.

- **Project Period and Budget Dates**

Possible Actions

Various actions can appear in the three-dot ellipsis menu.

- **Accept/Decline Award**

  Department of Commerce (DOC) Awards Only. See e *Administrative Supplements-Award Information Screen* on page 718.

- **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. See *Administrative Supplements- Award Information Screen* on page 718.

- **Agency Requested PRAM**

  Opens the *Progress Report Additional Materials (PRAM)* screen for submitting IC Requested PRAM. *Responding to Agency Requested PRAM* on page 448.

- **Closed**

  This link opens the *Closeout Status* screen, which provides information on a closed grant. See *Closeout Status* on page 581.

- **Correspondence.**

- **Extension**

  This link opens the No-Cost Extension (NCE) feature. See *No-Cost Extension (NCE) for NIH Grants* on page 559.

- **Human Subjects**

  Provides access to the Human Subjects System (HSS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about HSS via Status, refer to the separate Human Subjects System Online Help.

  IMPORTANT: To submit inclusion enrollment data with a progress report, HSS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather than through the *Human Subjects* link in the Status module. Refer to the NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide for more information.

- **JIT**

This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. See *Just in Time (JIT) Screen* on page 540.

- **Public Access PRAM**

  Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. *Responding to Public Access PRAM* on page 439

- **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*. See *How Does an SO Reject the eApplication?* on page 468

- **Requires Closeout**

  This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. See *Closeout Status* on page 581.

- **Revision Request**

  Department of Commerce (DOC) Awards Only. Previously called Award Action Request, this option is for DOC awards only and lets awardees request a variety of types of changes to an award. See *Revision Requests for DOC Awards* on page 512.

- **RPPR**

  Opens the *RPPR Menu* screen for editing or submitting a Research Performance Progress Report (RPPR). *Research Performance Progress Report (RPPR) Module* on page 313.

- **Start Relinquishing Statement**

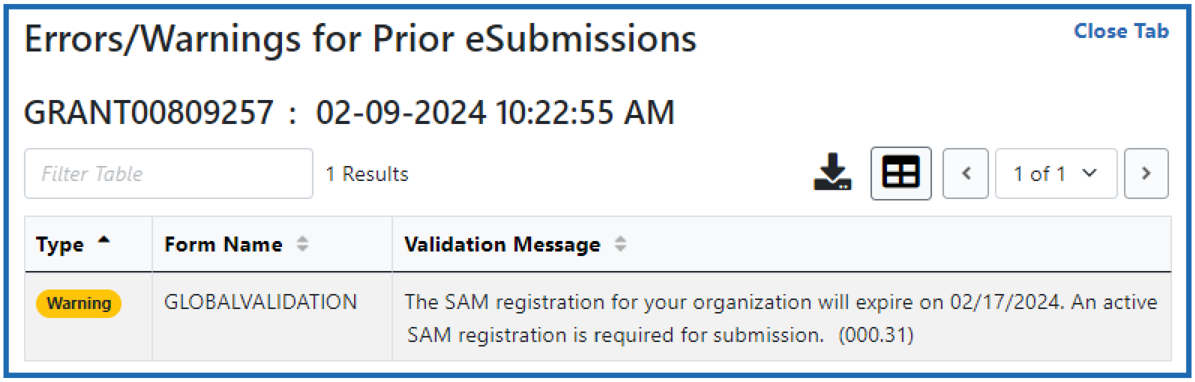
  This only appears if you use the **Relinquishing Statement** search type on the Status search. Available to SOs and used to access the feature for initiating an electronic relinquishing statement.

- **Transmittal Sheet**

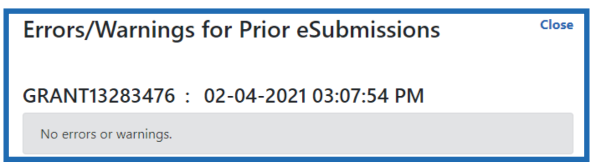
  Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

- **Show Prior Errors and Warnings**

  This link opens the *Errors/Warning for Prior eSubmissions* screen, which lists validation or other errors that occurred upon submission. This action occurs ONLY if there are errors/warnings.



- **View Prior eSubmissions.** Shows errors/warnings for prior eSubmissions. This link occurs only if there are NOT errors/warnings; if there are, then the previous action appears instead. Example:



- **View Terms Tracking.** See *Viewing Award Terms Tracking from Status Module*.

How Does an AOR or SO Check Submission Status?

Signing Officials can check the status of the applications that have been submitted for their organization using the Status module in eRA Commons.

After submitting an application, you have a two-business-day application viewing window to check the application and reject and revise it. Your application automatically moves forward to agency staff for further processing after the application viewing window has elapsed unless you explicitly "reject" the application in eRA Commons. For administrative supplements, this two day viewing window can be skipped; see *Bypassing*

the 2-Business-Day Application Viewing Window for Administrative Supplements on page 489.

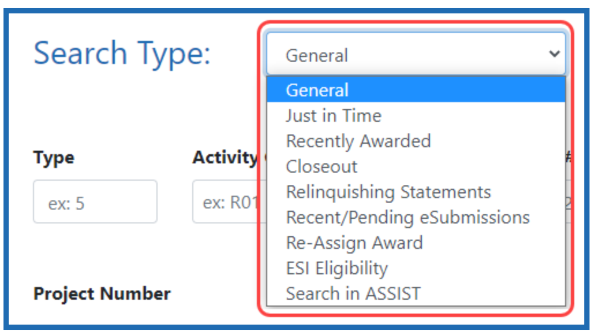
Also see [Submit, Track and View Your Application]() and *How Does an SO Reject the eApplication?* on page 468

All signing officials can verify the status of the applications that have been submitted for their organization utilizing eRA Commons.

Searching for Recent/Pending eSubmissions

1. Log into eRA Commons with an SO account.

2. [Navigate to the Status module]() and select **Recent/Pending eSubmissions** from the **Search Type** dropdown.



3. On the next screen, enter search criteria and click the **Search** button. Search criteria options are:

   - **Grants.gov Tracking #** *A value is assigned by Grants.gov when the application is electronically submitted.*
   - **Accession Number** *A unique value assigned to applications before an NIH grant number is assigned.*
   - **eSubmission Status** (*All, Pending Verification, or Rejected*)
   - **Received Date Range** Enter a range of dates for the received date in the from and to fields by clicking the calendar icon and choosing dates.

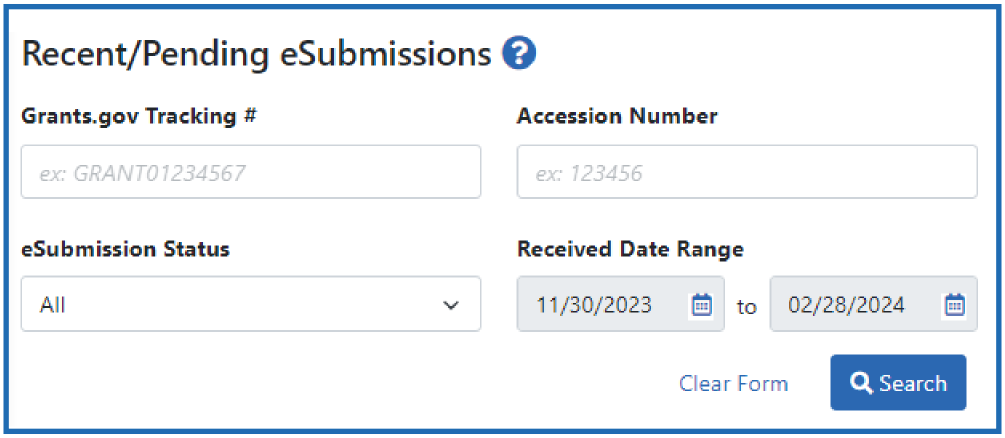


Figure 183: Recent/Pending eSubmissions search criteria for an SO

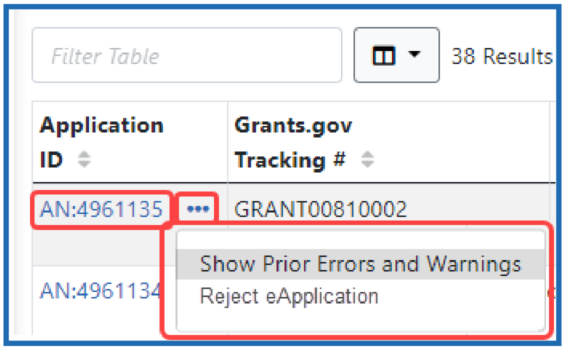
In the search results, you can find links for actions, such as showing prior errors, in the three-dot ellipsis menu next to the Award/Application ID. Also see *Status Search for SOs* on page 458.

eSubmission Tracking Tips

Check the **eSubmission Status** column to determine if your application status is “eSubmission Error”, "Rejected", or “Pending Verification”. **Select one of the following from the three-dot ellipsis menu for an award in search results:**

- If the status is "eSubmission Error":
  - Click the **Show Prior Errors and Warnings** options from the three-dot ellipsis icon menu
  - Click the linked **Application ID** to open *Status Information*. Any existing submission errors or warnings display at the left of the *Status Information* screen in a yellow or pink box. Refer to *Status Information* on page 491 for more information on this screen.
- If the status is **Pending Verification**, you can click *Reject eApplication* to reject the eSubmission of an application. Refer to *How Does an SO Reject the eApplication?* on page 468.

Checking for eSubmission Errors



1. Check the **eSubmission Status** column to determine if your application status is "*eSubmission Error*" or "*Pending Verification*".
2. For **Pending Verification** applications, you can click the linked **Application ID** to see the *Status Information* screen for the application, which includes errors and warnings in a box on the left of the screen. These appear during the two-day reviewing window that's available prior to the application deadline.
3. To just see the errors, click the three-dot ellipsis icon for an application and select **Show Prior Errors and Warnings**.
4. For **Pending Verification** applications, you can also select **Reject eApplication** from the three-dot ellipsis icon menu to reject the eSubmission of the application. To reject an application, see *How Does an SO Reject the eApplication?* on page 468.

NOTE: Errors *will* stop the submission process and need to be addressed via a change/-corrected application. Warnings will not stop the process but it is still critical to check the warning messages to ensure that any referenced issue does not apply to your applic-ation.

How Does an SO Reject the eApplication?

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

To reject an eApplication:

1. Log in to eRA Commons with your signing official (SO) user ID and password.
2. Navigate to the Status module and then select the ***Recent/Pending eSubmissions*** from the **Search Type** dropdown to locate the application being rejected.
3. On the *Recent/Pending eSubmission* screen, search for applications with an **eSubmission Status** of **Pending Verification**.
4. In the search results, from the three-dot ellipsis menu for an award, select the ***Reject eApplication*** action.

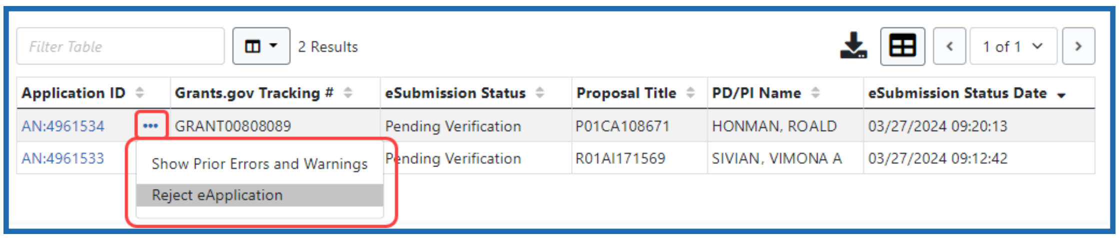


Figure 184: Reject eApplication Link

The **Reject eApplication** screen displays.

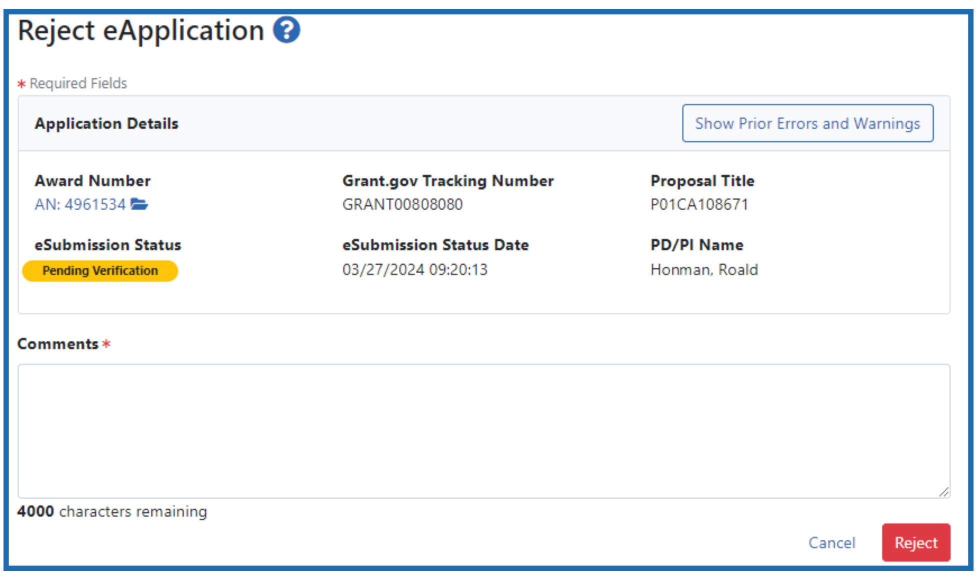


Figure 185: Reject eApplication screen for SO

5. Enter a comment (required) in the text box. This message will be part of the rejection email notification.
6. Click the **Reject** button.
7. A Reject Confirmation popup appears; click **Reject** again.

The contact PI will receive an email notification that the SO has rejected the application.

Steps for SO to Re-assign an Award

In the Status module, signing officials (SO) can use the "Re-assign Award" option from the **Search Type** dropdown to change the assignment of an award from one existing department or component to another existing department or component within their institution.

This functionality is only available to signing officials from grantee organizations that are classified as *Institutions of Higher Education*. This tool cannot be used to create new departments or components.

NOTE: This does NOT move an award from one institution to another; it moves an award only within departments/schools from the same institution. To move an award between institutions, see Relinquishing Statements instead.

To re-assign one or more awards:

1. Log into eRA Commons with an SO account.
2. Navigate to the Status module and select **Re-Assign Award** from the **Search Type** dropdown.

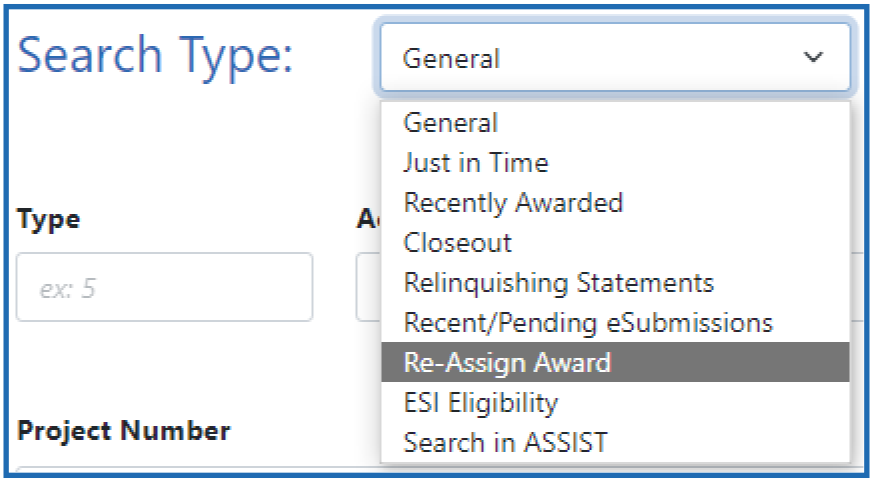
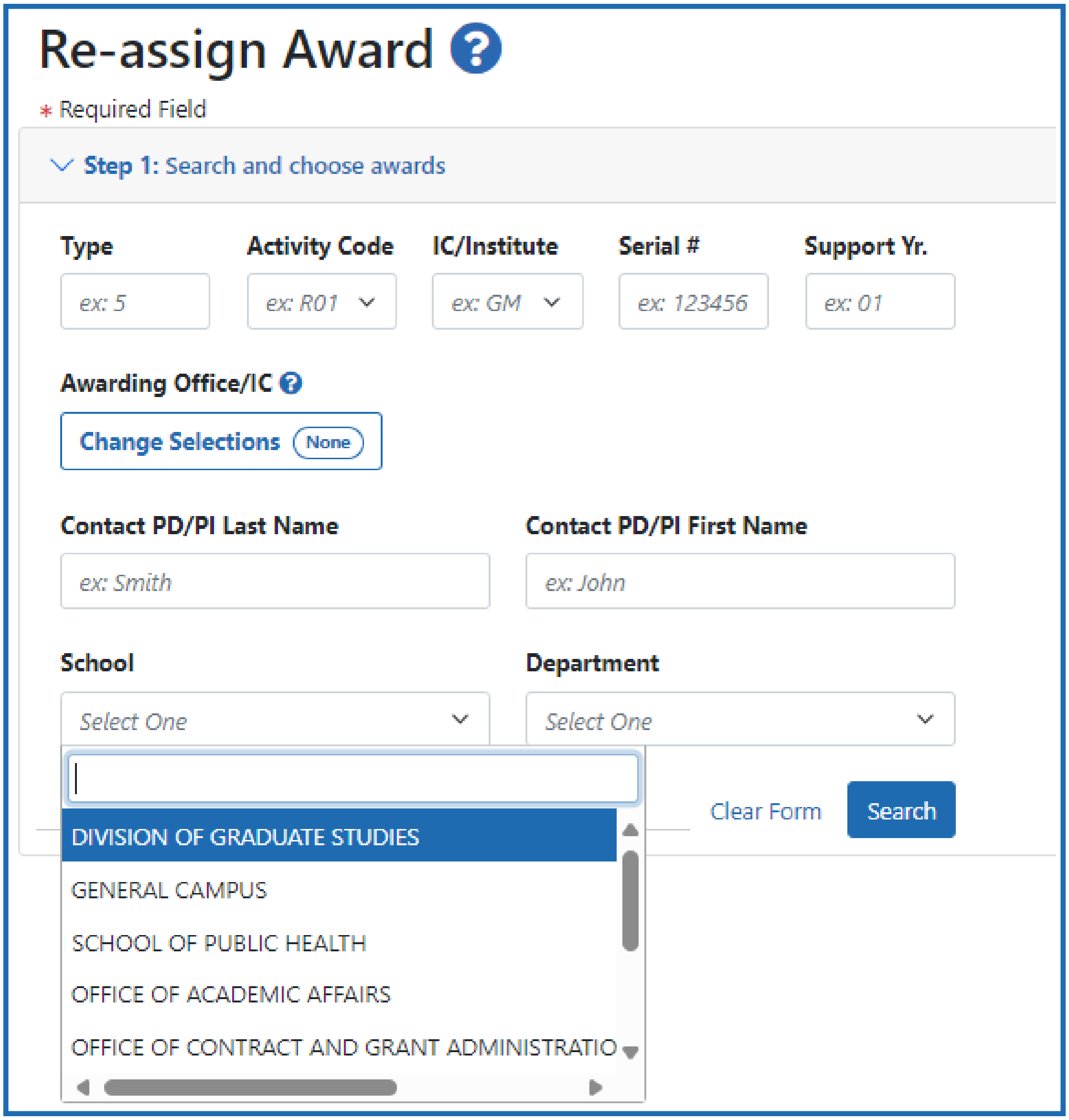


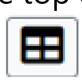
Figure 186: Search Type dropdown for SOs showing Re-Assign Award search option

A *Re-assign Award* search screen opens.

- **STEP 1:** Enter search criteria to find an award, then click **Search**.
  The **School** and **Department** dropdowns shows departments/components within your institution.

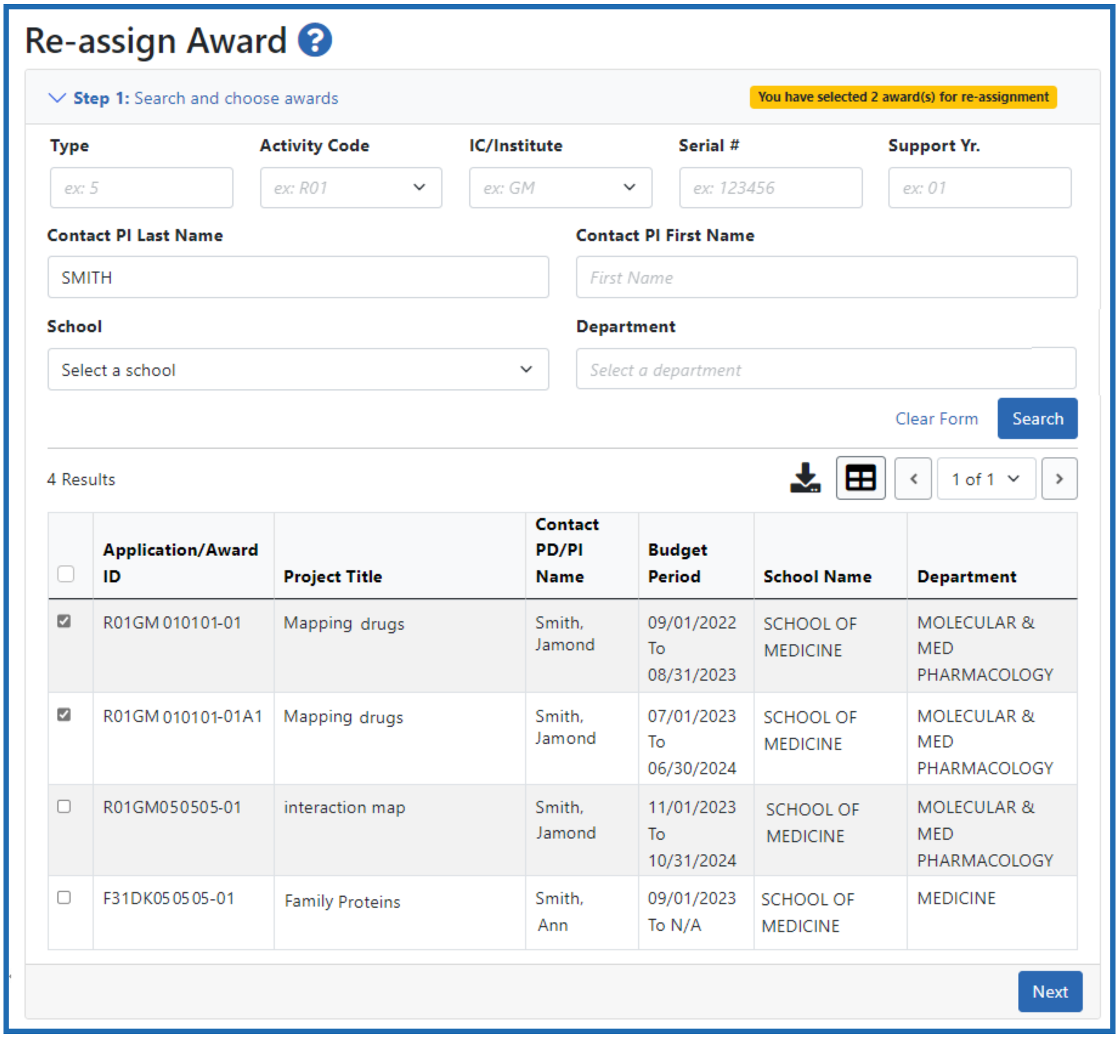


The search results are displayed.

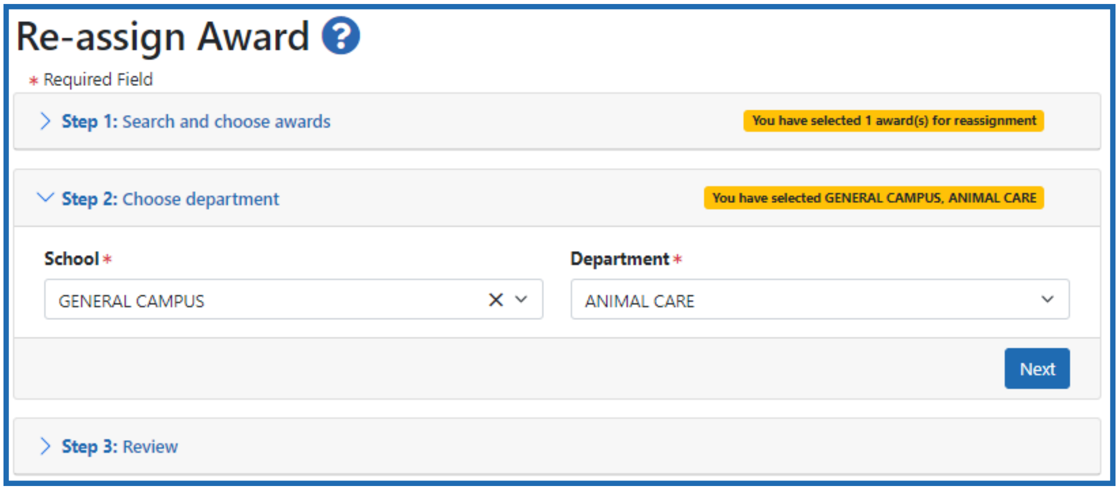
Select one or more checkboxes of awards to move. To select all visible search results, click the checkbox at the top of the column of checkboxes. To make more results visible, use the Grid tool  to set visible rows per page.

Once you have made your selections, click the **Next** button at the bottom of the screen.

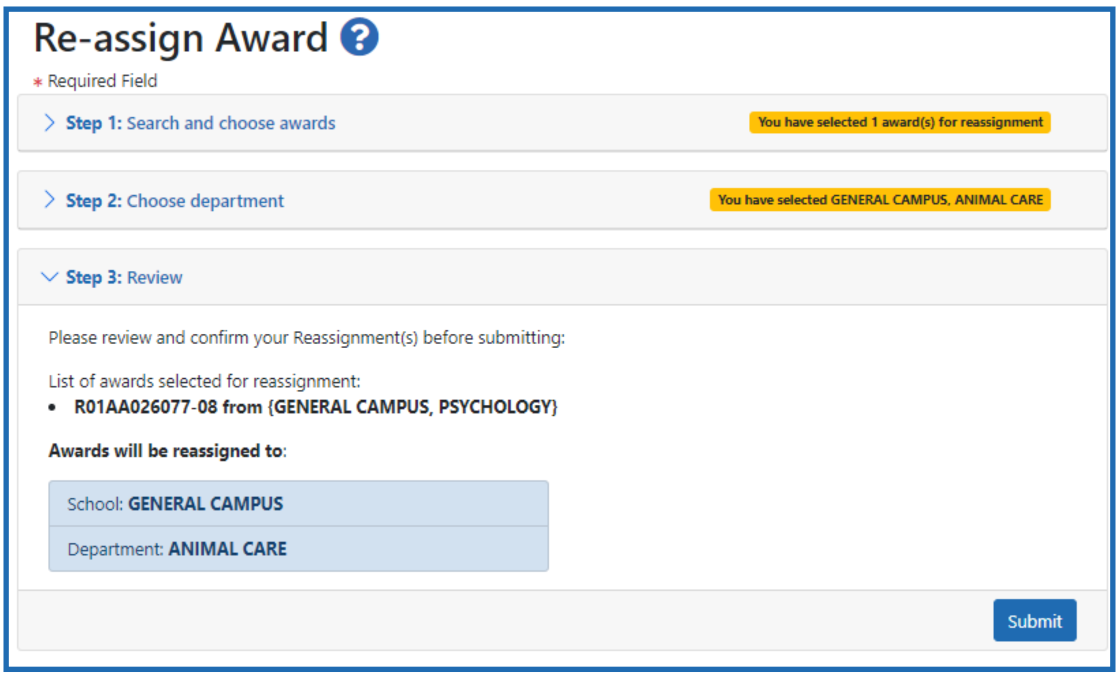
NOTE: You can move all of the visible awards on a page at one time; however you cannot combine marked checkboxes on non-visible results pages into the current re-assignment step. To move grants on other results pages, you must go to those pages and do the reassignment.



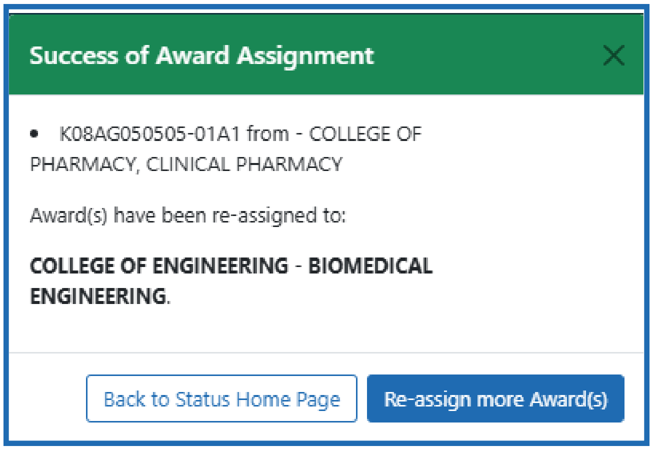
- **STEP 2:** Select the **School** and **Department *to which*** the selected grants should be moved; then click **Next**.
  Only existing schools and departments are shown.



STEP 3: Review the summary, which indicates the number of awards being moved and the destination. If the information is correct, click **Submit**.



In the Success of Award Assignment popup, click a button to either go back to Status or to re-assign more awards.



- **NOTES:**
  - Functionality is only available to signing officials from recipient organizations that are classified as Institutions of Higher Education.
  - Assignments are immediate in eRA Commons. The new assignment can be viewed on the *Re-assign Award* search page.
  - Assignments will be visible in RePORTER on the following Monday.
  - You can search only for current and future fiscal years, for awarded grants or pending type 5 grants.

Status for Program Directors/Principal Investigators (PI Role)

The Status module lets those with a PI role 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 *How Does an AOR or SO Check Submission Status?* on page 465 if you hold an SO role.

Upon entering the Status module, a PI is taken to a landing page with three options:

- **Recent/Pending eSubmissions**: Select this heading to view a list of recent or pending electronic submissions of grant applications.
- **List of Applications/Awards**: Select this heading to view a list of applications/grants on which the PI user is the contact PI or one of multiple PIs (MPI)
- **Search by Grants.gov Tracking Num**: Use this field and the **Search** button to display information for a specific grant application by tracking number.

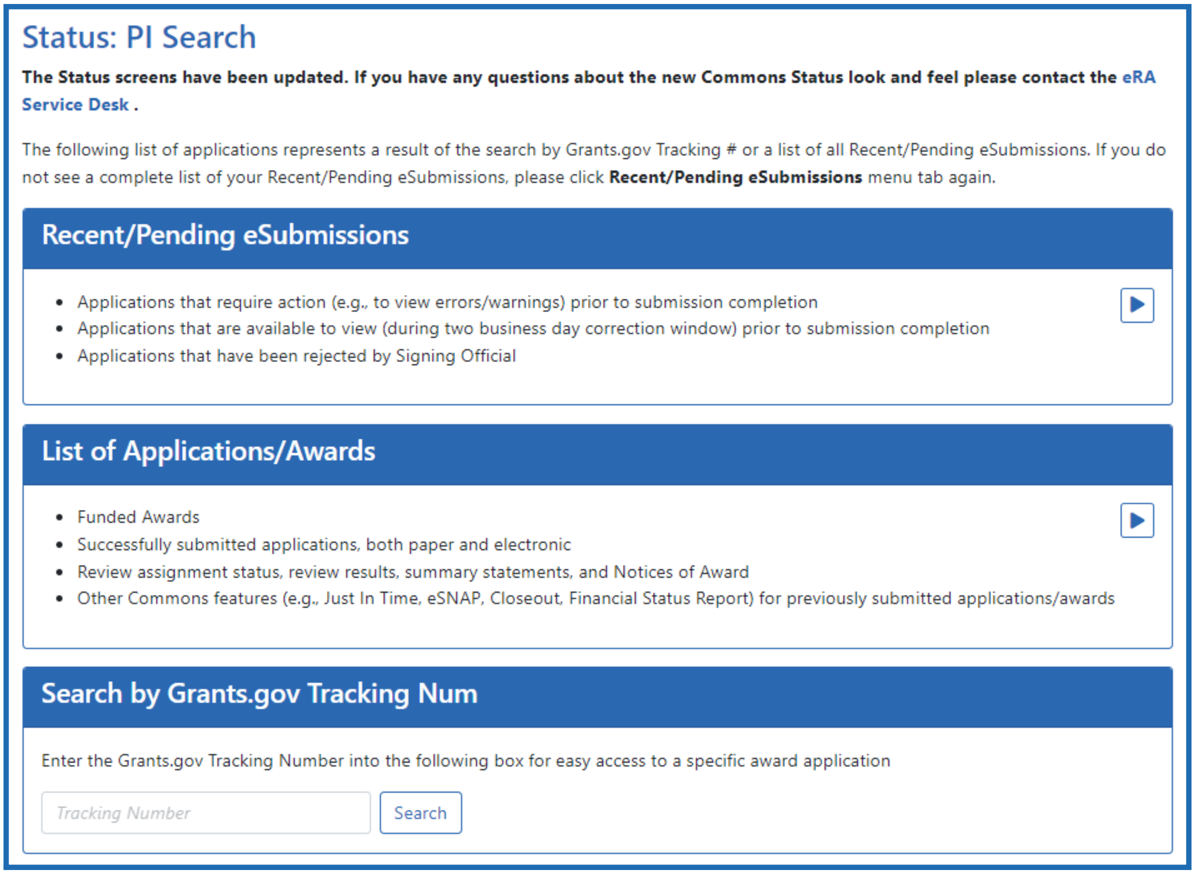


Figure 187: Status Screen for PI Users

NOTE: A PI can 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 *Direct Delegations* on page 195 for information on delegating Status.

Viewing Recent/Pending eSubmissions

Click the **Recent/Pending eSubmissions** option to display search results meeting the following criteria:

- Applications that require action prior to submission
- Applications available for viewing prior to submission (2 business day correction window)
- Applications that have been refused by the SO

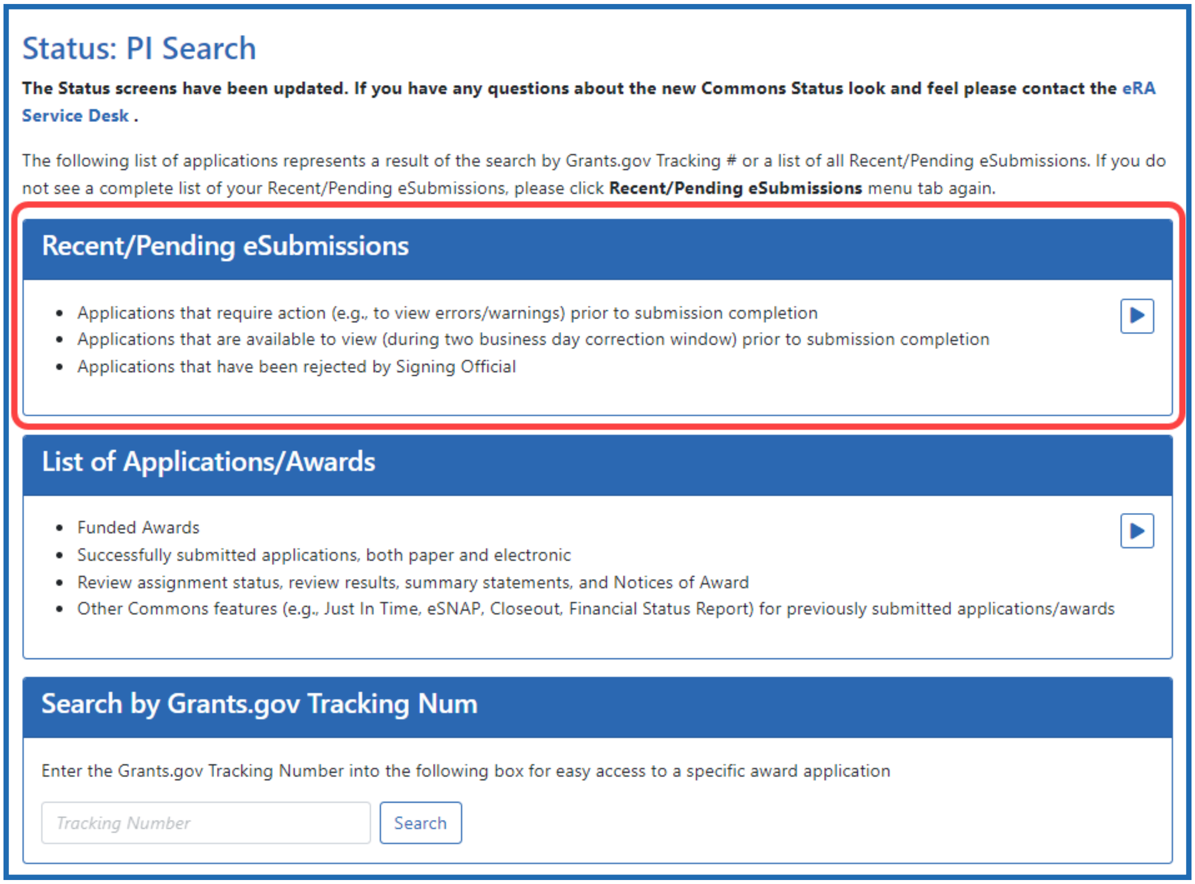


Figure 188: Recent/Pending eSubmissions Option in Status PI view

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.

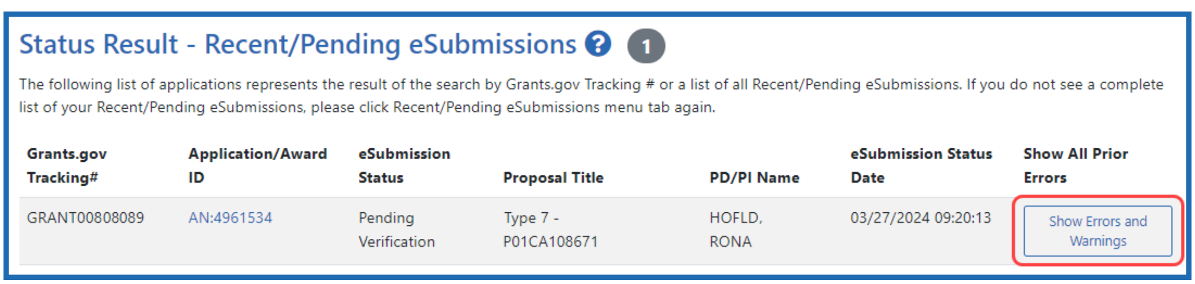


Figure 189: Status Result - Recent/Pending eSubmissions

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 clicked opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. Refer to *Status Information* on page 491 for more information.

eSubmission Status

This column shows the status of approval for the application.

Proposal Title

The project name submitted on the application is displayed in this column.

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show Prior Errors and Warnings

Click the three-dot ellipsis icon next to the Application ID to select **Show Prior Errors and Warnings** . Clicking this option opens the *Errors/Warnings for Prior eSubmissions* screen, providing any errors or warnings received for the application during eSubmission.

TIP: Use the **Export** icon ( ) located at the top of the screen to export to Excel or PDF or to print the table data.

To return to the search screen, click the **Return to PI Search** link at the top of the page.

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 lets PIs view basic information for their grants; to review detailed information for their grants, including assignments, summary statements, notices of award; and to access other modules in Commons for completing tasks such as progress report, financial statement, etc.

To access the *Status Result - List of Applications/Grants* screen, click the **List of Applications/Grants** section of the screen.

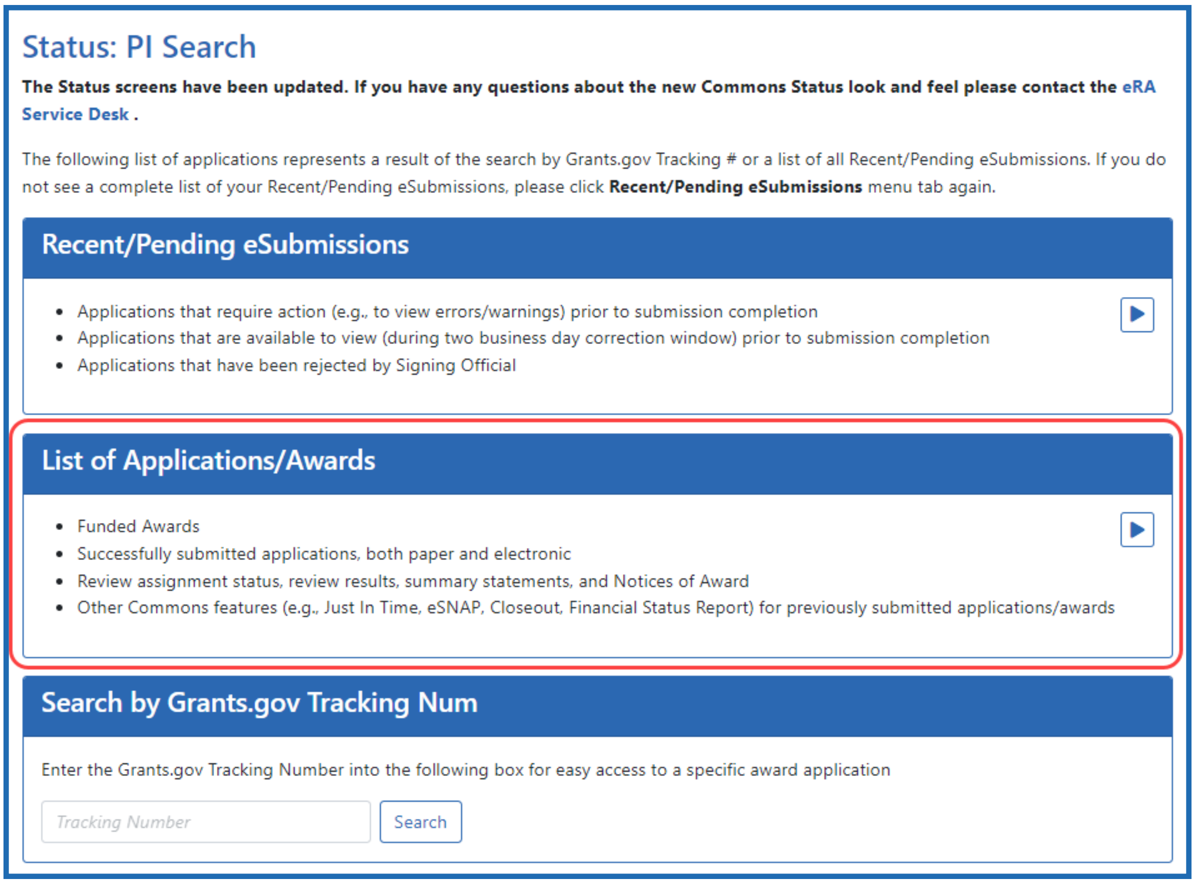


Figure 190: List of Applications/Awards in Status PI view

The initial results display the applications collapsed into groups of grant families. From the initial display, you can see the application number (or Application ID Not Yet

Assigned where applicable); the number of applications/grants within the family; the contact PD/PI; and the title.

TIP: To find the total number of your applications/grants, look for the number displayed next to the screen title.

To display all applications and awards associated with a family, click the the blue heading for the ID.

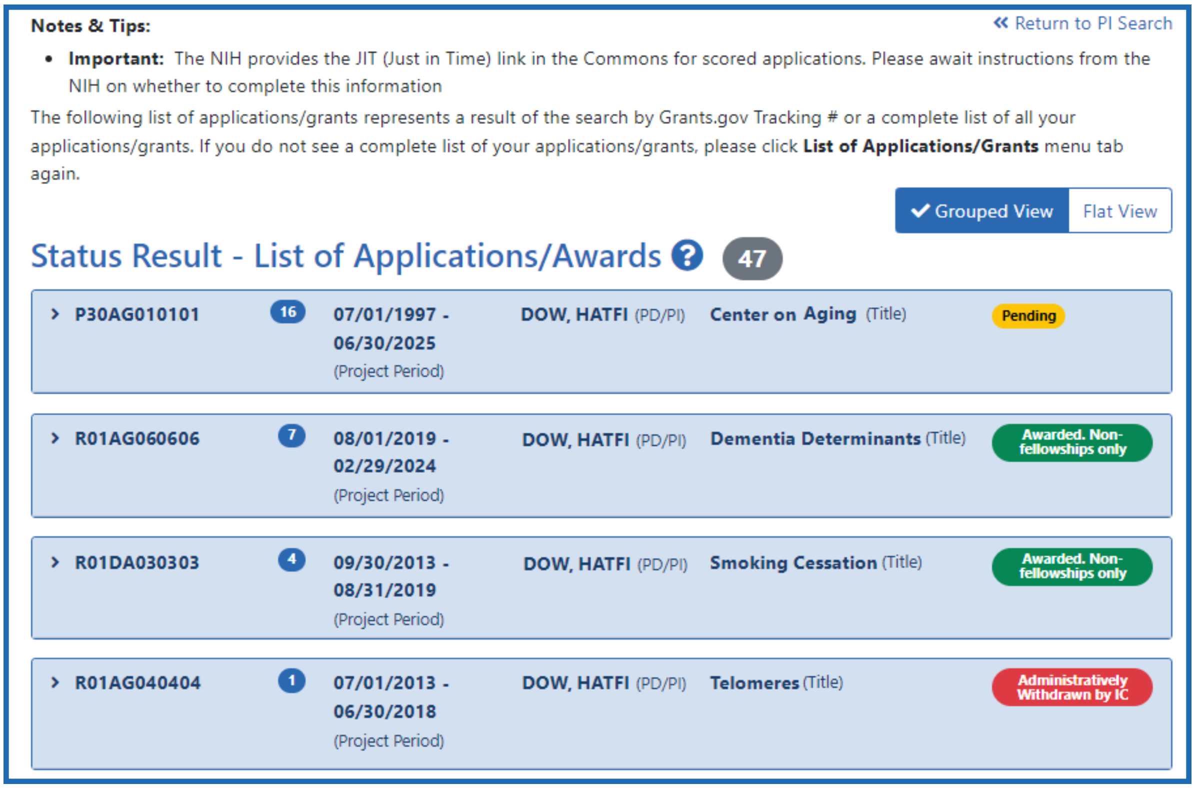


Figure 191: Status Result - List of Applications/Awards for PI

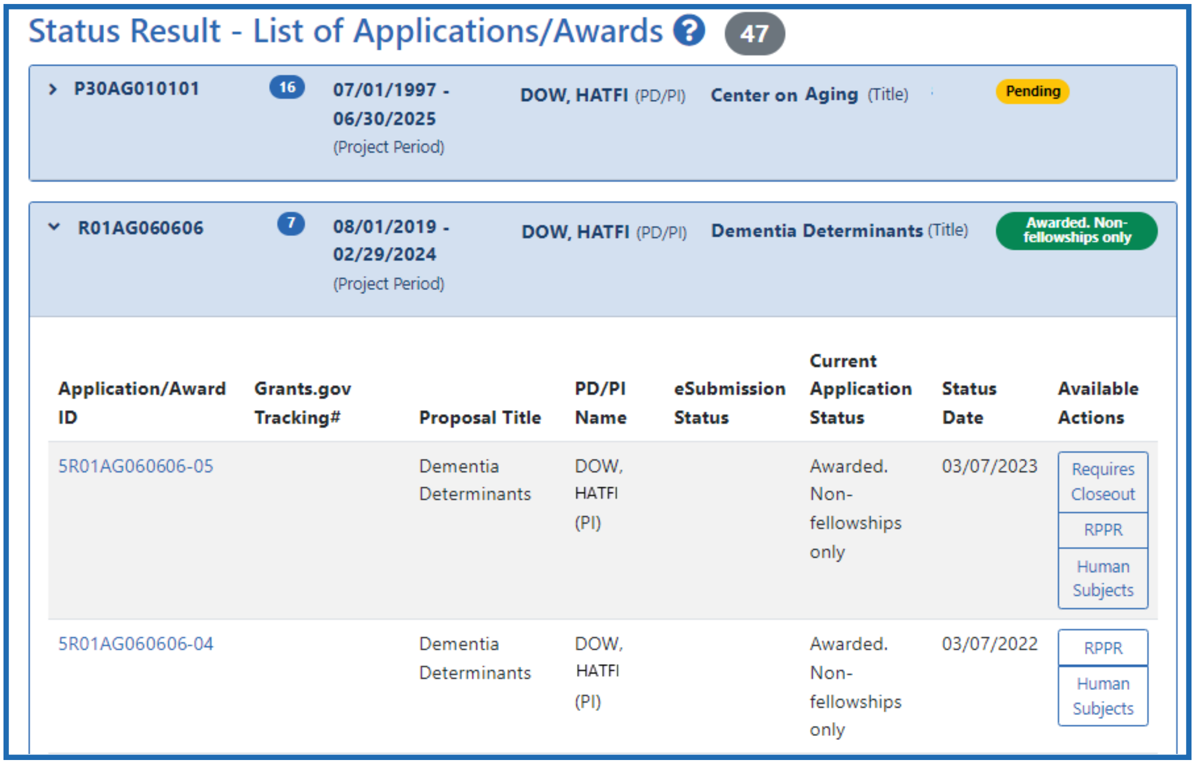


Figure 192: Sample of an expanded award/application on Status for PIs

Once expanded, the following information is displayed:

Application ID

The application ID is provided as a link, which when clicked opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. Refer to *Status Information* on page 491 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. To see a list of each application status, see https://www.era.nih.gov/docs/era_status_codes.pdf.

Status Date

The date on which the current status was set.

Available Actions (buttons)

Use the buttons in the actions column to access other modules or features within Commons. Available actions vary depending on the application. Possible actions include:

RPPR

Opens the *RPPR Menu* screen for editing or submitting a Research Performance Progress Report (RPPR). Refer to *Research Performance Progress Report (RPPR) Module* on page 313.

Public Access PRAM

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. Refer to *Research Performance Progress Report (RPPR) Module* on page 313.

Agency Requested PRAM

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting IC Requested PRAM. Refer to *Research Performance Progress Report (RPPR) Module* on page 313.

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. Clicking the link opens the *Just In Time* screen. Refer to *Just in Time (JIT) Screen* on page 540.

Extension

This link opens the No-Cost Extension (NCE) feature. Refer to *No-Cost Extension (NCE) for NIH Grants* on page 559.

Closed

This link opens the *Closeout Status* screen, which provides information on a closed grant. Refer to *Closeout Status* on page 581.

Requires Closeout

This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. Refer to *Closeout Status* on page 581.

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.

Human Subjects

Provides access to the Human Subjects System (HSS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about HSS via Status, refer to the separate Human Subjects System Online Help.

IMPORTANT: To submit inclusion enrollment data with a progress report, HSS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather than through the **Inclusion** link in the Status module. Refer to the NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide for more information.

TIP: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, click the **Return to PI Search** link at the top of the page.

Searching by Grants.gov Tracking Number

To search for an application by its Grants.gov tracking number, enter the tracking number (including the word 'GRANT'; example: GRANT12345678) into the **Tracking Number** field of the **Search by Grants.gov Tracking Num** section and click the **Search** button.

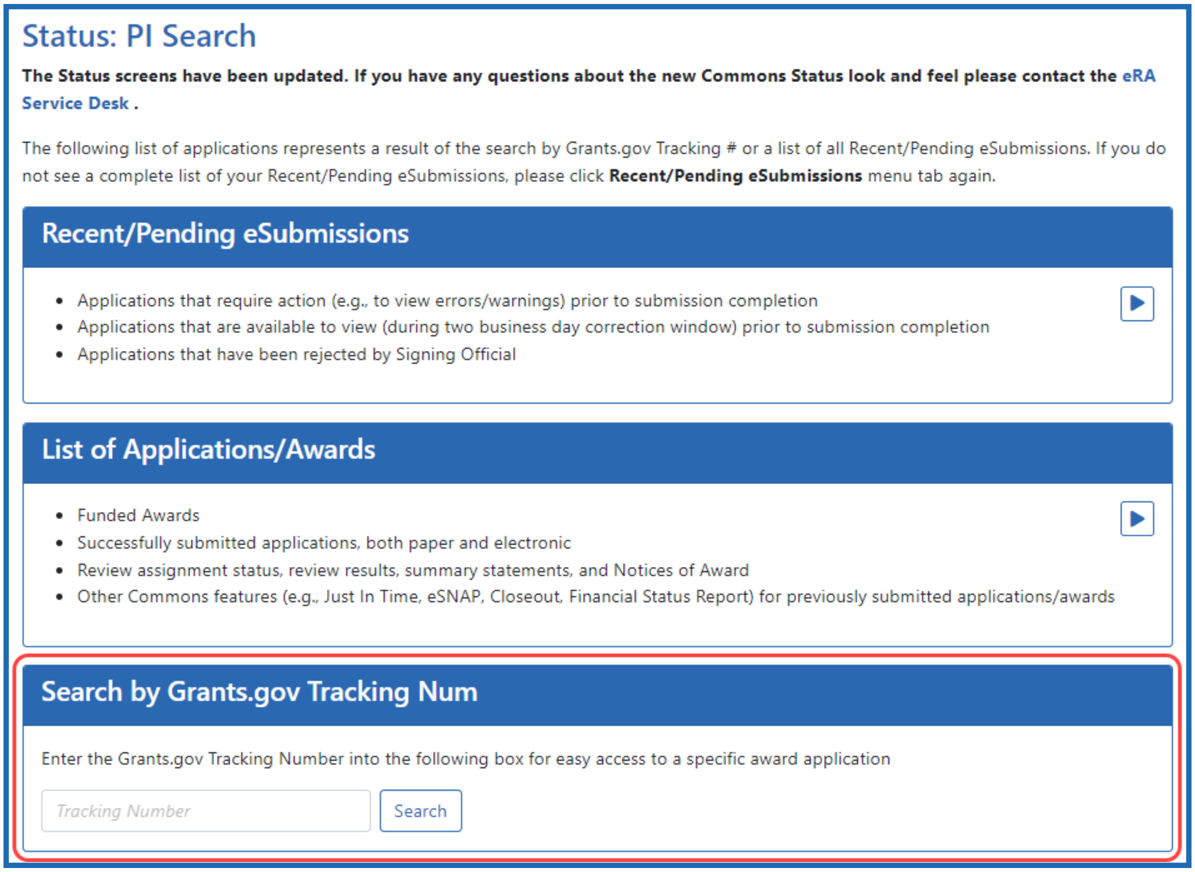


Figure 193: Search by Grants.gov Tracking Number

The *Status Result - List of Applications/Awards* screen returns only the application matching the entered tracking number. Action buttons for the award appear if applicable.

To return to the search screen, click the **Return to PI Search** link at the top of the page.

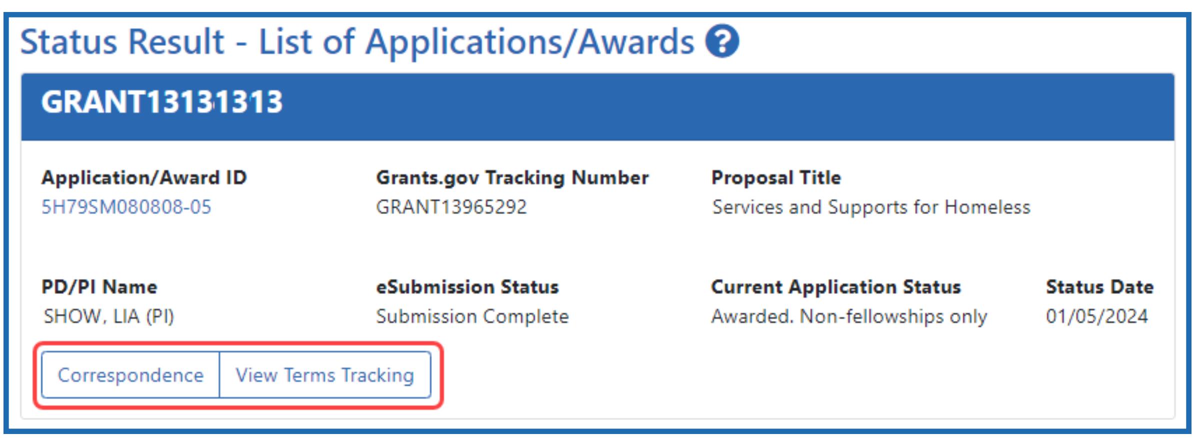


Figure 194: Grants.gov Tracking Number Search Results in Status with applicable action buttons outlined

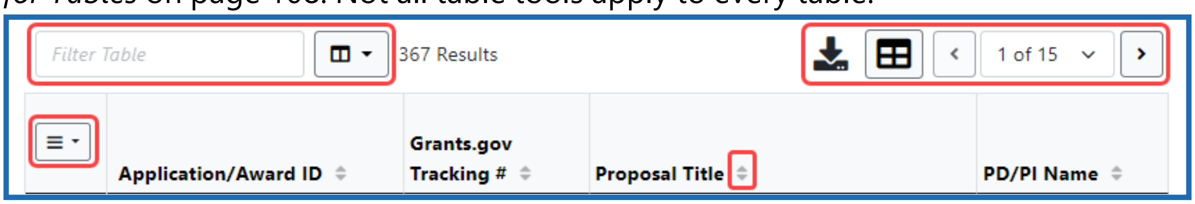
Using Status View for PIs

The PI view of Status shows applications and awards search results in either a **Grouped View** or a **Flat View** view, with a check mark next the current view. Click the view names to toggle between them.

Figure 195: Grouped View and Flat View buttons in Status for PIs

Flat view shows all applications and awards in a table of search results, while grouped view shows applications awards grouped by the grant family (related awards that share the same application/award ID).

TIP: Table tools might include the ability to: filter results; show/hide columns; download to Excel or print; specify number of visible records; navigate through tables of data; select and unselect records in bulk; and sort. Table tools are described in *Standard Tools for Tables* on page 108. Not all table tools apply to every table.



Click the **Application/Award ID** to open the **Status Information** screen.

How Does a PI Track Submission Status?

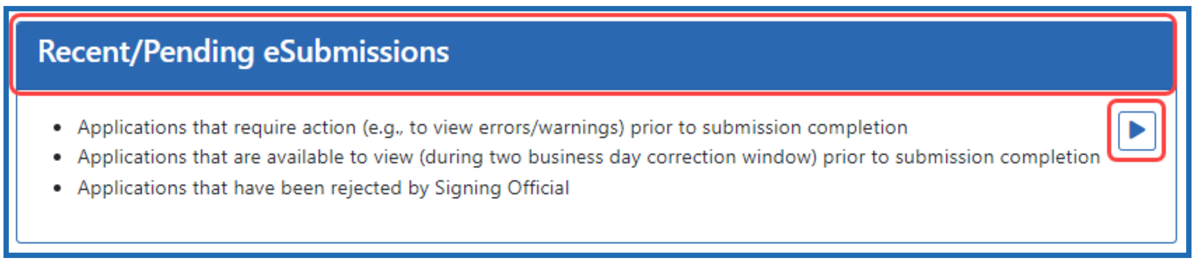
The designated *Contact PD/PI* can view status information relating to newly submitted applications during the "viewing window" (the first two business days after submission up to the submission deadline).

After the deadline, any applications which remains in the Pending status will also be visible.

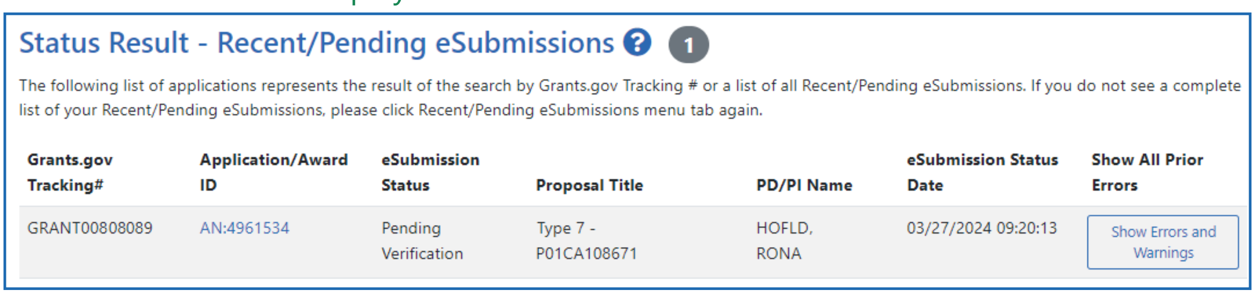
NOTE: A PI can grant a Commons user with the ASST role to access the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user does not have access to the links found in the **Action** column. See *Direct Delegations* on page 195 for information on delegating Status.

Steps to access status information:

1. Log in to eRA Commons with your principal investigator (PI) account username and password.
2. Navigate to the Status module and then expand the "Recent/Pending eSub- missions" search option by clicking its heading or arrow.



3. The next screen displays the search results.



Status Result - Recent/Pending eSubmissions 1

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

Grants.gov Tracking#	Application/Award ID	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors
GRANT00808089	AN:4961534	Pending Verification	Type 7 - P01CA108671	HOFLD, RONA	03/27/2024 09:20:13	Show Errors and Warnings

To return to the main Status screen, click the **Return to PI Search** link at the top of the page.

The following information is included in the table:

Grants.gov Tracking #

This is the number assigned when the application was submitted electronically to Grants.gov.

Application/Award ID

A unique value assigned to applications before an NIH grant number is assigned

eSubmission Status

This shows the status of approval for the application.

Proposal Title

This is the project name submitted on the application.

NOTE: In the **Proposal Title** field, the designation of NFP (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

Clicking **Show Errors and Warnings** opens the *Errors/Warnings for Prior Failed eSubmissions* screen and displays any errors or warnings received for the application during eSubmission.

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

1. Check the **eSubmission Status** column to determine if your application status is "*eSubmission Error*" or "*Pending Verification*" or "*Rejected*".

   NOTE: Errors *will* stop the submission process and require a change/corrected application but warnings will not. It is still critical to check the warning messages to ensure that the issue referenced does not apply to your application.

2. Use one of the two following methods to view the error messages and warnings.

- To view error messages and warnings, click the **Show Errors and Warnings** button from the **Show All Prior Errors** column to the right.
- **Method 2:** If status is "Pending Verification", select the Accession Number (AN:#######) displayed in the **Application/Award ID** column to open the *Status Information* page. Submission errors or warnings are displayed at the top of the *Status Information* page during the two day review period before the submission deadline. Refer to *Status Information* on page 491 for more information on this screen.

Bypassing the 2-Business-Day Application Viewing Window for Administrative Supplements

After submitting an application, signing officials (SO) normally have a two-business-day viewing window to check the application and revise or reject (withdraw) it. After the viewing window has elapsed, the application automatically becomes available to receipt and referral staff for further processing. While this viewing window is appropriate for competing applications, organizations submitting a non-competitive administrative supplement might want to skip the window and have the application available to be processed immediately.

NOTE: If the application is submitted just before the due date, then the viewing window only lasts until the actual due date/time, and thus will be less than two days.

To facilitate this, SOs can choose to bypass the two-business-day viewing window for non-competitive administrative supplement applications only. Signing officials use the *Status* module to search for the application and select the **Verify** action, which verifies that the organization wants the application to be immediately routed to receipt and referral staff.

After an SO bypasses the viewing window via the **Verify** action, the administrative supplement is immediately released to receipt and referral staff. Additionally, the PI, with a cc to the SO, receives an email notifying them of the bypass action and of submission. Once receipt and referral staff is done processing, the PI for the project will typically receive an email notification of rejections or acceptance.

See guide notice NIH Offers Ability to Bypass 2-Business Day Application Viewing Window as an Option for Administrative Supplements.

To bypass the two-day viewing window for an administrative supplement (SO only):

1. Log in to eRA Commons as a signing official.
2. Navigate to the Status module and select **Recent/Pending eSubmissions** from the **Search Type** dropdown.
   The *Recent/Pending Submission* search screen appears.
3. Enter criteria to find the application you wish to expedite and click **Search**.
   For instance, you could set the **Received Date Range** fields to include today's date or **eSubmission Status** to **Pending Verification**. Only administrative supplement applications submitted in the last two days include the **Verify** action.
4. On the application you wish to expedite, click the three-dot ellipsis menu and select **Verify**.

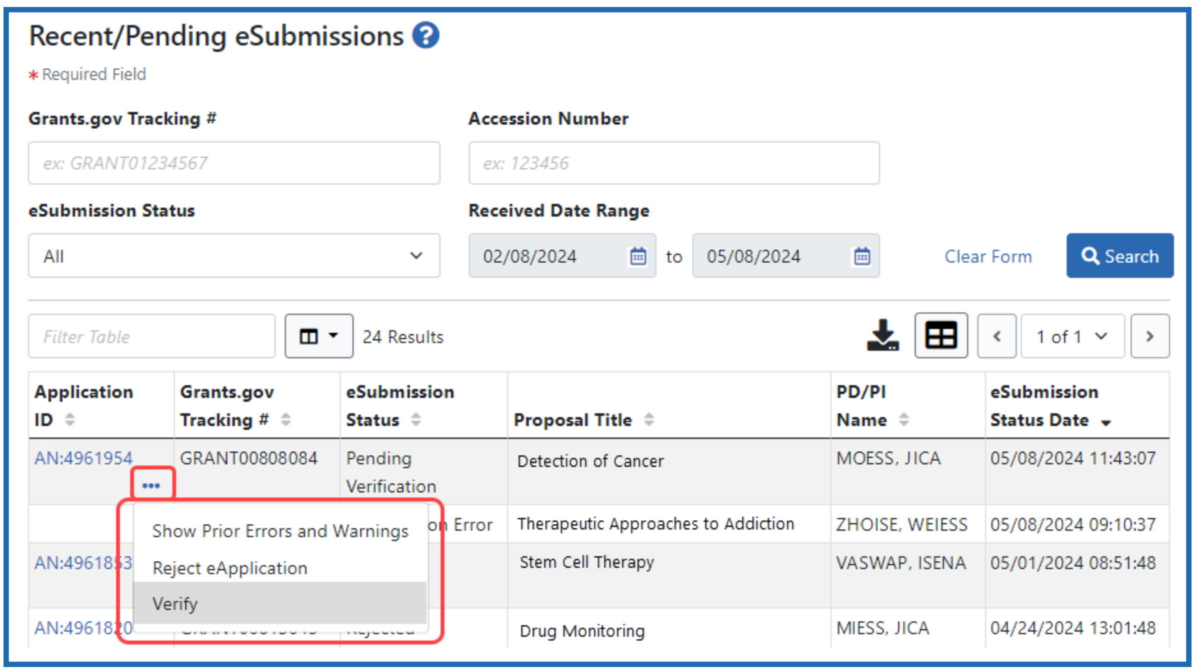
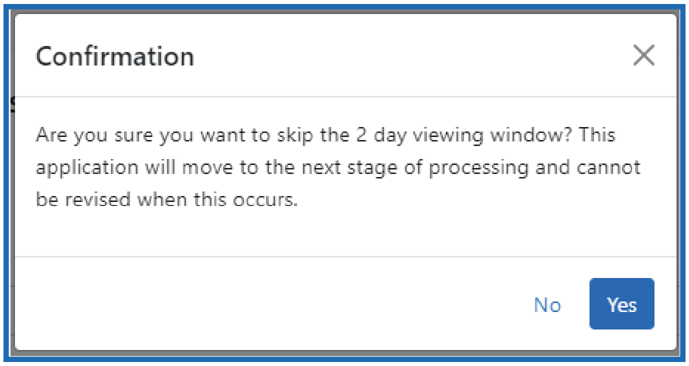


Figure 196: Recent/Pending eSubmissions search results showing Verify action

A popup asks you if you are sure you want to skip the two-day viewing window and warns that the application will move to the next stage of processing and cannot be revised.



5. Click **Yes** in the *Confirmation* popup window.

The administrative supplement immediately becomes available for agency staff to start processing the application.

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 clicking the **Application Number** (link) from any result screen in the Status module.

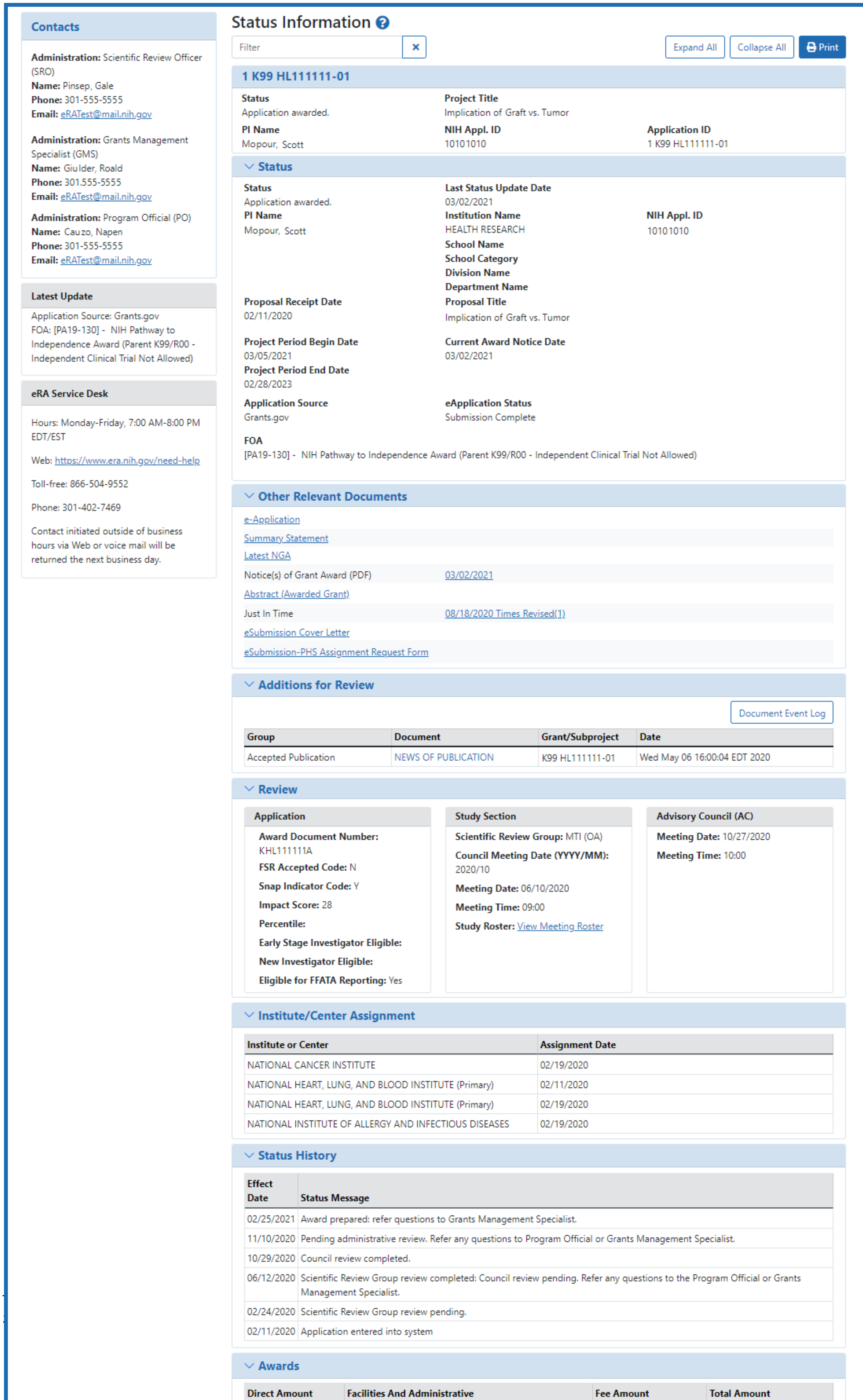

Contacts
Administration: Scientific Review Officer (SRO)
Name: Pinsep, Gale
Phone: 301-555-5555
Email: eRATest@mail.nih.gov
Administration: Grants Management Specialist (GMS)
Name: Giulder, Roald
Phone: 301.555-5555
Email: eRATest@mail.nih.gov
Administration: Program Official (PO)
Name: Cauzo, Napen
Phone: 301-555-5555
Email: eRATest@mail.nih.gov
Latest Update
Application Source: Grants.gov
FOA: [PA19-130] - NIH Pathway to Independence Award (Parent K99/R00 - Independent Clinical Trial Not Allowed)
eRA Service Desk
Hours: Monday-Friday, 7:00 AM-8:00 PM EDT/EST
Web: https://www.era.nih.gov/need-help
Toll-free: 866-504-9552
Phone: 301-402-7469
Contact initiated outside of business hours via Web or voice mail will be returned the next business day.
Status Information
Filter
Expand All
Collapse All
Print
1 K99 HL111111-01
Status
Application awarded.
Project Title
Implication of Graft vs. Tumor
PI Name
Mopour, Scott
NIH Appl. ID
10101010
Application ID
1 K99 HL111111-01
Status
Status
Application awarded.
Last Status Update Date
03/02/2021
PI Name
Mopour, Scott
Institution Name
HEALTH RESEARCH
NIH Appl. ID
10101010
School Name
School Category
Division Name
Department Name
Proposal Receipt Date
02/11/2020
Proposal Title
Implication of Graft vs. Tumor
Project Period Begin Date
03/05/2021
Current Award Notice Date
03/02/2021
Project Period End Date
02/28/2023
Application Source
Grants.gov
eApplication Status
Submission Complete
FOA
[PA19-130] - NIH Pathway to Independence Award (Parent K99/R00 - Independent Clinical Trial Not Allowed)
Other Relevant Documents
e-Application
Summary Statement
Latest NGA
Notice(s) of Grant Award (PDF) 03/02/2021
Abstract (Awarded Grant)
Just In Time 08/18/2020 Times Revised(1)
eSubmission Cover Letter
eSubmission-PHS Assignment Request Form
Additions for Review
Document Event Log
Group | Document | Grant/Subproject | Date
Accepted Publication | NEWS OF PUBLICATION | K99 HL111111-01 | Wed May 06 16:00:04 EDT 2020
Review
Application
Award Document Number: KHL111111A
FSR Accepted Code: N
Snap Indicator Code: Y
Impact Score: 28
Percentile:
Early Stage Investigator Eligible:
New Investigator Eligible:
Eligible for FFATA Reporting: Yes
Study Section
Scientific Review Group: MTI (OA)
Council Meeting Date (YYYY/MM): 2020/10
Meeting Date: 06/10/2020
Meeting Time: 09:00
Study Roster: View Meeting Roster
Advisory Council (AC)
Meeting Date: 10/27/2020
Meeting Time: 10:00
Institute/Center Assignment
Institute or Center | Assignment Date
NATIONAL CANCER INSTITUTE | 02/19/2020
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE (Primary) | 02/11/2020
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE (Primary) | 02/19/2020
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES | 02/19/2020
Status History
Effect Date | Status Message
02/25/2021 | Award prepared: refer questions to Grants Management Specialist.
11/10/2020 | Pending administrative review. Refer any questions to Program Official or Grants Management Specialist.
10/29/2020 | Council review completed.
06/12/2020 | Scientific Review Group review completed: Council review pending. Refer any questions to the Program Official or Grants Management Specialist.
02/24/2020 | Scientific Review Group review pending.
02/11/2020 | Application entered into system
Awards
Direct Amount | Facilities And Administrative | Fee Amount | Total Amount

Figure 197: Status Information Screen

The screen displays the following sections of information:

Contacts: Names, phone numbers, and email addresses for grant-related contacts. Contacts appears in the upper left.

The **Name**, **Phone**, and **Email** displays for the following contacts:

- Scientific Review Officer (SRO*)
- Grants Management Specialist (GMS)
- Program Official (PO)

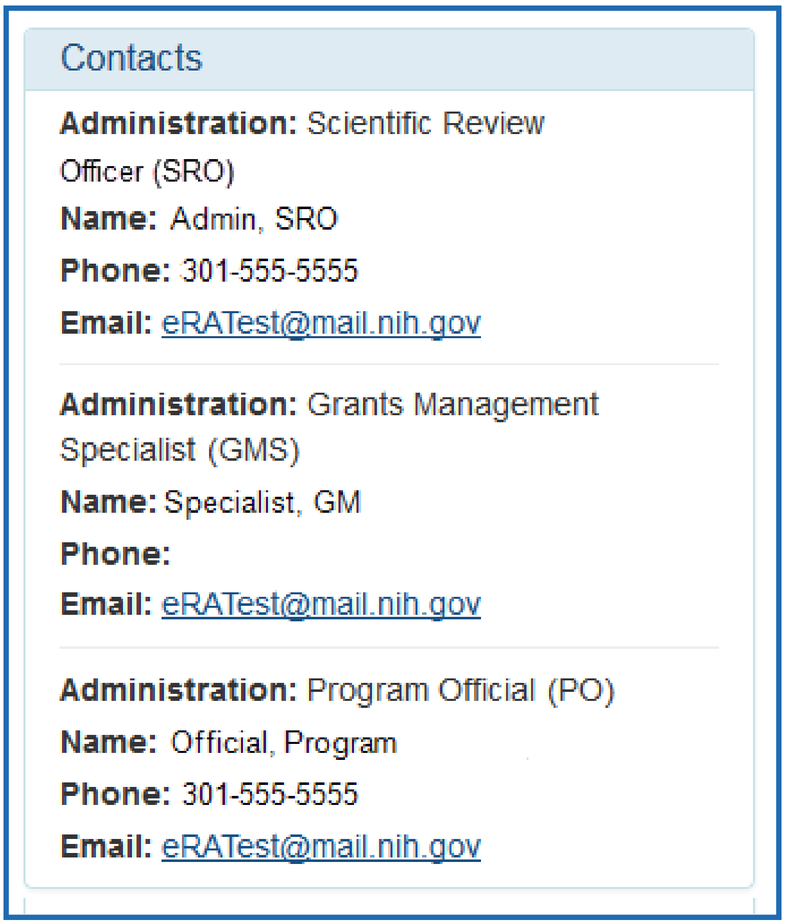
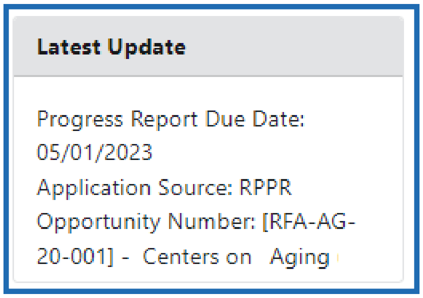


Figure 198: Contacts Section of Status Information

Latest Update: Displays the latest changes affecting the application.



eRA Service Desk: This section contains the contact information and operating hours for the Service Desk. The Service Desk can address most technical, functional, and account-related questions.

Screen Tools: Under the title of the screen (Status Information) is a row that contains tools to manage the screen content.

- **Filter** provides a text field that is used to search for specific content on the screen. This tool does not search the previously listed sections on the left of the page (Contacts, Latest Update, or eRA Service Desk)
- **Expand All** and **Collapse All** affects each of the sections under the screen title except the application information section. **Expand All** opens all of the remaining sections to show all of the contents of that section. **Collapse All** hides the content of those sections and only show the title of the section. This applies to;
  - Status
  - Other Relevant Documents
  - Additions for Review

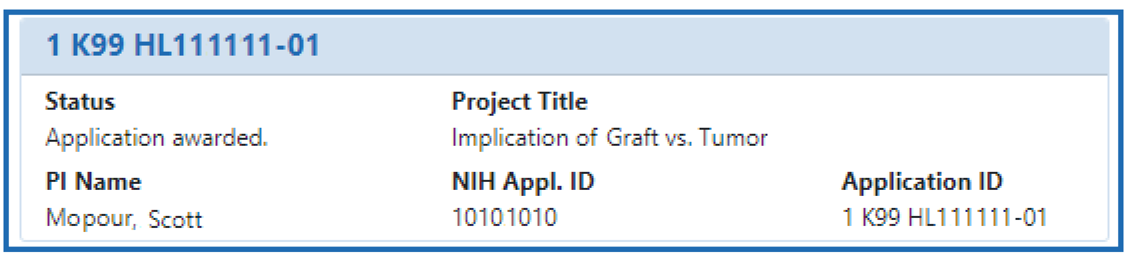
- Institute/Center Assignment
- Status History
- Awards
- Reference Letters

> **NOTE:** Individual sections may be expanded or collapsed individually.

- **Print** initiates a print of all of the content of the screen in a print-friendly format. The content in collapsible sections will print regardless of whether or not the sections are expanded or collapsed.

Application Information: At the top of the screen, under the screen tools, is a section which contains the following application information:

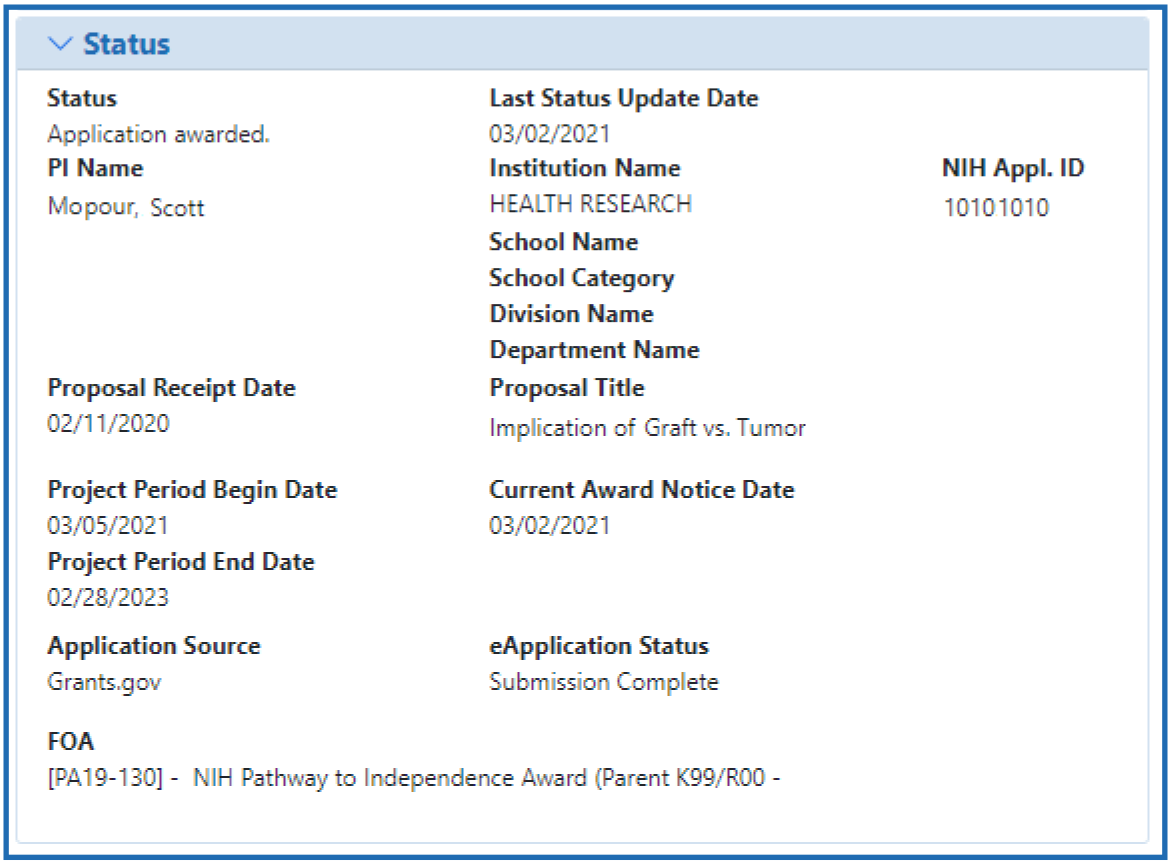
- Application number
- Status. To see a list of each application status, see https://www.era.nih.gov/docs/era_status_codes.pdf.
- Project Title
- PI Name
- NIH Appl. ID
- Application ID



Status: Includes basic information describing the current disposition of the application using the following data points:

- **Current Status of the Application.** For a list of possible application statuses, see **https://www.era.nih.gov/docs/era_status_codes.pdf.**
- **Last Status Update Date**
- **PI Name**
- **Institution Name**
- **NIH Appl. ID**
- **School Name**

- **School Category**
- **Division Name**
- **Department Name**
- **Proposal Receipt Date**
- **Proposal Title**
- **Project Period Begin Date**
- **Project Period End Date**
- **Current Award Notice Date**
- **Application Source**
- **eApplication Status**
- **FOA**

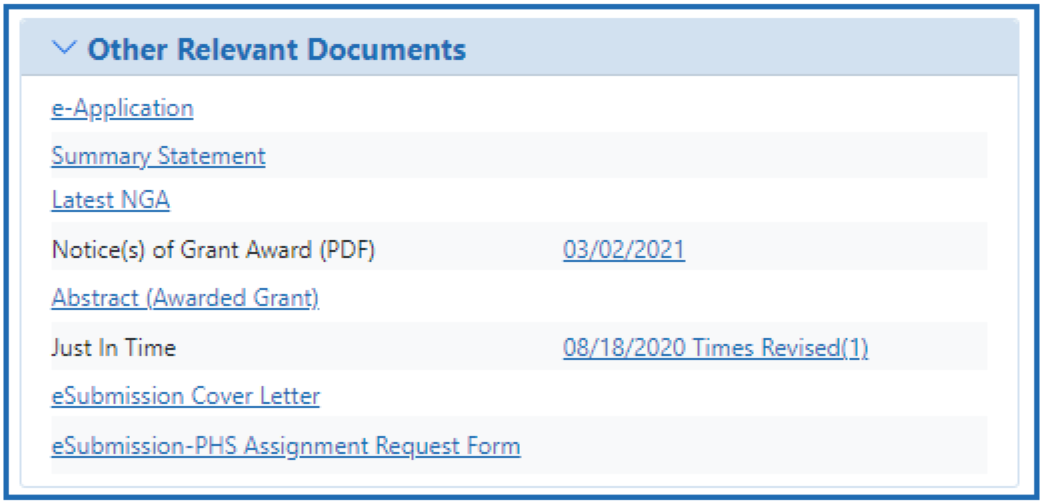


NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

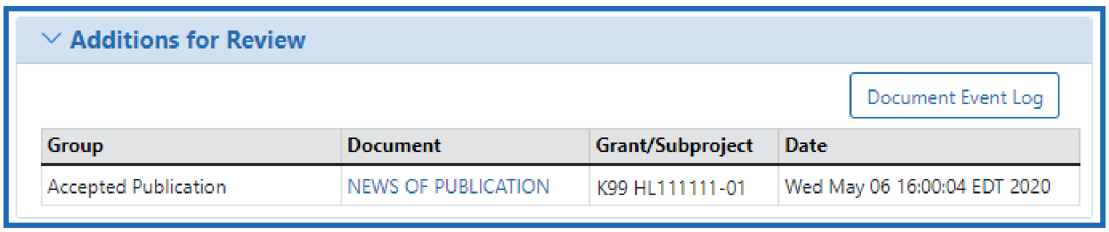
Other Relevant Documents: Includes links to grant-related documents.

The following links may be available within **Other Relevant Documents** depending on the application/grant:

- **Abstract**
- **Administrative Supplement(s)**
- **Appendix 1 – 10 Submitted File Name**
- **Closeout Final Report Additional Material Request (FRAM)**
- **Component Appendices**
- **e-Application**
- **Final Invention Statement**
- **Final Research Performance Progress Report (Final RPPR)**
- **Fellowship Proposal Face Page**
- **FRAM Submission**
- **Institute/Center Progress Report Additional Material Request**
- **Just in Time**
- **FFR/FSR**
- **Notices of Grant Award**
- **Multi Year Progress Report(s)**
- **Notices of Grant Award (PDF)**
- **Progress Report Face Page**
- **Progress Report Additional Material (PRAM)**
- **Relinquishing Statement(s)**
- **Research Performance Progress Report**
- **Summary Statement**
- **Unfunded Progress Report**
- **xTrain Training Appointment(s)**
- **xTrain Termination Notice(s)**



Additions for Review: Contains supplemental documents/files that were provided to the SRO to further support the application and/or individual sections.

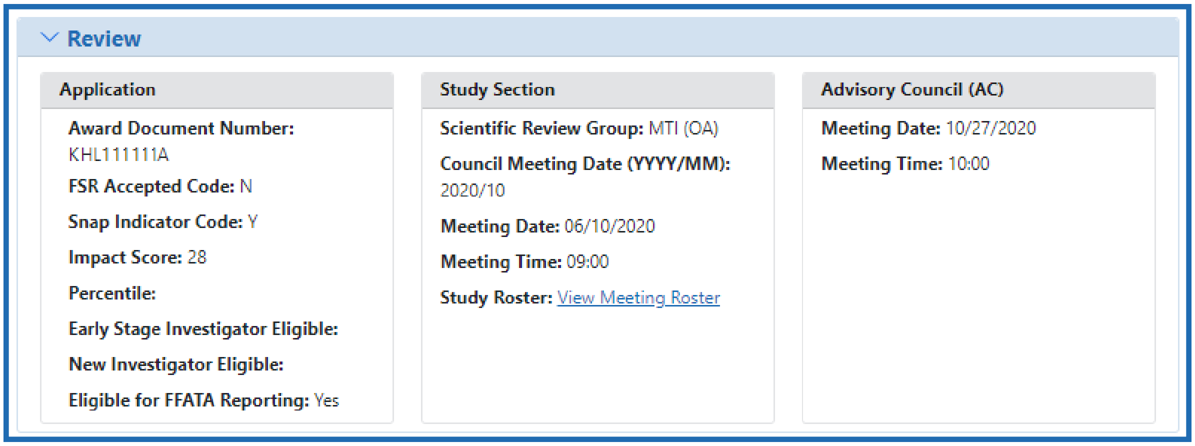


Group	Document	Grant/Subproject	Date
Accepted Publication	NEWS OF PUBLICATION	K99 HL111111-01	Wed May 06 16:00:04 EDT 2020

Review: This section contains the following subsections and content:

- **Application**:
  - Award Document Number
  - FSR Accepted Code
  - Snap Indicator Code
  - Impact Score (PI only)
  - Percentile (PI only)
  - Early Stage Investigator Eligible
  - New Investigator Eligible
  - Eligible for FFATA Reporting
- **Study Section**
  - Scientific Review Group
  - Council Meeting Date
  - Meeting Date
  - Meeting Time

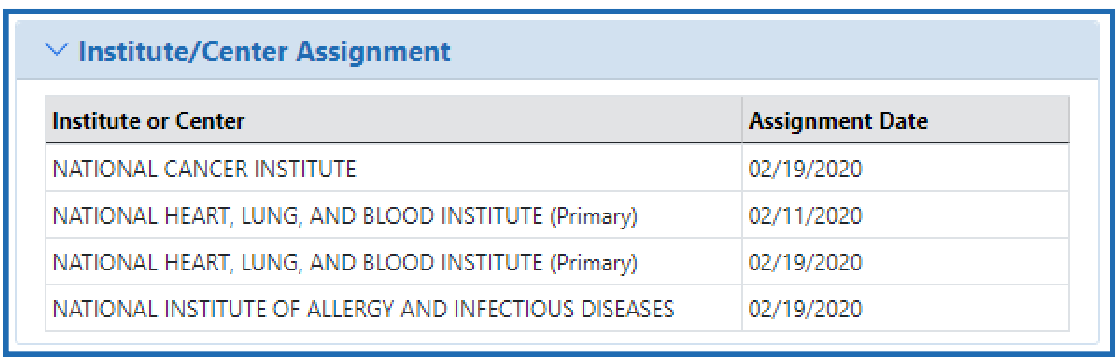
    - Study Roster: If available, a **View Meeting Roster** link opens a PDF of the meeting roster for the meeting who reviewed this application.
- **Advisory Council**
    - Meeting Date
    - Meeting Time



Institute/Center Assignment: Displays the assignment history for the application.

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

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


Institute/Center Assignment

Institute or Center	Assignment Date
NATIONAL CANCER INSTITUTE	02/19/2020
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE (Primary)	02/11/2020
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE (Primary)	02/19/2020
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES	02/19/2020

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

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

- **Effect Date**
- **Status Message**

Status History

Effect Date	Status Message
02/25/2021	Award prepared: refer questions to Grants Management Specialist.
11/10/2020	Pending administrative review. Refer any questions to Program Official or Grants Management Specialist.
10/29/2020	Council review completed.
06/12/2020	Scientific Review Group review completed: Council review pending. Refer any questions to the Program Official or Grants Management Specialist.
02/24/2020	Scientific Review Group review pending.
02/11/2020	Application entered into system

Awards: Details on awarded dollar amounts.

The following award dollar information is available:

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

Awards

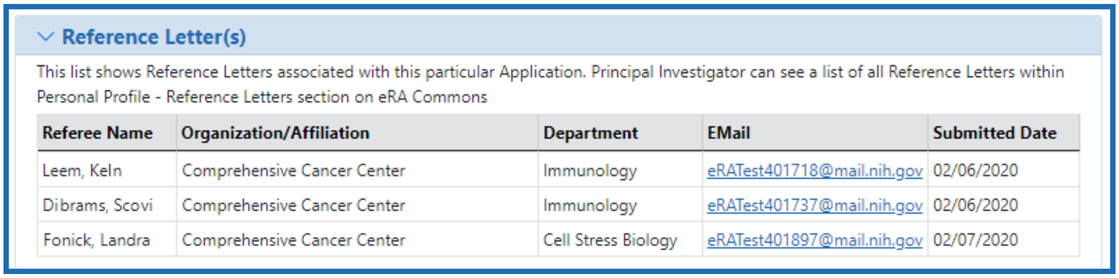
Direct Amount	Facilities And Administrative	Fee Amount	Total Amount
$109,133	$8,731	$0	$117,864

Reference Letter(s): A list of submitted references letters.

If there are associated reference letters, the following information is available.

- **Referee Name**
- **Organization Affiliation**
- **Department**
- **Email**

- **Submitted**

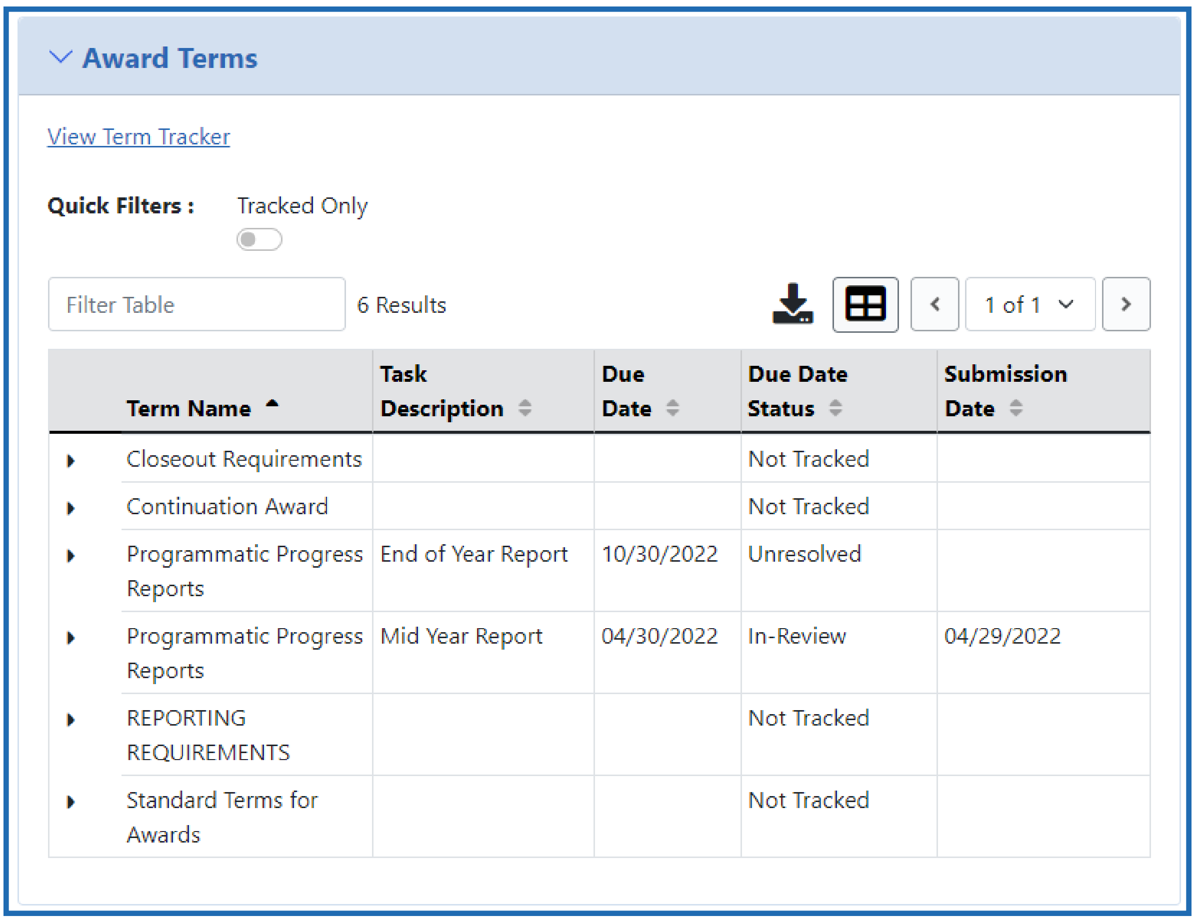

Reference Letter(s)

This list shows Reference Letters associated with this particular Application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons

Referee Name	Organization/Affiliation	Department	EMail	Submitted Date
Leem, Keln	Comprehensive Cancer Center	Immunology	eRATest401718@mail.nih.gov	02/06/2020
Dibrams, Scovi	Comprehensive Cancer Center	Immunology	eRATest401737@mail.nih.gov	02/06/2020
Fonick, Landra	Comprehensive Cancer Center	Cell Stress Biology	eRATest401897@mail.nih.gov	02/07/2020

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.

Award Terms. Optionally, an Award Terms section might appear.


Award Terms

View Term Tracker

Quick Filters : Tracked Only

Filter Table 6 Results 1 of 1

Term Name	Task Description	Due Date	Due Date Status	Submission Date
Closeout Requirements			Not Tracked	
Continuation Award			Not Tracked	
Programmatic Progress Reports	End of Year Report	10/30/2022	Unresolved	
Programmatic Progress Reports	Mid Year Report	04/30/2022	In-Review	04/29/2022
REPORTING REQUIREMENTS			Not Tracked	
Standard Terms for Awards			Not Tracked	

If you click Term Tracker, you see the View Terms Tracking Details screen; see *Viewing Award Terms Tracking from Status Module*.

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

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.

See the **Additions for Review** section of *Status Information* to see additional material. This screen provides links to the additional material along with other associated information.

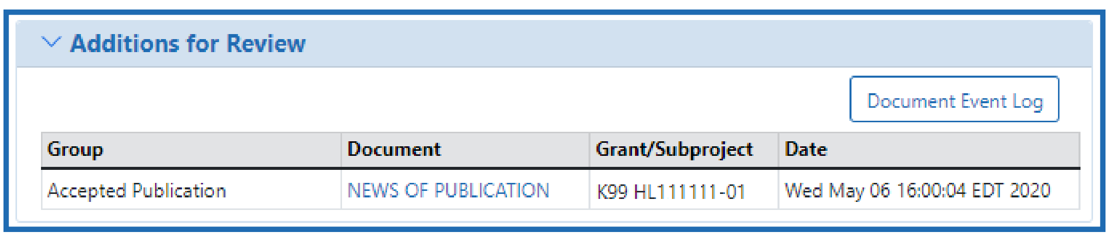


Figure 199: Additions for Review from Status Information

In 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.

- **Grant/Subproject**

  Displays the award number.

- **Date**

  The date the document was uploaded.

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

Administrative Supplements

Clicking 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.

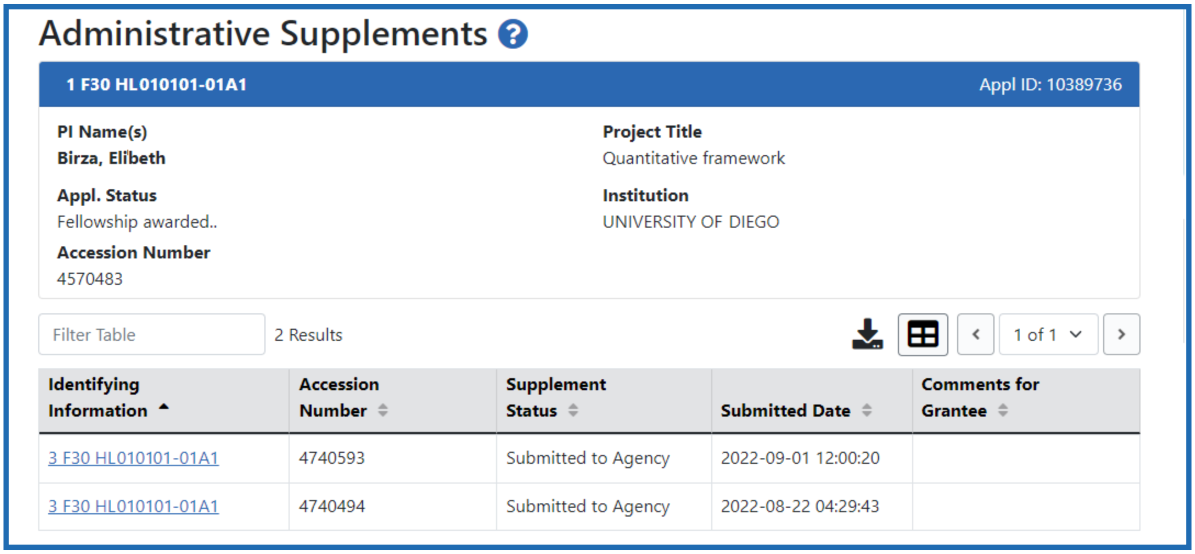


Figure 200: Administrative Supplements from Status Information Screen

Below this section, you can find information specific to the administrative supplements, displayed in a table format.

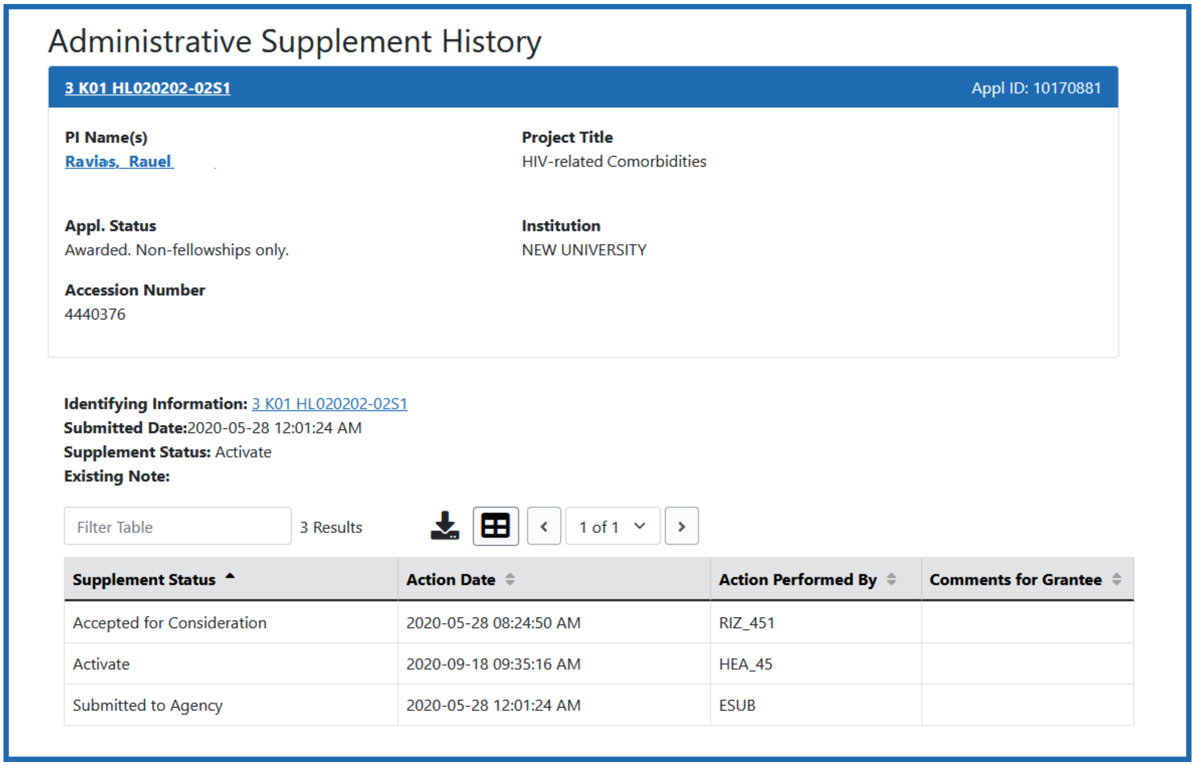
The table includes the following columns of information:

- **Identifying information**

  Displays the grant number as a link, which opens the *Administrative Supplement Request* PDF.

- **Accession Number.** A unique value assigned to applications before an NIH grant number is assigned
- **Supplement Status**
- **Submitted Date**
- **Comments for Grantee**

Clicking the **Administrative Supplement History** link from the **Other Relevant Documents** section of *Status Information* opens the *Administrative Supplement History* screen. This screen provides read-only history of administrative supplements created for the particular grant.


Administrative Supplement History

3 K01 HL020202-02S1 Appl ID: 10170881

PI Name(s)
Ravias, Rauel

Project Title
HIV-related Comorbidities

Appl. Status
Awarded. Non-fellowships only.

Institution
NEW UNIVERSITY

Accession Number
4440376

Identifying Information: 3 K01 HL020202-02S1
Submitted Date:2020-05-28 12:01:24 AM
Supplement Status: Activate
Existing Note:

Filter Table 3 Results 1 of 1

Supplement Status	Action Date	Action Performed By	Comments for Grantee
Accepted for Consideration	2020-05-28 08:24:50 AM	RIZ_451	
Activate	2020-09-18 09:35:16 AM	HEA_45	
Submitted to Agency	2020-05-28 12:01:24 AM	ESUB	

Viewing Agency Requested PRAM from Status Information

After submitting Agency Requested PRAM, users can view the PRAM via the Status Information screen.

To see submitted PRAM via the Status Information screen:

1. Use the Status module to look up an award.
2. Click the award/application ID, which opens the award or application's *Status Information* screen.
3. Under **Other Relevant Documents**, click the PRAM link.

The Progress Report Additional Materials file opens as a PDF document. The file has a header for each PRAM submission followed by the documents that were uploaded and submitted. If multiple submissions of PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions

Viewing Public Access PRAM for Multi-Year Funded Awards

Agency-Specific Instructions: Department of Commerce (DOC). Public Access PRAM is not applicable for DOC awards.

After submitting Public Access PRAM for multi-year funded awards, users can view the PRAM via the *Status Information* screen.

To see submitted PRAM via the Status Information screen:

1. Use the Status module to look up an award.
2. Click the award/application ID, which opens the award or application's *Status Information* screen.
3. Under **Other Relevant Documents**, click the PRAM link.

The Progress Report Additional Materials file opens as a PDF document. The file has a header for each PRAM submission followed by the documents that were uploaded and submitted. If multiple submissions of PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions.

Viewing a Submitted Relinquishing Statement from Status Information (PI or SO)

A relinquishing statement is part of the Change of Institution process allowing an extramural grantee institution to transfer an active grant to another institution.

Once a relinquishing statement has been submitted to the agency, you can view a read-only version of it from the Commons *Status Information* screen. SOs can also view the relinquishing statement by searching in Status using the **Relinquishing Statement** search type and then selecting the **Search for Awards** option, then selecting the **View Relinquishing Statement** action on a grant; see *Deleting a Relinquishing Statement or Viewing a Read-Only Copy (SO)* on page 732.

To view the submitted form via the *Status Information* screen:

1. On any Status search screen (for PI or SO), search for an award that you know has a submitted relinquishing statement.
2. For the award, click the **Application/Award ID**, which takes you to the *Status Information* screen.

   The *Status Information* screen appears.

2. From the *Status Information* screen, click the **Relinquishing Statement** link under Other Relevant Documents.

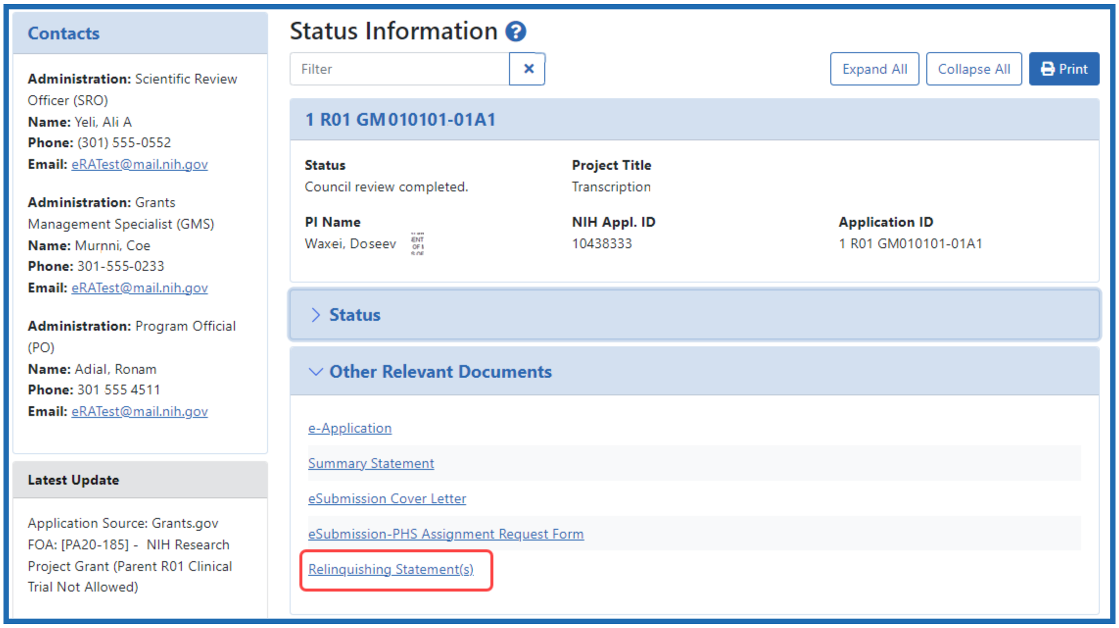


Figure 201: Status Information Screen Displaying the Relinquishing Statement link

The *Relinquishing Statements* screen appears.

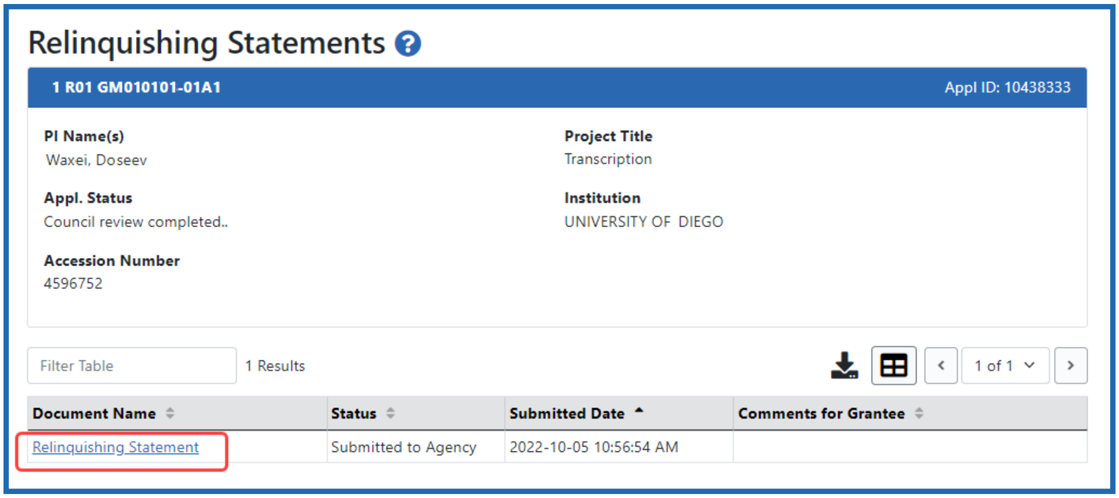


Figure 202: Relinquishing Statements Screen

3. Click the **Relinquishing Statement** link to view the Relinquishing Statement PDF.

Closeout FRAM Requests

Clicking the link for Closeout Final Report Additional Materials (FRAM) Request in the **Other Relevant Documents** section of *Status Information* opens the *Closeout FRAM Requests* screen. You can see your submitted FRAM documents either by clicking the Latest FRAM <date> link in Other Relevant Documents, or by clicking the linked date on the Closeout FRAM Requests screen below.

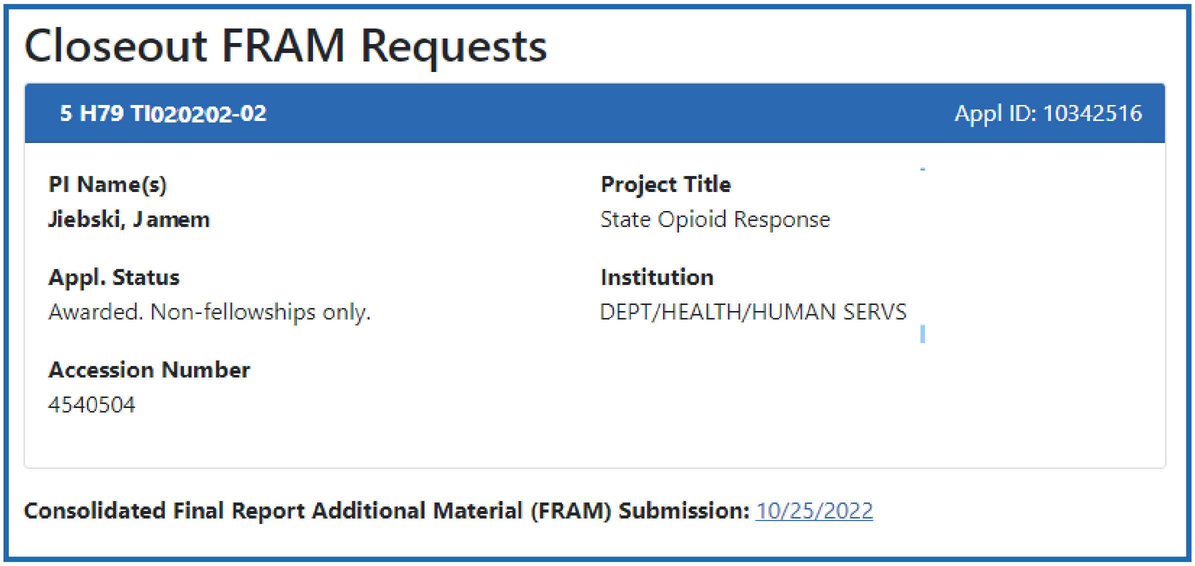


Figure 203: Closeout FRAM Requests from Status Information

Department of Commerce (DOC) Processes

Accepting or Declining a DOC Award

Department of Commerce (DOC) awardees are required to formally accept or decline an award after receiving the Notice of Award. By accepting an award, the awardee institution agrees to all Terms and Conditions provided in the Notice of Award.

Only a signing official (SO) can accept or decline an award on behalf of the awardee institution. The SO has the opportunity to enter comments for agency personnel when either accepting or declining an award (optional).

To review the Notice of Award prior to accepting its terms, an SO can search for the award via the Status module, and then click the linked **Application/Award ID**. This opens the *Status Information* on page 491 screen for the award. Check for the Notice of Award in the *Other Relevant Documents* section.

This procedure is for DOC awards only. Non-DOC awards do not require formal acceptance; drawing funds on the award is considered acceptance.

Agency-Specific Instructions: Department of Commerce (DOC) users: Please see Applicant and Grantee Training for more information (https://www.-commerce.gov/ocio/programs/gems/applicant-and-grantee-training).

Accepting or Declining a DOC Award

Only a signing official can accept or decline an award.

1. Log in to eRA Commons; see *Logging into eRA Commons* on page 62.
2. Navigate to the **Status** module.
3. Use Status search options to search for the award; see *Status Search for SOs* on page 458.

   For instructions on how to use the **Awarding Office/IC** button to limit searches to specific grantor organizations, see *Searching for Awards by Awarding Office/IC (Search Criteria)* on page 116.
4. In Status search results, click the award's three-dot ellipsis menu and select **Accept/Decline Award**.

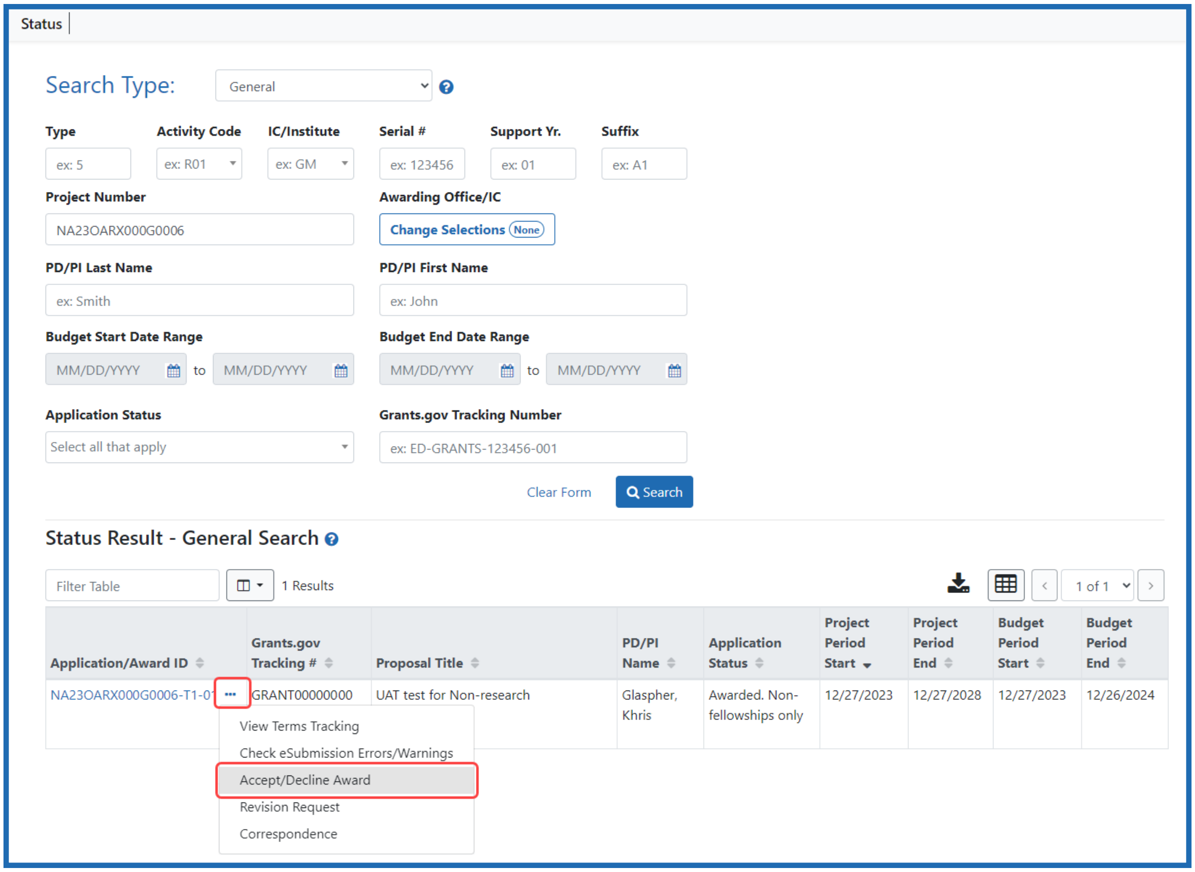


Figure 204: Accept/Decline Award option in Status search results under three-dot ellipsis menu

The *Accept or Decline Award* screen appears.

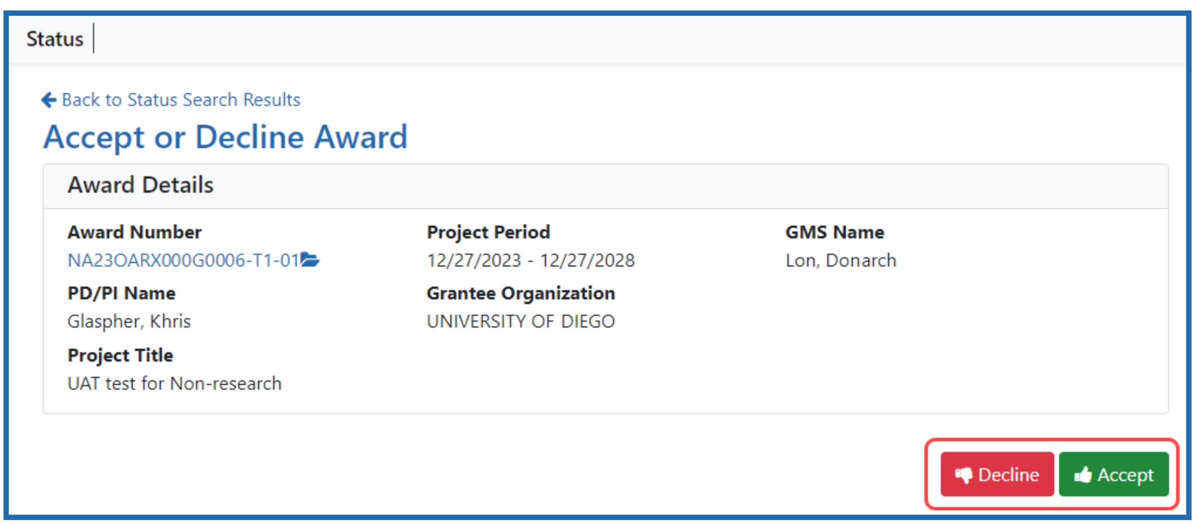


Figure 205: Accept or Decline Award screen with Decline and Accept buttons outlined

5. Click either the **Accept** or **Decline** button.

   You see one of the following popups.

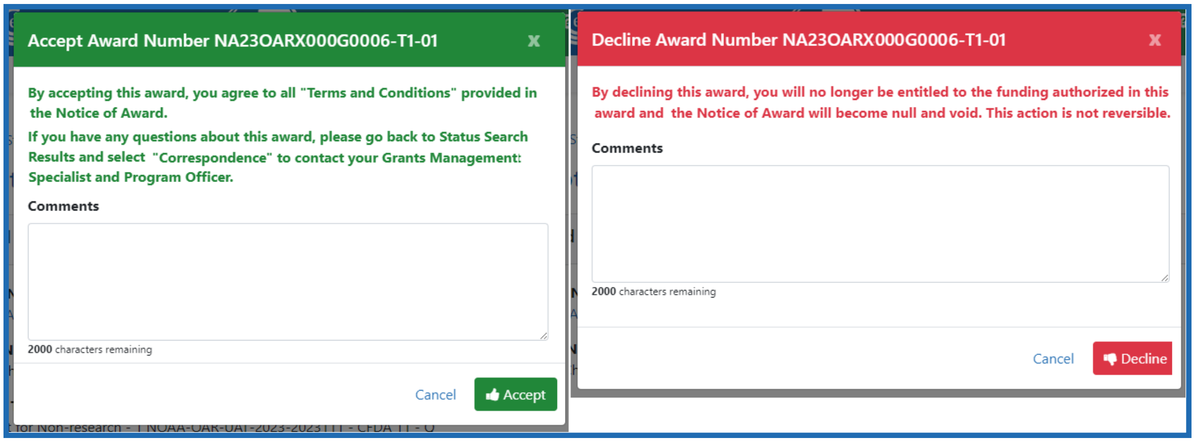


Figure 206: Accept Award and Decline Award popups

6. Optionally enter comments to agency personnel and click the **Accept** or **Decline** button in the popup.

A green success banner appears on the *Accept or Decline Awards* screen and the **Accept** and **Decline** buttons are now grayed out (disabled).

Revision Requests for DOC Awards

Department of Commerce awardees can initiate a revision request to make changes to an existing award. DOC awardees fill out a form, providing a description and justification for the change, and then submit the form for the awarding agency's evaluation. This feature is for Department of Commerce awardees only. This feature can be used to assign a principal investigator/program director (PI/PD) to an award.

To make a change to an existing award, a DOC awardee signing official uses the Status module to search for the award, and then chooses **Revision Request** from the award's three-dot ellipsis menu in the search results.

Agency-Specific Instructions: For NOAA grant recipient user resources, see https://www.noaa.gov/organization/information-technology/grant-recipient-user-resources

DOC users: Please see Applicant and Grantee Training for more information (https://www.commerce.gov/ocio/programs/gems/applicant-and-grantee-training).

Types of Revision Requests

The following types of revisions are available for DOC awards. Use 'Other' for any revision request that is not covered in the list. Other revision requests generate a request that requires approval by either the Program Office or the Grants Office. Items with an asterisk (*) indicate that if approved, the request would result in a new Notice of Award (NoA) being generated and sent to the awardee. For information on Research Terms and Conditions, see https://www.nsf.gov/awards/managing/rtc.jsp.

- *No Cost Extension - Prior Approval Required
- No Cost Extension - Prior Approval Waived (Research Terms and Conditions)
- Extension to Closeout
- *Change in Scope
- Change in Principal Investigator / Project Director
- Foreign Air Carrier for Travel
- Change in Key Person Specified in the Application
- Disengagement for More Than 3 Months, or 25% Reduction by Project Director or PI
- Satisfy Specific Conditions
- Inclusion of Costs Requiring Prior Approval in Cost Principles
- Transfer of Funds Budgeted for Participant Support Costs to Other Categories of Expense

- *Subaward, Transfer or Contract Out Work Under the Award if Not Described in the Approved Application
- Rebudget - Prior Approval Required
- Rebudget - Prior Approval Waived (Research Terms and Conditions)
- Pre-Award Costs More than 90 Days
- *Termination by Consent
- Submit Additional Closeout Documents
- ASAP Drawdown Request (ASAP Vendors Only)
- Other

Accessing the Revision Request Option in Status

1. Log in to eRA Commons; see *Logging into eRA Commons* on page 62.
2. Navigate to the **Status** module.
3. Signing officials use Status search options to search for the award; see *Status Search for SOs* on page 458.
4. In Status search results, click the award's three-dot ellipsis menu and select **Revision Request**.

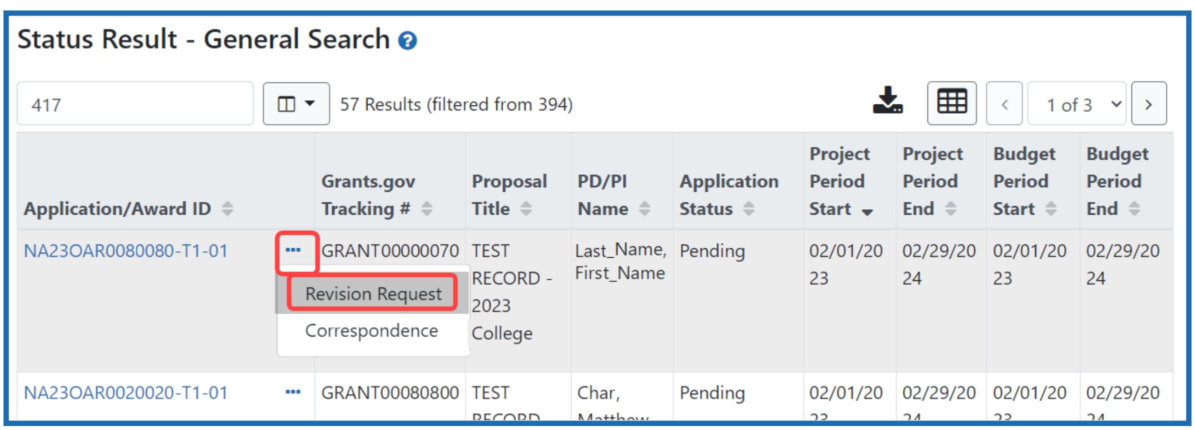


Figure 207: Revision Request option in Status search results under three-dot ellipsis menu

Initiating and Submitting a Revision Request

Revision requests are available for DOC awards only. You can work on a revision request and save it without submitting it. See the next section, *Editing a Current Revision Request That's Not Yet Submitted* on page 517, to learn how to access a previously saved (but not yet submitted) revision request.

To initiate a revision request:

1. Access Revision Request for an award; see *Accessing the Revision Request Option in Status* on page 514.

   The *Revision Request List* screen appears. If there are revision requests in progress, they are listed here.

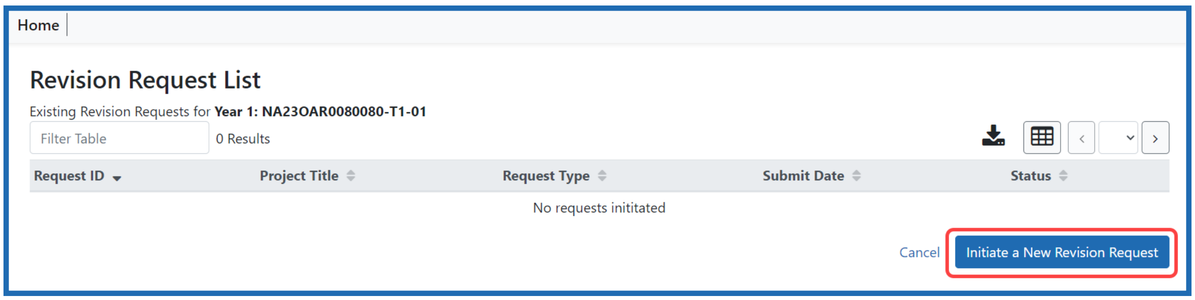
   

   Figure 208: Revision Request List screen with Initiate a New Revision Request button outlined in red

2. Click the **Initiate a New Revision Request** button to initiate a new request.

   The *Revision Request* screen appears.

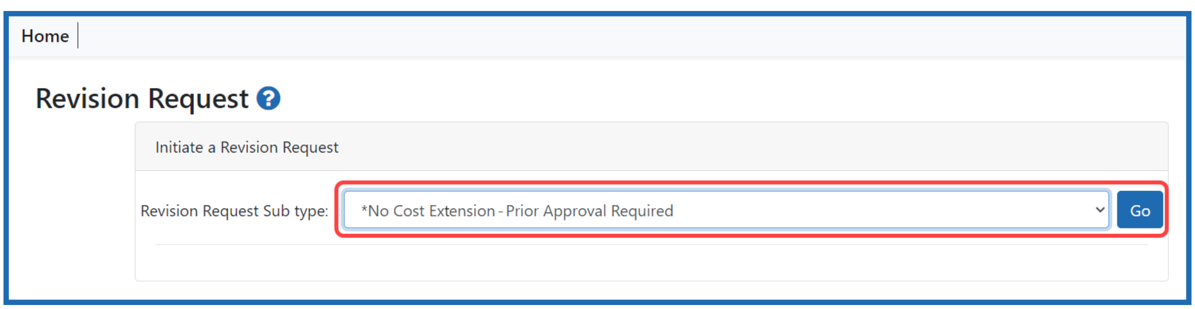
   

   Figure 209: Revision Request screen showing Revision Request Sub type dropdown

3. Choose a request type from the **Revision Request Sub type** dropdown and click the **Go** button.

   The *Revision Request - Modify Request* screen appears. All types of revision requests have the same fields on the *Modify Request* screen. The **Description** and **Justification** fields are required for all requests.

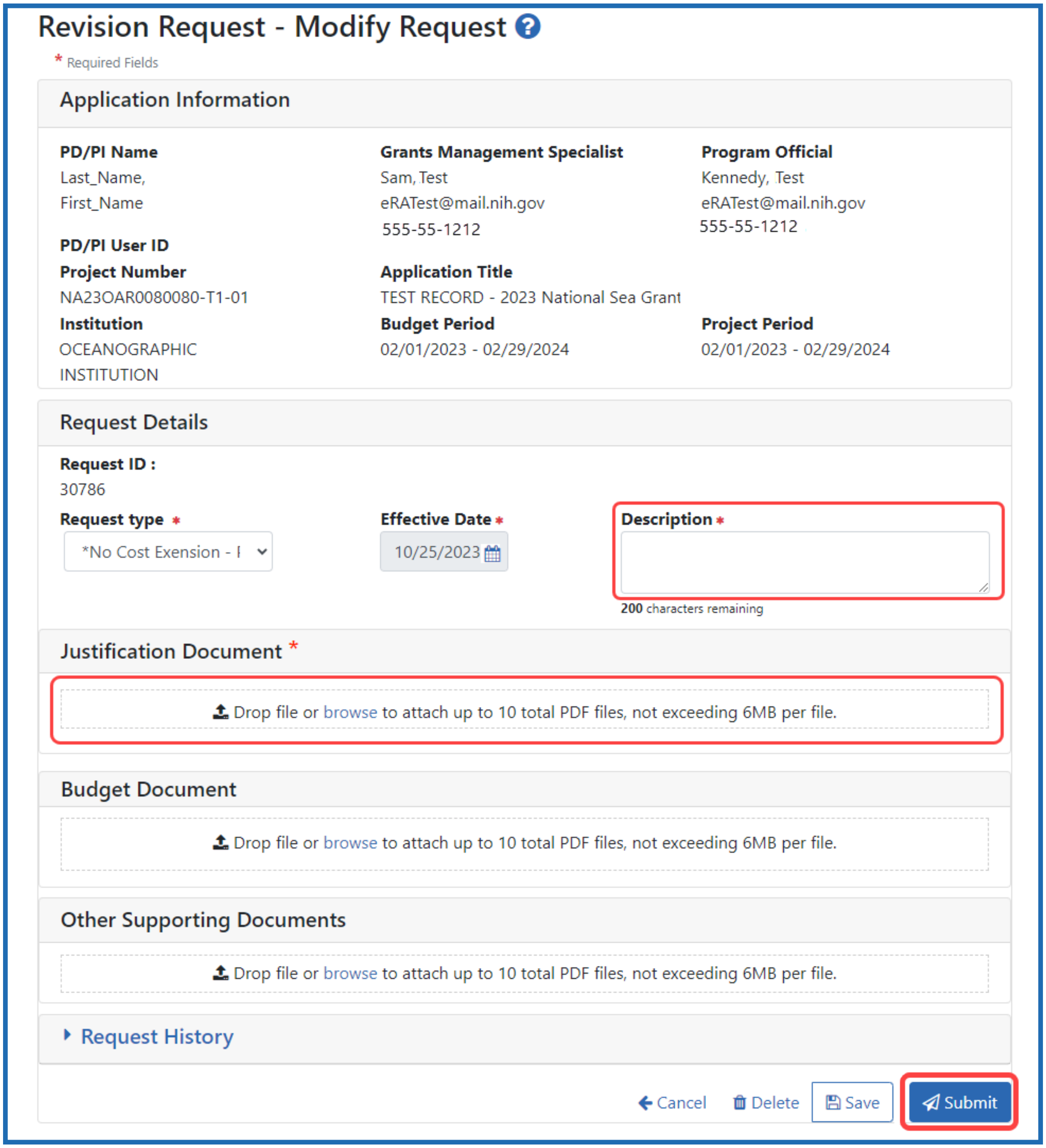


Figure 210: The Request - Modify Request screen, with required Description and Justification fields outlined in red

4. Fill out the required fields (which have a red asterisk) and any optional fields. The Justification document is required. You can upload up to 10 files per upload type (10 for Justification, 10 for Budget, and so on.) Request History contains a record of when you or other colleagues previously saved the request.

5. Save or Submit the request.

   - To save the information and come back to it later, click **Save**. If you save it, you can edit and submit it later; see *Editing a Current Revision Request That's Not Yet Submitted* on page 517.

   - To submit it to the awarding agency for consideration, click **Submit**. A *Confirmation* popup appears; click **Yes**. A green bar appears on the *Revision Request List* screen indicating successful submission.

Editing a Current Revision Request That's Not Yet Submitted

If you or a colleague previously started a revision request but saved (not submitted) it, you can go back to it and edit it. Then you can save or submit it.

1. Access Revision Request for an award; see *Accessing the Revision Request Option in Status* on page 514.

   The *Revision Request List* screen appears. Existing in-progress revision requests are listed here.

Figure 211: Continue with Request option in Status search results under the three-dot ellipsis menu

2. Click the three-dot ellipsis menu for an existing request and select **Continue with Request**.

The *Revision Request - Modify Request* screen appears.

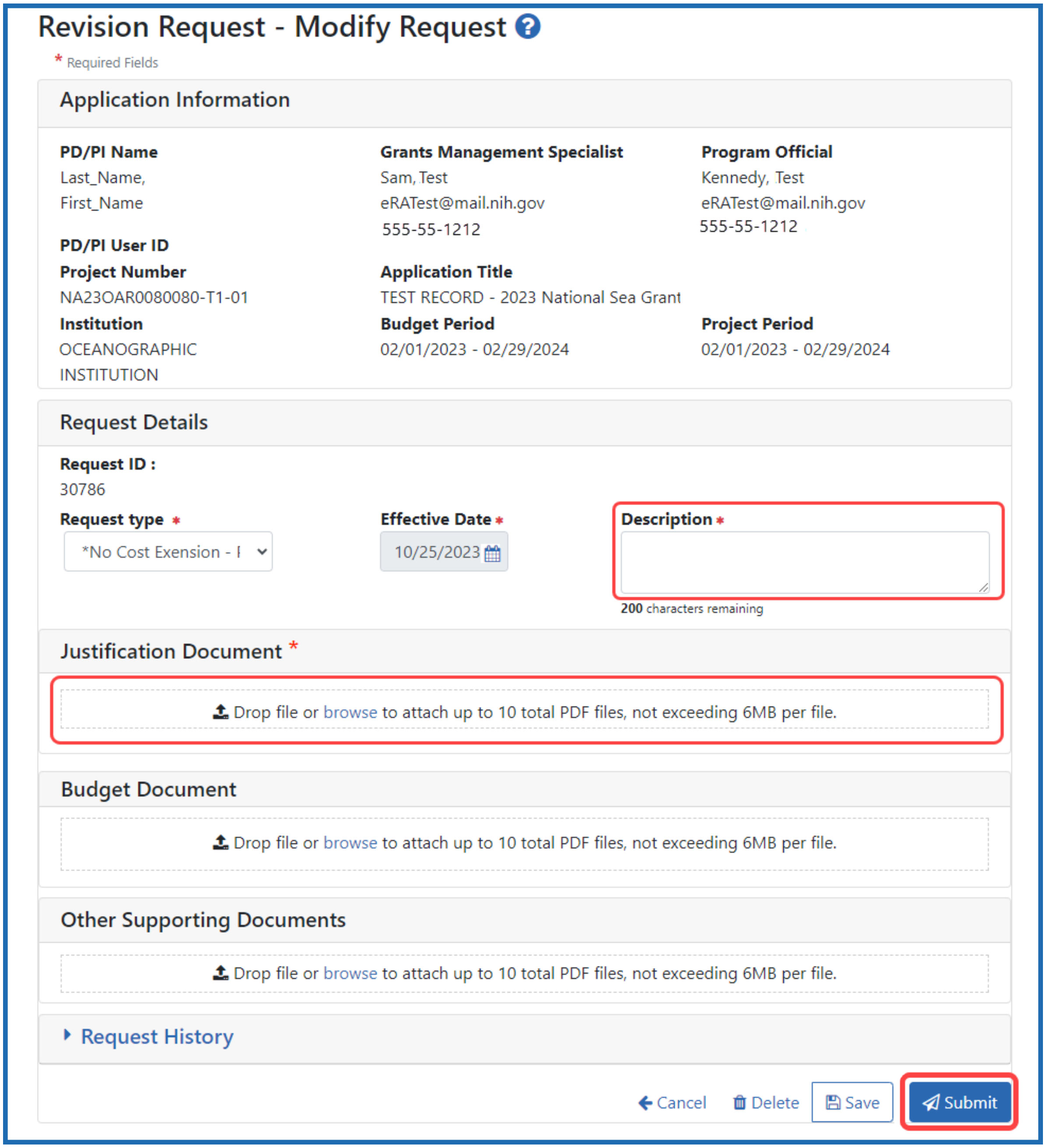


Figure 212: The Request - Modify Request screen, with required Description and Justification fields outlined in red

3. Fill out or edit the required fields (which have a red asterisk) and any optional fields.

4. You can view or remove uploaded files by clicking an uploaded file's three-dot ellipsis menu and selecting **View** or **Delete**.

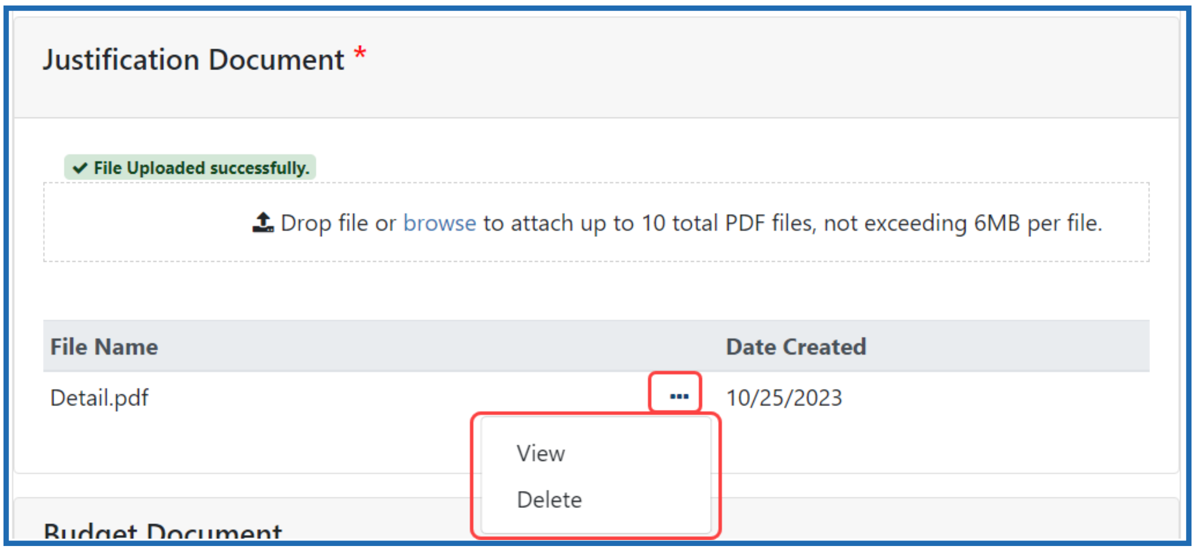


Figure 213: Justification Document section with View and Delete options and three-dot ellipsis menu outlined in red

5. Save or Submit the request.

   - To save the information and come back to it later, click **Save**. If you save it, you can edit and submit it later; see *Editing a Current Revision Request That's Not Yet Submitted* on page 517.

   - To submit it to the awarding institution for consideration, click **Submit**. A *Confirmation* popup appears; click **Yes**. A green bar appears on the *Revision Request List* screen indicating successful submission.

Deleting a Revision Request

Once you initiate a revision request (even if you click **Cancel** on the revision request form), it is stored in draft form and is listed on the *Revision Request List* screen as an in-progress request.

If you or a colleague previously started a revision request and saved (not submitted) it, you can go back to it and delete.

1. Access Revision Request for an award; see *Accessing the Revision Request Option in Status* on page 514.

   The *Revision Request List* screen appears, listing existing revision requests.

Figure 214: Continue with Request option in Status search results under the three-dot ellipsis menu

2. Click the three-dot ellipsis menu for an existing request and select **Continue with Request**.

   The *Revision Request - Modify Request* screen appears.

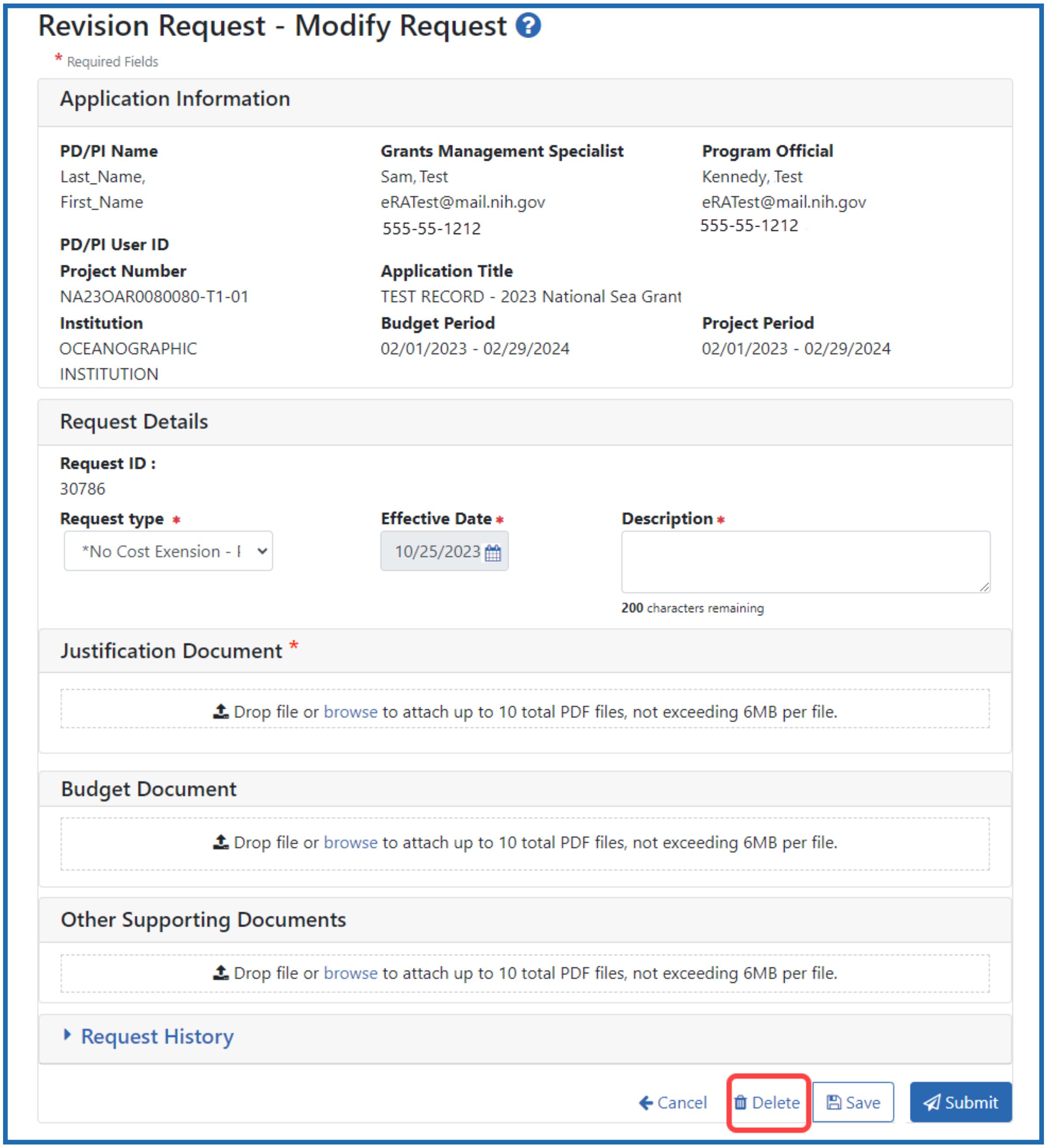


Figure 215: The Request - Modify Request screen, with Delete button outlined in red

3. Click the **Delete** button to delete this in-progress revision request.

You cannot delete revision requests once they have been submitted to the awarding agency but you can view the submitted request; see the next section.

Viewing the Request that Was Submitted

After submitting the request to the agency, you can view the submitted request, but you cannot revoke or delete it.

1. Access Revision Request for an award; see *Accessing the Revision Request Option in Status* on page 514.

   The *Revision Request List* screen appears, listing existing revision requests.

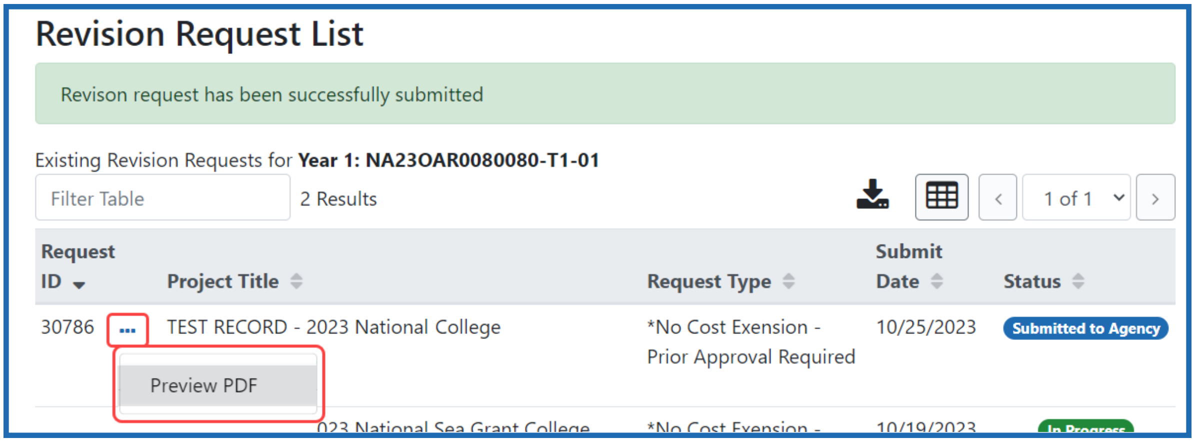


Figure 216: Preview PDF option in Status search results under the three-dot ellipsis menu

2. Click the three-dot ellipsis menu for an existing request and select **Preview PDF**.

   The form opens in the PDF viewer configured for the browser.

Initiating the Department of Commerce RPPR

The Research Performance Progress Report (RPPR) module of eRA Commons is used by awardees of Department of Commerce (DOC) awards to submit research performance progress reports to DOC.

For DOC awards, the RPPR can be accessed ONLY via the RPPR action in the Status module. The *Manage RPPR* screen, which opens if you select RPPR from the Main Menu module navigation, does NOT list DOC awards. This is different from non-DOC awards, where RPPR-eligible awards are listed on the *Manage RPPR* screen.

General Information on DOC RPPR

- For an overview of RPPR, see *Research Performance Progress Report (RPPR) Module* on page 313.
- RPPRs are due semi-annually for DOC awards. Also, awardees submit a Final RPPR as part of the closeout process. See *Closeout Status for DOC Awards* on page 645.
- All DOC awards requiring RPPRs are multi-year.
- RPPRs should be completed/submitted in order. For example, Semi-Annual RPPR 1 must be completed before Semi-Annual RPPR 2.
- After an RPPR has been submitted, you can modify it and resubmit it. This capability to resubmit RPPRs is available for DOC awards only. If you submit a modified RPPR, it replaces the prior submitted RPPR. Once the RPPR is accepted by the agency, you can no longer resubmit.
- For DOC awards, RPPR shows an additional form named J. Misc. Documents, which is simply used to upload up to 20 documents of your choice; see *J. Misc. Documents* on page 365.

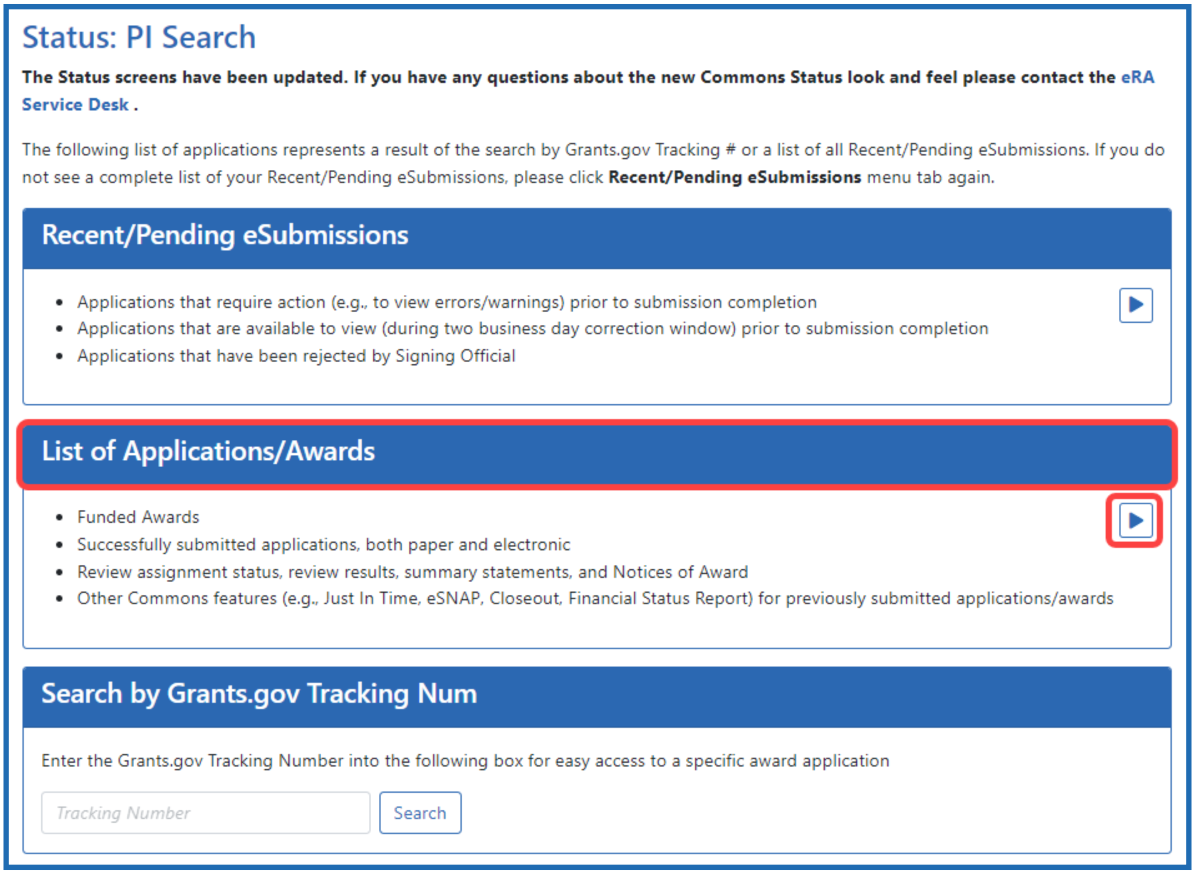
Agency-Specific Instructions: Department of Commerce. The NIH RPPR Instruction guide, titled the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf), is **not applicable** to DOC awards. Consult with your DOC grants management specialist for policy questions on RPPR for your DOC award.

Initiating a Department of Commerce (DOC) RPPR

Only the principal investigator/program director (PD/PI) can initiate an RPPR and only a signing official (SO) can submit it. When there are multiple PIs (MPI), only the Contact PI can initiate the report. For DOC awards, no RPPR functionality can be delegated.

To initiate or access a DOC RPPR from the Status module:

1. Navigate to the **Status** module in eRA Commons.
2. Click the **List of Applications/Grants** link from the *Status* screen or from the menu options.



3. From the *Status Result - List of Applications/Grants* screen, locate the award and click the **Semi-Annual RPPR x** link from the **Actions** drop-down menu in the **Available Actions** column for the specific grant (use *Flat View*).
   For all awards, the link will display as **Semi-Annual RPPR <X>**, the <X> representing the sequential number of the semi-annual RPPR. The RPPR link for the current reporting period becomes available on the first day of the due period and remains available until the RPPR is submitted. If, after submission, the RPPR is returned from the DOC agency to the awardee, the RPPR link becomes available again.

NOTE: If multiple RPPR links appear for an award (for example, **Semi-Annual RPPR 1**, **Semi-Annual RPPR 2**, **Semi-Annual RPPR 3**), you are prevented from initiating a progress report until the previous progress reports have been submitted.

If an RPPR exists already, Commons displays the report for editing.

If the RPPR is not yet started, the *RPPR Menu* screen displays with an **Initiate** button.

The *RPPR Menu* screen includes the following fields:

Award Number

This is the complete number of the award.

PD/PI Name

The PD/PI of the grant award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the Contact PD/PI indicated by the word Contact.

Project Title

The project title of the grant

Due Date

The due date of the progress report.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

Status

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

Buttons or Actions Available in Three-Dot Ellipsis Menu

Available actions, most of which are found by clicking the three-dot ellipsis icon next to the Award Number, vary depending on the status of the RPPR and/or the limitations of the current user's role. See *RPPR Menu* on page 316 for a list of all possible buttons and actions (under the three-dot ellipsis icon) available on the RPPR Menu screen.

4. Click the **Initiate** button to begin the RPPR.

Once initiated, Commons creates the RPPR in a *PD/PI Work in Progress* status and sets you as the current reviewer. A message displays as follows:

The RPPR has been successfully initiated.

NOTE: If initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, begin editing by clicking the three-dot ellipsis icon next to **Award Number** and selecting **Edit RPPR**. The steps for accessing a DOC RPPR are outlined below.

Accessing a Work-in-Progress DOC RPPR

If an RPPR is already initiated, you can access it via the Status module. You can edit an RPPR only if you are the current reviewer. The PI who initiated the RPPR is automatically the current reviewer. When the RPPR is routed to someone else, that person becomes the current reviewer and can edit. See *Routing the RPPR* on page 381.

Principal Investigator

A PI navigates to the Status module, expands the award that has the RPPR, and clicks the RPPR Semi-Annual x action.

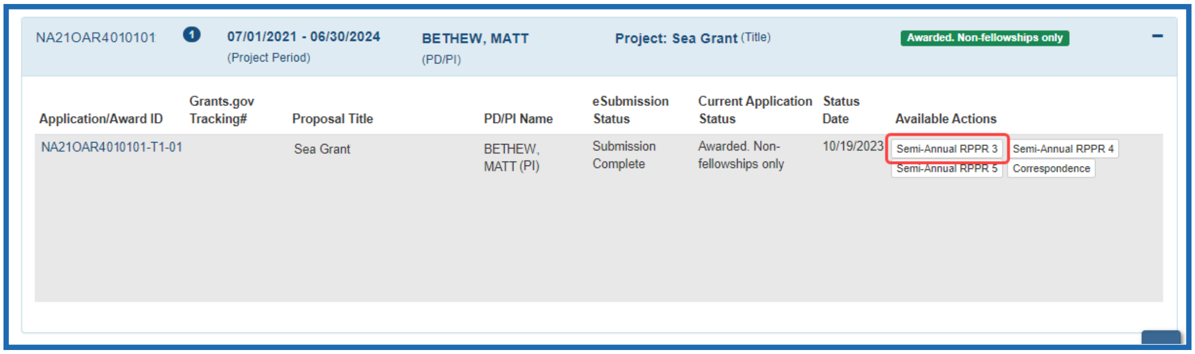
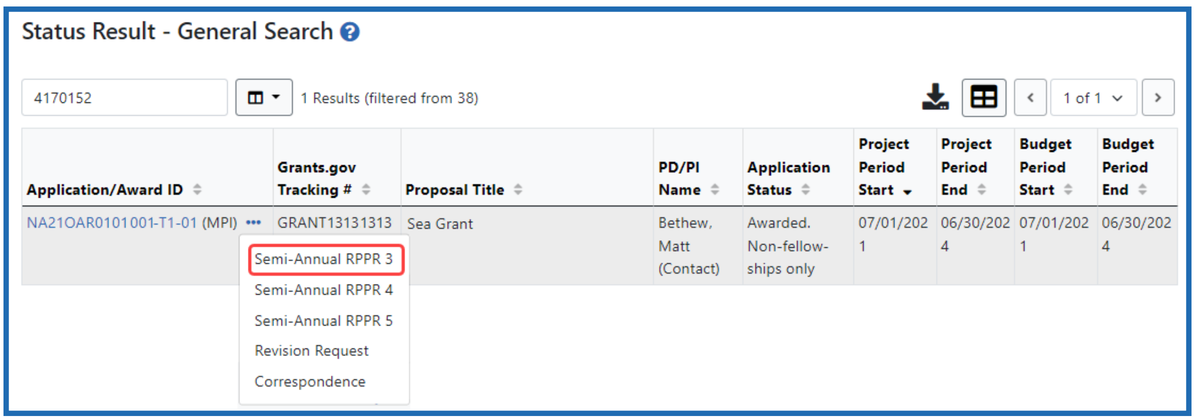


Figure 217: Section of PI Status results, showing the Semi-Annual RPPR action

Signing Official

An SO navigates to the Status module, does a search to find the award, clicks the three-dot ellipsis menu, and clicks the **RPPR Semi-Annual x** action.



How Does a PI See the Review Outcome?

Review Outcomes are found in Summary Statements. These statements are PDF documents combining reviewers' written comments and the Scientific Review Officer's (SRO*) summary of the discussion surrounding your application during the review meeting.

Policy: Scoring System and Procedure

As a PI, you can view your application's Summary Statement using the Status Information screen once it has been released by the SRO following the review meeting. If you are a signing official and are looking for the Summary Statement, see *How Does an SO See the Review Outcome?* on page 531

To view your Summary Statement:

1. Log into Commons.
2. Navigate to the Status module.
3. Click the **List of Applications/Grants** section.

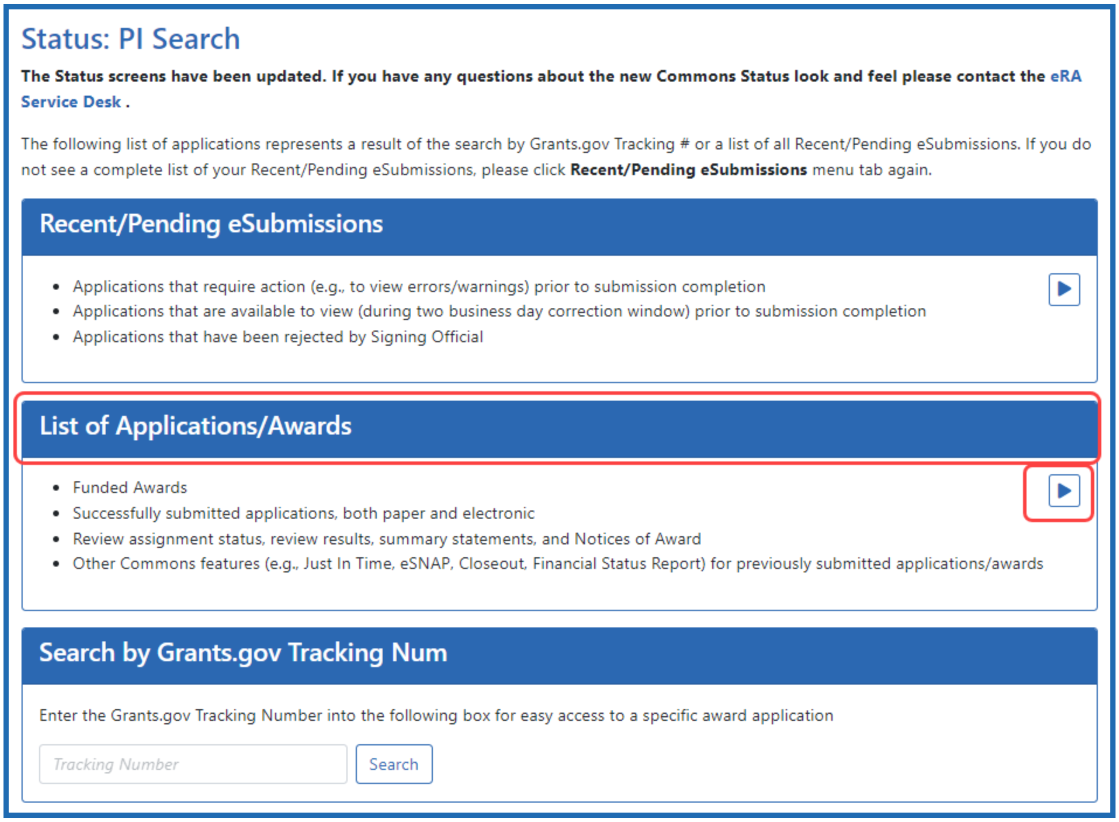


Figure 218: List of Applications/Grants Links in Status

The results display in either a Grouped or Flat view format. You may toggle between those views as desired. The application ID will be provided as a link which, when selected, opens the *Status Information* screen.

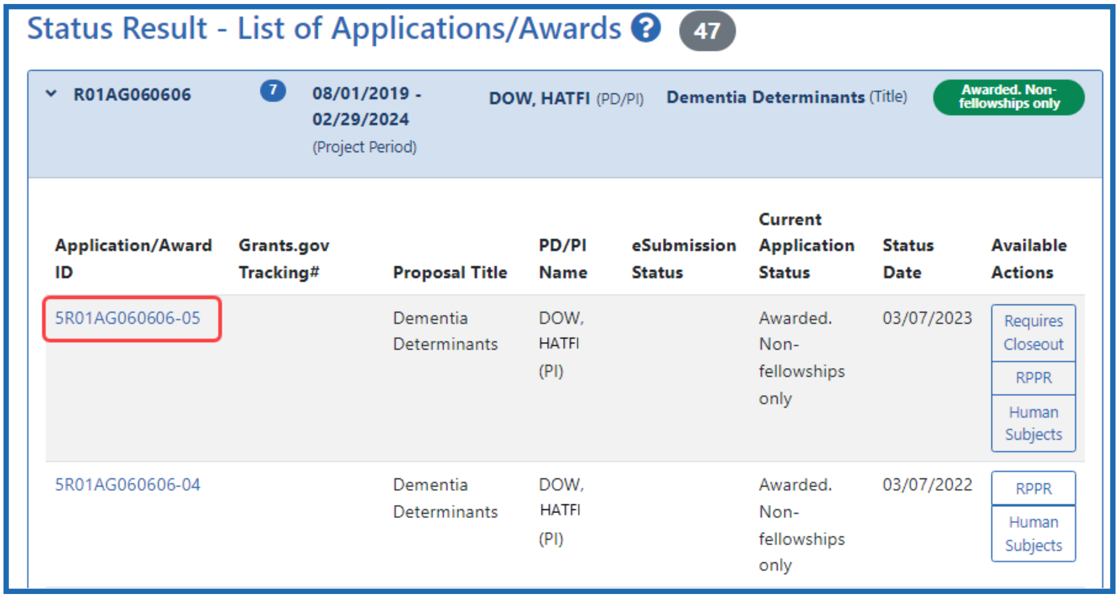


Figure 219: Application ID Link

4. Select the application ID link for the specific application. For a list of possible application statuses, see https://www.era.nih.gov/docs/era_status_codes.pdf.

   The *Status Information* screen displays. The *Status Information* screen includes a section called **Other Relevant Documents**. This section houses links to various application-related documents, including the Summary Statement.

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

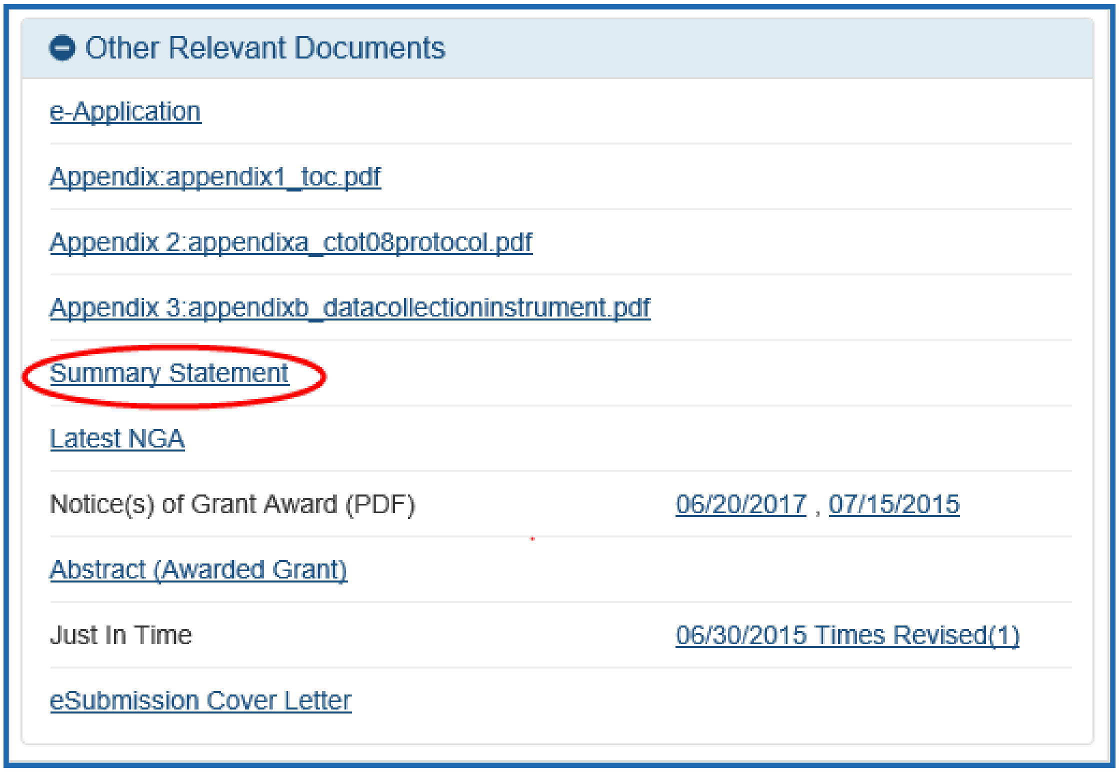


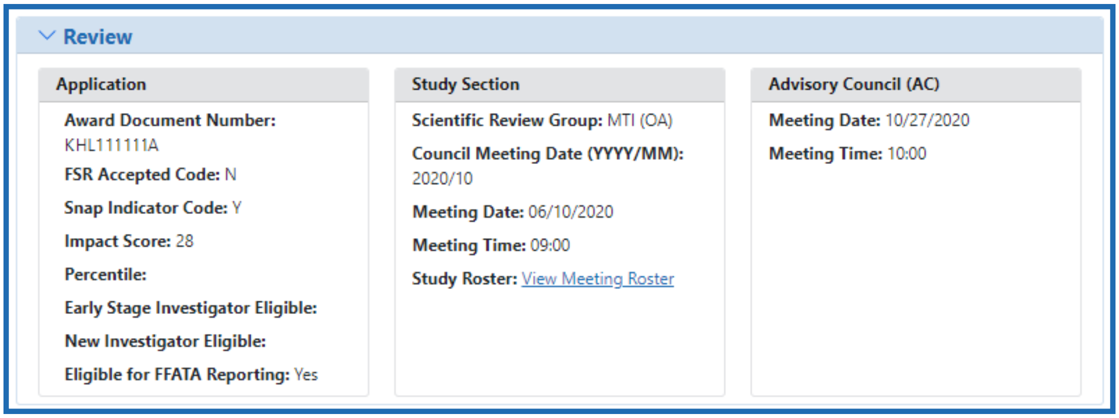
Figure 220: Summary Statement Link in Status Information

Abbreviated review information is found in the Review section of the Status Information screen. Expand this section to see the following:

- **Application**:
  - Award Document Number
  - FSR Accepted Code
  - Snap Indicator Code
  - Impact Score
  - Percentile
  - Early Stage Investigator Eligible
  - New Investigator Eligible
  - Eligible for FFATA Reporting
- **Study Section**
  - Scientific Review Group
  - Council Meeting Date
  - Meeting Date

- Meeting Time
- Study Roster

- **Advisory Council**
  - Meeting Date
  - Meeting Time



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

How Does an SO See the Review Outcome?

Review Outcomes are found in Summary Statements, which include bulleted critiques from assigned reviewers, a brief summary of the discussion, the overall impact score, criterion scores from assigned reviewers and more. The summary statement combines reviewers' written comments and the Scientific Review Officer's (SRO*) summary of the discussion surrounding your application during the review meeting.

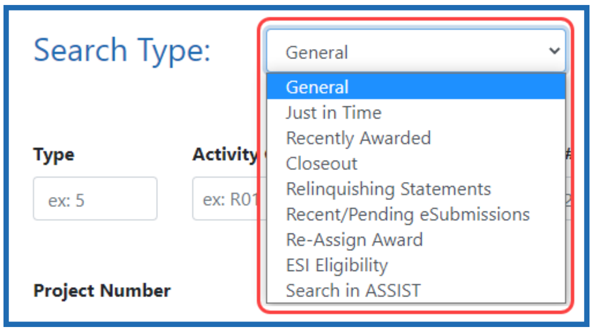
As a signing official (SO) on an NIH or VA (Department of Veterans Affairs) grant, you can view summary statements for applications submitted by your institution after they are released by the SRO following the review meeting. You use the Status Information screen to see summary statements, as well as percentile (if available), impact score, and other review indicators resulting from the review. Impact scores are made available in eRA Commons ahead of the summary statement.

Policy: [Scoring System and Procedure]

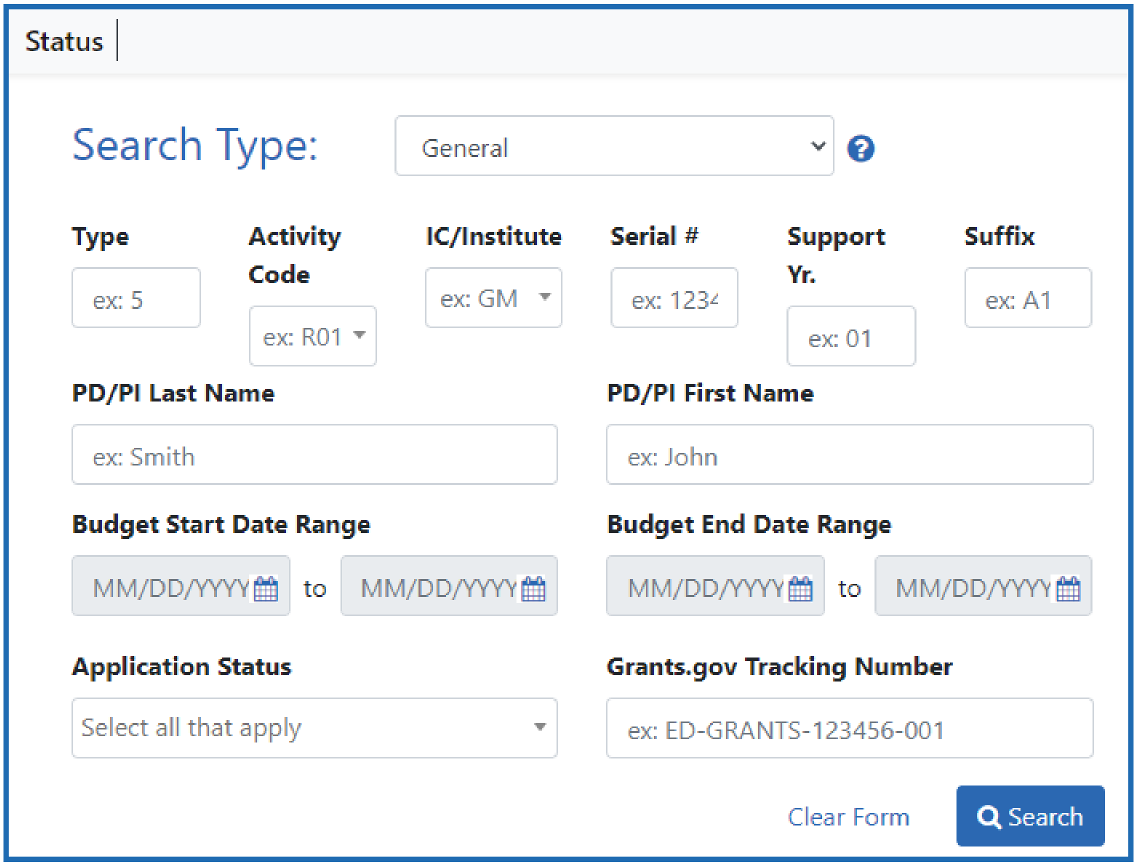
Guide Notice:NOT-OD-20-126

To view a Summary Statement:

1. Log into eRA Commons with an SO account.
2. Navigate to the Status module and select **General** from the **Search Type** drop-down.



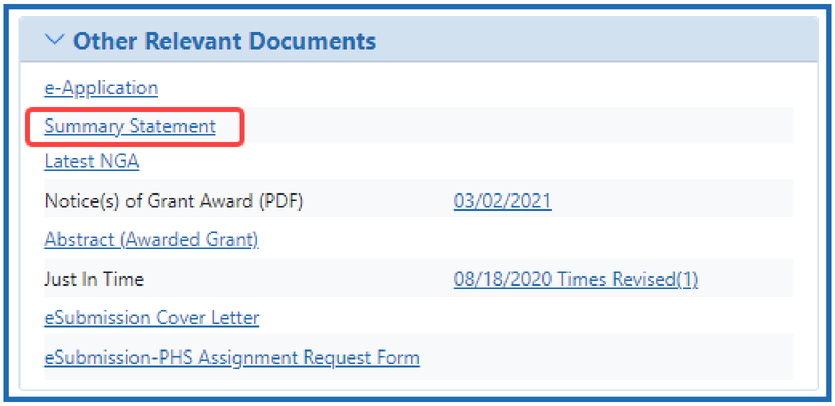
3. On the General search screen, enter criteria to find a grant application and click **Search**.



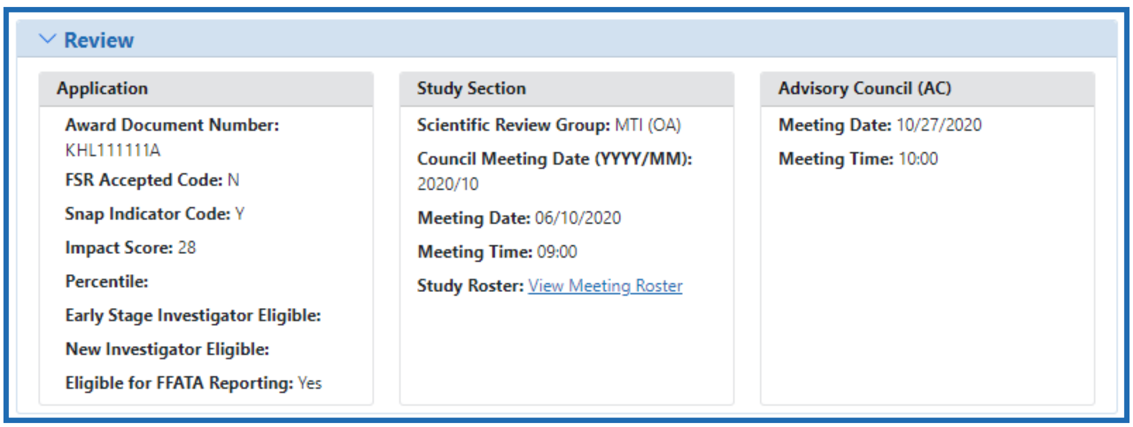
4. In the *Status Results*, click the **Application/Award ID**.

   The *Status Information* screen for the application/award appears. For a list of possible application statuses, see https://www.era.nih.gov/docs/era_status_codes.pdf.

5. Scroll down to the Other Relevant Documents section and click the **Summary Statement** link, which opens the Summary Statement PDF in a separate window. This link appears only if the application has completed a peer review process and if the granting agency is NIH or VA.



You can see abbreviated review information, including the percentile and impact score, in the Review section of the Status Information screen.



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

Viewing the Notice of Award (NoA)

Policy: Notice of Award Policy Statement

Updated Guide Notice: Upcoming Changes to the Notice of Award (NoA) Beginning October 1, 2020

The Notice of Award (NoA) is the legal document issued to notify the recipient that an award has been made and that funds may be requested. Notices of Awards are sent to the email address specified in the Institutional Profile, which can be updated by a signing official (SO). Principal investigators (PI) and SOs can view NoAs from the *Status Information* screen.

The Page One of the NoA serves as the first page for all HSS (Department of Health and Human Services) Notices of Awards for discretionary awards.

(For a list of possible application statuses, see https://www.era.nih.gov/docs/era_status_codes.pdf.)

To See the Status Information Screen (SO):

1. Log into eRA Commons with an SO account.
2. Navigate to the Status module and select **General** from the **Search Type** drop-down.
3. Enter search criteria, such as **Awarded** for **Application Status**; click **Search**.
4. Click on the Application/Award ID link to see the *Status Information* screen.

To See the *Status Information* Screen (PI):

1. Log into Commons as a principal investigator.
2. Navigate to the Status module.

3. Click the **List of Applications/Awards** section.

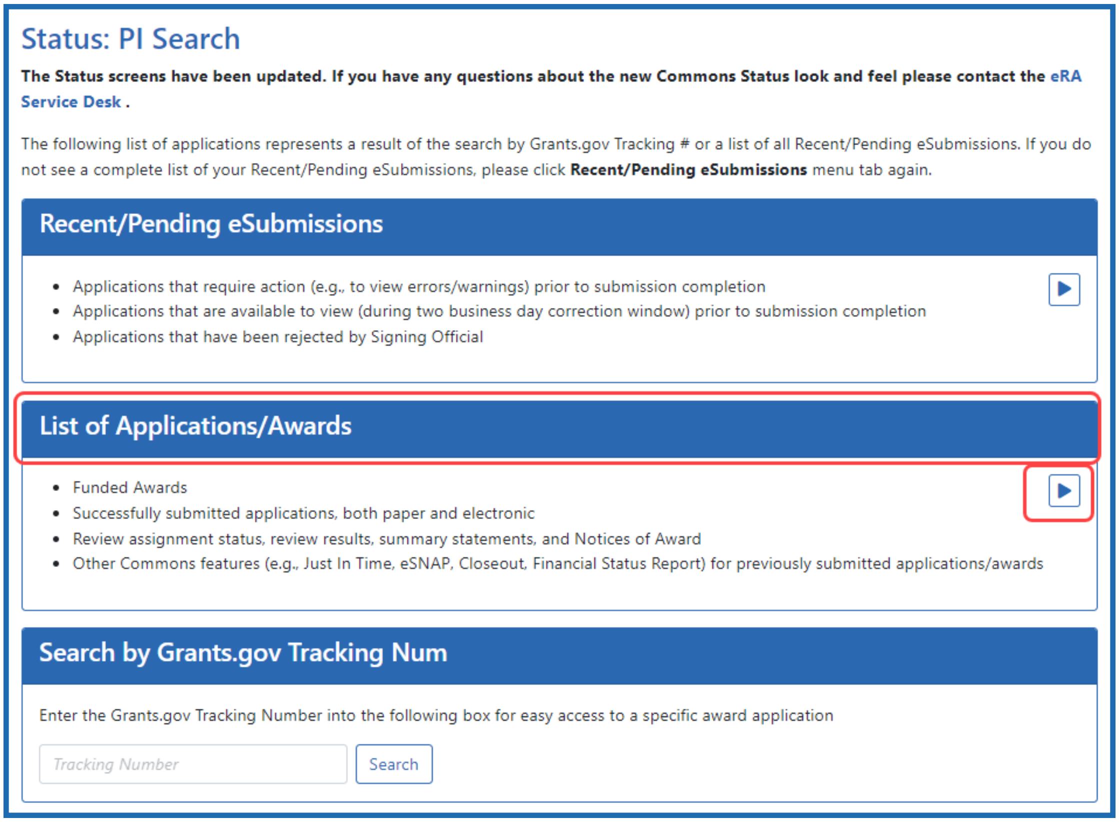


Figure 221: List of Applications/Grants Links in Status

The results display in Grouped or Flat view. Click the **Application/Award ID** in the results table, which is a link that opens the *Status Information* screen.

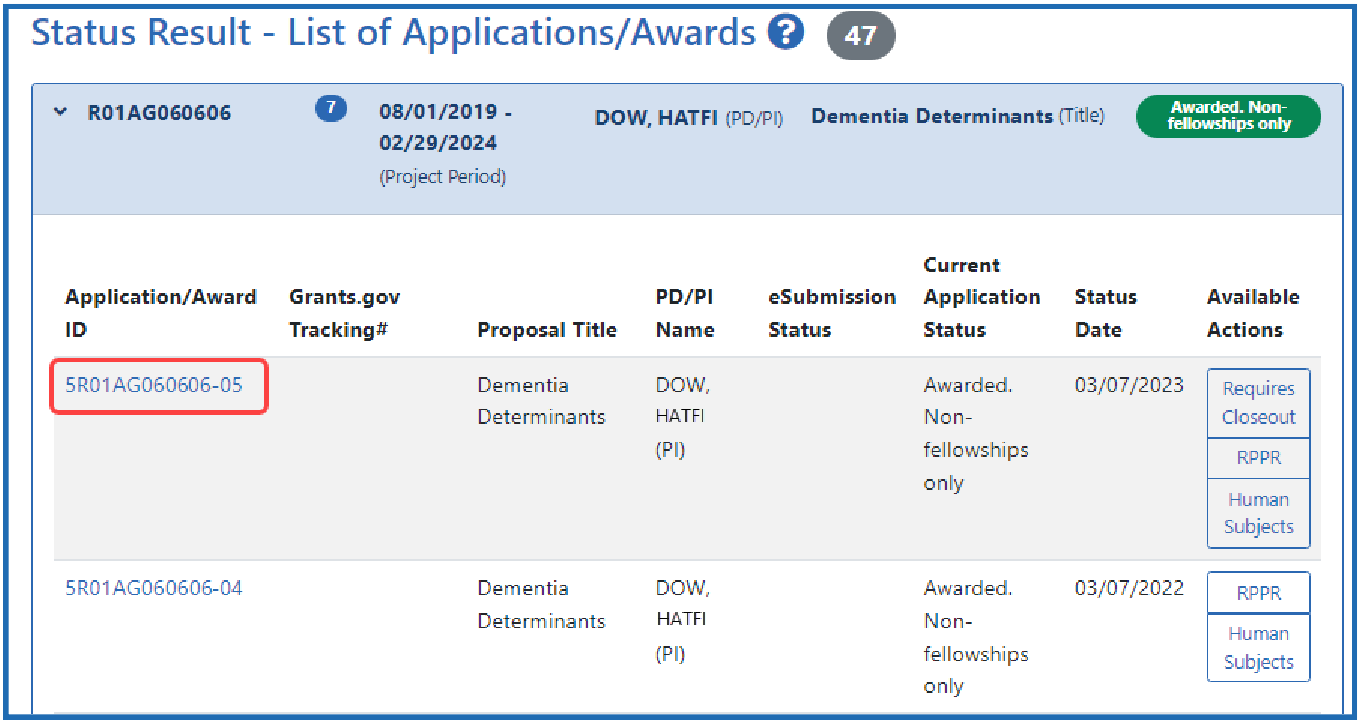


Figure 222: Application ID Link

4. Click the linked **Application/Award ID** for an application and the *Status Information* screen appears.

Find the NoA on the Status Information Screen:

The *Status Information* includes a section called **Other Relevant Documents**. This section contains 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)**.

Click the Notice(s) of Grant Award link. The NoA opens in a separate window.

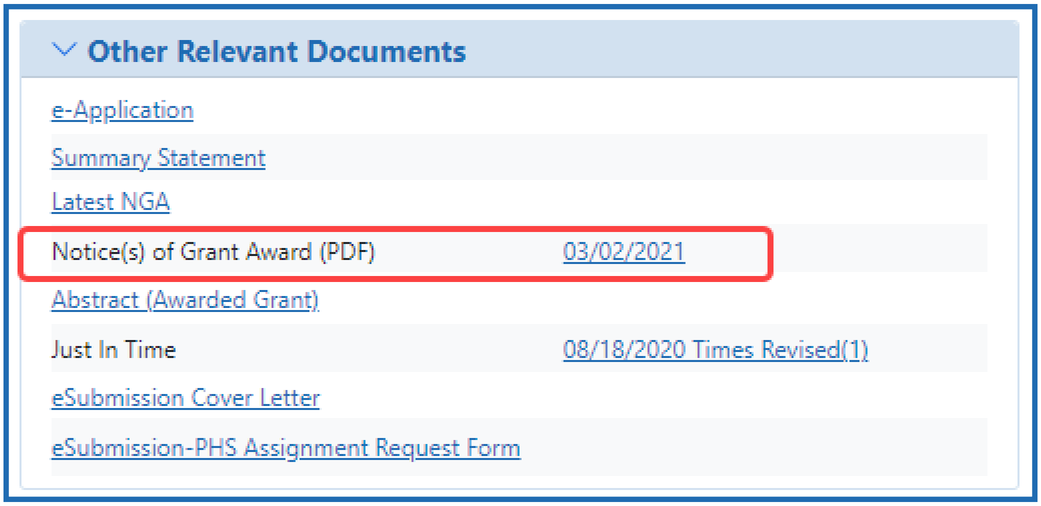


Figure 223: Notice of Award Link in Status Information

Just in Time (JIT) Search for SOs

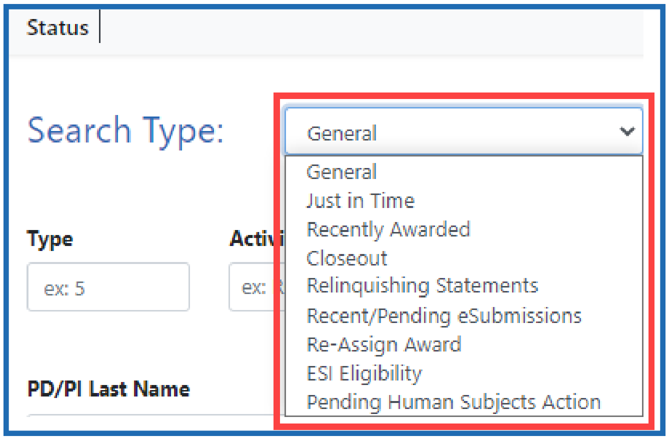
IMPORTANT: This topic pertains to the Just in Time (JIT) search screen available to signing officials (SO).
To see related help:
- General Search screen for SOs, see *How Does an AOR or SO Check Submission Status?* on page 465.
- JIT screen available to VA applicants, see *Just in Time (JIT) for VA Applicants* on page 551.
- JIT search screen available to VA agency staff, see Just in Time (JIT) Overview for VA Agency Staff.

As a signing official (SO), you might receive a specific email request from the awarding agency alerting you that a Just in Time submission is required for one of your institution's applications (see *Just in Time (JIT) Screen* on page 540). If this happens, the program director/principal investigator (PI/PD) and the SO work together to upload required requested documentation. The PI/PD can save the JIT package, but only the SO can submit the package to the agency.

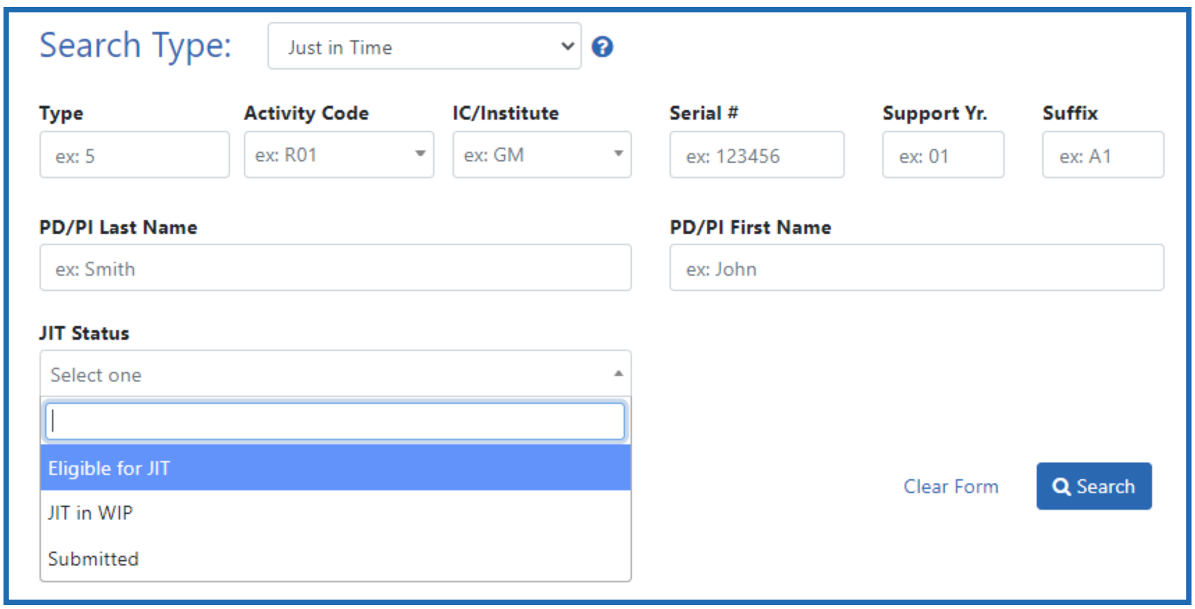
NOTE: The **JIT** link is removed once an application has been awarded. JIT capabilities can not be delegated.

To search for an applicant that has a current JIT process (SOs only):

1. In eRA Commons, navigate to the Status module.
2. Select **Just in Time** from the **Search Type** dropdown.

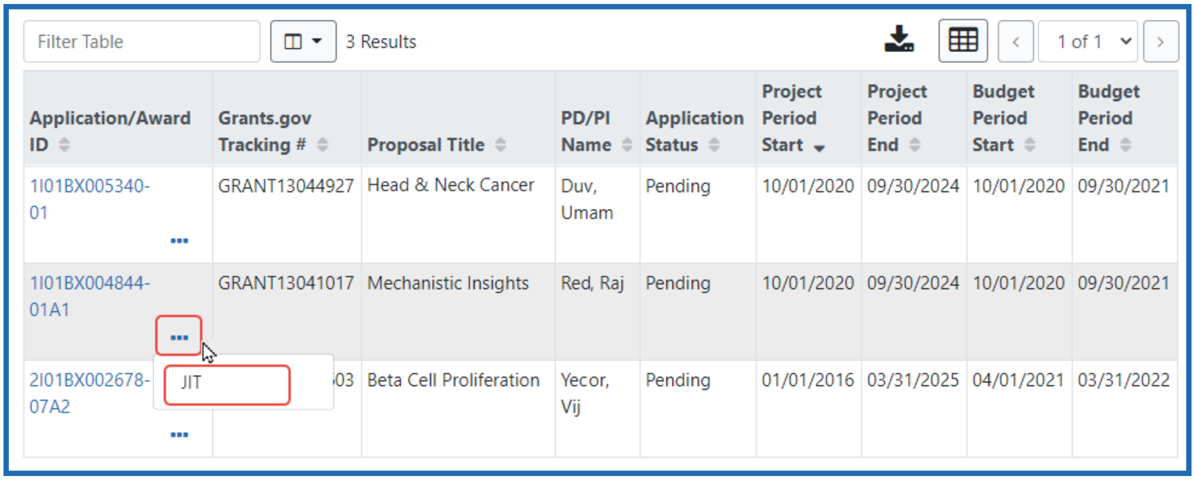


The Just in Time search criteria appears.



3. Enter search criteria to find a specific application, or use the **JIT Status** dropdown to find:
   Eligible for JIT: all applications eligible for JIT
   JIT in WIP: all applications with an in-progress JIT, or
   Submitted: all applications with a submitted JIT. Then click **Search**.

The Search results appear in a table titled Status Result - Jit Search. See *Standard Tools for Tables* on page 108 to learn about the filter and other table tool icons that appear over tables.



Filter Table | 3 Results | 1 of 1

Application/Award ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Project Period Start	Project Period End	Budget Period Start	Budget Period End
1I01BX005340-01	GRANT13044927	Head & Neck Cancer	Duv, Umam	Pending	10/01/2020	09/30/2024	10/01/2020	09/30/2021
1I01BX004844-01A1	GRANT13041017	Mechanistic Insights	Red, Raj	Pending	10/01/2020	09/30/2024	10/01/2020	09/30/2021
2I01BX002678-07A2	JIT 03	Beta Cell Proliferation	Yecor, Vij	Pending	01/01/2016	03/31/2025	04/01/2021	03/31/2022

4. On the desired application, click the three-dot ellipsis menu and select JIT.

The JIT screen opens.

If you are working on a VA application, see *Just in Time (JIT) for VA Applicants* on page 551.

If you are working on a non-VA application, see *Just in Time (JIT) Screen* on page 540.

Just in Time (JIT) Screen

IMPORTANT: This topic pertains to the general Just in Time (JIT) screen. To see help for other JIT screens:
- JIT screen available to VA, see *Just in Time (JIT) for VA Applicants* on page 551.
- JIT approval screen available to VA agency staff, see Just in Time (JIT) Overview for VA Agency Staff.

The JIT screen of eRA Commons lets you electronically submit additional award application information after the completion of peer review, and prior to funding. A JIT request does not guarantee funding. The JIT data that is requested varies, and depends on factors related to the application, such as SBIR/STTR status, human or animal subjects use, and more.

The program director/principal investigator (PD/PI) and the signing official (SO) work together to complete and submit information for different types of information requests directly to the funding agency. JIT capabilities cannot be delegated. If you have the PI role, you may upload and save JIT information; however, you must be an SO to submit it to the funding agency.

Personally identifiable information (PII) and Protected Health Information (PHI) should be redacted from all documents you are uploading via JIT.

The JIT link becomes available for all applications that are scored during peer review. However, applicants should not submit any JIT information until and unless they receive a specific request from their awarding agency that a JIT submission is required.

Policy: JIT policy information also is available online. Look for the *Just-in-Time Procedures* section of the NIH Grants Policy Statement.

JIT:

Required PDF Format

All JIT attachments must be submitted in PDF format with a maximum size of 6MB. Each upload area can accept only a single PDF, and if you re-upload a file, it replaces the previous file. 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.

PDF uploads for all sections are required to be a flattened PDF. A flattened PDF is one that does not have fillable forms or other layers, such as movable images. If you attempt to upload and save a file that is not a flattened PDF, you see this error message, "Error Uploading PDF. Please ensure all files are flattened....". For instructions, see Flattening PDFs for Application Submission and Commons Uploads.

Accessing the Just in Time (JIT) Screen

To search for a JIT as an SO, see *Just in Time (JIT) Search for SOs* on page 538. In Commons, the *Just In Time* screen is accessible from:

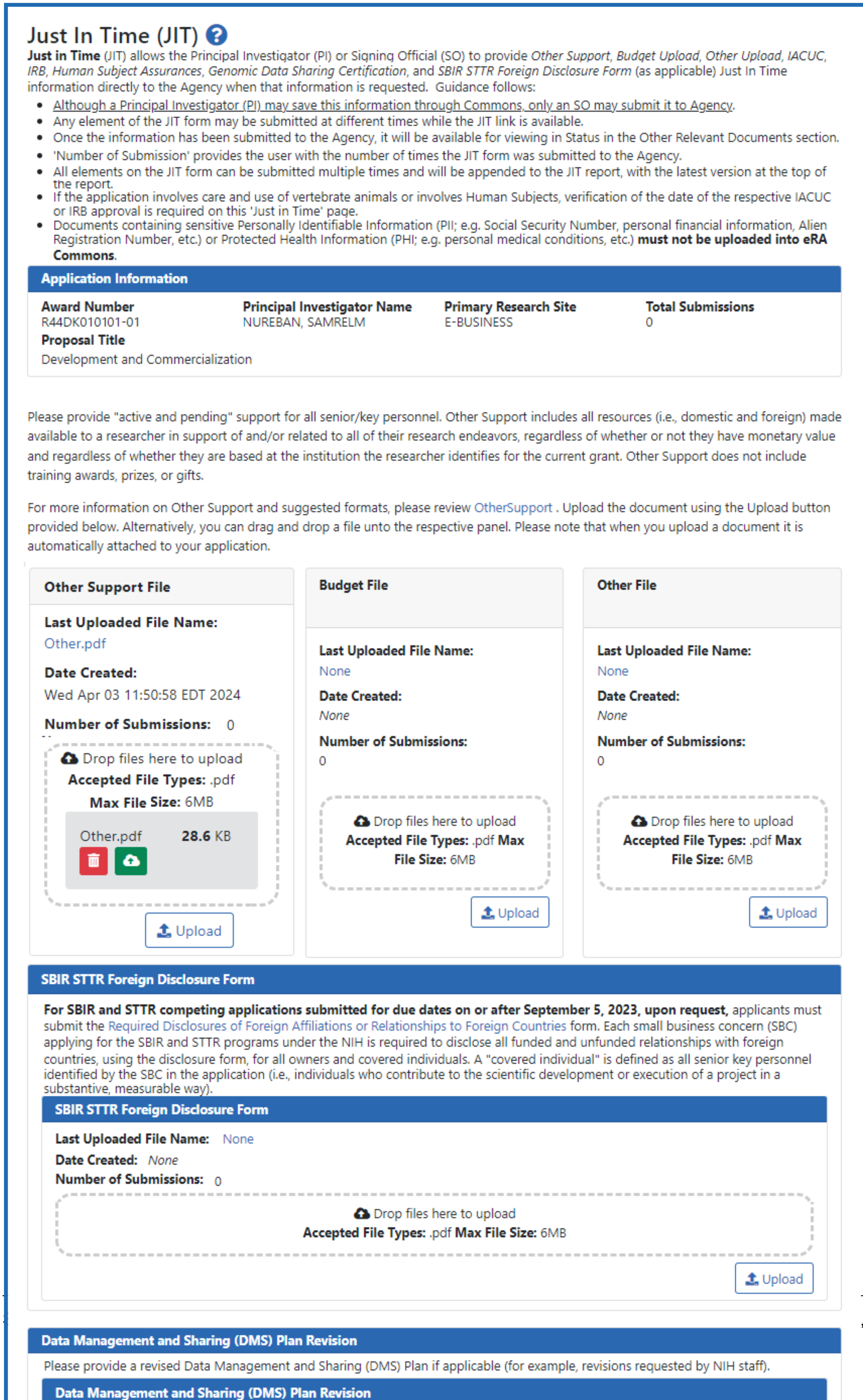
- If you are an SO: Go to Status and perform a **Just In Time** or **General** search. (i.e. Select **Just in Time** or **General** from the Search Type dropdown.) Click the three-dot ellipsis menu on an award in search results and select the **JIT** option.
- If you are a PI: Go to Status and expand a grant. Click the **JIT** button in the **Available Actions** column.

NOTE: The **JIT** action is removed once an application has been awarded. You can continue submitting files as long as the JIT action appears, and each subsequent submission is appended to prior submissions.

JIT Screen Sample

Check the instructions on the JIT screen. General instructions are listed at the top of the screen, and detailed instructions exist for each section below. Also included are links to more information.

NOTE: The *SBIR STTR Foreign Disclosure Form* section on the JIT screen appears only for certain small business type awards. The *Data Management and Sharing (DMS) Plan Revision* section appears only for those awards subject to the Final NIH Policy for Data Management and Sharing (DMS) Policy.



Just In Time (JIT)

Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide *Other Support, Budget Upload, Other Upload, IACUC, IRB, Human Subject Assurances, Genomic Data Sharing Certification*, and *SBIR STTR Foreign Disclosure Form* (as applicable) Just In Time information directly to the Agency when that information is requested. Guidance follows:

- Although a Principal Investigator (PI) may save this information through Commons, only an SO may submit it to Agency.
- 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 Agency, 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 the 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.
- Documents containing sensitive Personally Identifiable Information (PII; e.g. Social Security Number, personal financial information, Alien Registration Number, etc.) or Protected Health Information (PHI; e.g. personal medical conditions, etc.) **must not be uploaded into eRA Commons**.

Application Information

Award Number	Principal Investigator Name	Primary Research Site	Total Submissions
R44DK010101-01	NUREBAN, SAMRELM	E-BUSINESS	0

Proposal Title
Development and Commercialization

Please provide "active and pending" support for all senior/key personnel. Other Support includes all resources (i.e., domestic and foreign) made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. Other Support does not include training awards, prizes, or gifts.

For more information on Other Support and suggested formats, please review OtherSupport . Upload the document using the Upload button provided below. Alternatively, you can drag and drop a file unto the respective panel. Please note that when you upload a document it is automatically attached to your application.

Other Support File

Last Uploaded File Name: Other.pdf

Date Created: Wed Apr 03 11:50:58 EDT 2024

Number of Submissions: 0

Drop files here to upload
Accepted File Types: .pdf
Max File Size: 6MB

Other.pdf **28.6** KB

Upload

Budget File

Last Uploaded File Name: None

Date Created: *None*

Number of Submissions: 0

Drop files here to upload
Accepted File Types: .pdf **Max File Size:** 6MB

Upload

Other File

Last Uploaded File Name: None

Date Created: *None*

Number of Submissions: 0

Drop files here to upload
Accepted File Types: .pdf **Max File Size:** 6MB

Upload

SBIR STTR Foreign Disclosure Form

For SBIR and STTR competing applications submitted for due dates on or after September 5, 2023, upon request, applicants must submit the Required Disclosures of Foreign Affiliations or Relationships to Foreign Countries form. Each small business concern (SBC) applying for the SBIR and STTR programs under the NIH is required to disclose all funded and unfunded relationships with foreign countries, using the disclosure form, for all owners and covered individuals. A "covered individual" is defined as all senior key personnel identified by the SBC in the application (i.e., individuals who contribute to the scientific development or execution of a project in a substantive, measurable way).

SBIR STTR Foreign Disclosure Form

Last Uploaded File Name: None

Date Created: *None*

Number of Submissions: 0

Drop files here to upload
Accepted File Types: .pdf **Max File Size:** 6MB

Upload

Data Management and Sharing (DMS) Plan Revision

Please provide a revised Data Management and Sharing (DMS) Plan if applicable (for example, revisions requested by NIH staff).

Data Management and Sharing (DMS) Plan Revision

Figure 224: Just In Time screen for awards, which is filled out based on funding agency requests for additional information. The Submit button appears for SOs only.

Use the **Upload** buttons in each section to upload files. Users save an in-progress JIT by clicking **Save**, and SOs submit all uploaded files to the agency by clicking **Submit**.

Uploading, Saving, and Submitting JIT Information

The procedure below is for both a PI or an SO. However, the SO has a **Submit** button and the PI does not. A PI can upload and save JIT information, and can also view the JIT report that is prepared for submission based on JIT information entered on the screen. An SO can do all the same things, but in addition, an SO can submit the JIT information to the agency.

To upload files for JIT requests:

1. Access the *Just in Time* screen; see *Accessing the Just in Time (JIT) Screen* on page 541.

   The Just in Time screen appears. The Application Information section shows the application being modified.

2. Upload the appropriate files as requested by the agency by dragging and dropping files into the "**Drop files here**..." area, or click the **Upload** button and choose files from your drive.

   After you add a file, the panel shows an **Upload Complete** message. The panel also displays the name of the file and the date it was uploaded.

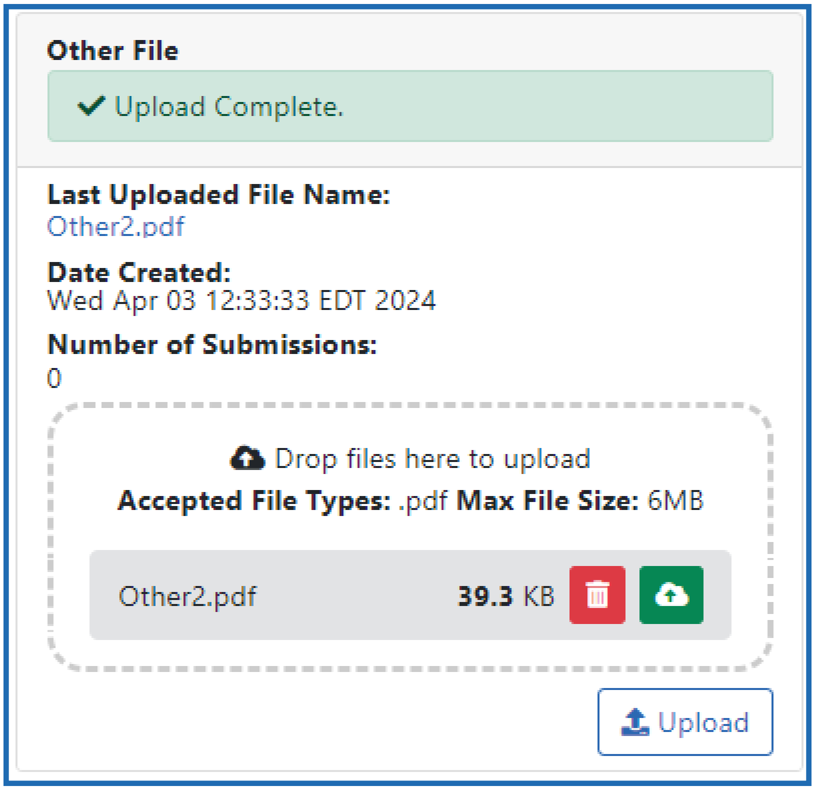
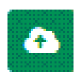


Figure 225: Upload Complete message appearing on a pane after uploading a file.

3. Optionally, click the **Download** icon  and the browser will open or download the file.

4. Optionally, click the **Delete** icon  to remove the file.

5. If you are either a PI or an SO, you can click the **Save** button at the bottom of the JIT screen, which saves the in-progress JIT, but does not submit it to the awarding agency.

   A confirmation message displays indicating you are about to save, but not submit, the JIT information and that a user with SO authority must submit to the awarding agency. Click **Save Changes**.

6. If you are an SO, you can click the **Submit** button at the bottom of the screen to submit to the agency. A confirmation message appears:

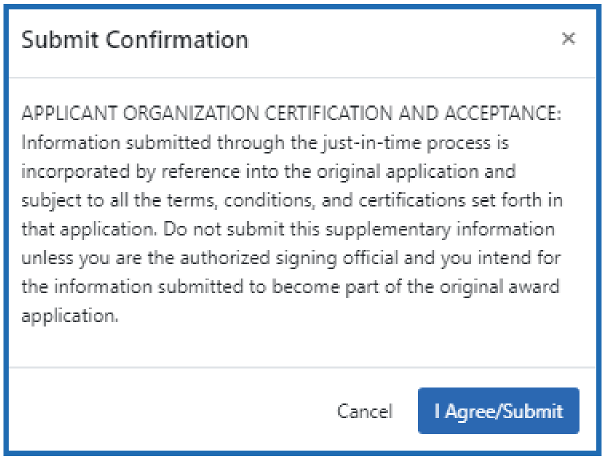
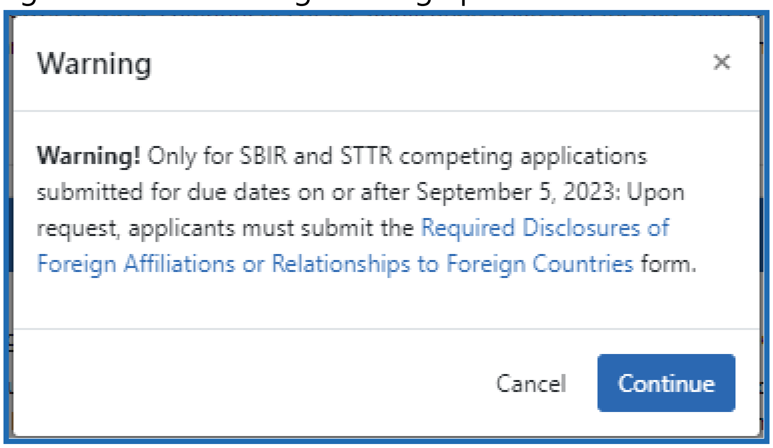


Figure 226: Submit Confirmation that an SO sees upon submitting JIT documentation

NOTE: If you are submitting a SBIR/STTR Foreign Disclosure Form, you additionally must agree to the following warning upon submit:



7. In the *Submit Confirmation* popup that appears, click the **I Agree/Submit** button.

   A Success message appears at the top of the JIT screen.

If required information is missing or invalid and you save or submit, error messages appear on the screen.

You can resubmit JIT information as many times as necessary. Each section of the JIT information can be submitted separately and more than once. Just upload files to any section and click **Submit** and any new files are submitted. After each submission, the *Just*

In Time screen displays the **Number of Submissions** for each piece of information.

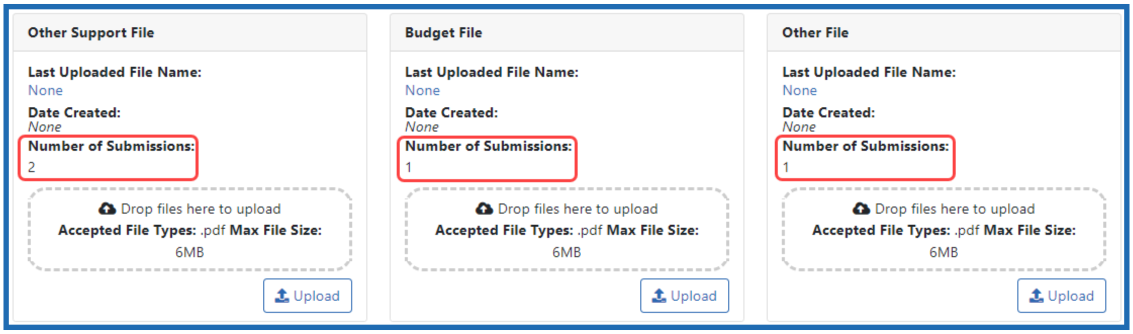
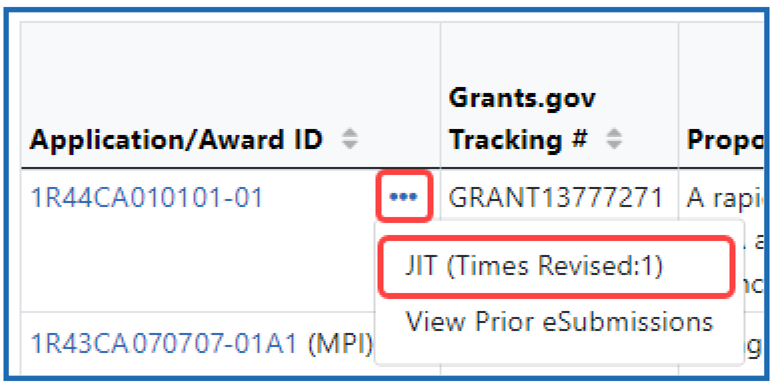


Figure 227: Number of Submissions for JIT

When a submission has occurred, the Status module display the **JIT** action with an indication of the number of times revised:



Notes on Each JIT Section

Other Support File The *Other Support* section is always available. Other sections appear only if the award meets certain conditions.

Active and pending support for all key personnel should be provided. For details on what to provide and how to format it, see https://grants.nih.gov/grants/forms/othersupport.htm, which includes a link to the "Other Support Format Page" to help you prepare your Other Support documentation.

Budget File. The Budget File section is always available and should be used if budget information is requested.

Other File. The Other File section is always available. Use of this upload area is subject to funding agency discretion.

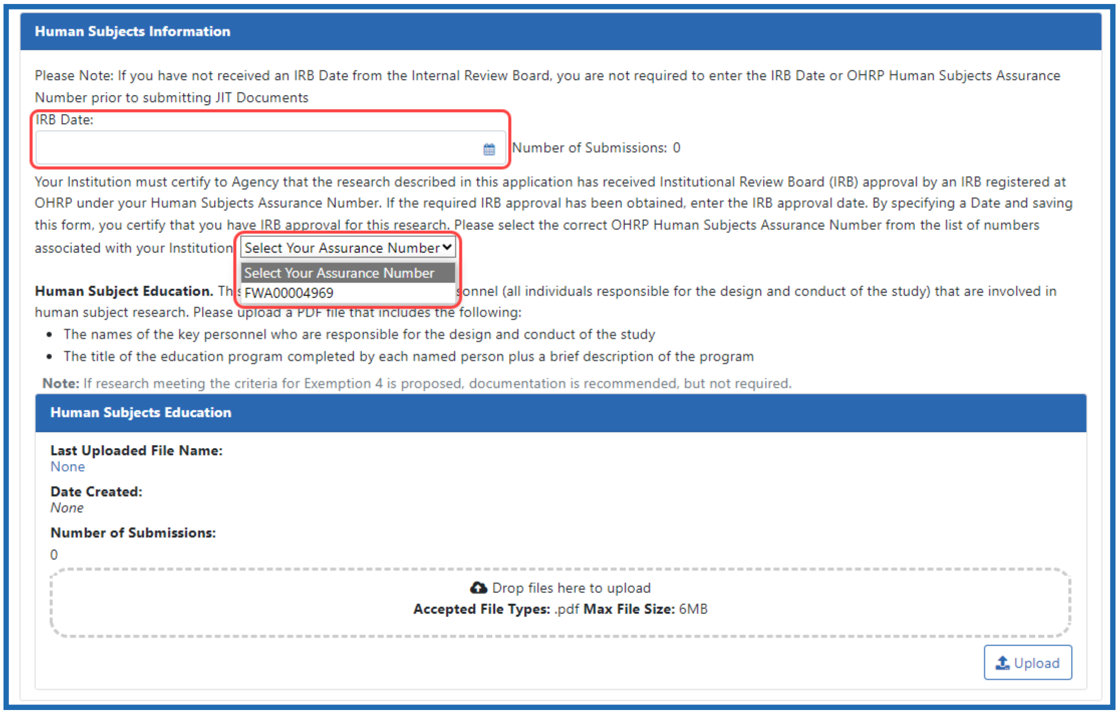
SBIR STTR Foreign Disclosure Form. This section appears ONLY for SBIR/STTR awards (R41, R42, R43, R44, U43, U44, UT1, UT2, SB1, UB1). See Required Disclosures of Foreign Affiliations or Relationships to Foreign Countries and guide noticed titled, Implementation of the NIH SBIR and STTR Foreign Disclosure Pre-award and Post-Award Requirements (https://grants.nih.gov/grants/guide/notice-files/NOT-OD-24-029.html)

Data Management and Sharing (DMS) Plan Revision. This section appears only for NIH awards that are subject to the Final NIH Policy for Data Management and Sharing (DMS) Policy. Upload a revised DMS plan only if requested to do so by the awarding agency.

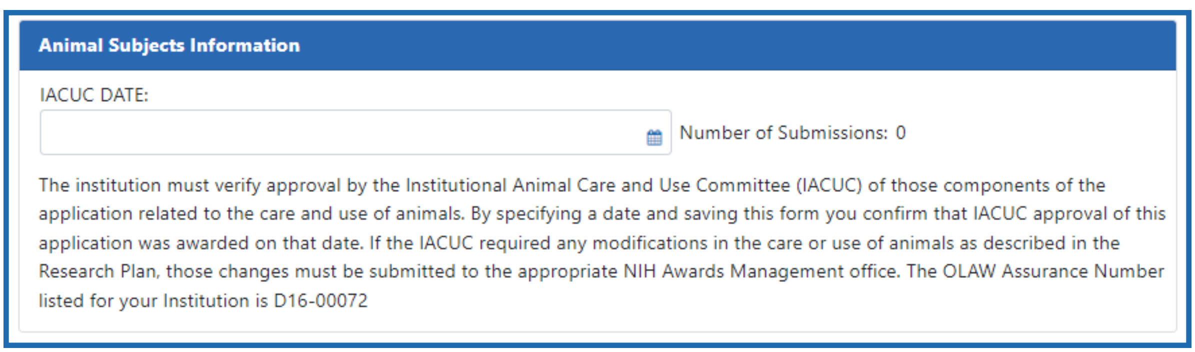
Human Subject Information. This section appears only for awards that involve Human Subjects. Verification of the date of the respective IACUC or IRB approval is required for these awards on the *Just in Time* screen.

- **IRB Date.** The IRB date is validated such that the IRB date must be in the range of one year previous to today's date. If you enter an IRB date, you must also select an assurance number from the dropdown list.
- **Assurance Number.** If this dropdown is empty, contact your signing official and ask for the Human Subjects Assurance (HSA) number to be entered in the Insti-

tution Profile.



Animal Subjects Information. See [The IACUC](https://olaw.nih.gov/resources/tutorial/iacuc.htm). (https://olaw.nih.gov/resources/tutorial/iacuc.htm). This section appears only for awards that involve care and use of vertebrate animals. Enter the IACUC date, which should be within the last three years.



TIP: For instructions regarding certifications and assurances, please refer to the *Institutional Assurances and Certifications (IPF)* instructions. Both PD/PIs and SOs can may view the current status of the assurances and certificates but only SOs (or TTOs if no SO has been assigned) can are able to make changes to the information.

Genome Data Sharing Certification. Upload the Genome Data Sharing Certification if required by the awarding agency.

Viewing the Just In Time Report

The Just in Time report shows you the date of submission, a record of IRB, Human Subjects Assurance number, and IACUC date submitted so far. If you are an SO or a PI, you can view the *Just In Time* report directly from the JIT screen before submission. To do this, scroll to the bottom of the JIT screen and click the **View Just In Time Report** button, which downloads a PDF.

If the JIT information has already been submitted to the awarding agency, the *Just In Time* report can be viewed from a link on the *Status Information* screen. 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.

To see the *Status Information* screen, go to Status, search for an award, and click the linked **Application/Award ID**, which appears in status search results. See *Status Information* on page 491.

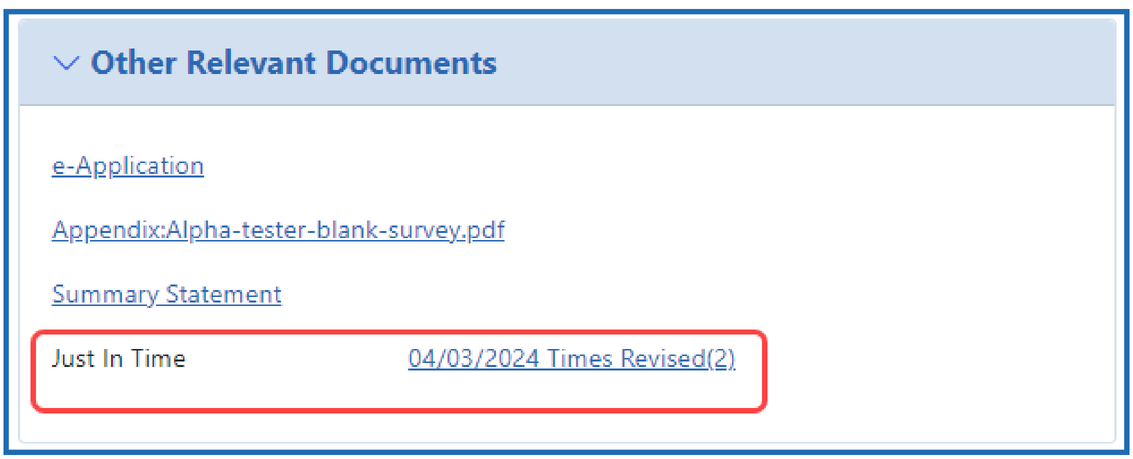


Figure 228: Just In Time Report Link on the Status Information screen

Just in Time (JIT) for VA Applicants

IMPORTANT: This topic pertains to the Just in Time (JIT) screen available to VA applicants. To see help for other JIT screens:
- JIT screen available to applicants of NIH and other agencies, see *Just in Time (JIT) Screen* on page 540.
- JIT screens available to VA agency staff, see Just in Time (JIT) Overview for VA Agency Staff.

The JIT (Just in Time) feature of eRA Commons lets you electronically submit additional grant application information after the completion of the peer review, and prior to funding. The program director/principal investigator (PD/PI) and the signing official (SO) work together to complete and submit requested information directly to the VA when that information is requested via email notification. JIT capabilities can not be delegated.

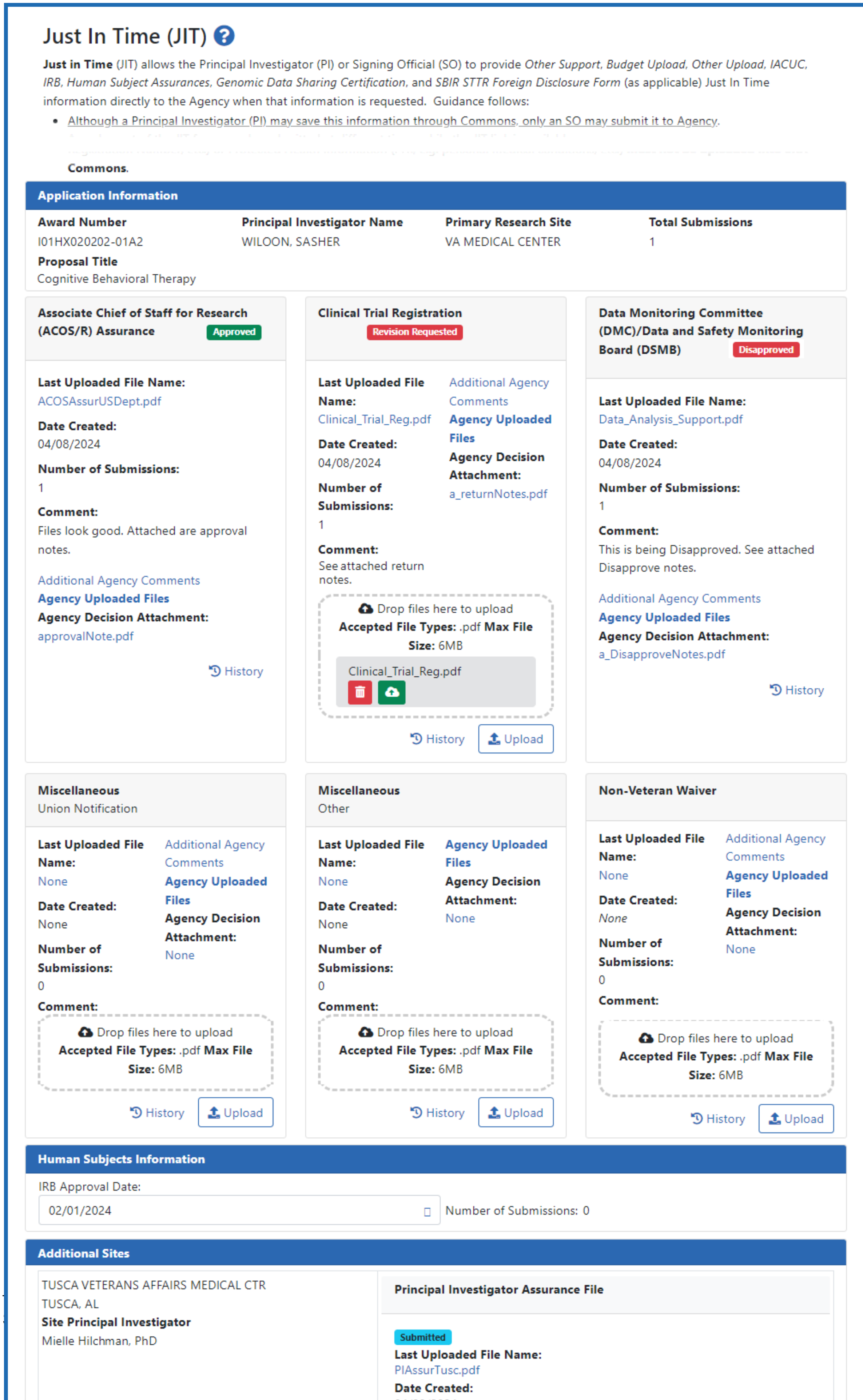
Read the instructions at the top of the JIT screen before uploading documents, as they contain important information. For more information, see Just-in-Time Process to Release Funds on the VA website.

NOTE:
• Either a PI or an SO can upload and save JIT information; however, only the SO can submit it to the VA.
• All JIT attachments should be submitted in flattened PDF format with a maximum size of 6MB. Each upload area can accept only a single PDF, and if you re-upload a file for a given JIT section, it replaces the previous file.

The JIT action is available in the Status module for applications that VA agency staff have prepared a JIT request for. See *Accessing the JIT Screen* on page 553. You will receive an email alerting you if your application is subject to a JIT request, whereupon you have 180 days to submit the requested material. You do not need to submit all the JIT material at once. You can submit files for each section independently of other sections.

Sample JIT Screen

The JIT screen for VA applicants (PI/SO) looks different depending on what categories of information that the VA agency staff has requested. You see only those categories and secondary sites that the agency staff configured for the JIT request.


Just In Time (JIT)
Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide Other Support, Budget Upload, Other Upload, IACUC, IRB, Human Subject Assurances, Genomic Data Sharing Certification, and SBIR STTR Foreign Disclosure Form (as applicable) Just In Time information directly to the Agency when that information is requested. Guidance follows:
Although a Principal Investigator (PI) may save this information through Commons, only an SO may submit it to Agency.
Commons.
Application Information
Award Number
I01HX020202-01A2
Principal Investigator Name
WILOON, SASHER
Primary Research Site
VA MEDICAL CENTER
Total Submissions
1
Proposal Title
Cognitive Behavioral Therapy
Associate Chief of Staff for Research (ACOS/R) Assurance
Approved
Last Uploaded File Name:
ACOSAssurUSDept.pdf
Date Created:
04/08/2024
Number of Submissions:
1
Comment:
Files look good. Attached are approval notes.
Additional Agency Comments
Agency Uploaded Files
Agency Decision Attachment:
approvalNote.pdf
History
Clinical Trial Registration
Revision Requested
Last Uploaded File Name:
Clinical_Trial_Reg.pdf
Date Created:
04/08/2024
Number of Submissions:
1
Comment:
See attached return notes.
Additional Agency Comments
Agency Uploaded Files
Agency Decision Attachment:
a_returnNotes.pdf
Drop files here to upload
Accepted File Types: .pdf Max File Size: 6MB
Clinical_Trial_Reg.pdf
History
Upload
Data Monitoring Committee (DMC)/Data and Safety Monitoring Board (DSMB)
Disapproved
Last Uploaded File Name:
Data_Analysis_Support.pdf
Date Created:
04/08/2024
Number of Submissions:
1
Comment:
This is being Disapproved. See attached Disapprove notes.
Additional Agency Comments
Agency Uploaded Files
Agency Decision Attachment:
a_DisapproveNotes.pdf
History
Miscellaneous
Union Notification
Last Uploaded File Name:
None
Date Created:
None
Number of Submissions:
0
Comment:
Additional Agency Comments
Agency Uploaded Files
Agency Decision Attachment:
None
Drop files here to upload
Accepted File Types: .pdf Max File Size: 6MB
History
Upload
Miscellaneous
Other
Last Uploaded File Name:
None
Date Created:
None
Number of Submissions:
0
Comment:
Agency Uploaded Files
Agency Decision Attachment:
None
Drop files here to upload
Accepted File Types: .pdf Max File Size: 6MB
History
Upload
Non-Veteran Waiver
Last Uploaded File Name:
None
Date Created:
None
Number of Submissions:
0
Comment:
Additional Agency Comments
Agency Uploaded Files
Agency Decision Attachment:
None
Drop files here to upload
Accepted File Types: .pdf Max File Size: 6MB
History
Upload
Human Subjects Information
IRB Approval Date:
02/01/2024
Number of Submissions: 0
Additional Sites
TUSCA VETERANS AFFAIRS MEDICAL CTR
TUSCA, AL
Site Principal Investigator
Mielle Hilchman, PhD
Principal Investigator Assurance File
Submitted
Last Uploaded File Name:
PIAssurTusc.pdf
Date Created:

Note that while the SO has a **Submit** button at the bottom of the screen, the PI does not because only the SO can submit JIT data to the awarding agency. Standard award information appears at the top of the JIT screen in the *Application Information* section. The **Total Submissions** field indicates how many times any part of the JIT has been submitted.

Accessing the JIT Screen

NOTE: The **JIT** link is removed once an application has been awarded. You will receive an email alerting you if you need to respond to a JIT.

PIs: Access the JIT Screen by

1. In eRA Commons, navigate to the Status module.
2. Access the List of Applications/Awards.
3. Find the application for which you need to respond to a JIT, then click the **JIT** button in the **Available Actions** column.

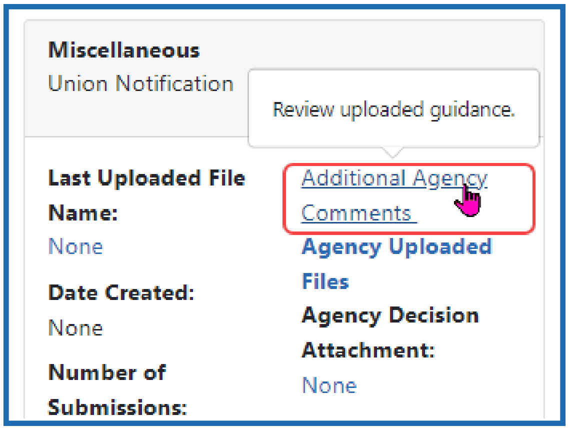
SOs: Access to JIT Screen

See *Just in Time (JIT) Search for SOs* on page 538 for steps on searching for a grant that is in the JIT process.

Responding to the JIT

Viewing Agency Comments

To access agency comments, which might include reminders or instructions, hover over the **Additional Agency Comments** link in the section, shown below.



Uploading Files to the JIT

For each section in the JIT, upload one or more flattened PDFs.

Upload button. Use the **Upload** button to find and choose a file on your drive. There can be one file uploaded per **Upload** button.

Drag and Drop. You can also drag and drop a file from a Windows directory over the appropriate section on the JIT screen.

File Format. All JIT attachments should be submitted in flattened PDF format with a maximum size of 6MB. Each **Upload** button can accept only a single PDF, and if you re-upload a file, it replaces the previous file.

NOTE: A flattened PDF is one that does not have fillable forms or other layers, such as movable images. The easiest way to flatten a PDF using Adobe Acrobat Reader is to print the document, but choose the “Print to PDF” option in the Print dialog, and save to a new file name when prompted. If you attempt to upload and save a file that is not a flattened PDF, you see this error message, "Error Uploading PDF. Please ensure all files are flattened. ....".

Removing a File

To remove a file, either click its Delete icon, or simply upload another file. The newly uploaded file will always replace the existing file.

Viewing Contents of an Uploaded File

To view a file that has already been uploaded, click its Download icon . The file will download or appear in a browser, according to your browser's settings.

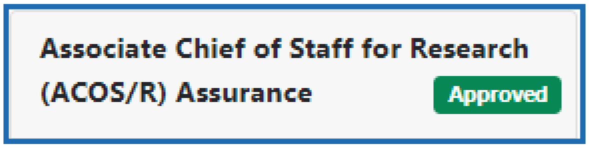
Viewing History of Submissions

To view the history of a section's submission, click the section's **History** button (History) to see a popup with all submissions for the particular section. History includes file name, submit date, status, comment, and person who uploaded the file. Until a file for the section has been submitted, History is blank, as it only shows history of actual submissions, not uploads or saves.

JIT Section Details

Status Badges.

Badge	Explanation
Non-Veteran Waiver	No badge indicates that nothing has yet been done on the JIT request.
Data Monitoring Committee (DMC)/Data and Safety Monitoring Board (DSMB) Uploaded	An **Uploaded** badge means that someone (PI or SO) has uploaded a file to the request and saved but not submitted.
Clinical Trial Registration Revision Requested	A **Revision Requested** badge means a file was submitted, but was returned by agency staff, meaning the file can be revised and resubmitted.

Badge	Explanation
	An **Approved** badge means the file was uploaded, submitted, and accepted by the awarding agency.

Last Uploaded File Name. File name of file currently uploaded for the section.

Date Created. Date the file was uploaded (not creation date of file).

Number of Submissions. Number of times a file has been submitted for this section of the JIT. For example, if you see number of submissions set to 3 for the **Revised Budget** section, then 3 separate files have been submitted for the **Revised Budget** section, each file replacing the previous. Each section can have different number of submissions. This can be different from **Total Submissions** under *Application Information*, which indicates the total number of times an SO has clicked **Submit** for the JIT.

Comment. You cannot add comments when uploading, saving, or submitting. Agency staff can add comments during approval or rejection of submissions and those comments appear in this field.

Additional Agency Comments. Hover to see comments that were entered by agency staff when they configured this JIT.

Agency Uploaded Files. Click this link to see a popup with files uploaded by the agency.

Agency Decision Attachment. After submittal, agency staff can approve, return, or disapprove a section. At that time, agency staff can upload a document as part of the approval/return/disapproval; that file will then reside in the **Agency Decision Attachment** field. If you view the JIT after agency review, you can check that field for files the agency has provided.

Reviewing, Saving, or Submitting the JIT

Buttons for reviewing, saving, and submitting (only the SO sees the Submit button) are located at the bottom right of the JIT screen.

Reviewing

Before submitting, review the JIT contents. There are a few ways you can do this:

- Click on the file names of uploaded files to see their contents in a browser window or PDF reader.
- Check the badge status to make sure the sections you are submitting have an **Uploaded** badge to show status: . See Status Badges in the previous section.
- Finally, you can click the **View Just In Time Report** button, outlined in blue above, which shows you a concatenated PDF that contains all uploaded files that will be submitted if you click the Submit button. This does not necessarily contain all files, only those slated to be submitted at this time. Other files may have been submitted previously, and those will not appear in the report.

Submitting

The SO can submit the JIT more than once. You do not need to submit all the JIT material at once. You can submit files for each section independently of other sections. For instance, maybe you have four out of five files prepared, but need some time to develop the last file. You can upload the four files, submit, and return later to the JIT to upload the last file and resubmit. You can also resubmit a file that you have already submitted; as long as the agency has not yet approved a particular section, you can continue to upload a file to a section and resubmit.

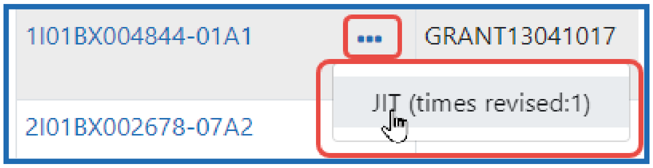
To submit all uploaded files, SOs click the **Submit** button at the bottom of the screen. In the *Submit Confirmation* popup, click **Submit JIT Data** to confirm.

Saving

If you are not ready to submit, you can save at any time and return to the JIT later to change it. Saving does not submit anything to the agency, but merely saves the JIT package for you or others to work on later. To save the JIT, click the **Save** button at the bottom of the screen.

Accessing the JIT Later

After you submit, you can go back to the JIT and make changes. Search for the grant again, and you will see the JIT link under the three-dot ellipsis menu, with the number of times it has been revised. Select the JIT link to revisit the JIT.



At this point, you can:

- Upload files for any sections you omitted earlier
- Include a new file for a section that you previously uploaded by uploading a different file. The concatenated version of the JIT will include both copies of the file.

Any additional or updated files that you upload will be submitted when the SO clicks **Submit**.

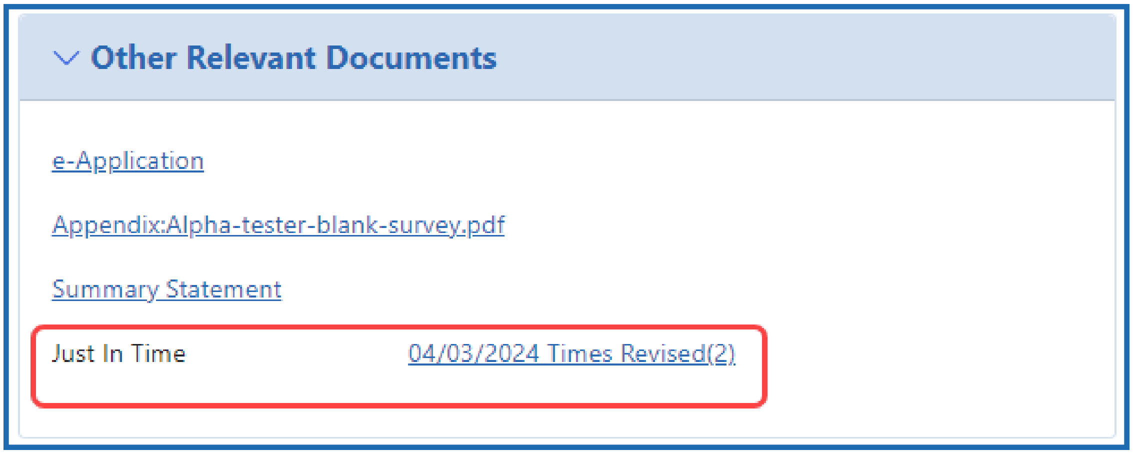
NOTE: The **JIT** link is removed once an application has been awarded.

Viewing JIT Information on the Status Information Screen

Once submitted, the submitted JIT files are available to view from within the *Status Information* screen. Access the *Status Information* screen by selecting the application ID (displayed as a link) from any of the Status result screens. See *Status Information* on page 491.

NOTE: All versions of files you submitted are within the Just in Time report on the Status Information screen. For instance, if you submitted BudgetV1.pdf for the Budget section, then later replaced it with the updated BudgetV2.pdf, you will see both versions of the file in the report on the Status Information screen.

You can view all submitted *Just In Time* materials by clicking a link on the *Status Information* screen. 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.



No-Cost Extension (NCE) for NIH Grants

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 1 to 12 months, without additional NIH funds, and without prior approval. This action, called a No-Cost Extension (NCE), must be taken before the project period ends. The NCE request triggers an automated email notification to the grants management specialist and no further action is required by the recipient.

AHRQ Award Recipients - see AHRQ-specific NCE topic.

IMPORTANT: **AHRQ Recipients:** Recipients of Agency for Healthcare Research and Quality (AHRQ) awards can use the Status module in eRA Commons to request a No-Cost Extension. However, the specific terms of the AHRQ NCE are different from those for an NIH grant. If you are a AHRQ grantee, please see the alternate topic *No-Cost Extension (NCE) for AHRQ Grants* on page 562 for the requirements and steps to request an NCE.

The NCE is initiated in the Status module by using the **Extension** action, which appears:

- For signing officials (SOs) only
- 90 days before the project end date--it is removed at midnight on the project end date
- ONLY if the project period was NOT previously extended by the awarding office

IMPORTANT: NIH requires awardees who need an award extension to use the No-Cost Extension action in Status (for automatic approvals) or the Prior Approval module. Requests via any other methods are not accepted. Use the Status module if your award is eligible for an automatic NCE, in which case an **Extension** link appears in the Actions menu of Status search for SOs. If not eligible for an automatic extension, an SO can still request a NCE in Prior Approval if the award meets certain conditions, described in *Prior Approval - No Cost Extension* on page 283.

Policy: Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds

Awardees may extend the final budget period of the project when the following conditions are met:

- If no additional funds are required from the NIH awarding office
- If there will be no change in the project's originally approved scope
- If no term of award specifically prohibits the extension

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 award is not, in itself, sufficient justification for an extension without additional funds.

To submit a No-Cost Extension:

1. Search for a particular award using the *Status - General Search* option.
2. Select the **Extension** action from the three-dot ellipsis menu on the *Status Result - General Search* screen.

   The **Extension** action does not appear if the project period was previously extended by the awarding office. Any additional project period extension beyond the one-time extension of up to 12 months requires using the Prior Approval module to request an extension.

The *Request One-time Project Extension* screen opens.

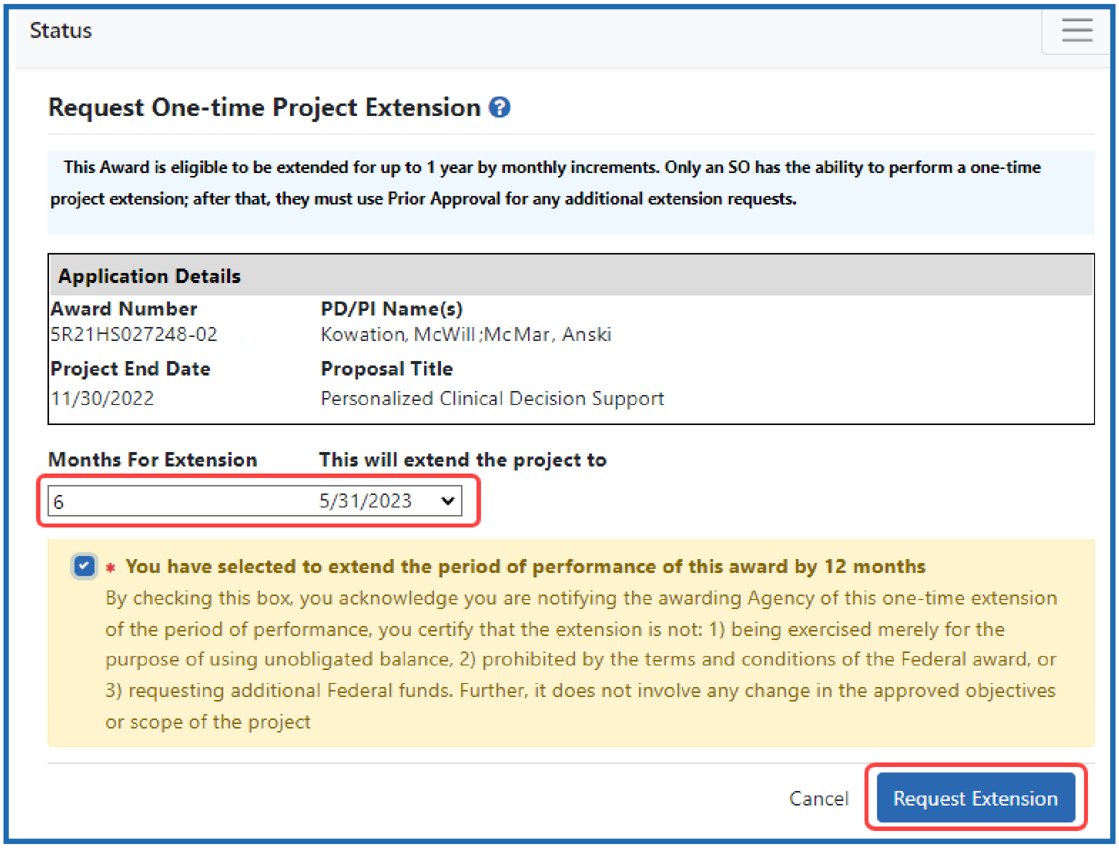


Figure 229: Request a One-time Project Extension Screen

3. Select the number of months by which to extend the award by selecting an option from the **Months for Extension** drop-down list. Selecting an option updates the date in the **This will extend the project to** text box.
4. Mark the checkbox acknowledging the terms of the extension. In extending the final budget period of the project period, the awardee agrees to update all required certifications, including human subjects and animal welfare, in accordance with applicable regulations and policies.
5. Click the **Request Extension** button.

A green success message appears letting you know that the extension request was submitted successfully.

NOTE: When an extension without cost is submitted but cannot be processed due to an internal business error, the action **Extension Error** will appear under the three-dot ellipsis menu of a grant in Status search results. This action will continue to display until the error has been corrected. Instructions 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 notifications sent.

No-Cost Extension (NCE) for AHRQ Grants

AHRQ ONLY

AHRQ grants under expanded authorities include the provision for grantees to automatically extend the final budget period of a previously approved project period one time for a period of up to 12 months, without additional AHRQ funds, and without prior approval.

This action, called a No-Cost Extension (NCE), must be taken before the project period ends.

IMPORTANT: This topic is specifically for Agency for Healthcare Research and Quality (AHRQ) awards. For help requesting an extension for an NIH grant, please view this topic: *No-Cost Extension (NCE) for NIH Grants* on page 559.

For a full explanation of terms, conditions, and requirements for NCEs for AHRQ grants, go to the following link: https://www.ahrq.gov/funding/grant-mgmt/nces.html

Grantees may extend the final budget period of the project when the following conditions are met:

- If no additional funds are required from the AHRQ awarding office
- If there will be no change in the project's originally approved scope
- If no term of award specifically prohibits the extension

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 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 receive an extension, use the No-Cost Extension (NCE) feature that exists in eRA Commons Status module, which allows signing official (SO) users to request an NCE of 1 to 12 months. Accessible through Status search 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: AHRQ requires grantees to use the No-Cost Extension feature in the Status module, as shown here, for automatic first-time approvals and will not accept requests via other channels. Do not use the Prior Approval module No-Cost Extension feature if you need to make a second No-Cost Extension; instead see https://www.ahrq.gov/funding/grant-mgmt/nces.html for instructions.

To submit a No-Cost Extension:

1. Search for a particular grant using the *Status - General Search* screen.
2. Select the **Extension** action from the three-dot ellipsis menu on the *Status Result - General Search* screen.

   The **Extension** action does not appear if the project period was previously extended by the awarding office. Any additional project period extension beyond the one-time extension of up to 12 months requires contacting the grants management specialist on your most recent Notice of Award.

   The *Request One-time Project Extension* screen opens.

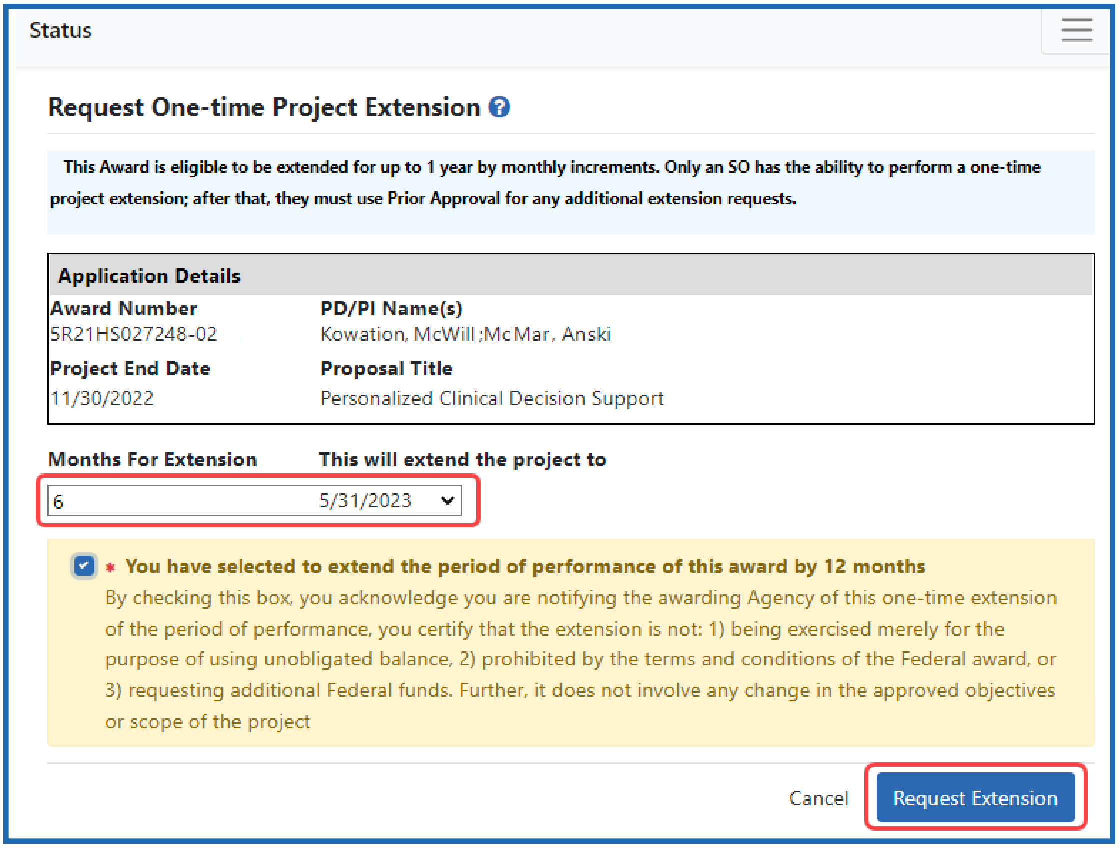


Figure 230: Request a One-time Project Extension screen

3. Select the number of months by which to extend the grant by selecting an option from the **Months for Extension** dropdown. Selecting an option updates the date in the **This will extend the project to** text box.
4. Mark the checkbox acknowledging the terms of the extension. 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.
5. Click the **Request Extension** button.

A green success message appears letting you know that the extension request was submitted successfully. Upon approval of the request, the project period end date will be updated and an acknowledgment will be emailed to the grantee.

NOTE: When an extension without cost is submitted but cannot be processed due to an internal business error, the option **Status Result as Extension Error** appears under the three-dot ellipsis menu. This option 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 notifications sent.

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 *Relinquishing Statement* screens are accessible via the Status module.

For more information, refer to Change of Institution.

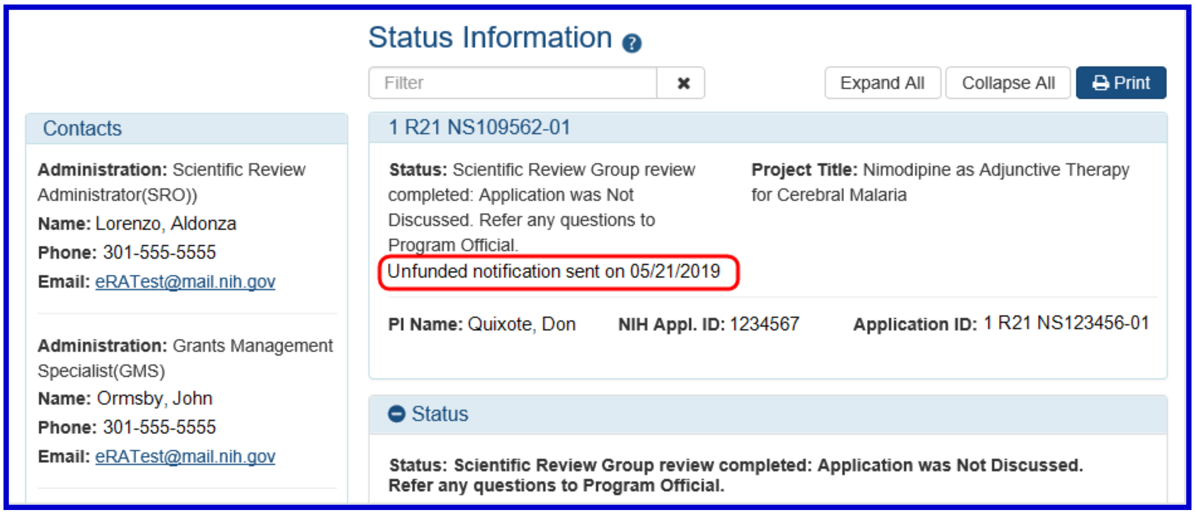
Unfunded Application Notification

NIH will send centralized automated correspondence to applicant organizations notifying them of NIH's intent not to fund the indicated applications. A consolidated email, listing the applications which NIH does not intend to fund, will be sent by eRA Commons to the authorized organization representative (AOR) and signing official (SO) listed in the grant application, and to the Notice of Award email address listed in the applicant's Institutional Profile. The email will be sent approximately 14 months after the application's council date.

In addition to receiving official email correspondence, applicants can identify if the *Unfunded Application Notification* has been sent for a specific grant application in the eRA Commons.

Please also note that the funding decisions indicated in the correspondence are specific to the applications included in the email and have no impact on subsequent submissions, including resubmissions. No changes have been made to NIH's application submission/resubmission policy, as outlined in NOT-OD-18-197.

Authorized eRA Commons users (PIs, SOs, and delegated Assistants) can see if an unfunded application notification has been sent for a specific application by viewing the *Status Information* in eRA Commons, which also shows the date the unfunded notification was sent. However, external users cannot view the content of the notification through eRA Commons.



Additional Materials Requests

Some award types allow grantees to upload and submit additional materials to the funding agency. You can use the **Add Additional Materials** action in the Status module to access the screen to add additional materials.

If you are working on an "Other Transactions" (OT) agreement (screen is named *OTA - Submitting Additional Materials to Agency*), see:

Responding to Additional Materials Requests from the Funding Agency on page 567

If you are working on a Rapid Acceleration of Diagnostics awards for Underserved Populations (RADx-UP) grant (screen is named *Submitting Additional Materials to Agency*), see:

Submitting Interim Reports for RADx Grants on page 572

Responding to Additional Materials Requests from the Funding Agency

Some award types, such as "Other Transactions" (OT) types, let awardees upload and submit additional materials to the funding agency. In the Status module of eRA Commons, awardees for these award types can submit relevant information for the award. Examples of what an additional materials request might be used for:

- Progress reports, at the frequency required by the awarding agency
- To provide a response to an ad-hoc request made outside the eRA system.

"Other Transactions" (OT) are funding mechanisms other than contracts, grants or cooperative agreements. Awards funded under Other Transactions Authority (OTA) are referred to as OT or OTA and have "OT" as the activity code portion of the award number.

Contact principal investigators (PI) can start the process by uploading requested documents and notifying the signing official (SO), who then logs into eRA Commons and ultimately approves the submission by submitting it to the agency. Requests for additional materials may take place outside the Status module through email or some other communication mechanism or as part of the Notice of Award conditions.

Only signing officials can actually submit the additional materials. Contact principal investigators can add the requested materials and notify the SO via the *Submitting Additional Materials to Agency* screen, but the SO must sign into eRA Commons and actually submit the materials.

In a Status search results list, awardees initially see **Add Additional Materials** in the **Action** column (PIs) or under the three-dot ellipsis menu (SOs) for their award. If materials have been added but not yet submitted, the option is labeled **Edit Additional Materials**.

Figure 231: Principal Investigator View of Status Results

NOTE: In the signing official view of Status, the actions **Add Additional Materials** and **Edit Additional Materials** appear under the three-dot ellipsis menu an award.

To Submit Additional Materials for an Award:

1. Log in to eRA Commons with your PI or SO credentials.
2. Open the **Status** module and locate the award that requires additional materials. See *How Does an AOR or SO Check Submission Status?* on page 465 or *Status for Program Directors/Principal Investigators (PI Role)* on page 475.
3. Select the **Add Additional Materials** option in the **Actions** column (PI) or three-dot ellipsis menu (SO). The Submitting Additional Materials to Agency screen appears.

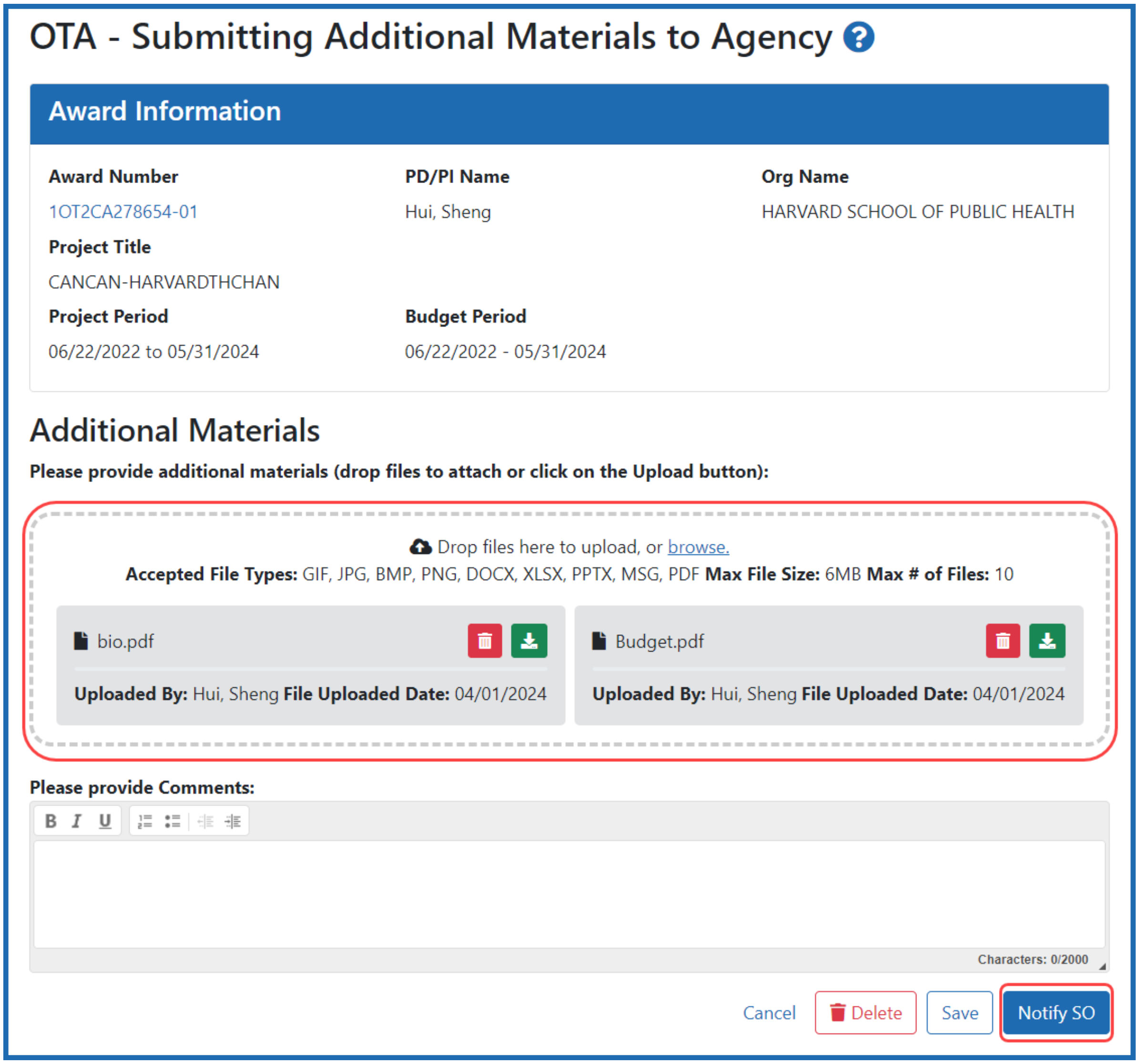
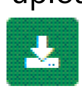
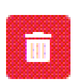


Figure 232: OTA - Submitting Materials to Agency screen for a PI, with a "Drop Files Here..." area and Notify SO button (outlined)

4. Drag and drop file(s) in the "**Drop Files Here..**" area, or click the **browse** link and choose file(s) from your drive. The drop fileS area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.

NOTE: You can upload multiple files simultaneously by dragging and dropping the files to the upload files area of the screen.

5. In the comments field, enter details on what the material is or why it is being submitted. Any comments entered by the PI and/or SO can be viewed by agency staff. The PI/SO can also review submissions, including comments, on the *Status Information* screen.
6. At the bottom of the form, click one of the buttons, which are different if you are an SO vs. a PI:
   - **Save.** Saves the submission and attached materials without submitting. Do this if you plan to come back to the request later and add or edit materials.
   - **Delete.** Removes the submission and attached materials. Do this if you decide you do not need to add additional materials at this time.
   - **Notify SO.** If you are a PI, you see the **Notify SO** button. Only the SO can submit the materials to the agency. Click the **Notify SO** button if you are ready for the SO to review and submit the additional materials, then click OK in the confirmation message that appears. The SO will subsequently receive a notification email to log in and submit materials.
   - **Submit.** If you are an SO, you see a **Submit** button whether you uploaded files yourself, or if the PI uploaded files. As an SO, you can also view documents and make any desired changes to the submission before submitting.

   After you submit additional materials, you will receive an email notifying you of the submission. Agency staff will view the submission in the Grant Folder, and will return the submission if it is found to be insufficient. All submissions, including those that are returned, are accessible to you in the **Submissions by Awardee** area of the detailed *Status Information* screen, which will include a rationale for returning the submission.

To Check Additional Materials Submission Status:

The PI and SO can view submission details, including comments, on the *Status Information* screen. Additionally, comments entered by the PI or SO can be viewed by agency staff.

1. Log in to eRA Commons with your PI or SO credentials.
2. Open the **Status** module and search for the award that requires additional materials.

   See *How Does an AOR or SO Check Submission Status?* on page 465 or *Status for Program Directors/Principal Investigators (PI Role)* on page 475.
3. In Status search results, click the award number in the **Application/Award ID** column, which opens the detailed *Status Information* screen.
4. Scroll to the *Submission by Awardee* section and view the Status.
   - **Submitted.** Submitted but not yet evaluated by agency.
   - **Rejected.** Submitted and not accepted by agency due to insufficiencies.

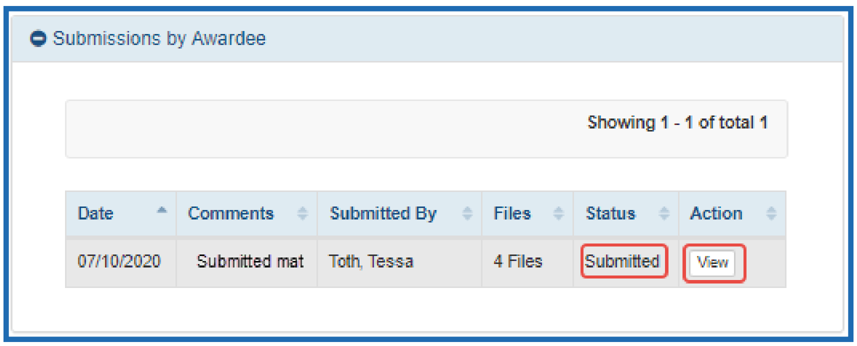


Figure 233: Submission by Awardee section on the Status Information screen

5. Click the **View** button and read the **Comments** section to see comments from the agency.

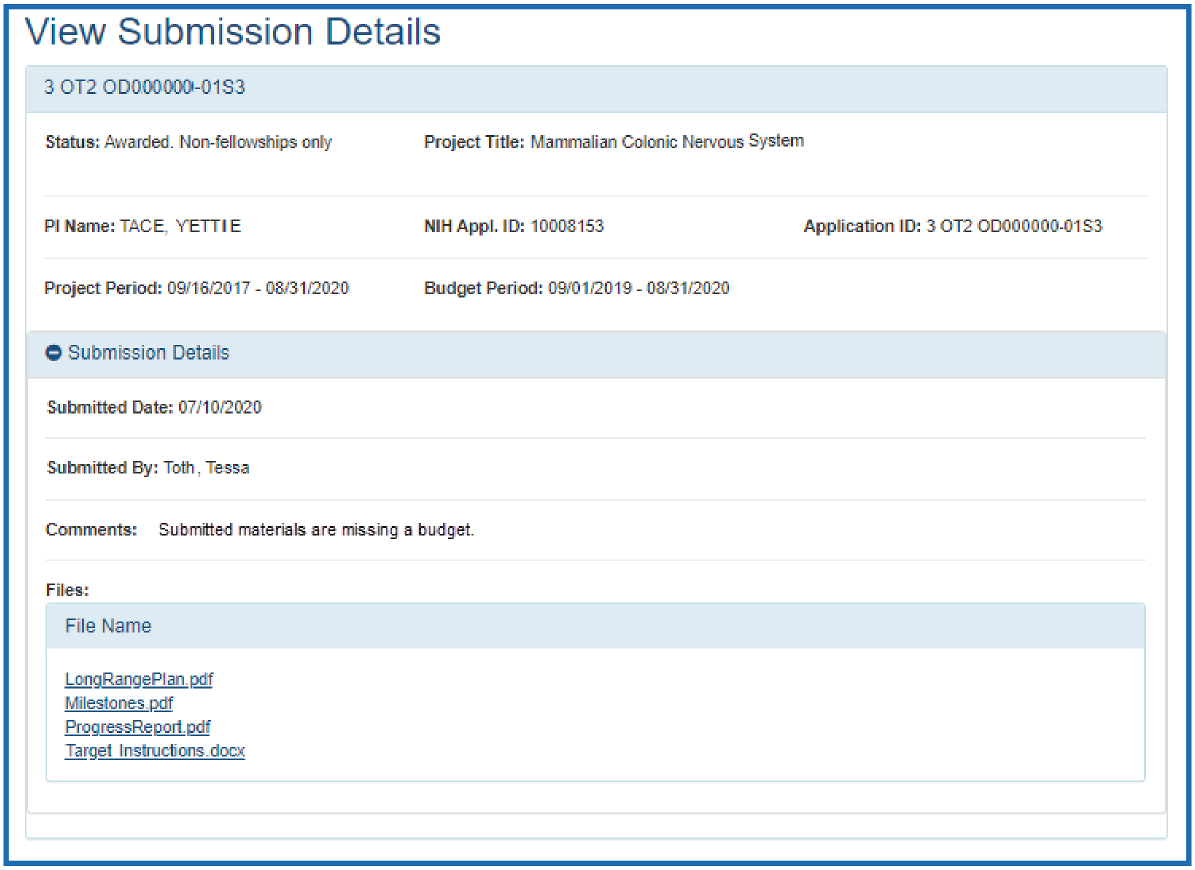


Figure 234: View Submission Details screen, accessible from the Status Information screen, where you can view comments from the agency on submitted materials

If a submission is rejected, the awardee can address rejection comments by making another submission.

Submitting Interim Reports for RADx Grants

Certain *Rapid Acceleration of Diagnostics* (RADx) grantees can submit their interim reports using the **Add Additional Materials** action in the Status module.

The following guide notices provide instructions on content and frequency of reports for the RADx grants eligible to use this functionality:

Updated Instructions on Interim Reporting and Carryover for RADx-UP Recipients (https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-038.html)

[Updated Reporting Requirements for RADx-rad Grant Recipients](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-084.html) (https://-grants.nih.gov/grants/guide/notice-files/NOT-OD-21-084.html)

Further information on the RADx programs can be found on the RadX Programs website.

Contact principal investigators (PI) can start the process by uploading requested documents and notifying the signing official (SO), who then logs into eRA Commons and ultimately approves the submission by submitting it to the agency. Requests for additional materials may take place outside the Status module through email or some other communication mechanism or as part of the Notice of Award conditions.

Only signing officials can actually submit the additional materials. Contact principal investigators can add the requested materials and notify the SO via the *Submitting Additional Materials to Agency* screen, but the SO must sign into eRA Commons and actually submit the materials.

In a Status search results list, awardees initially see **Add Additional Materials** in the **Action** column (PIs) or under the three-dot ellipsis menu (SOs) for their award. If materials have been added but not yet submitted, the option is labeled **Edit Additional Materials**.

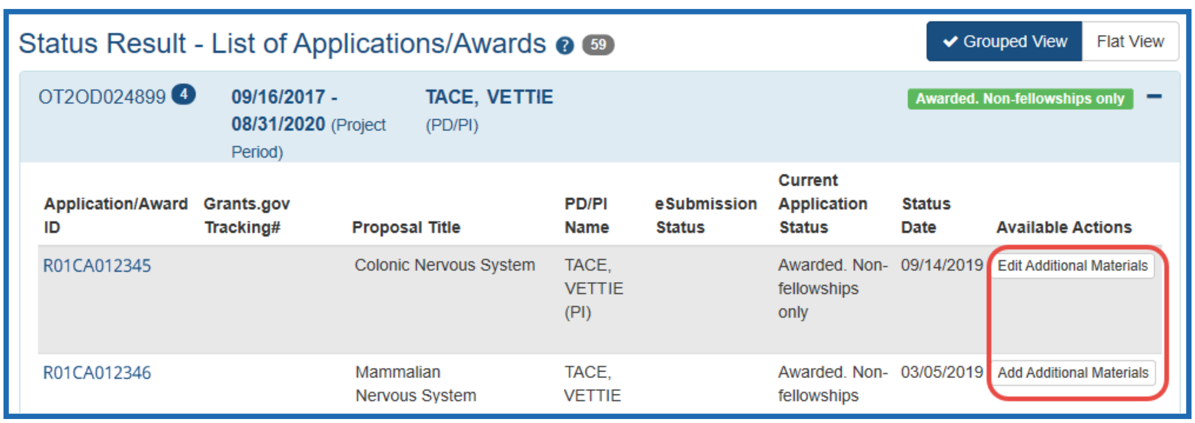
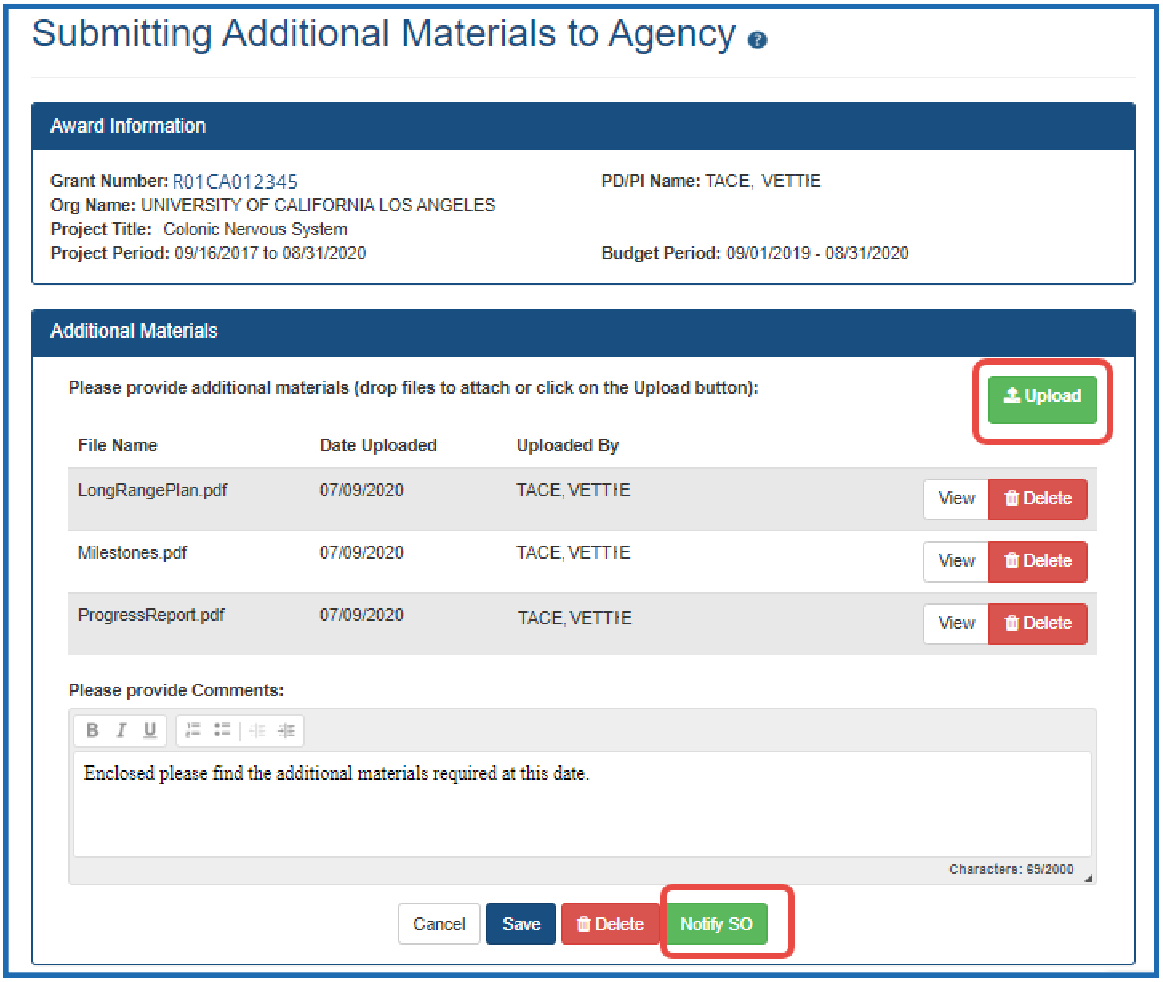


Figure 235: Principal Investigator View of Status Results

NOTE: In the signing official view of Status, the actions **Add Additional Materials** and **Edit Additional Materials** will appear under the three-dot ellipsis menu for grant.

To Submit Additional Materials for an Award:

1. Log in to eRA Commons with your PI or SO user ID and password.
2. Open the **Status** module and locate the award that requires additional materials. See *How Does an AOR or SO Check Submission Status?* on page 465 or *Status for Program Directors/Principal Investigators (PI Role)* on page 475.
3. Click the **Add Additional Materials** option in the **Actions** column. The Submitting Additional Materials to Agency screen appears.



4. Click **Upload** and add a file from your drive. You are limited to 10 files per Additional Materials submission, and the files must be one of these common file types: gif, .jpg, .bmp, .png, .doc, .docx, .xls, .xlsx, .ppt, .pptx, .msg and .pdf; otherwise an error message appears. For uploaded files, you can:

- Click **View** and the browser will open or download the file.
- Click **Delete** to remove the file.

NOTE: You can upload multiple files simultaneously by dragging and dropping the files to the upload files area of the screen.

5. In the comments field, give details on what the material is or why it is being submitted. Any comments entered by the PI and/or SO can be viewed by agency staff. The PI/SO can also review submissions, including comments, on the *Status Information* screen.
6. At the bottom of the form, click one of the buttons, which are different if you are an SO vs. a PI:
   - **Save.** Saves the submission and attached materials without submitting. Do this if you plan to come back to the request later and add or edit materials.
   - **Delete.** Removes the submission and attached materials. Do this if you decide you do not need to add additional materials at this time.
   - **Notify SO.** If you are a PI, you see the **Notify SO** button. Only the SO can submit the materials to the agency. Click the **Notify SO** button if you are ready for the SO to review and submit the additional materials, then click OK in the confirmation message that appears. The SO will subsequently receive a notification email to log in and submit materials.
   - **Submit.** If you are an SO, you see a Submit button whether you prepared the additional materials submission yourself, or if a PI prepared the submission earlier. As an SO, you can also view documents and make any desired changes to the submission prepared by a PI before submitting.

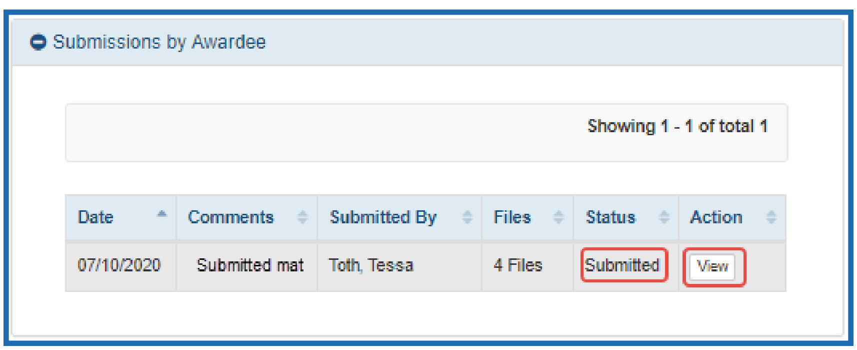
After you submit additional materials, you will receive an email notifying you of the submission. Agency staff will view the submission in the Grant Folder, and will return the submission if it is found to be insufficient. All submissions, including those that are returned, are accessible to you in the **Submissions by Awardee** area of the detailed *Status Information* screen, which will include a rationale for returning the submission.

To Check Additional Materials Submission Status:

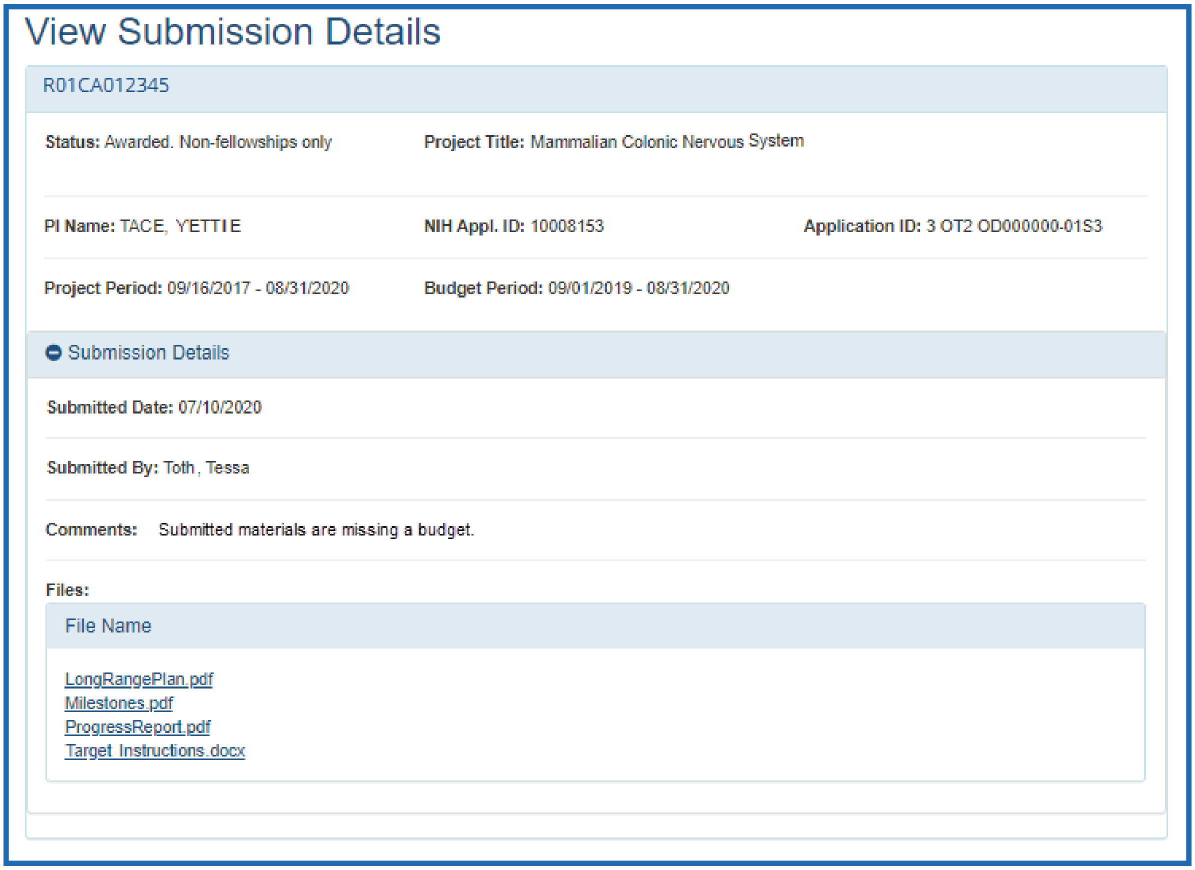
The PI/SO can view submission details including comments in the Status Information folder. Additionally, comments entered by the PI and/or SO can be viewed by agency staff.

1. Log in to eRA Commons with your PI or SO user ID and password.
2. Open the **Status** module and search for the award that requires additional materials.

   See *How Does an AOR or SO Check Submission Status?* on page 465 or *Status for Program Directors/Principal Investigators (PI Role)* on page 475.
3. In Status search results, click the award number in the **Application/Award ID** column, which opens the detailed *Status Information* screen.
4. Scroll to the *Submission by Awardee* section and view the Status.
   - **Submitted.** Submitted but not yet evaluated by agency.
   - **Rejected.** Submitted and not accepted by agency due to insufficiencies.



5. Click the **View** button and read the **Comments** section to see comments from the agency.



If a submission is rejected, the awardee can address rejection comments by making another submission.

SBIR/STTR Foreign Disclosure Form—Request for Additional Materials

After your organization receives an award from SBIR/STTR, your organization will be required to submit a form detailing foreign affiliations or relationships to foreign countries at regular intervals and within 30 days of any substantive change. The Required Disclosures of Foreign Affiliations or Relationships to Foreign Countries form applies to all competing applications for funding under the NIH, CDC, and FDA SBIR and STTR programs submitted for due dates on or after September 5, 2023. For details and to find a copy of the form that needs to be completed, see Required Disclosures of Foreign Affiliations or Relationships to Foreign Countries.

Regular, annual updates are required at the time of all SBIR/STTR annual, interim, and final Research Performance Progress Reports (RPPRs). For changes that occur between

RPPR submissions, updated disclosure forms are required within 30 days of any change in ownership, entity structure, covered individual, or other substantive changes in circumstance; see guide notice *Clarification of Implementation of the NIH SBIR and STTR Foreign Disclosure Pre-award and Post-Award Requirements*.

While either a principal investigator (PI) or a signing official (SO) can upload a form, write comments, and save the request, only the SO can actually submit the form to the awarding agency. The PDF form must be flattened; see Flattening PDFs for Submission in Commons.

To upload a Foreign Disclosure Form:

1. Log in to eRA Commons as a signing official (SO) or principal investigator (PI).
   Either an SO or PI can upload the form, but ONLY the SO can submit it.
2. Navigate to the Status module and search for an award that requires the foreign disclosure form.
3. On the award, click the **Foreign Disclosure Request for Additional Materials** link, which appears for all SBIR/STTR awards.
   For a PI, this link appears in the Available Actions column in the list of Applications/Awards. For an SO, this link appears under the three-dot ellipsis icon for an award in the table of search results.

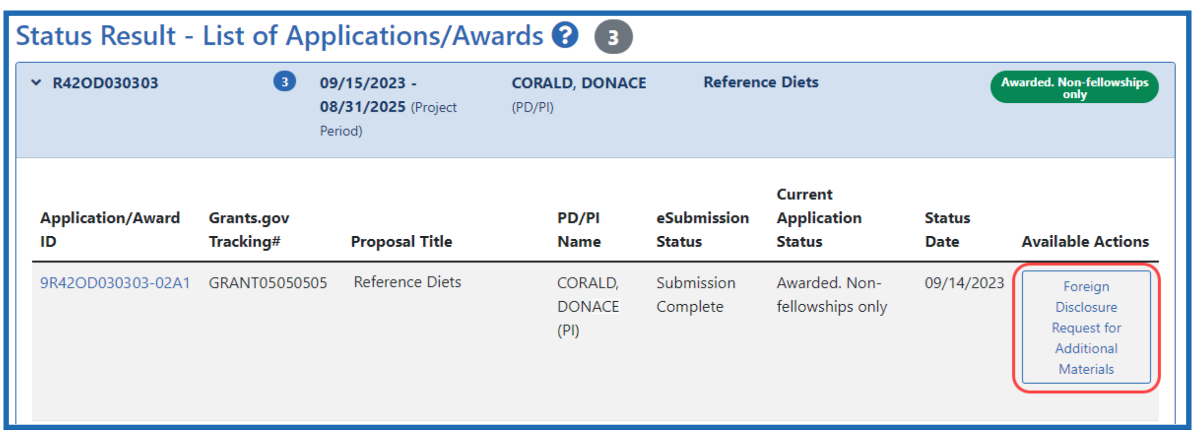


Figure 236: PI view of Status - Foreign Disclosure Request for Additional Materials option

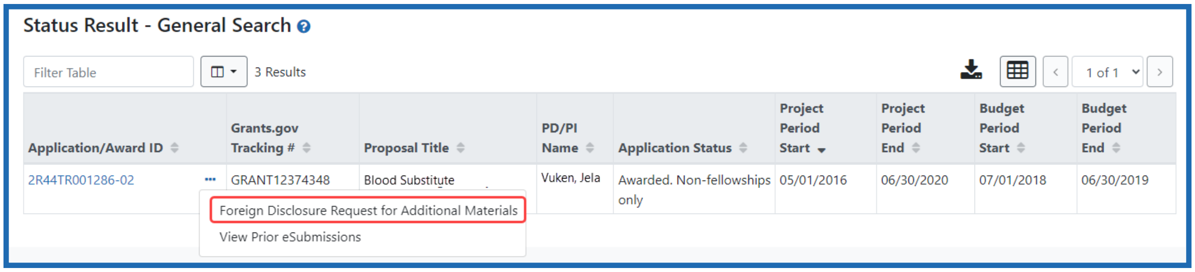


Figure 237: SO view of Status - Foreign Disclosure Request for Additional Materials option

The Foreign Disclosure Request for Additional Materials screen appears. In the explanatory text, you can see a '**foreign disclosure form**' link (outlined below), which leads to a page with details and a copy of the blank form.

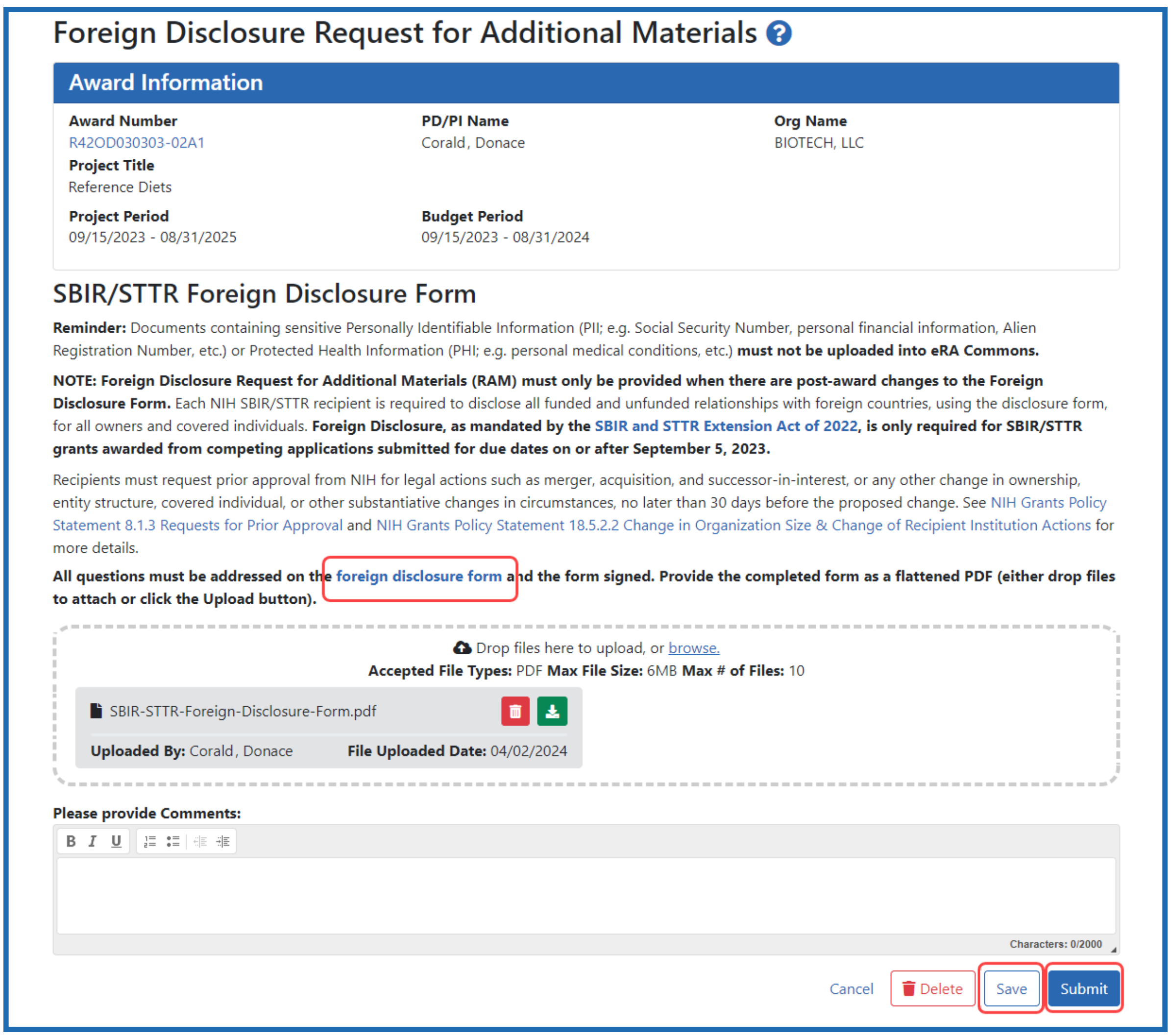


Figure 238: Foreign Disclosure Request for Additional Materials screen, showing Save (for all users) and Submit (for SO only) buttons, as well as a link to find the PDF form.

4. Drag and drop file(s) in the **"Drop Files Here.."** area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. Uploaded files are saved immediately with the request. For uploaded files, you can:
   - Click the **Download** icon and the browser will open or download the file.
   - Click the **Delete** icon to remove the file.
5. Click **Save** to save the comments in the request.
6. When the form is ready to submit, an SO should log in and click the **Submit** button. (The PI does not see or have access to the **Submit** button.)

A green success message lets you know that the file has been submitted. After submission, you cannot make changes. The form immediately becomes available for agency staff to review and process after submission.

Closeout Status

Agency-Specific Instructions: Closeout has different policies in place according to the agency who funds the award. Look for agency-specific instructions in this topic to determine if guidance applies to your award.

Closeout is a status in which an awardee needs to prepare and submit the information necessary to complete grant closeout requirements. Before closeout completes, all financial and progress reports need to be submitted and accepted by the awarding agency.

You can use the Status module to search for awards in various stages of Closeout and then submit required documentation or otherwise complete the closeout activities. The closeout tasks differ depending on the agency that funded the award.

Agency-Specific Instructions: Department of Commerce (DOC). Once closeout is complete, DOC awardees can no longer modify and resubmit a semi-annual RPPR.

More than one person can work on closeout activities. program directors/principal investigators (PD/PIs) or signing officials (SOs) can initiate closeout activities and upload files and save the closeout submission package, but only SOs for the award-holding organization can submit all final reports/documentation. While annual RPPRs can be initiated only by the principal investigator (PI), final RPPRs (accessible from Closeout Status screen) can also be initiated by a signing official (SO).

If you hold a SO or PD/PI 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 (only SOs can submit)
- Initiate/access Final Research Performance Progress Reports (RPPRs)
- Submit any requested additional material (FRAM) related to your Final Research Performance Progress Report (Final RPPR)
- Initiate/access Final Progress Reports (FPR) (Department of Commerce awards only)
- Access the Federal Financial Report (FFR) module of Commons, where you can start the Federal Financial Reports (you must have an FSR role in addition to the SO

role*). For awards from most agencies, the FFR module redirects you to the federal Payment Management System (PMS) to complete/submit the report. For Department of Commerce awards, you can complete and submit the report within eRA Commons' FFR module without accessing PMS.
- Initiate/access Tangible Personal Property Reports (TPPR) (SAMHSA awards only)
- Provide documentation for the Additional Closeout Documentation requirement (Department of Commerce awards only)

NOTE: *A user with the FSR role only can go directly to the FFR module and work with FFRs, but cannot access Status or closeout screens.

Possible Statuses for Closeout

On the *Status* module's **Closeout** search screen, an SO can use the **Closeout Status** search dropdown to limit search results to awards in the following statuses:

- **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
- **Unilaterally Closed** Grant has been unilaterally closed by the IC. Unilateral closeout is closeout without receipt of acceptable final reports for those recipients that are not in compliance with the policy.

Closeout Status Screen

The *Closeout Status* screen appears after you select one of the following actions from a grant: **Closed**, **In Unilateral Closeout**, **Requires Closeout**, or **Unilaterally Closed**. (See *Accessing the Closeout Screen (SO and PI)* on page 584

The *Closeout Status* screen contains a list of requirements for closeout. Each requirement has an instruction, the status of the requirement, and an **Action** column. If the grant is still open, review the requirements, read the instruction for each, and take actions to complete Closeout activities. Actions are role-based, so persons with different roles will have different closeout requirements. Be sure that you possess the role as described in the **Instruction** column.

Initially, there are actions buttons in the **Actions** column for a closeout activity, starting with "**Initiate**..., "**Process**", " or "**Manage**...". After a report is started and saved, but not submitted, those buttons change to "**Edit**...", which lets you review and change the report before submission. After submission, the buttons change to "**View**", whereupon no further changes can be made. Some reports allow repeated initiation and resubmission of the report and action buttons are named accordingly.

If the award is already closed, you might have the option to view submitted material with a **View** link. If the award is in Unilateral Closeout, links might be available in the **Action** column unless requirements have been closed by grants management staff, in which case you do not see the links. When Unilaterally Closed, links are not available.

NIH and AHRQ-Specific Guidance on Closeout

> **Agency-Specific Instructions:** NIH. The material in this section applies to NIH and AHRQ-funded awards only. If your grant is funded by a different agency other than NIH or AHRQ, check with your grants management specialist for specific policy guidance on closeout.

Policy:

Closeout policy information

NIH Enforcement of Unilateral Closeout Reporting in the System for Award Management Responsibility/Qualification (formerly Federal Awardee Performance and Integrity Information System (FAPIIS)

NIH and AHRQ 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 recipient or NIH/AHRQ. Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Following Closeout, the recipient 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.

Notes about Interim RPPR and Final RPPR

- **Agency-Specific Instructions:** AHRQ. Interim RPPRs (IRPPRs) are not used for AHRQ awards, so the following guidance does not apply to AHRQ recipients. AHRQ uses the Type 2 application as the interim progress report.
- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal after submitting the Final RPPR, the Final RPPR will be treated as your Interim RPPR.
- If you are awarded the renewal (Type 2), the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

Accessing the Closeout Screen (SO and PI)

Closeout is a status in which either the principal investigator (PI) or signing official (SO) prepare and upload the reports necessary to complete grant closeout requirements for an award. Both the PI and SO use the Status module to find grants in closeout status, and both can upload reports and save the submission package, but only the SO can submit the reports to the awarding agency.

If you hold an SO or PI role, you can access the Closeout Status screen. PIs can access closeout only for their own awards. SOs can access closeout for all their organization's awards. Because the Status module is different for PIs and SOs, the steps for accessing closeout is different.

Accessing the Closeout Screen

Both the PI and the SO use the Status module to access the **Closeout Status** screen for an award. The SO and PI have different views of the Status module. See below for instructions on accessing the Closeout Status screen for your role (PI or SO). Only those Commons users with the FSR role see the Manage Final FFR action button on the Closeout Status screen.

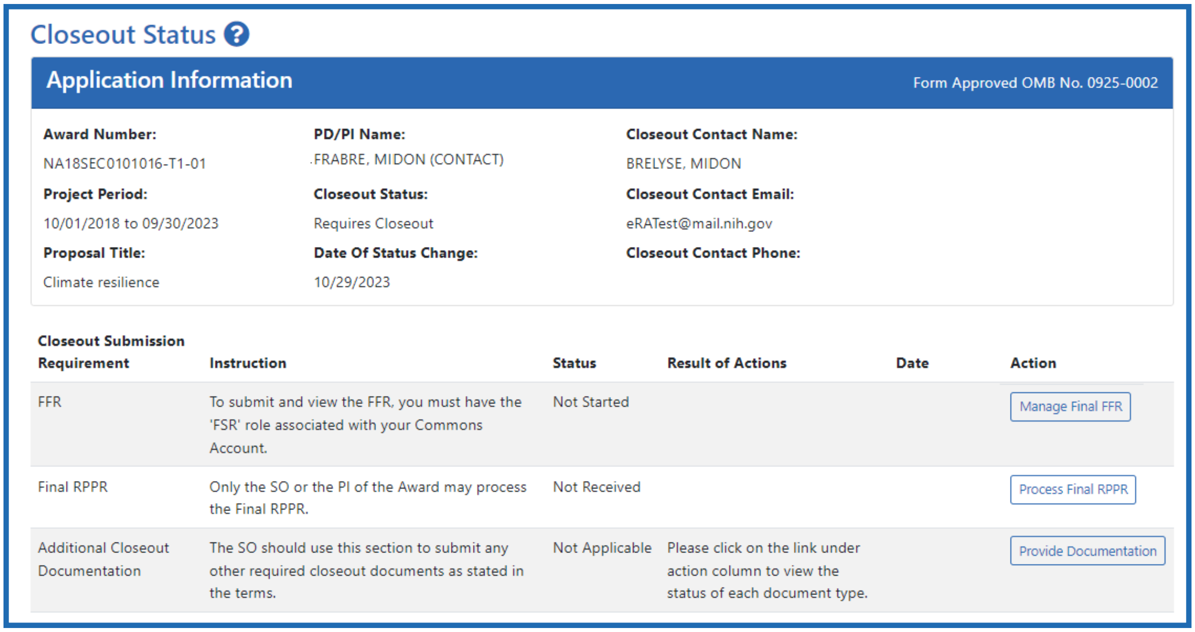


Figure 239: Closeout Status screen

On the Closeout Status screen, if the award is still open, review the requirements, read the instruction for each, and take actions to complete Closeout activities. Actions are role-based, so persons with different roles closeout different requirements. Specifically, SOs can submit documents to the agency, and PIs cannot submit.

If the award is already closed, you might have the option to view submitted material with a **View** link.

How Principal Investigator Accesses Award in Closeout

A PI should go to the Status module, expand the grant that requires closeout, and click the **Requires Closeout** button (or other closeout button, such as **Closed**, **In Unilateral Closeout**, **Unilaterally Closed**).

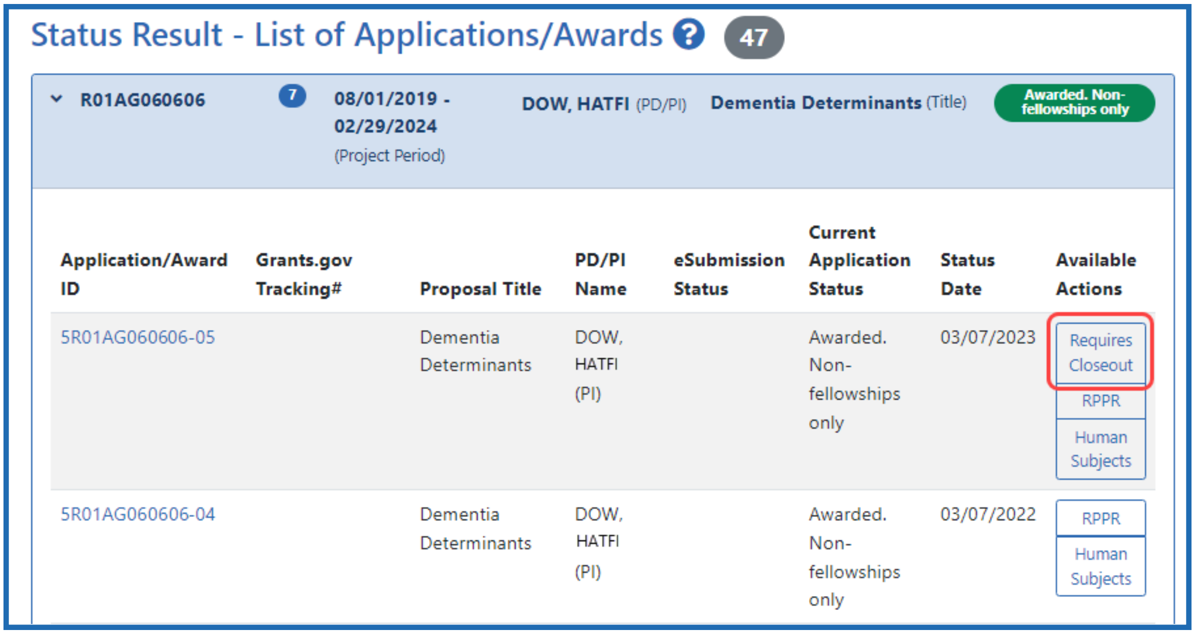


Figure 240: Status for PI search results showing the Requires Closeout action, outlined

The *Closeout Status* screen appears.

How Signing Official Finds and Accesses Award in Closeout

To access closeout for an award, an SO does this:

1. Go to the Status module.
2. Select **Closeout** in the **Search Type** dropdown.

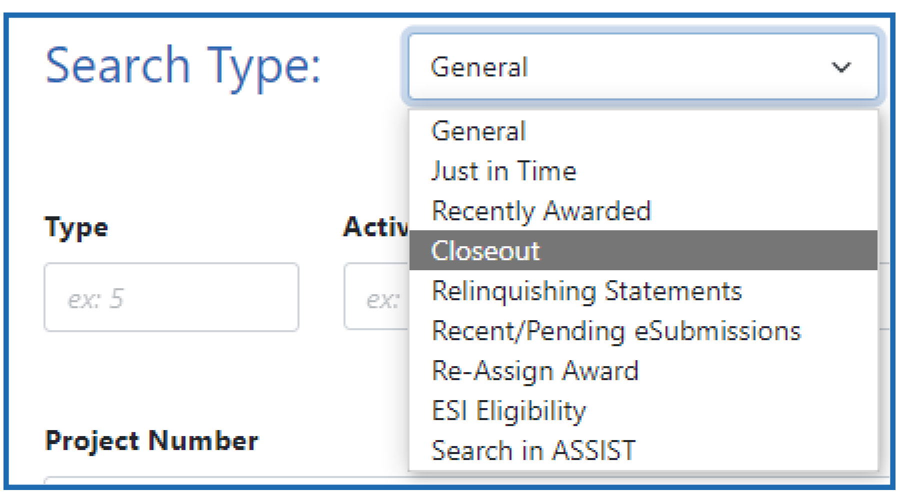
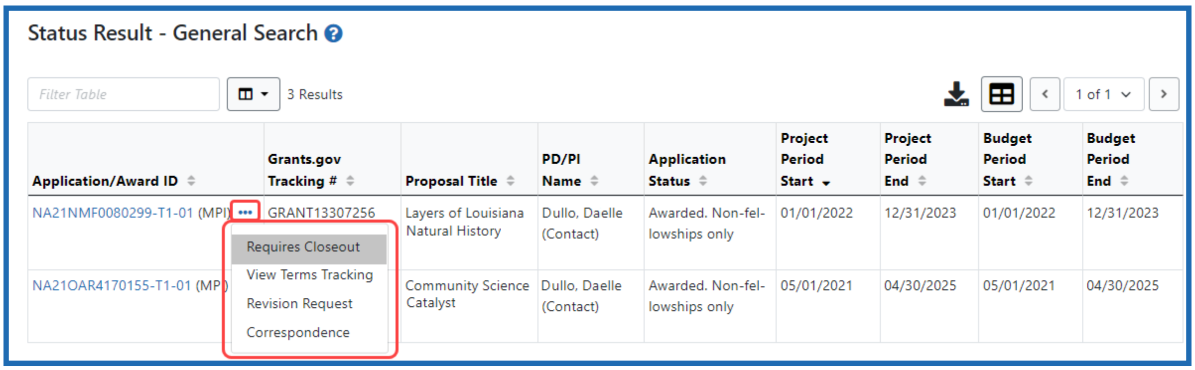


Figure 241: Search Type dropdown in Status for SOs showing the Closeout search option

3. Select **Requires Closeout** in the **Closeout Status** dropdown, or another closeout status (**In Unilateral Closeout**, **Closed**, or **Unilaterally Closed**.
4. Click **Search**.
5. On the award, the SO clicks the three-dot ellipsis icon and selects **Requires Closeout** or other closeout status.



The *Closeout Status* screen appears.

Closeout for NIH Awards

NIH awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Final Research Performance Progress Report (RPPR). A final report for research awards.
- Final Invention Statement
- Final Progress Report Additional Materials (FRAM). This is only required if the agency asks for updates to the submitted progress report.

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)* on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Research Performance Progress Report for NIH Awards

Agency-Specific Instructions: NIH ONLY. The policy guidance in this topic applies to NIH only. See *Closeout—Final Research Performance Progress Report for NON-NIH Awards* on page 695for Final RPPR guidance for awards that are NOT funded by NIH.

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See NIH Implementation of Final Research Performance Progress Reports (Final RPPR) — Guide Notice NOT-OD-17-022.

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report would be required for the current competitive segment, then submission of an *Interim RPPR* via eRA Commons is required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration — (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are identical in process and information required. The difference between them is when and where they are made available to initiate and submit. The **Interim RPPR** link is available to the signing official (SO) and principal investigator on the *Status* screen when a grant is eligible for submission for a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the **Process Final RPPR** link only appears on the Closeout Status screen.

The format of the Interim RPPR, the Final RPPR, and the annual RPPR are the same, making it easier for grantees to navigate and complete them.

Differences between Interim/Final RPPR and the annual RPPR are:

- In the Interim/Final RPPR, only *D.1* is required in the *Participants* section
- *Sections F: Changes* and *Section H: Budget* are not part of the Interim/Final RPPR
- *Section I: Outcomes* is required for both the Interim/Final RPPR

Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.

- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award, and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

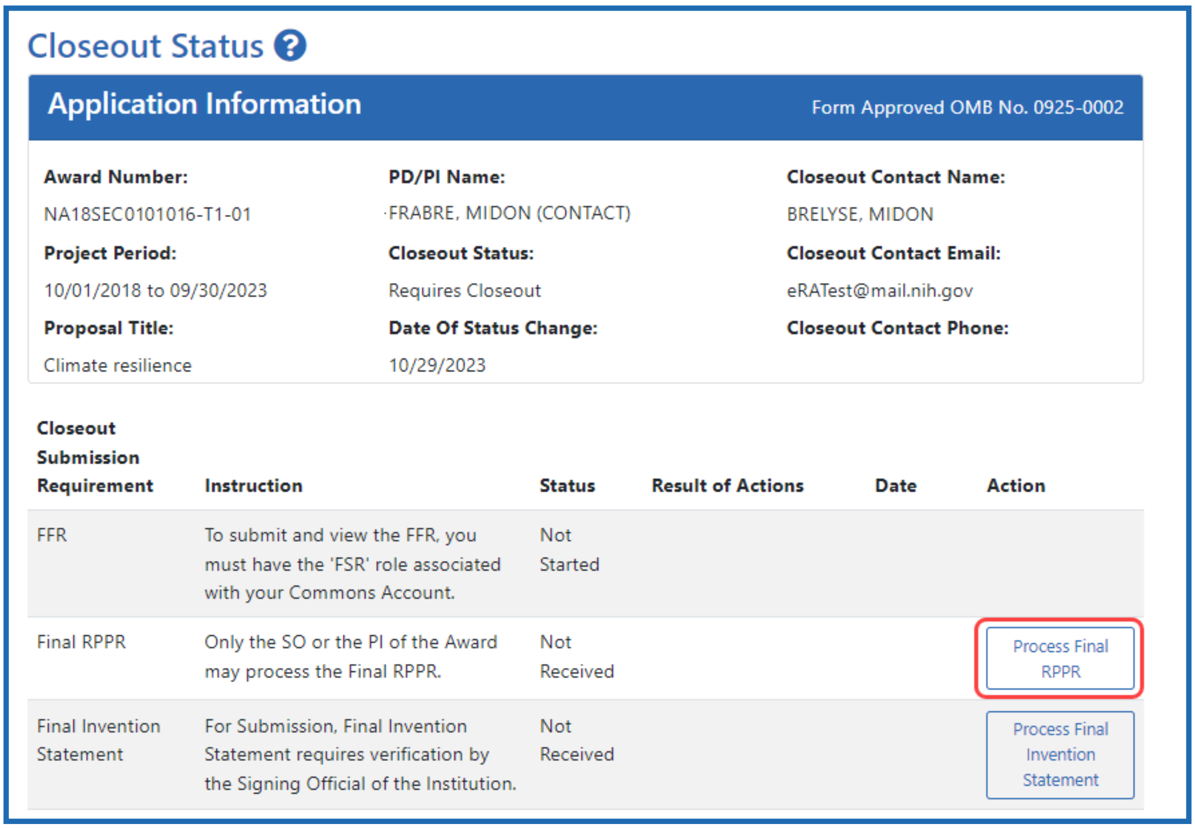


Figure 242: Closeout Status screen showing Process Final RPPR button, outlined

The RPPR Menu screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

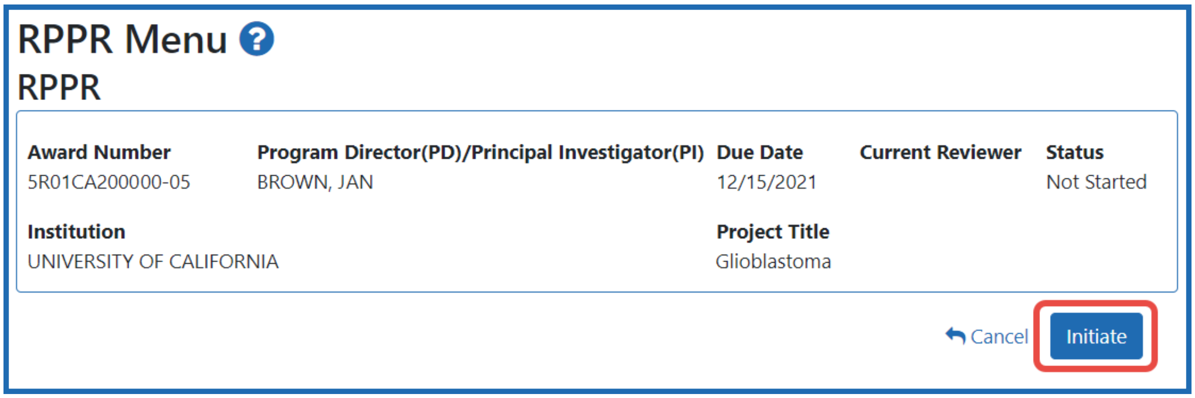


Figure 243: RPPR Menu screen, showing the Initiate button outlined

4. Click the **Initiate** button to create the Final RPPR. The Final RPPR Menu will then change, showing the option to Edit the Final RPPR under the thee-dot ellipsis menu:

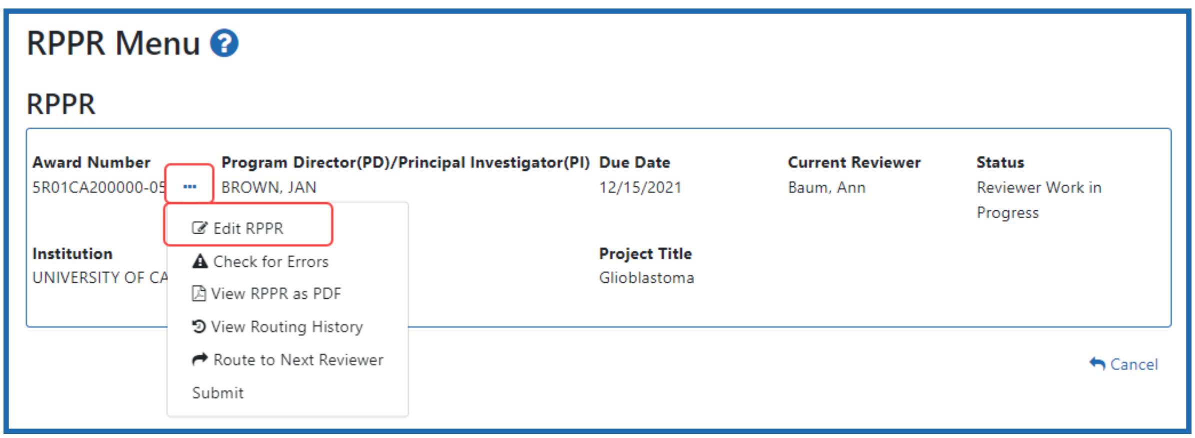


Figure 244: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

5. Select Edit RPPR from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Field-by-field guidance is available for completing the NIH, AHRQ, and VA Research Performance Progress Reports (RPPRs). Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for completing Sections A-I of the RPPR. This guide does not apply to Department of Commerce (DOC) awards.

Closeout—Final Invention Statement

Either a program directory/principal investigator (PD/PI) or a signing official (SO) can edit a final invention statement, but only an SO can submit it to the agency. Use this procedure to complete a Final Invention Statement that lists inventions that were conceived as part of the research grant.

Reporting Inventions on the Final Invention Statement on page 593

Reporting No Inventions on the Final Invention Statement on page 596

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

NIH and AHRQ Final Invention Statement Policy Guidance

Agency-Specific Instructions: NIH and AHRQ only. The following policy guidance applies to NIH and AHRQ-funded awards only.

You must submit a Final Invention Statement (FIS) within 120 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: For policy information on awards funded by the Department of Health and Human Services, refer to the Procedure for Submission of Final Invention Statement and Certification.

If your award is funded by a non-NIH or non-AHRQ source, check with your awarding agency for policy guidance on final invention statements.

Reporting Inventions on the Final Invention Statement

To complete a final invention statement when inventions need to be reported:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

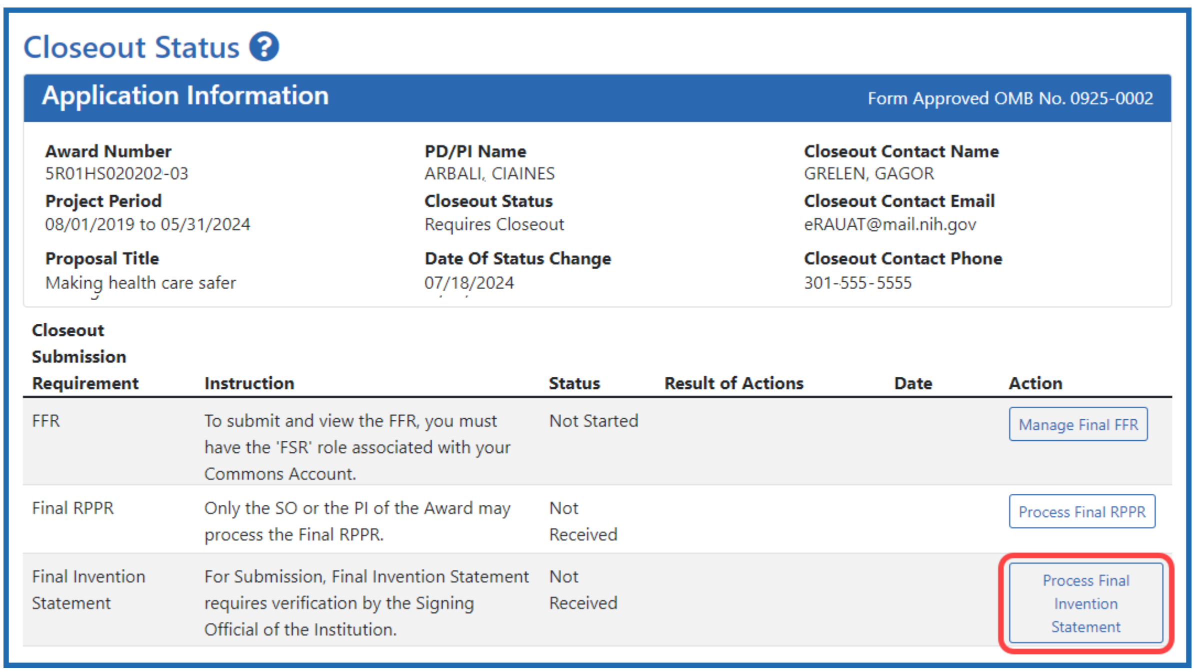


Figure 245: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status*.

   The *Process Final Invention Statement* screen displays.

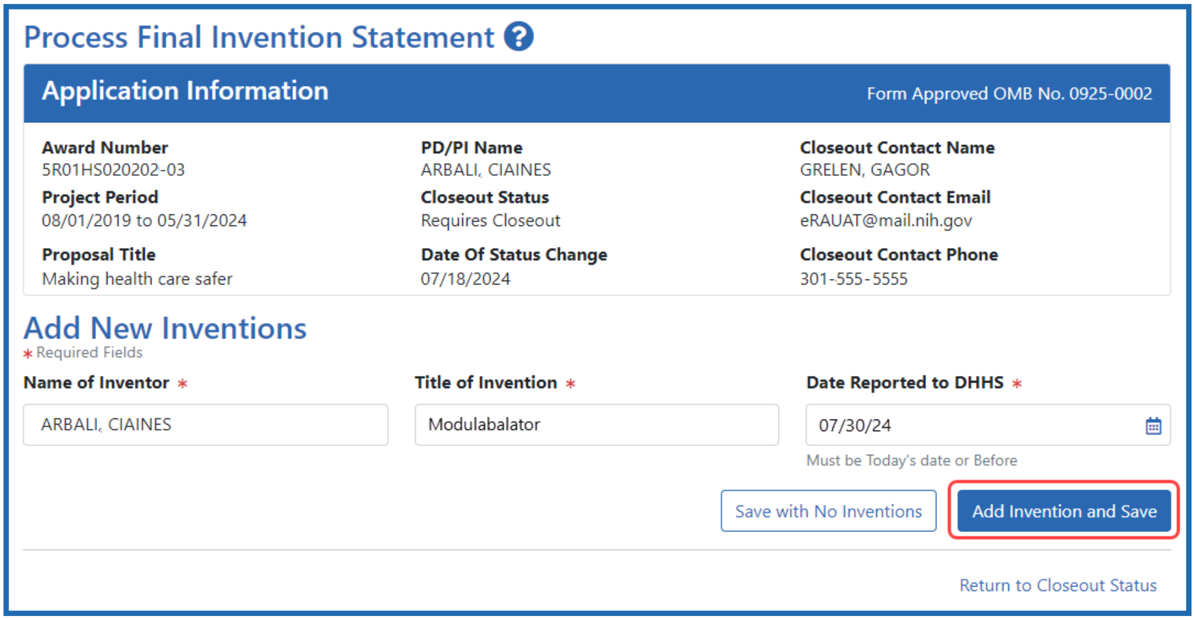


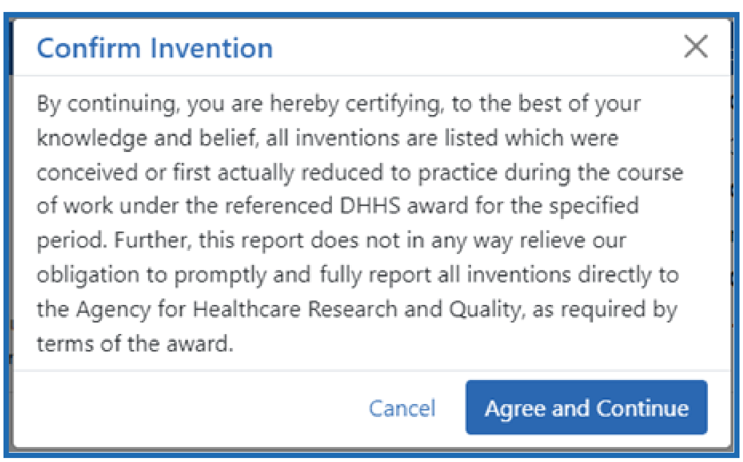
Figure 246: Process Final Invention Statement screen with no inventions yet added

3. To add an invention:

   a. Type the **Name of Inventor**, **Title of Invention**, and the **Date Reported to DHSS** (the date you want to officially report it to the Department of Health and Human Services).

   b. Click the **Add Invention and Save** button.

   The *Confirm Invention* popup appears with customized language depending on whether the award is funded by AHRQ or NIH.



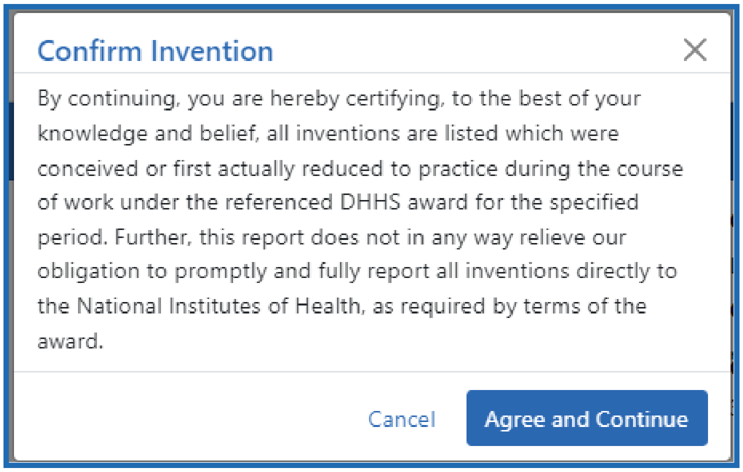


Figure 247: Confirm Invention popup screen attesting that all inventions are listed

c. Click **Agree and Continue** in the popup even if you have more inventions to add.

The invention is now listed under *Added Inventions* at the bottom of the screen. As long as the final invention statement has not yet been submitted, either a PI or SO who views this screen can click an item's **Delete Invention and Save** link in the Action column to remove it.

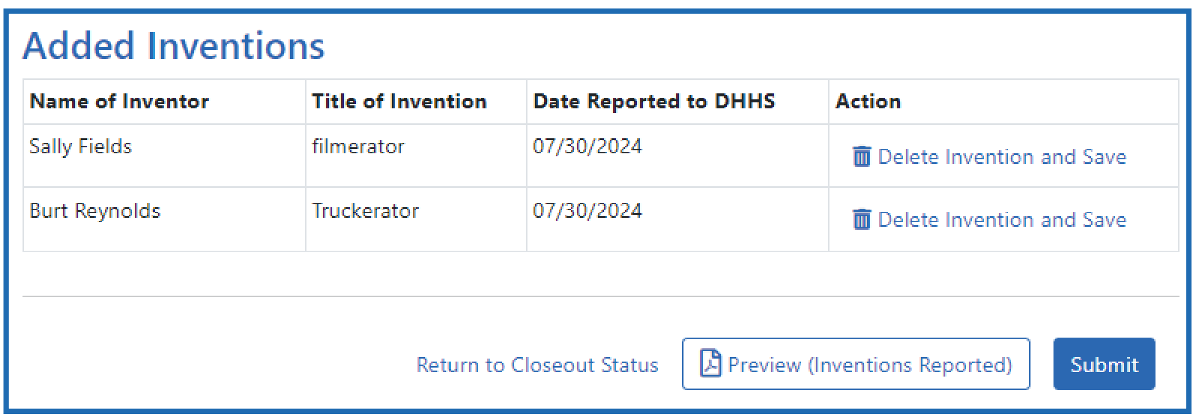


Figure 248: Added Inventions section of Process Final Invention Statement screen, showing a list of inventions

4. To add additional inventions, repeat the previous step as many times as necessary. Any inventions you define are saved immediately.

NOTE: Click the **Preview (Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

5. When all the inventions are listed at the bottom of the screen, click the **Submit** button to submit the invention statement to the awarding agency. (Only the SO can submit—the PI does not see a **Submit** button.)

   The *Confirm Invention* popup appears again.

6. Click **Agree and Continue** again to complete submission.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Reporting No Inventions on the Final Invention Statement

To complete a final invention statement certifying that no inventions exist:

1. Log in to [eRA Commons] as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

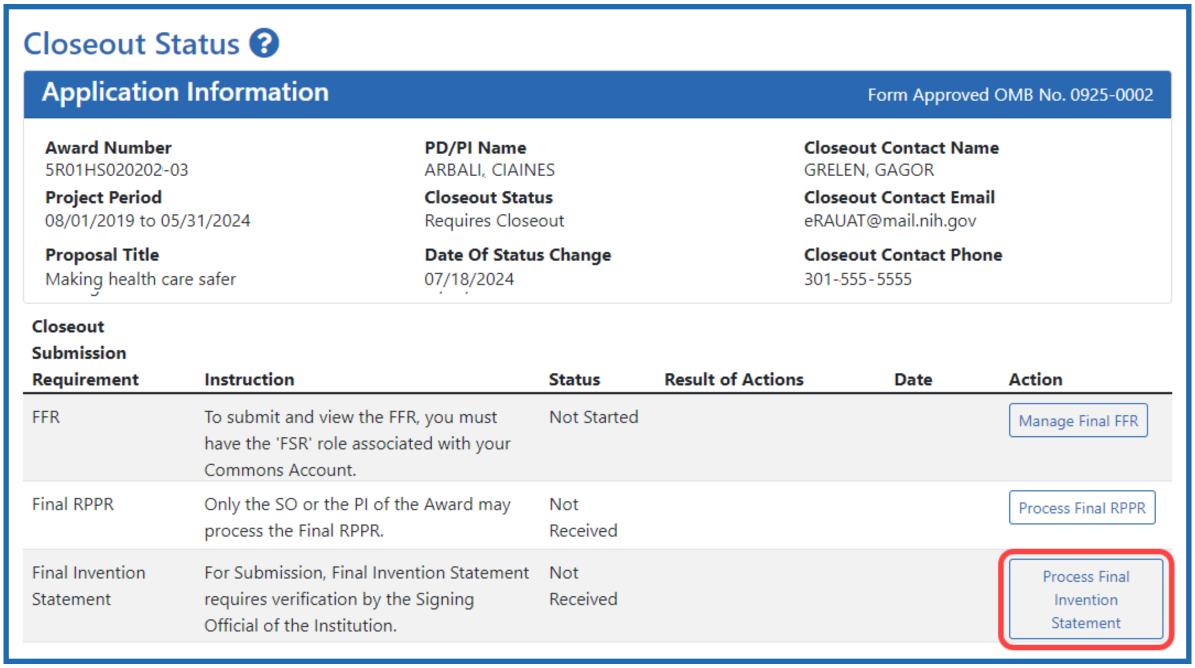


Figure 249: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status* screen.

   The *Process Final Invention Statement* screen displays.

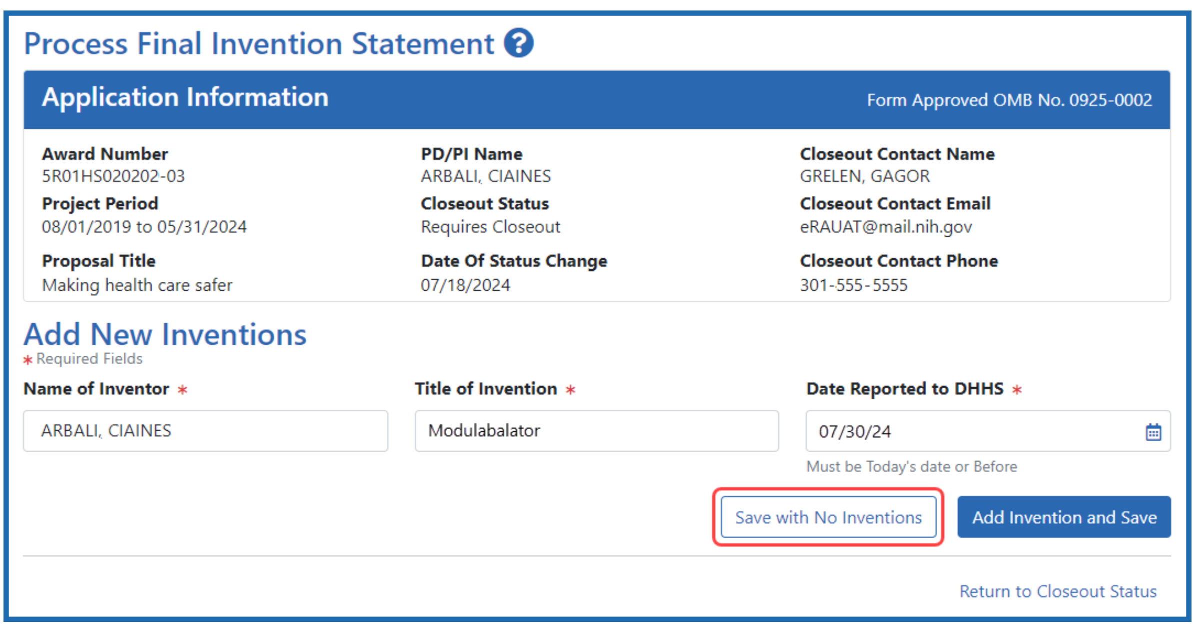


Figure 250: Process Final Invention Statement screen with Save with No Inventions button outlined

3. Click the **Save with No Inventions** button.

   A success message appears on the top right side of the eRA screen heading. You will also notice that the Preview button is now named **Preview (No Inventions Reported)**.

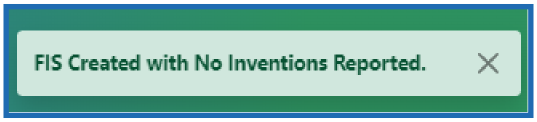


Figure 251: Success message in eRA Commons banner noting the FIS (final invention statement) was created with no inventions reported

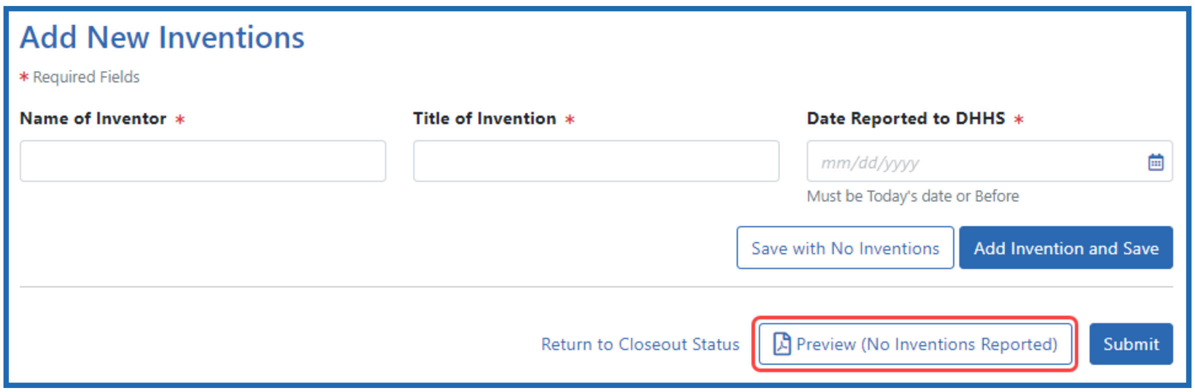


Figure 252: Final Inventions Statement with no inventions, showing the name of Preview button changed to "Preview (No Inventions Reported)

NOTE: Click the **Preview (No Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

4. Once you confirm that the Preview button is now renamed to indicate "**No Inventions Reported**", click the **Submit** button to submit a statement indicating no inventions are being reported. (Only the SO sees a **Submit** button and has the ability to submit.)

   A certification popup appears.

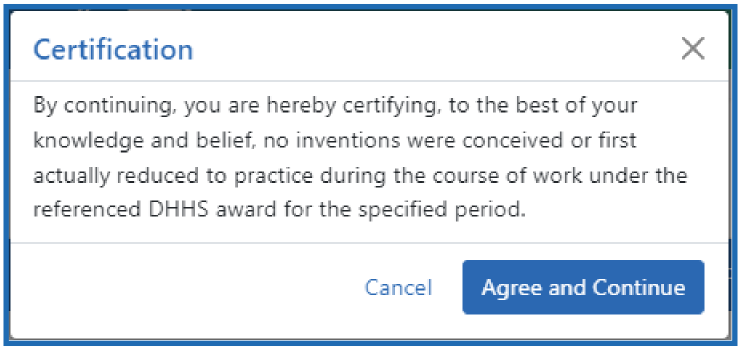


Figure 253: Certification popup for that appears when submitting a final invention statement indicating no inventions

5. Click **Agree and Continue** in the *Certification* popup.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Closeout—Final Progress Report Additional Materials (FRAM)

The *Final Progress Report Additional Materials* (FRAM) link provides a means for recipients to enter, review, route, and submit information in response to specific request(s) by the program official (PO) for additional information related to the Final RPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

While reviewing a submitted Final RPPR, the PO might determine that additional materials related to the submitted report are required. In this case, the PO submits a request for this information referred to as a FRAM request. When a FRAM request is made, the PD/PI is notified via email with a description of the requested material and a FRAM task appears on the *Closeout Status* screen.

Agency-Specific Instructions: SAMHSA: For awards funded by NIH, FDA, AHRQ, and VA, a FRAM request is also used to ask for a *Revised Project Outcome* from the awardee. SAMHSA awards do not use FRAM to ask for *Revised Project Outcome*, although the *Revised Project Outcome* section appears on SAMHSA FRAM screen. SAMHSA awardees should ignore all references to *Revised Project Outcomes* in the following topic, as that section of the FRAM screen is not applicable to SAMHSA.

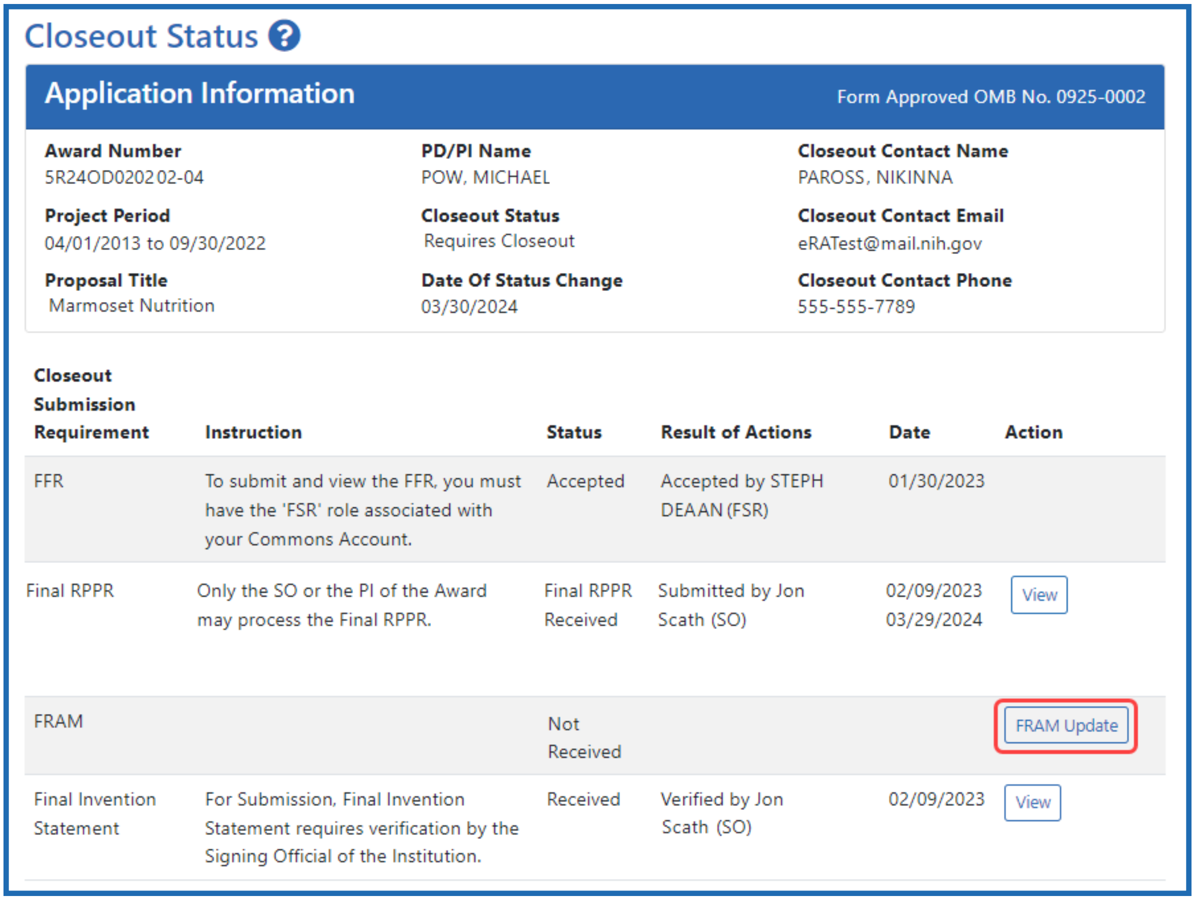
TIP: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials (FRAM) Request** link located in **Other Relevant Documents** section of *Status Information* shows the original request.

Initiating Final Progress Report Additional Materials or Revised Project Outcomes (FRAM)

Either the PD/PI or SO can initiate the FRAM and attach a file or type/paste a Revised Project Outcomes, but only an SO can submit.

1. Log into eRA Commons as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. If a PO has requested additional material related to the Final RPPR, the Closeout Submission Requirement column on Closeout Status screen lists "FRAM" as a task and the **FRAM Update** button appears in the Action column.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.



Closeout Status

Application Information Form Approved OMB No. 0925-0002

Award Number 5R24OD020202-04	**PD/PI Name** POW, MICHAEL	**Closeout Contact Name** PAROSS, NIKINNA
Project Period 04/01/2013 to 09/30/2022	**Closeout Status** Requires Closeout	**Closeout Contact Email** eRATest@mail.nih.gov
Proposal Title Marmoset Nutrition	**Date Of Status Change** 03/30/2024	**Closeout Contact Phone** 555-555-7789

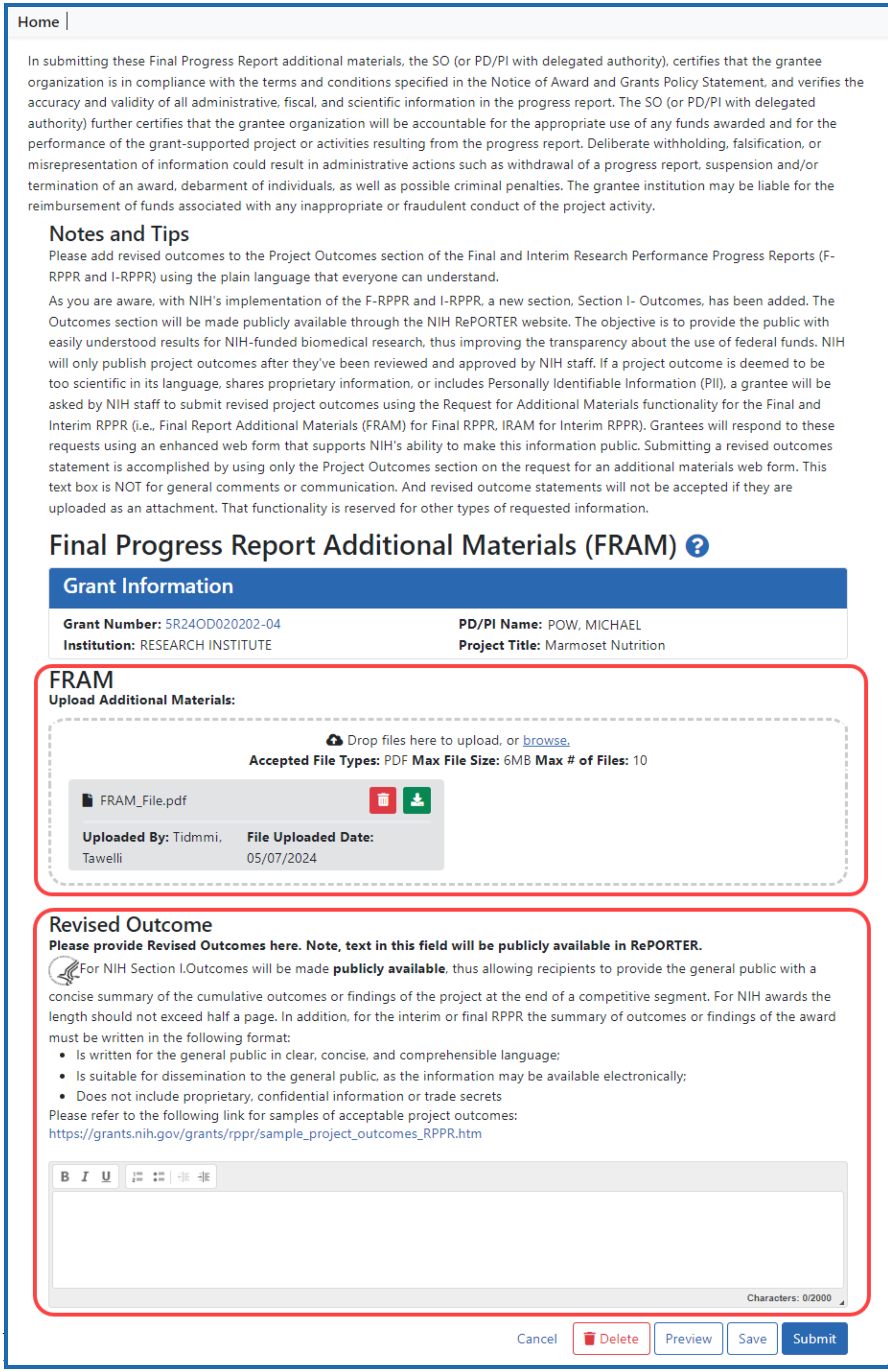
Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	To submit and view the FFR, you must have the 'FSR' role associated with your Commons Account.	Accepted	Accepted by STEPH DEAAN (FSR)	01/30/2023	
Final RPPR	Only the SO or the PI of the Award may process the Final RPPR.	Final RPPR Received	Submitted by Jon Scath (SO)	02/09/2023 03/29/2024	View
FRAM		Not Received			FRAM Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Received	Verified by Jon Scath (SO)	02/09/2023	View

Figure 254: A sample Closeout Status screen showing the FRAM task and FRAM Update button. Depending on the awarding agency, different tasks might appear than those shown.

3. Click the **FRAM Update** link.

The *Final Progress Report Additional Materials (FRAM)* screen appears. The top of the page contains certification language that should be read prior to submitting materials. It also contains *Notes and Tips* with policy guidance of what should be submitted using this screen.

> **Agency-Specific Instructions:** In eRA Commons, please read language on the following screen carefully; language differs depending on the awarding agency's policies. The following sample shows language for NIH awards. If your award is funded by a different agency, the policy language may differ from what you see here.



Home |

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.

Notes and Tips

Please add revised outcomes to the Project Outcomes section of the Final and Interim Research Performance Progress Reports (F-RPPR and I-RPPR) using the plain language that everyone can understand.

As you are aware, with NIH's implementation of the F-RPPR and I-RPPR, a new section, Section I- Outcomes, has been added. The Outcomes section will be made publicly available through the NIH RePORTER website. The objective is to provide the public with easily understood results for NIH-funded biomedical research, thus improving the transparency about the use of federal funds. NIH will only publish project outcomes after they've been reviewed and approved by NIH staff. If a project outcome is deemed to be too scientific in its language, shares proprietary information, or includes Personally Identifiable Information (PII), a grantee will be asked by NIH staff to submit revised project outcomes using the Request for Additional Materials functionality for the Final and Interim RPPR (i.e., Final Report Additional Materials (FRAM) for Final RPPR, IRAM for Interim RPPR). Grantees will respond to these requests using an enhanced web form that supports NIH's ability to make this information public. Submitting a revised outcomes statement is accomplished by using only the Project Outcomes section on the request for an additional materials web form. This text box is NOT for general comments or communication. And revised outcome statements will not be accepted if they are uploaded as an attachment. That functionality is reserved for other types of requested information.

Final Progress Report Additional Materials (FRAM)

Grant Information

Grant Number: 5R24OD020202-04 **PD/PI Name:** POW, MICHAEL

Institution: RESEARCH INSTITUTE **Project Title:** Marmoset Nutrition

FRAM

Upload Additional Materials:

Drop files here to upload, or browse.

Accepted File Types: PDF **Max File Size:** 6MB **Max # of Files:** 10

FRAM_File.pdf

Uploaded By: Tidmmi, Tawelli **File Uploaded Date:** 05/07/2024

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

For NIH Section I.Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

B I U

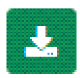
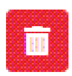
Characters: 0/2000

Cancel Delete Preview Save Submit

Figure 255: The FRAM screen contains two distinct sections where material can be submitted, a section for uploading files, and a section for providing a revised outcome

There are two distinct sections to the FRAM screen: the *FRAM Upload Additional Materials* section, and the *Revised Outcome* section. Use the *FRAM Upload Additional Materials* section to upload one or more files, if files have been requested by the PO. Use the *Revised Outcome* section to type or paste revised text for the RPPR section titled "I. Outcomes". Policy guidance appears under this section to describe what type of description is needed, and it contains a link you can click to see samples of acceptable project outcomes.

To upload one or more files in the *FRAM Upload Additional Materials* section:

1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
2. If you change your mind about this FRAM submission, and you want to discard it, click the **Delete** button at the bottom of the screen. This does not delete prior submissions.

To provide a Revised Outcome:

Agency-Specific Instructions: SAMHSA. The *Revised Project Outcome* section is not applicable for awards funded by SAMHSA.

See NIH notices **NOT-OD-17-022** and **NOT-OD-17-037** for additional policy guidance on revised outcomes.

1. Read the policy guidance in the *Revised Outcome* section prior to submitting a revised outcome.

2. Type or paste the revised outcome description into the text box provided. Tool icons at the top of the text box provide basic editing tools, such as bold, italic, bullets, numbering, and indenting.

To see what the FRAM submission includes:

1. First click the **Save** button at bottom of the screen.

2. Click the **Preview** button at the bottom of the screen.

   A PDF is downloaded by the browser.

3. Use the browser or another file to open the PDF, which contains a summary of files uploaded, person who uploaded, any revised outcome that was saved, and the contents of any files that were uploaded.

To save the FRAM submission package but not submit it:

Click the **Save** button.

To submit the FRAM package to the awarding agency for their review:

1. First read the certification language that appears at the top of the screen. This is what the submitter is agreeing to upon submission of the materials to the awarding agency. Only SOs or those with delegated authority to submit reports can see the **Submit** button.

2. To finalize this FRAM submission package and submit it for agency review, click the **Submit** button (SO only).

After you submit the FRAM, a **View** action appears on *Closeout Status*, which you can click to view a PDF document containing all documents and submission details for the FRAM request. You can also view the FRAM submission on the *Status Information* screen under **Other Relevant Documents**. The **FRAM Update** action remains until acceptance of the Final RPPR, enabling you to upload more files; however, you cannot make changes to files already submitted.

Additionally, an 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.

NOTE: The PO may rescind the approval of the Final RPPR or Final Progress Report (FPR) submission at any time. If this occurs, the **FRAM Update** action appears for submitting FRAM.

Closeout for AHRQ Awards

Agency for Healthcare Research and Quality (AHRQ) awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Final Research Performance Progress Report (RPPR). A final report for research awards. Also see the RPPR Instruction Guide.
- Final Invention Statement
- Final Progress Report Additional Materials (FRAM). This is only required if the agency asks for updates to the submitted progress report.

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

Also see Grant Closeout Requirements on the AHRQ website.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)*

on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Research Performance Progress Report for NON-NIH Awards

Consult with the awarding agency for policy guidance on Final Research Performance Progress Reports (RPPRs).

- The F. Changes form is not applicable for Final RPPRs.

  The H. Budget form is not applicable for Final RPPRs.
- The I. Outcomes form is applicable only for Final RPPRs.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

   Below is a sample Closeout Status screen showing a sample award number and tasks. Depending on the awarding agency, different tasks might appear than those shown.

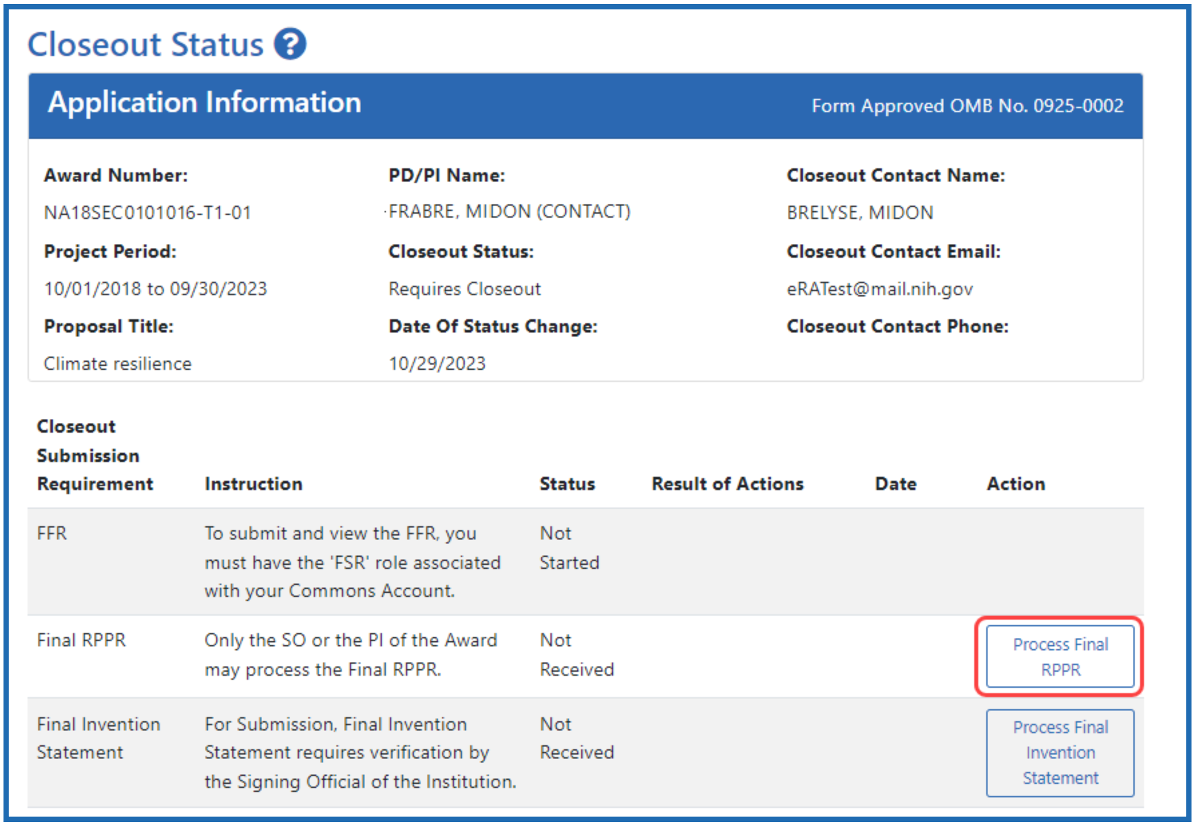


Figure 256: Closeout Status sceen showing the Process Final RPPR button, outlined

The *RPPR Menu* screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

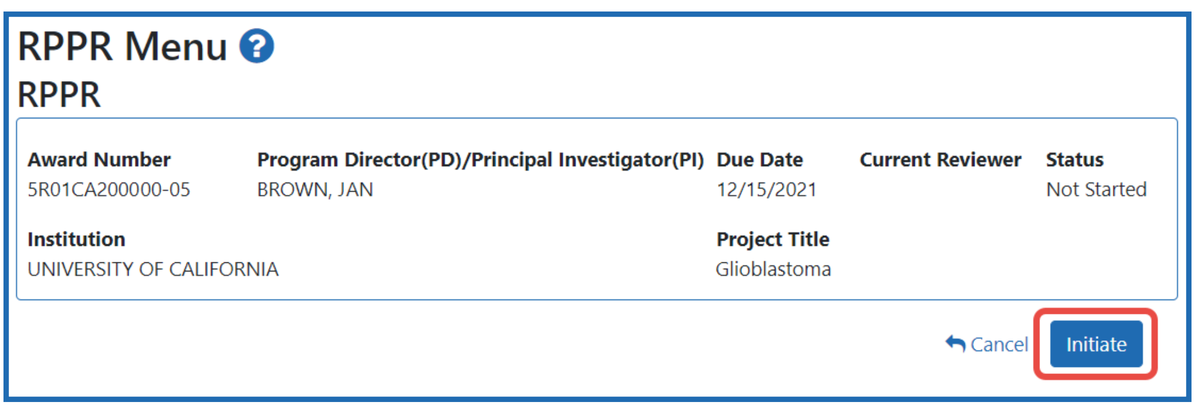


Figure 257: RPPR Menu screen, showing the Initiate button outlined

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

After the Final RPPR has been initiated, you see a three-dot ellipsis icon next to the Award Number, where you can access RPPR actions.

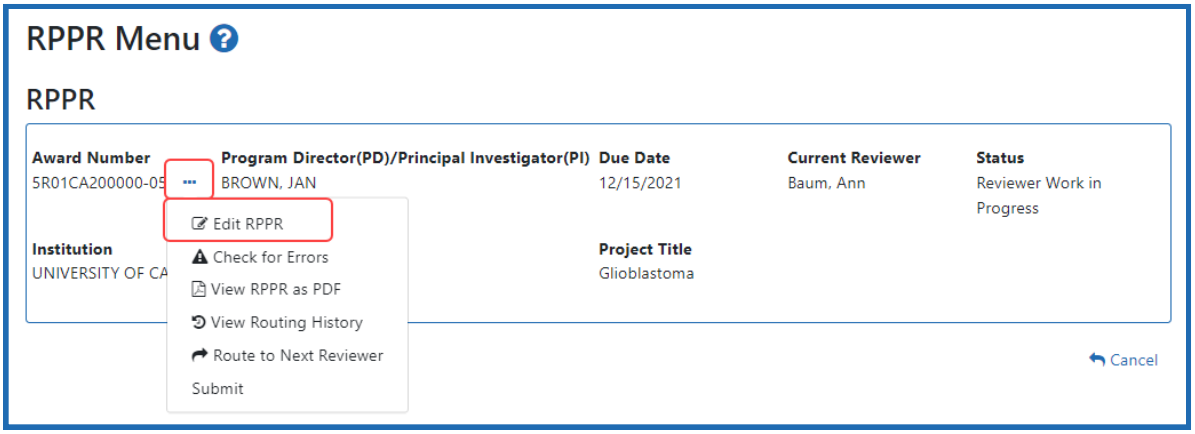


Figure 258: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

4. Select **Edit RPPR** from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Closeout—Final Invention Statement

Either a program directory/principal investigator (PD/PI) or a signing official (SO) can edit a final invention statement, but only an SO can submit it to the agency. Use this procedure to complete a Final Invention Statement that lists inventions that were conceived as part of the research grant.

Reporting Inventions on the Final Invention Statement on page 610

Reporting No Inventions on the Final Invention Statement on page 614

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

NIH and AHRQ Final Invention Statement Policy Guidance

Agency-Specific Instructions: NIH and AHRQ only. The following policy guidance applies to NIH and AHRQ-funded awards only.

You must submit a Final Invention Statement (FIS) within 120 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: For policy information on awards funded by the Department of Health and Human Services, refer to the Procedure for Submission of Final Invention Statement and Certification.

If your award is funded by a non-NIH or non-AHRQ source, check with your awarding agency for policy guidance on final invention statements.

Reporting Inventions on the Final Invention Statement

To complete a final invention statement when inventions need to be reported:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

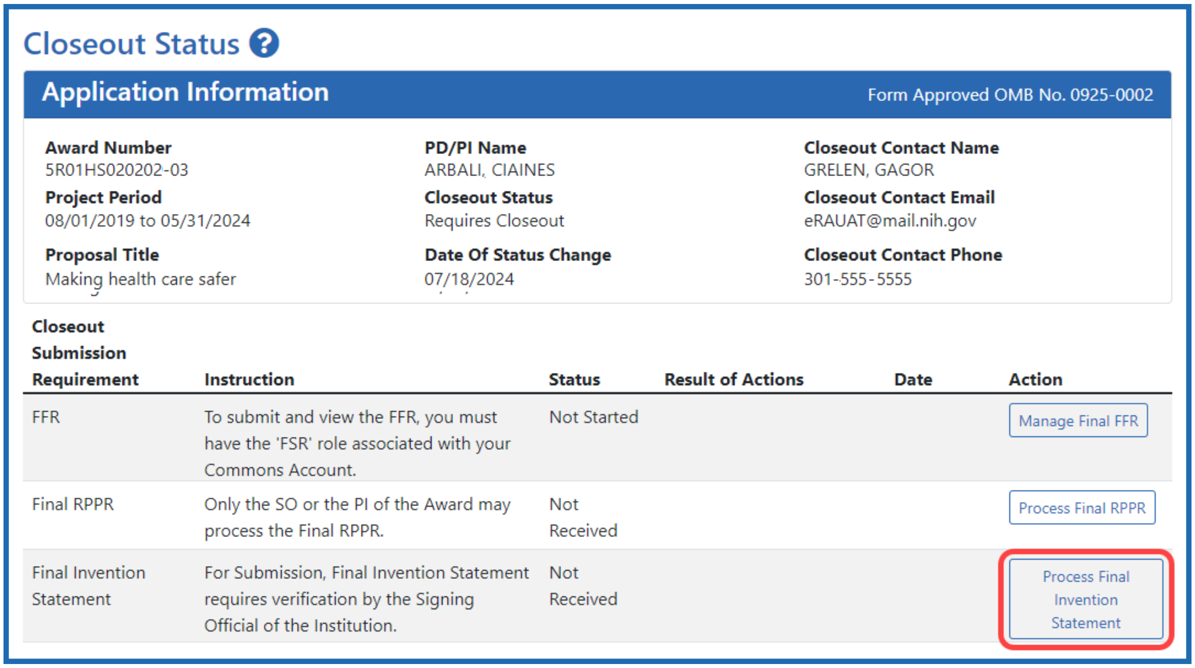


Figure 259: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status*.

   The *Process Final Invention Statement* screen displays.

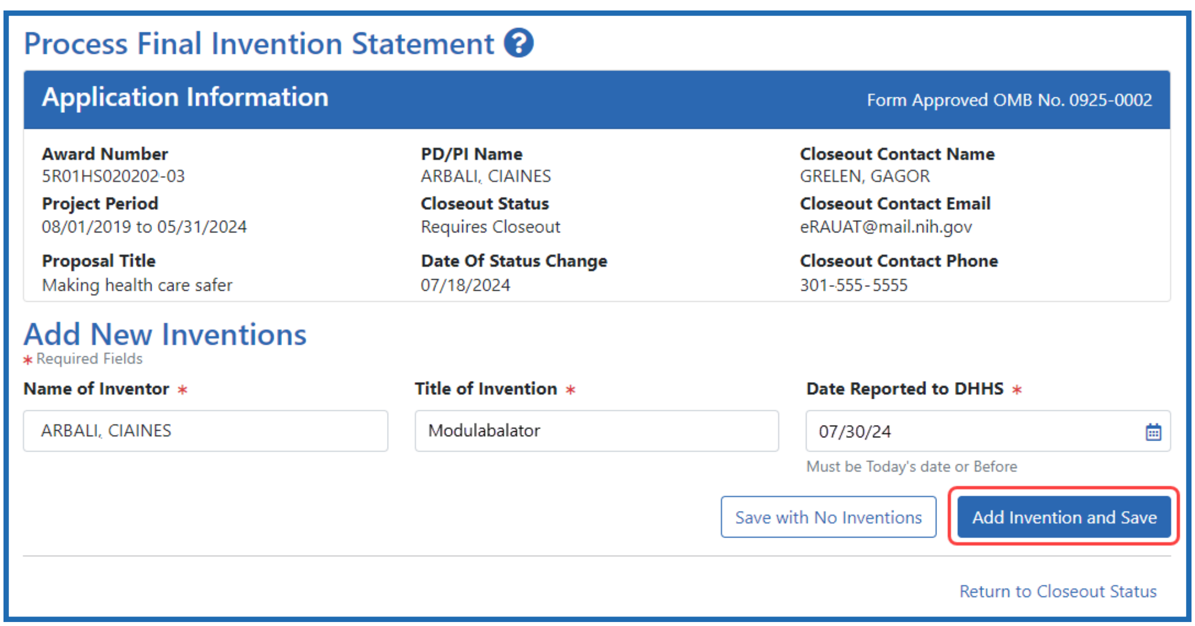


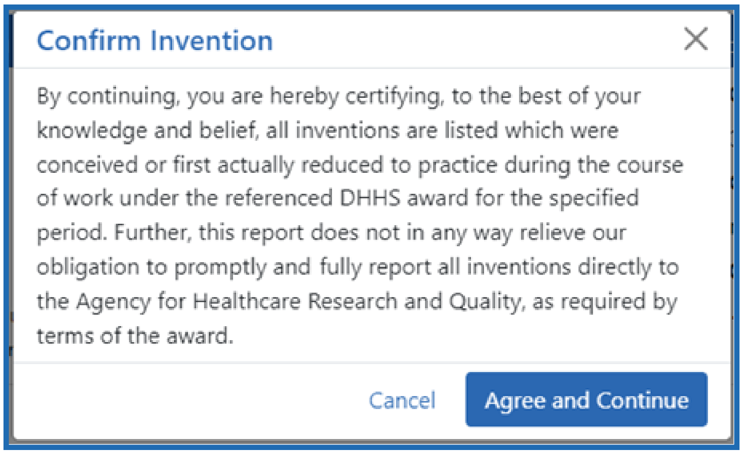
Figure 260: Process Final Invention Statement screen with no inventions yet added

3. To add an invention:

    a. Type the **Name of Inventor**, **Title of Invention**, and the **Date Reported to DHSS** (the date you want to officially report it to the Department of Health and Human Services).

    b. Click the **Add Invention and Save** button.

    The *Confirm Invention* popup appears with customized language depending on whether the award is funded by AHRQ or NIH.



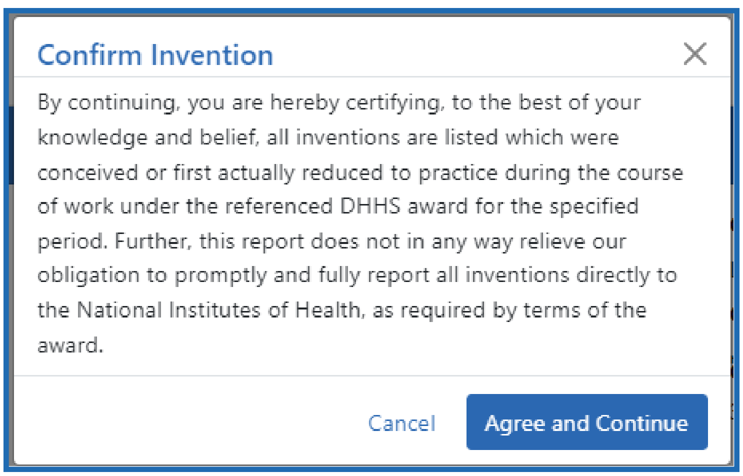


Figure 261: Confirm Invention popup screen attesting that all inventions are listed

    c. Click **Agree and Continue** in the popup even if you have more inventions to add.

The invention is now listed under *Added Inventions* at the bottom of the screen. As long as the final invention statement has not yet been submitted, either a PI or SO who views this screen can click an item's **Delete Invention and Save** link in the Action column to remove it.

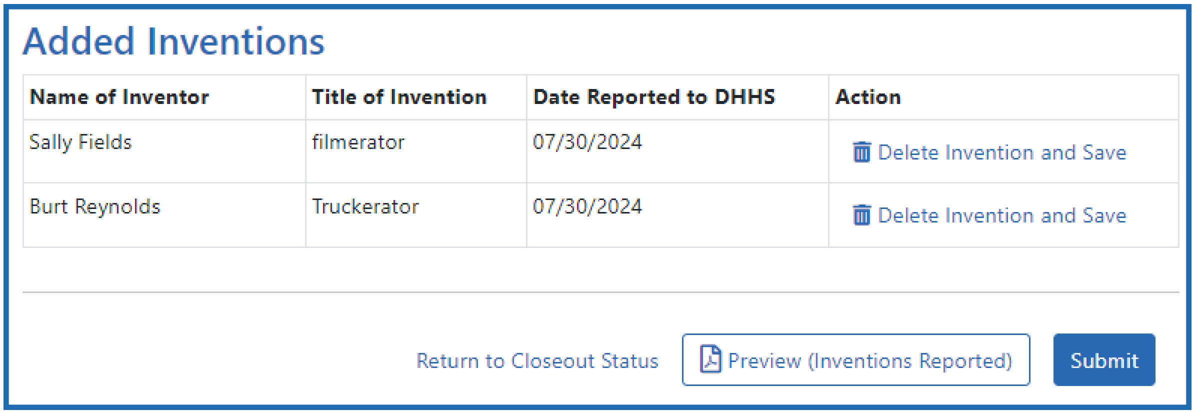


Figure 262: Added Inventions section of Process Final Invention Statement screen, showing a list of inventions

4. To add additional inventions, repeat the previous step as many times as necessary. Any inventions you define are saved immediately.

NOTE: Click the **Preview (Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

5. When all the inventions are listed at the bottom of the screen, click the **Submit** button to submit the invention statement to the awarding agency. (Only the SO can submit—the PI does not see a **Submit** button.)

   The *Confirm Invention* popup appears again.

6. Click **Agree and Continue** again to complete submission.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Reporting No Inventions on the Final Invention Statement

To complete a final invention statement certifying that no inventions exist:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

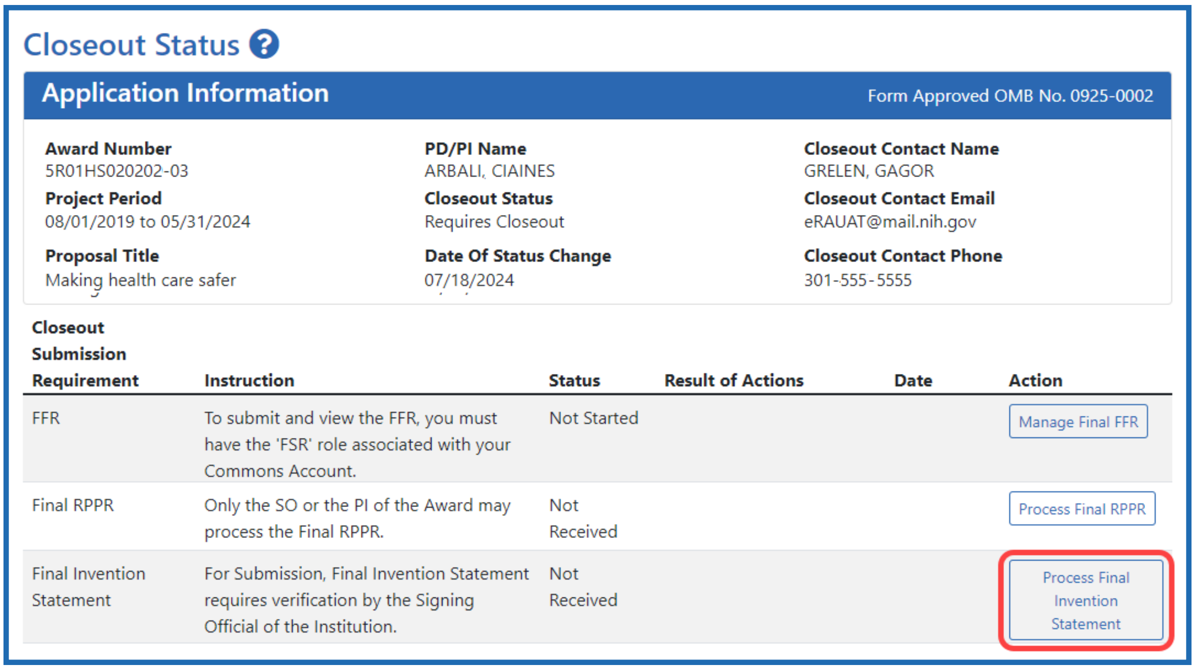
   

   Figure 263: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status* screen.

   The *Process Final Invention Statement* screen displays.

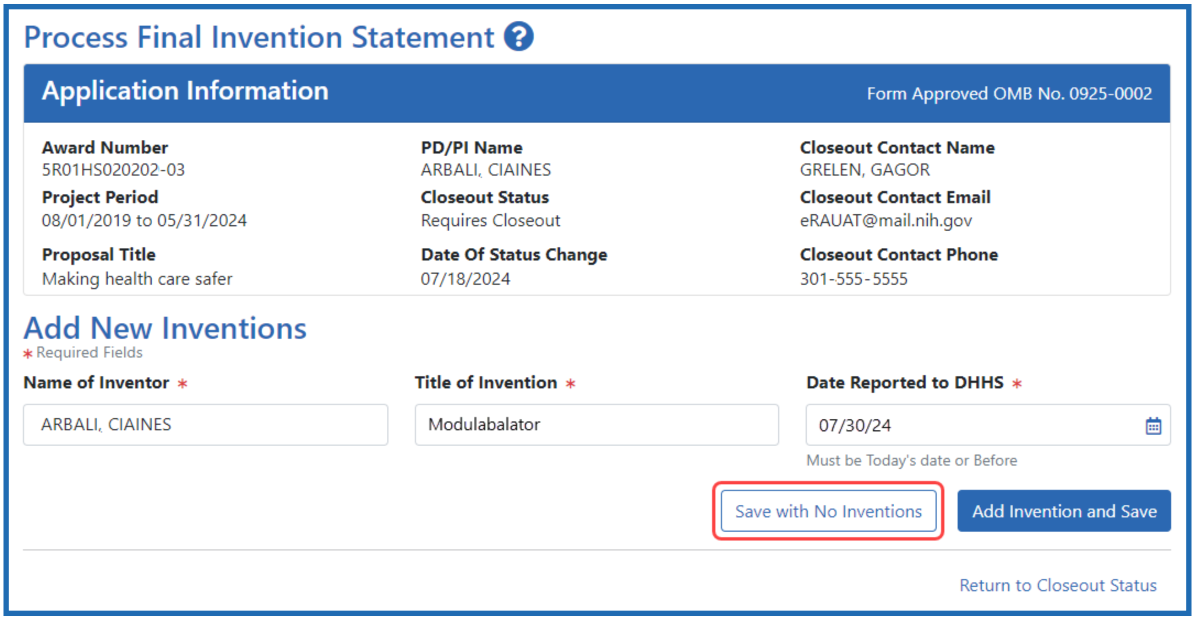


Figure 264: Process Final Invention Statement screen with Save with No Inventions button outlined

3. Click the **Save with No Inventions** button.

   A success message appears on the top right side of the eRA screen heading. You will also notice that the Preview button is now named **Preview (No Inventions Reported)**.

Figure 265: Success message in eRA Commons banner noting the FIS (final invention statement) was created with no inventions reported

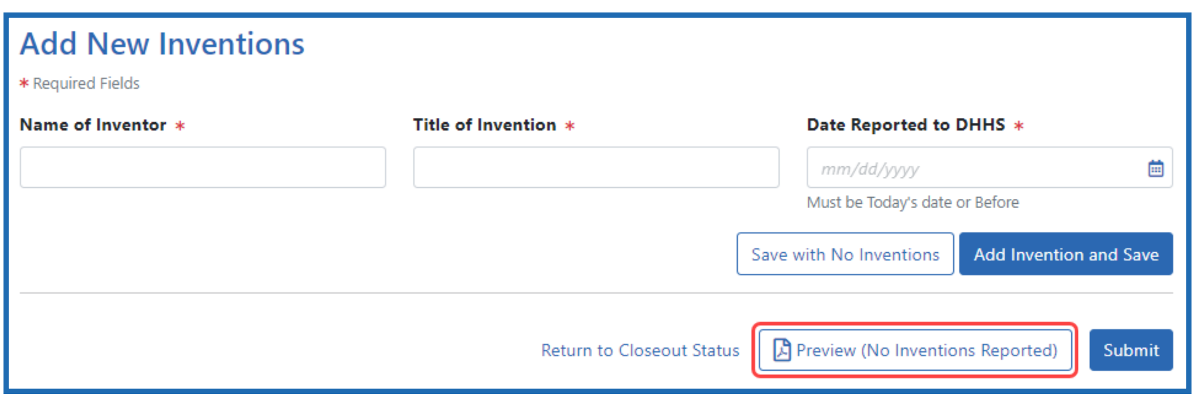


Figure 266: Final Inventions Statement with no inventions, showing the name of Preview button changed to "Preview (No Inventions Reported)

NOTE: Click the **Preview (No Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

4. Once you confirm that the Preview button is now renamed to indicate "**No Inventions Reported**", click the **Submit** button to submit a statement indicating no inventions are being reported. (Only the SO sees a **Submit** button and has the ability to submit.)

   A certification popup appears.

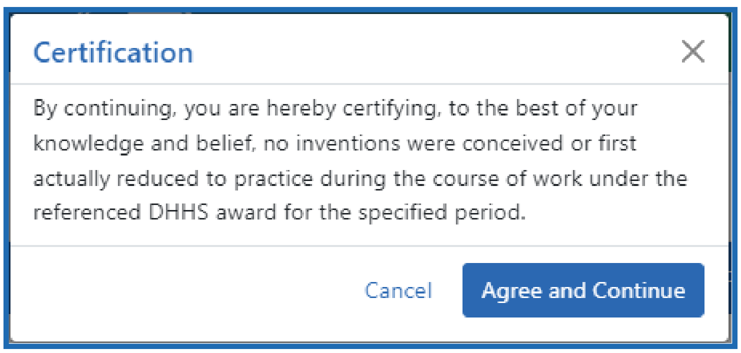


Figure 267: Certification popup for that appears when submitting a final invention statement indicating no inventions

5. Click **Agree and Continue** in the *Certification* popup.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Closeout—Final Progress Report Additional Materials (FRAM)

The *Final Progress Report Additional Materials* (FRAM) link provides a means for recipients to enter, review, route, and submit information in response to specific request(s) by

the program official (PO) for additional information related to the Final RPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

While reviewing a submitted Final RPPR, the PO might determine that additional materials related to the submitted report are required. In this case, the PO submits a request for this information referred to as a FRAM request. When a FRAM request is made, the PD/PI is notified via email with a description of the requested material and a FRAM task appears on the *Closeout Status* screen.

Agency-Specific Instructions: SAMHSA: For awards funded by NIH, FDA, AHRQ, and VA, a FRAM request is also used to ask for a *Revised Project Outcome* from the awardee. SAMHSA awards do not use FRAM to ask for *Revised Project Outcome*, although the *Revised Project Outcome* section appears on SAMHSA FRAM screen. SAMHSA awardees should ignore all references to *Revised Project Outcomes* in the following topic, as that section of the FRAM screen is not applicable to SAMHSA.

TIP: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials (FRAM) Request** link located in **Other Relevant Documents** section of *Status Information* shows the original request.

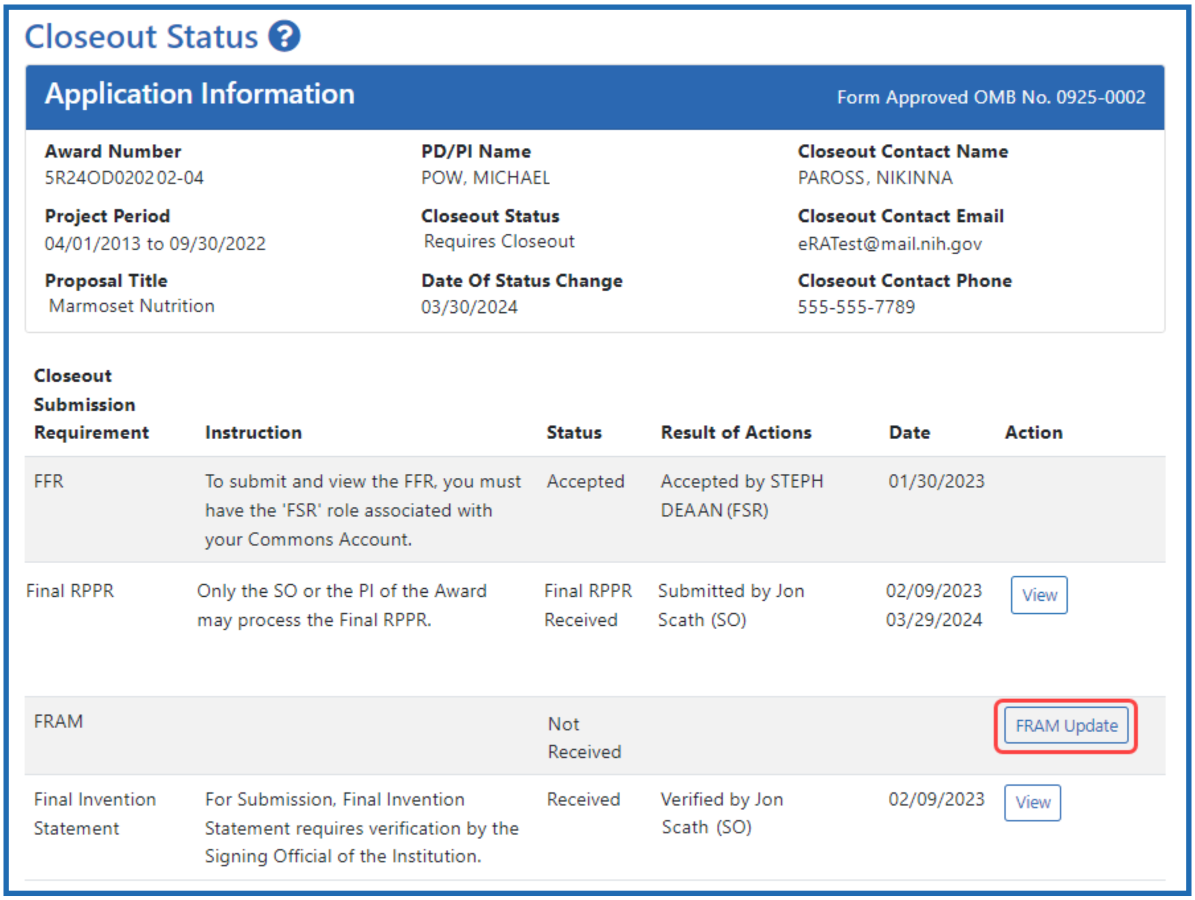
Initiating Final Progress Report Additional Materials or Revised Project Outcomes (FRAM)

Either the PD/PI or SO can initiate the FRAM and attach a file or type/paste a Revised Project Outcomes, but only an SO can submit.

1. Log into eRA Commons as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. If a PO has requested additional material related to the Final RPPR, the Closeout

Submission Requirement column on Closeout Status screen lists "FRAM" as a task and the **FRAM Update** button appears in the Action column.

Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.


Closeout Status

Application Information — Form Approved OMB No. 0925-0002

Award Number	PD/PI Name	Closeout Contact Name
5R24OD020202-04	POW, MICHAEL	PAROSS, NIKINNA
Project Period	**Closeout Status**	**Closeout Contact Email**
04/01/2013 to 09/30/2022	Requires Closeout	eRATest@mail.nih.gov
Proposal Title	**Date Of Status Change**	**Closeout Contact Phone**
Marmoset Nutrition	03/30/2024	555-555-7789

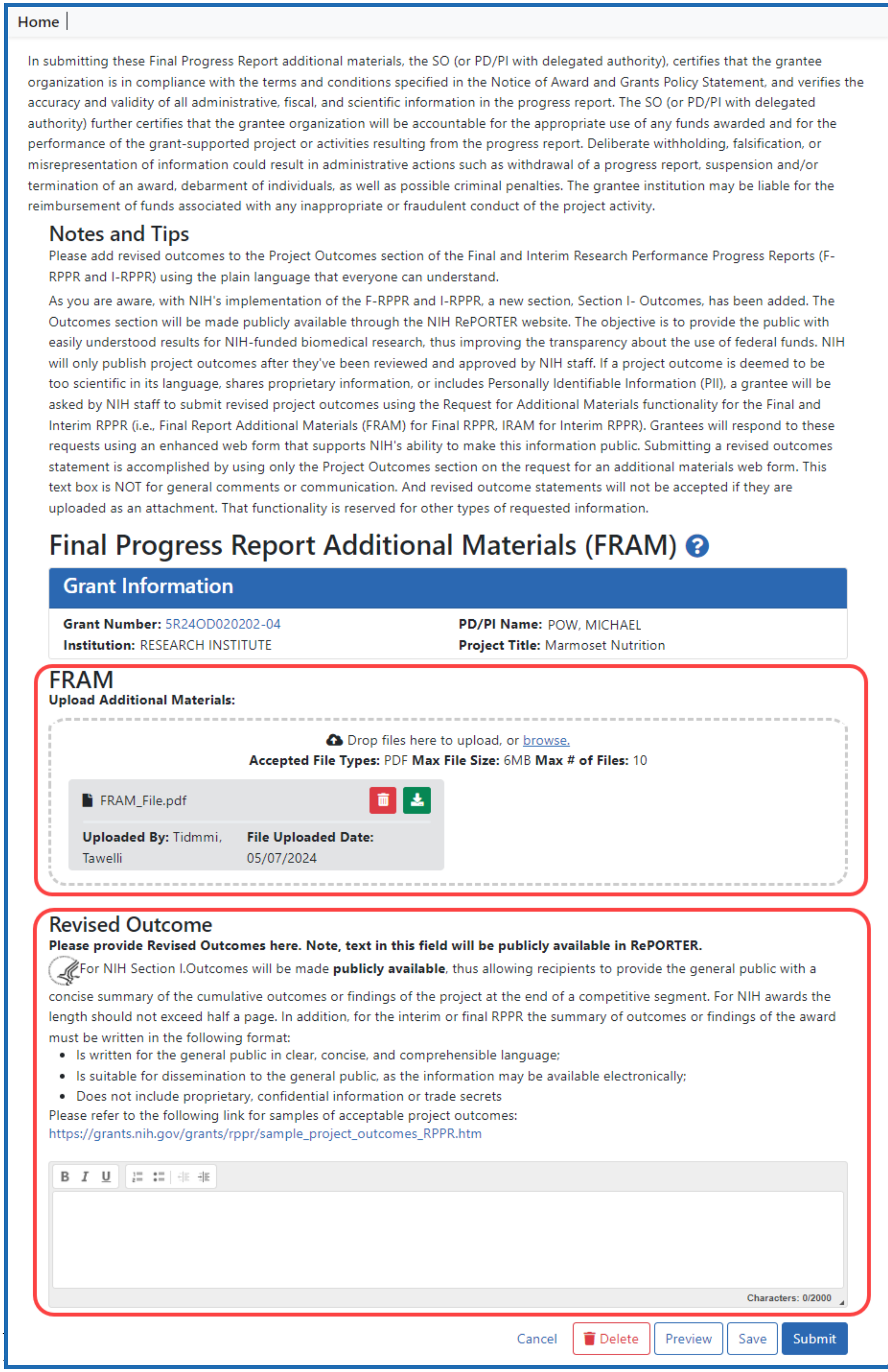
Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	To submit and view the FFR, you must have the 'FSR' role associated with your Commons Account.	Accepted	Accepted by STEPH DEAAN (FSR)	01/30/2023	
Final RPPR	Only the SO or the PI of the Award may process the Final RPPR.	Final RPPR Received	Submitted by Jon Scath (SO)	02/09/2023 03/29/2024	View
FRAM		Not Received			FRAM Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Received	Verified by Jon Scath (SO)	02/09/2023	View

Figure 268: A sample Closeout Status screen showing the FRAM task and FRAM Update button. Depending on the awarding agency, different tasks might appear than those shown.

3. Click the **FRAM Update** link.

The *Final Progress Report Additional Materials (FRAM)* screen appears. The top of the page contains certification language that should be read prior to submitting materials. It also contains *Notes and Tips* with policy guidance of what should be submitted using this screen.

Agency-Specific Instructions: In eRA Commons, please read language on the following screen carefully; language differs depending on the awarding agency's policies. The following sample shows language for NIH awards. If your award is funded by a different agency, the policy language may differ from what you see here.



Home |

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.

Notes and Tips

Please add revised outcomes to the Project Outcomes section of the Final and Interim Research Performance Progress Reports (F-RPPR and I-RPPR) using the plain language that everyone can understand.

As you are aware, with NIH's implementation of the F-RPPR and I-RPPR, a new section, Section I- Outcomes, has been added. The Outcomes section will be made publicly available through the NIH RePORTER website. The objective is to provide the public with easily understood results for NIH-funded biomedical research, thus improving the transparency about the use of federal funds. NIH will only publish project outcomes after they've been reviewed and approved by NIH staff. If a project outcome is deemed to be too scientific in its language, shares proprietary information, or includes Personally Identifiable Information (PII), a grantee will be asked by NIH staff to submit revised project outcomes using the Request for Additional Materials functionality for the Final and Interim RPPR (i.e., Final Report Additional Materials (FRAM) for Final RPPR, IRAM for Interim RPPR). Grantees will respond to these requests using an enhanced web form that supports NIH's ability to make this information public. Submitting a revised outcomes statement is accomplished by using only the Project Outcomes section on the request for an additional materials web form. This text box is NOT for general comments or communication. And revised outcome statements will not be accepted if they are uploaded as an attachment. That functionality is reserved for other types of requested information.

Final Progress Report Additional Materials (FRAM)

Grant Information

Grant Number: 5R24OD020202-04 **PD/PI Name:** POW, MICHAEL

Institution: RESEARCH INSTITUTE **Project Title:** Marmoset Nutrition

FRAM

Upload Additional Materials:

Drop files here to upload, or browse.

Accepted File Types: PDF **Max File Size:** 6MB **Max # of Files:** 10

FRAM_File.pdf

Uploaded By: Tidmmi, Tawelli **File Uploaded Date:** 05/07/2024

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

For NIH Section I.Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

Characters: 0/2000

Cancel Delete Preview Save Submit

Figure 269: The FRAM screen contains two distinct sections where material can be submitted, a section for uploading files, and a section for providing a revised outcome

There are two distinct sections to the FRAM screen: the *FRAM Upload Additional Materials* section, and the *Revised Outcome* section. Use the *FRAM Upload Additional Materials* section to upload one or more files, if files have been requested by the PO. Use the *Revised Outcome* section to type or paste revised text for the RPPR section titled "I. Outcomes". Policy guidance appears under this section to describe what type of description is needed, and it contains a link you can click to see samples of acceptable project outcomes.

To upload one or more files in the *FRAM Upload Additional Materials* section:

1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon and the browser will open or download the file.
   - Click the **Delete** icon to remove the file.
2. If you change your mind about this FRAM submission, and you want to discard it, click the **Delete** button at the bottom of the screen. This does not delete prior submissions.

To provide a Revised Outcome:

Agency-Specific Instructions: SAMHSA. The *Revised Project Outcome* section is not applicable for awards funded by SAMHSA.

See NIH notices **NOT-OD-17-022** and **NOT-OD-17-037** for additional policy guidance on revised outcomes.

1. Read the policy guidance in the *Revised Outcome* section prior to submitting a revised outcome.

2. Type or paste the revised outcome description into the text box provided. Tool icons at the top of the text box provide basic editing tools, such as bold, italic, bullets, numbering, and indenting.

To see what the FRAM submission includes:

1. First click the **Save** button at bottom of the screen.

2. Click the **Preview** button at the bottom of the screen.

   A PDF is downloaded by the browser.

3. Use the browser or another file to open the PDF, which contains a summary of files uploaded, person who uploaded, any revised outcome that was saved, and the contents of any files that were uploaded.

To save the FRAM submission package but not submit it:

Click the **Save** button.

To submit the FRAM package to the awarding agency for their review:

1. First read the certification language that appears at the top of the screen. This is what the submitter is agreeing to upon submission of the materials to the awarding agency. Only SOs or those with delegated authority to submit reports can see the **Submit** button.

2. To finalize this FRAM submission package and submit it for agency review, click the **Submit** button (SO only).

After you submit the FRAM, a **View** action appears on *Closeout Status*, which you can click to view a PDF document containing all documents and submission details for the FRAM request. You can also view the FRAM submission on the *Status Information* screen under **Other Relevant Documents**. The **FRAM Update** action remains until acceptance of the Final RPPR, enabling you to upload more files; however, you cannot make changes to files already submitted.

Additionally, an 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.

NOTE: The PO may rescind the approval of the Final RPPR or Final Progress Report (FPR) submission at any time. If this occurs, the **FRAM Update** action appears for submitting FRAM.

Closeout for CDC Awards

Centers for Disease Control (CDC) awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Final Research Performance Progress Report (RPPR). A final report for research awards.
- Final Invention Statement
- Final Progress Report Additional Materials (FRAM). This is only required if the agency asks for updates to the submitted progress report.
- Additional Materials

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)*

on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Research Performance Progress Report for NON-NIH Awards

Consult with the awarding agency for policy guidance on Final Research Performance Progress Reports (RPPRs).

- The F. Changes form is not applicable for Final RPPRs.

  The H. Budget form is not applicable for Final RPPRs.
- The I. Outcomes form is applicable only for Final RPPRs.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

   Below is a sample Closeout Status screen showing a sample award number and tasks. Depending on the awarding agency, different tasks might appear than those shown.

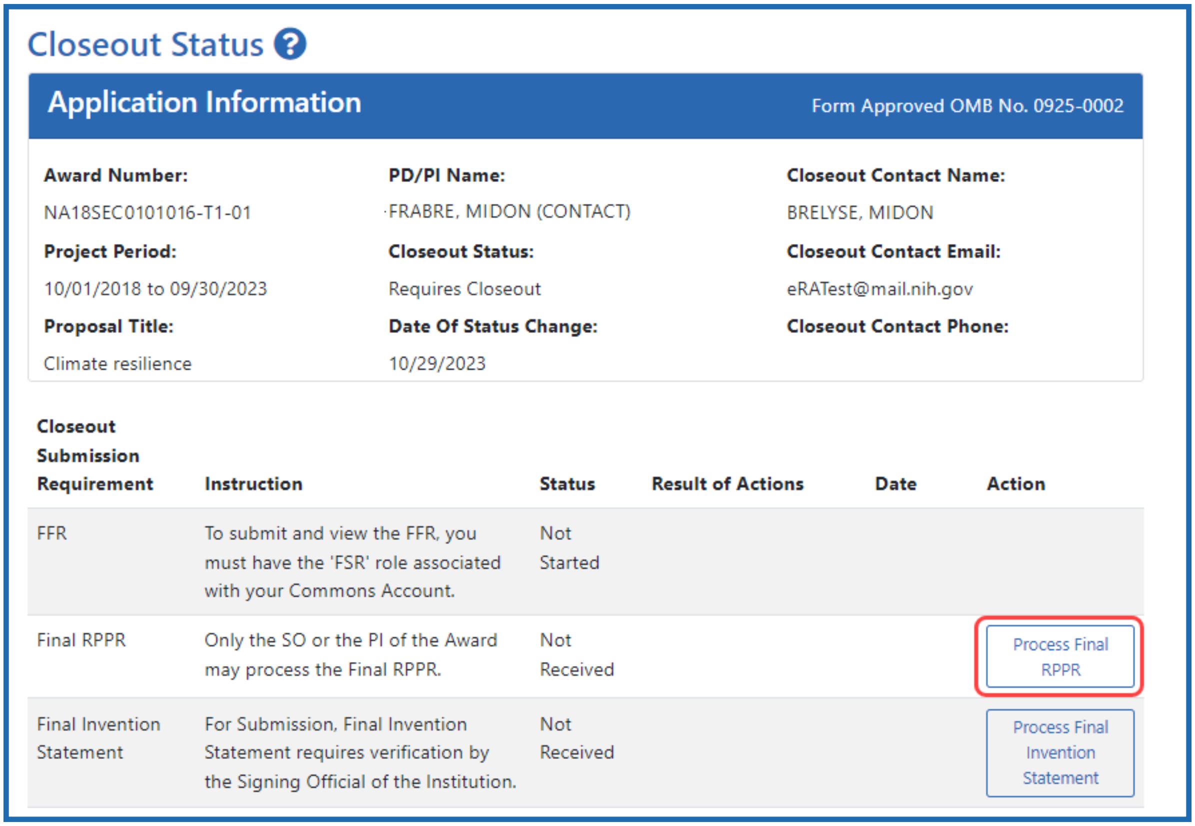


Figure 270: Closeout Status sceen showing the Process Final RPPR button, outlined

The *RPPR Menu* screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

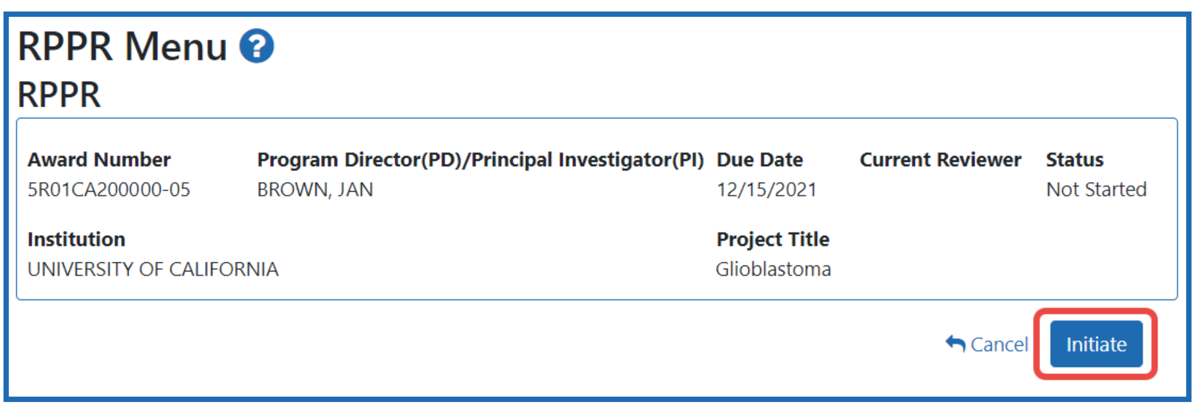


Figure 271: RPPR Menu screen, showing the Initiate button outlined

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

After the Final RPPR has been initiated, you see a three-dot ellipsis icon next to the Award Number, where you can access RPPR actions.

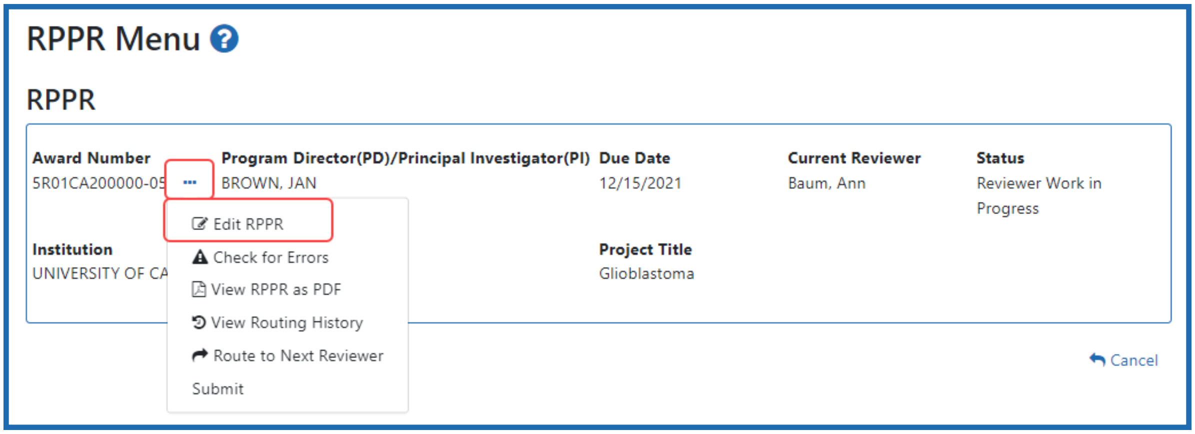


Figure 272: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

4. Select **Edit RPPR** from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Closeout—Final Invention Statement

Either a program directory/principal investigator (PD/PI) or a signing official (SO) can edit a final invention statement, but only an SO can submit it to the agency. Use this procedure to complete a Final Invention Statement that lists inventions that were conceived as part of the research grant.

Reporting Inventions on the Final Invention Statement on page 628

Reporting No Inventions on the Final Invention Statement on page 632

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

NIH and AHRQ Final Invention Statement Policy Guidance

Agency-Specific Instructions: NIH and AHRQ only. The following policy guidance applies to NIH and AHRQ-funded awards only.

You must submit a Final Invention Statement (FIS) within 120 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: For policy information on awards funded by the Department of Health and Human Services, refer to the Procedure for Submission of Final Invention Statement and Certification.

If your award is funded by a non-NIH or non-AHRQ source, check with your awarding agency for policy guidance on final invention statements.

Reporting Inventions on the Final Invention Statement

To complete a final invention statement when inventions need to be reported:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

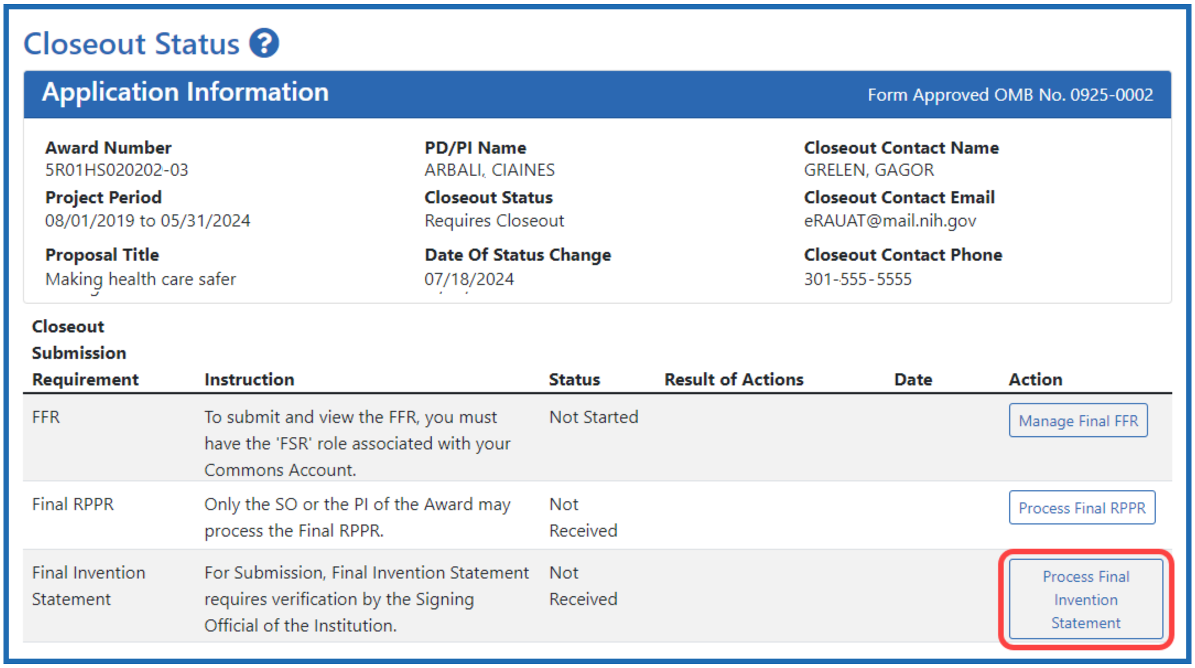


Figure 273: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status*.

   The *Process Final Invention Statement* screen displays.

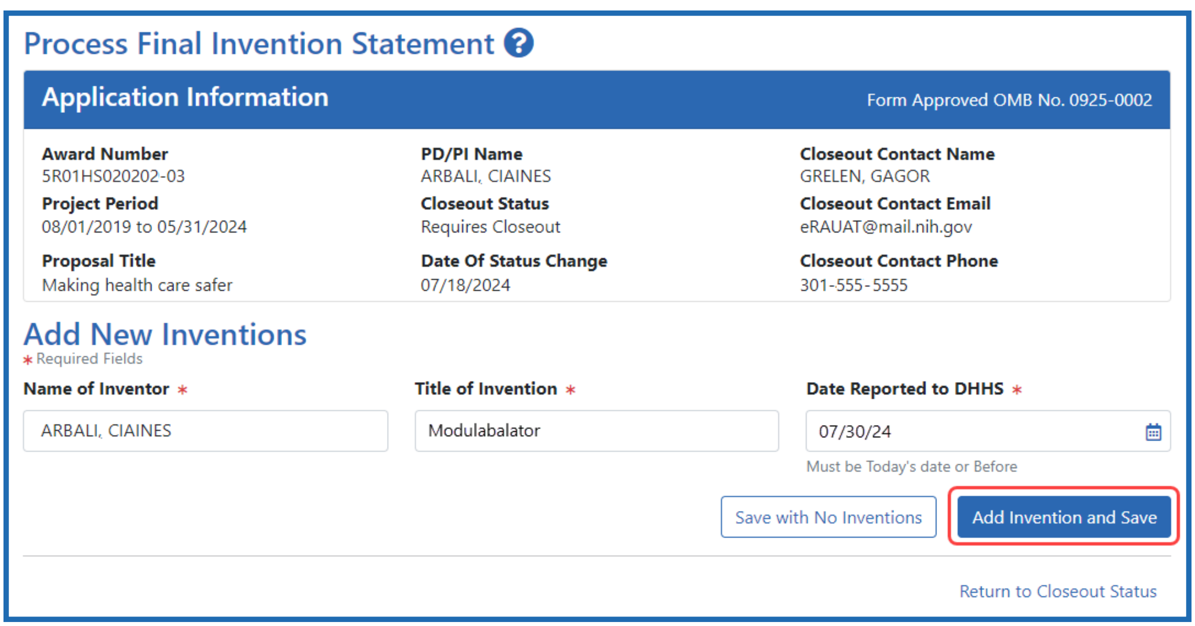


Figure 274: Process Final Invention Statement screen with no inventions yet added

3. To add an invention:

    a. Type the **Name of Inventor**, **Title of Invention**, and the **Date Reported to DHSS** (the date you want to officially report it to the Department of Health and Human Services).

    b. Click the **Add Invention and Save** button.

    The *Confirm Invention* popup appears with customized language depending on whether the award is funded by AHRQ or NIH.

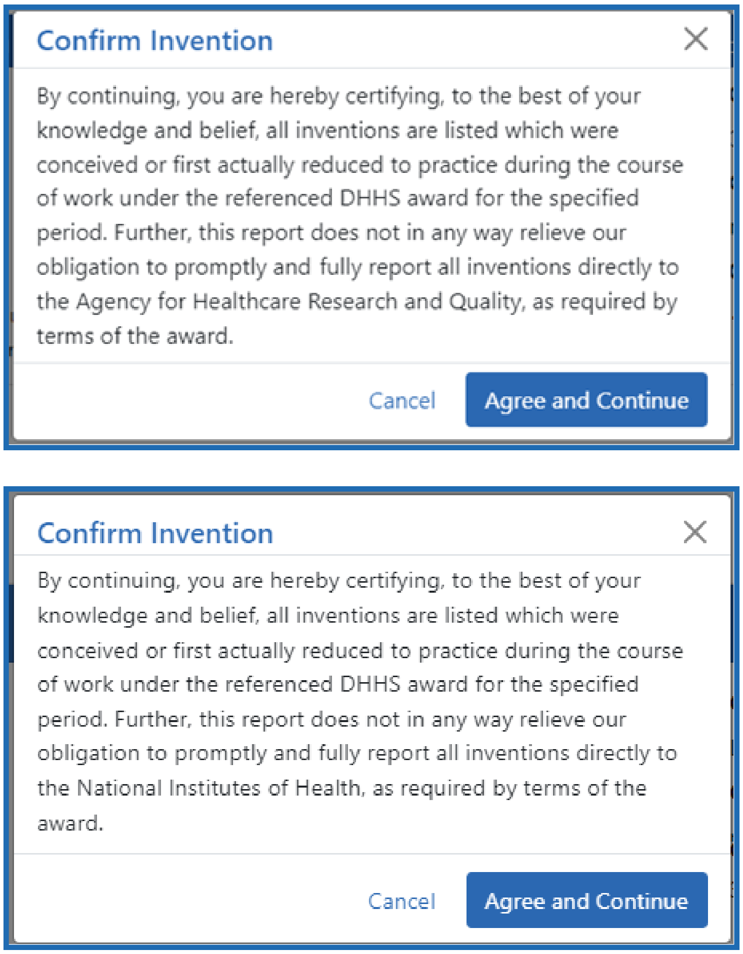


Figure 275: Confirm Invention popup screen attesting that all inventions are listed

    c. Click **Agree and Continue** in the popup even if you have more inventions to add.

The invention is now listed under *Added Inventions* at the bottom of the screen. As long as the final invention statement has not yet been submitted, either a PI or SO who views this screen can click an item's **Delete Invention and Save** link in the Action column to remove it.

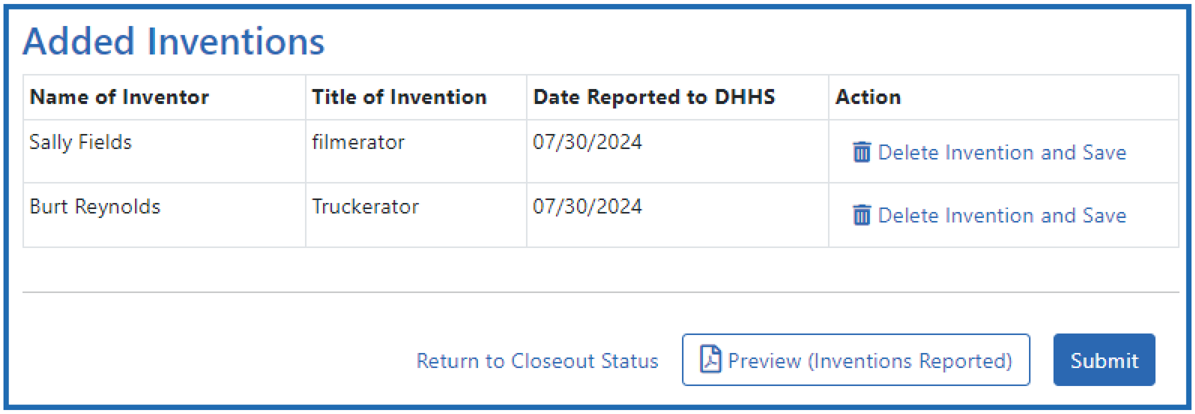


Figure 276: Added Inventions section of Process Final Invention Statement screen, showing a list of inventions

4. To add additional inventions, repeat the previous step as many times as necessary. Any inventions you define are saved immediately.

NOTE: Click the **Preview (Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

5. When all the inventions are listed at the bottom of the screen, click the **Submit** button to submit the invention statement to the awarding agency. (Only the SO can submit—the PI does not see a **Submit** button.)

   The *Confirm Invention* popup appears again.

6. Click **Agree and Continue** again to complete submission.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Reporting No Inventions on the Final Invention Statement

To complete a final invention statement certifying that no inventions exist:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

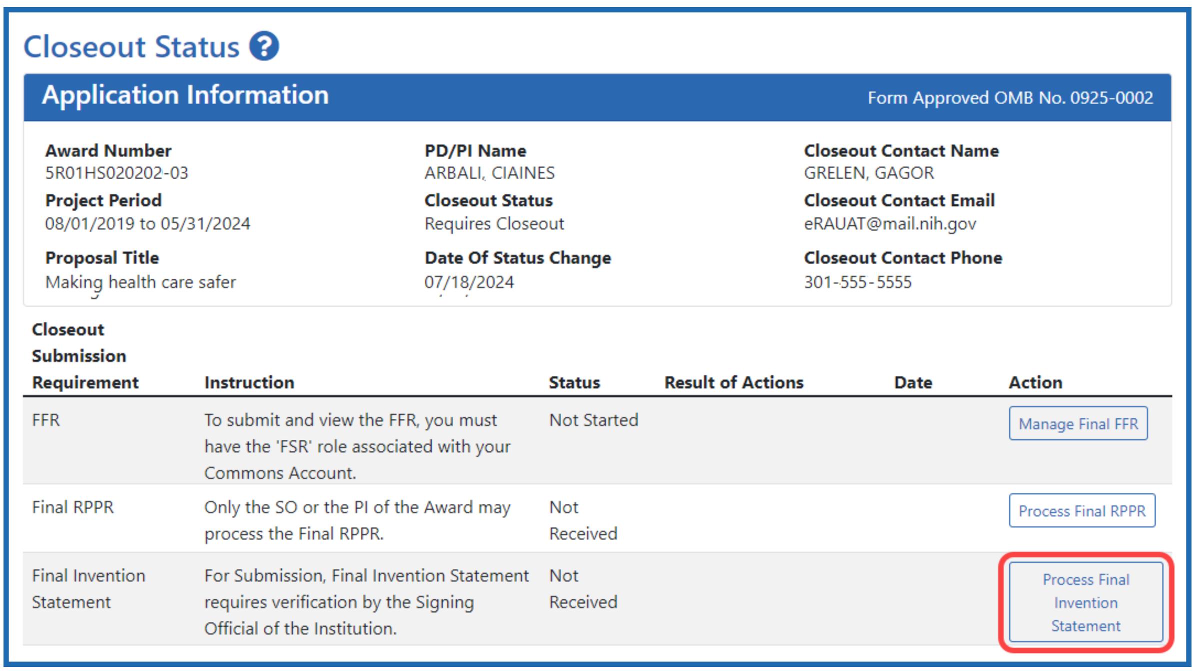
   

   Figure 277: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status* screen.

   The *Process Final Invention Statement* screen displays.

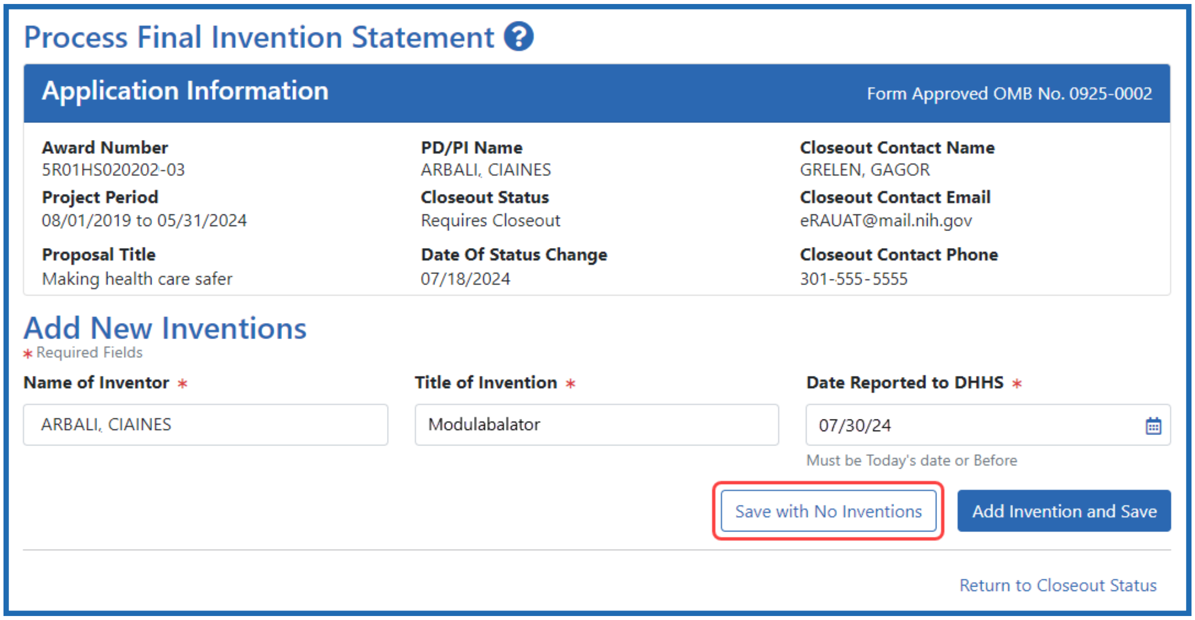


Figure 278: Process Final Invention Statement screen with Save with No Inventions button outlined

3. Click the **Save with No Inventions** button.

   A success message appears on the top right side of the eRA screen heading. You will also notice that the Preview button is now named **Preview (No Inventions Reported)**.

Figure 279: Success message in eRA Commons banner noting the FIS (final invention statement) was created with no inventions reported

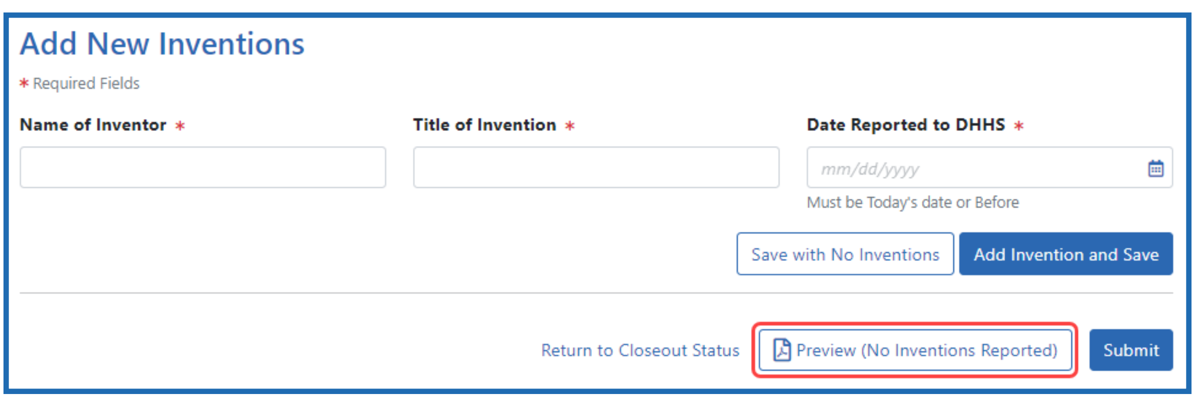


Figure 280: Final Inventions Statement with no inventions, showing the name of Preview button changed to "Preview (No Inventions Reported)

NOTE: Click the **Preview (No Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

4. Once you confirm that the Preview button is now renamed to indicate "**No Inventions Reported**", click the **Submit** button to submit a statement indicating no inventions are being reported. (Only the SO sees a **Submit** button and has the ability to submit.)

   A certification popup appears.

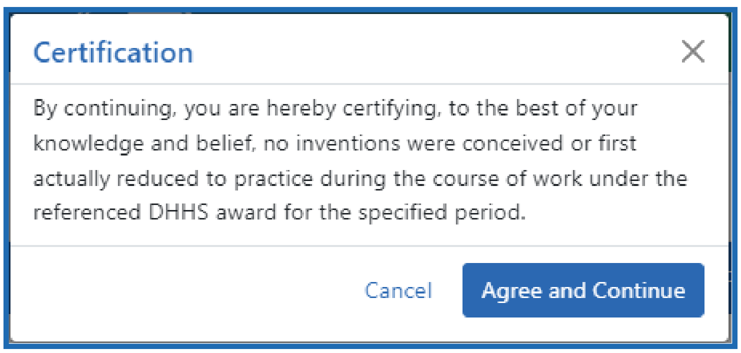


Figure 281: Certification popup for that appears when submitting a final invention statement indicating no inventions

5. Click **Agree and Continue** in the *Certification* popup.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Closeout—Final Progress Report Additional Materials (FRAM)

The *Final Progress Report Additional Materials* (FRAM) link provides a means for recipients to enter, review, route, and submit information in response to specific request(s) by

the program official (PO) for additional information related to the Final RPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

While reviewing a submitted Final RPPR, the PO might determine that additional materials related to the submitted report are required. In this case, the PO submits a request for this information referred to as a FRAM request. When a FRAM request is made, the PD/PI is notified via email with a description of the requested material and a FRAM task appears on the *Closeout Status* screen.

Agency-Specific Instructions: SAMHSA: For awards funded by NIH, FDA, AHRQ, and VA, a FRAM request is also used to ask for a *Revised Project Outcome* from the awardee. SAMHSA awards do not use FRAM to ask for *Revised Project Outcome*, although the *Revised Project Outcome* section appears on SAMHSA FRAM screen. SAMHSA awardees should ignore all references to *Revised Project Outcomes* in the following topic, as that section of the FRAM screen is not applicable to SAMHSA.

TIP: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials (FRAM) Request** link located in **Other Relevant Documents** section of *Status Information* shows the original request.

Initiating Final Progress Report Additional Materials or Revised Project Outcomes (FRAM)

Either the PD/PI or SO can initiate the FRAM and attach a file or type/paste a Revised Project Outcomes, but only an SO can submit.

1. Log into eRA Commons as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. If a PO has requested additional material related to the Final RPPR, the Closeout

Submission Requirement column on Closeout Status screen lists "FRAM" as a task and the **FRAM Update** button appears in the Action column.

Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

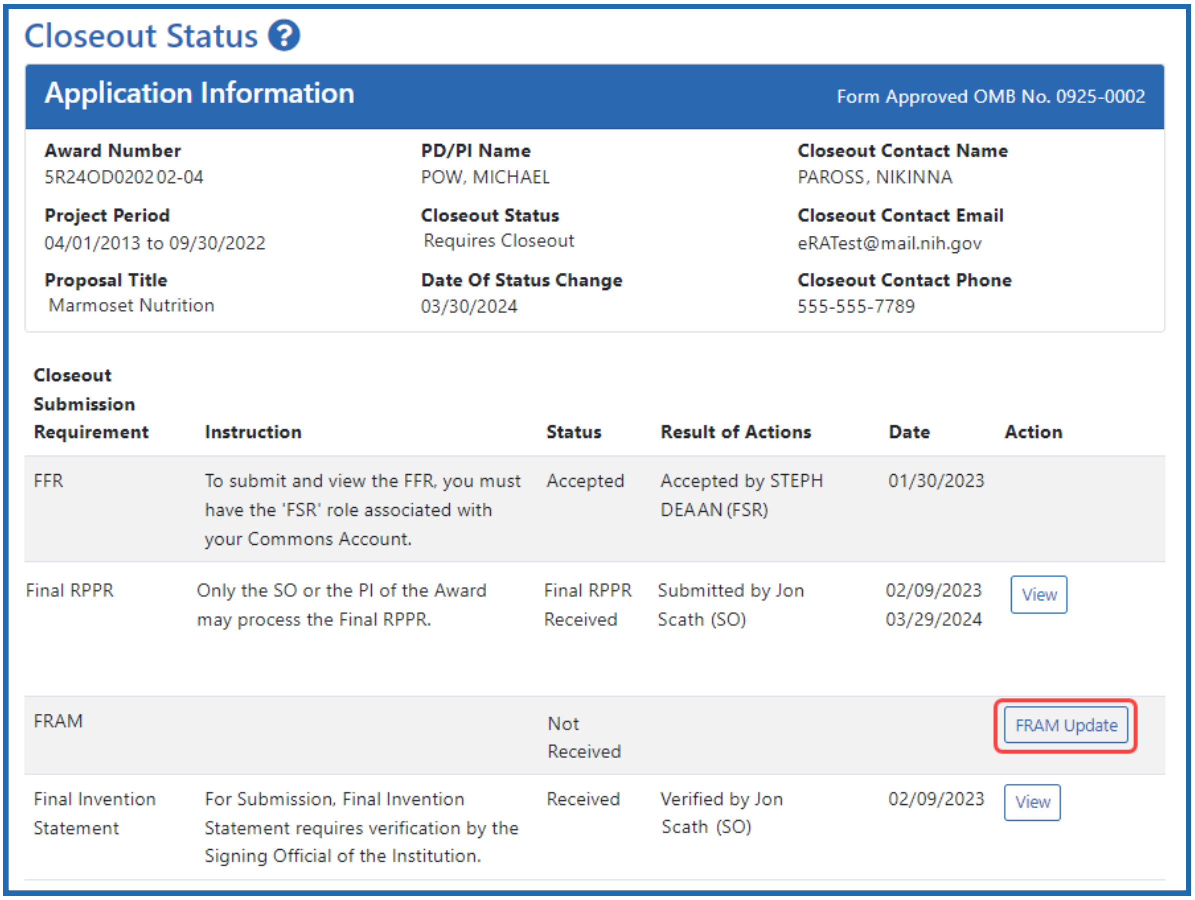
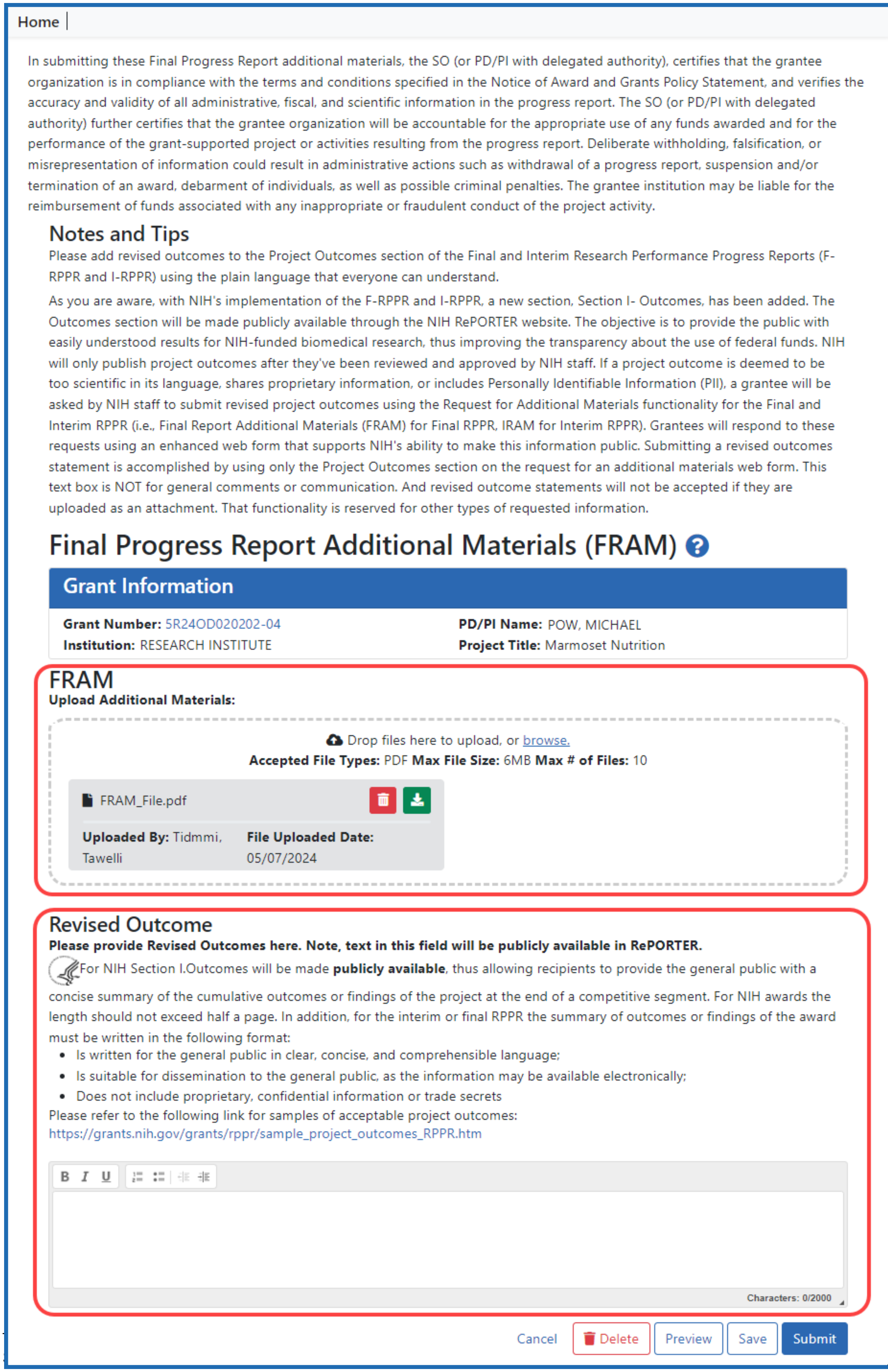


Figure 282: A sample Closeout Status screen showing the FRAM task and FRAM Update button. Depending on the awarding agency, different tasks might appear than those shown.

3. Click the **FRAM Update** link.

The *Final Progress Report Additional Materials (FRAM)* screen appears. The top of the page contains certification language that should be read prior to submitting materials. It also contains *Notes and Tips* with policy guidance of what should be submitted using this screen.

Agency-Specific Instructions: In eRA Commons, please read language on the following screen carefully; language differs depending on the awarding agency's policies. The following sample shows language for NIH awards. If your award is funded by a different agency, the policy language may differ from what you see here.


Home |

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.

Notes and Tips

Please add revised outcomes to the Project Outcomes section of the Final and Interim Research Performance Progress Reports (F-RPPR and I-RPPR) using the plain language that everyone can understand.

As you are aware, with NIH's implementation of the F-RPPR and I-RPPR, a new section, Section I- Outcomes, has been added. The Outcomes section will be made publicly available through the NIH RePORTER website. The objective is to provide the public with easily understood results for NIH-funded biomedical research, thus improving the transparency about the use of federal funds. NIH will only publish project outcomes after they've been reviewed and approved by NIH staff. If a project outcome is deemed to be too scientific in its language, shares proprietary information, or includes Personally Identifiable Information (PII), a grantee will be asked by NIH staff to submit revised project outcomes using the Request for Additional Materials functionality for the Final and Interim RPPR (i.e., Final Report Additional Materials (FRAM) for Final RPPR, IRAM for Interim RPPR). Grantees will respond to these requests using an enhanced web form that supports NIH's ability to make this information public. Submitting a revised outcomes statement is accomplished by using only the Project Outcomes section on the request for an additional materials web form. This text box is NOT for general comments or communication. And revised outcome statements will not be accepted if they are uploaded as an attachment. That functionality is reserved for other types of requested information.

Final Progress Report Additional Materials (FRAM)

Grant Information

Grant Number: 5R24OD020202-04 **PD/PI Name:** POW, MICHAEL
Institution: RESEARCH INSTITUTE **Project Title:** Marmoset Nutrition

FRAM

Upload Additional Materials:

Drop files here to upload, or browse.
Accepted File Types: PDF **Max File Size:** 6MB **Max # of Files:** 10

FRAM_File.pdf

Uploaded By: Tidmmi, Tawelli **File Uploaded Date:** 05/07/2024

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

For NIH Section I.Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

B I U

Characters: 0/2000

Cancel Delete Preview Save Submit

Figure 283: The FRAM screen contains two distinct sections where material can be submitted, a section for uploading files, and a section for providing a revised outcome

There are two distinct sections to the FRAM screen: the *FRAM Upload Additional Materials* section, and the *Revised Outcome* section. Use the *FRAM Upload Additional Materials* section to upload one or more files, if files have been requested by the PO. Use the *Revised Outcome* section to type or paste revised text for the RPPR section titled "I. Outcomes". Policy guidance appears under this section to describe what type of description is needed, and it contains a link you can click to see samples of acceptable project outcomes.

To upload one or more files in the *FRAM Upload Additional Materials* section:

1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon and the browser will open or download the file.
   - Click the **Delete** icon to remove the file.
2. If you change your mind about this FRAM submission, and you want to discard it, click the **Delete** button at the bottom of the screen. This does not delete prior submissions.

To provide a Revised Outcome:

Agency-Specific Instructions: SAMHSA. The *Revised Project Outcome* section is not applicable for awards funded by SAMHSA.

See NIH notices **NOT-OD-17-022** and **NOT-OD-17-037** for additional policy guidance on revised outcomes.

1. Read the policy guidance in the *Revised Outcome* section prior to submitting a revised outcome.

2. Type or paste the revised outcome description into the text box provided. Tool icons at the top of the text box provide basic editing tools, such as bold, italic, bullets, numbering, and indenting.

To see what the FRAM submission includes:

1. First click the **Save** button at bottom of the screen.

2. Click the **Preview** button at the bottom of the screen.

   A PDF is downloaded by the browser.

3. Use the browser or another file to open the PDF, which contains a summary of files uploaded, person who uploaded, any revised outcome that was saved, and the contents of any files that were uploaded.

To save the FRAM submission package but not submit it:

Click the **Save** button.

To submit the FRAM package to the awarding agency for their review:

1. First read the certification language that appears at the top of the screen. This is what the submitter is agreeing to upon submission of the materials to the awarding agency. Only SOs or those with delegated authority to submit reports can see the **Submit** button.

2. To finalize this FRAM submission package and submit it for agency review, click the **Submit** button (SO only).

After you submit the FRAM, a **View** action appears on *Closeout Status*, which you can click to view a PDF document containing all documents and submission details for the FRAM request. You can also view the FRAM submission on the *Status Information* screen under **Other Relevant Documents**. The **FRAM Update** action remains until acceptance of the Final RPPR, enabling you to upload more files; however, you cannot make changes to files already submitted.

Additionally, an 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.

NOTE: The PO may rescind the approval of the Final RPPR or Final Progress Report (FPR) submission at any time. If this occurs, the **FRAM Update** action appears for submitting FRAM.

Closeout—Additional Materials (CDC)

CDC awardees will see the Additional Materials closeout task to submit any other required documents as stated in Terms and Conditions of the award.

Agency-Specific Instructions: Centers for Disease Control. This topic applies only to CDC awards. Only CDC awards have this type of closeout requirement.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

To prepare and submit additional materials:

1. Log into eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Additional Material(s)** button on Closeout Status.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

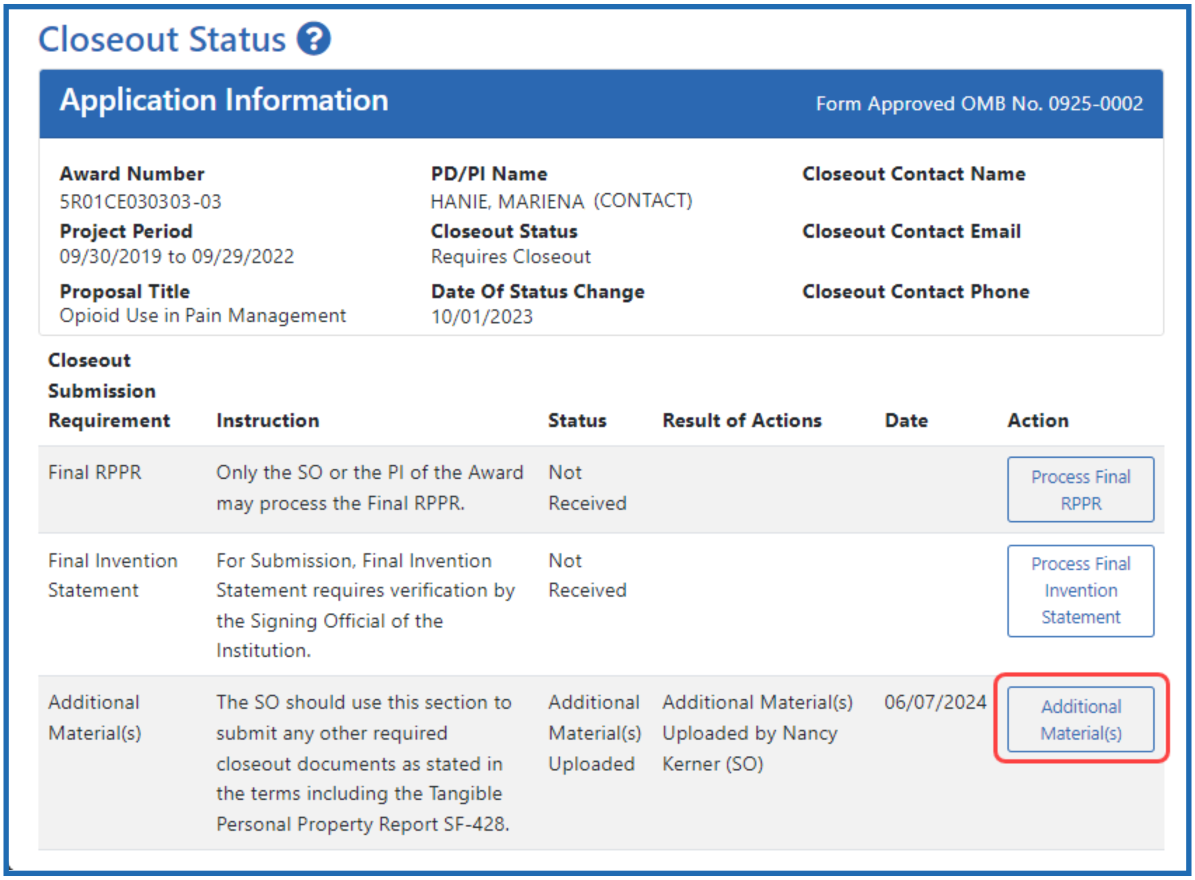


Figure 284: Closeout Status screen showing Additional Material(s) button, outlined

The *Additional Materials (RAM)* screen appears, shown below:

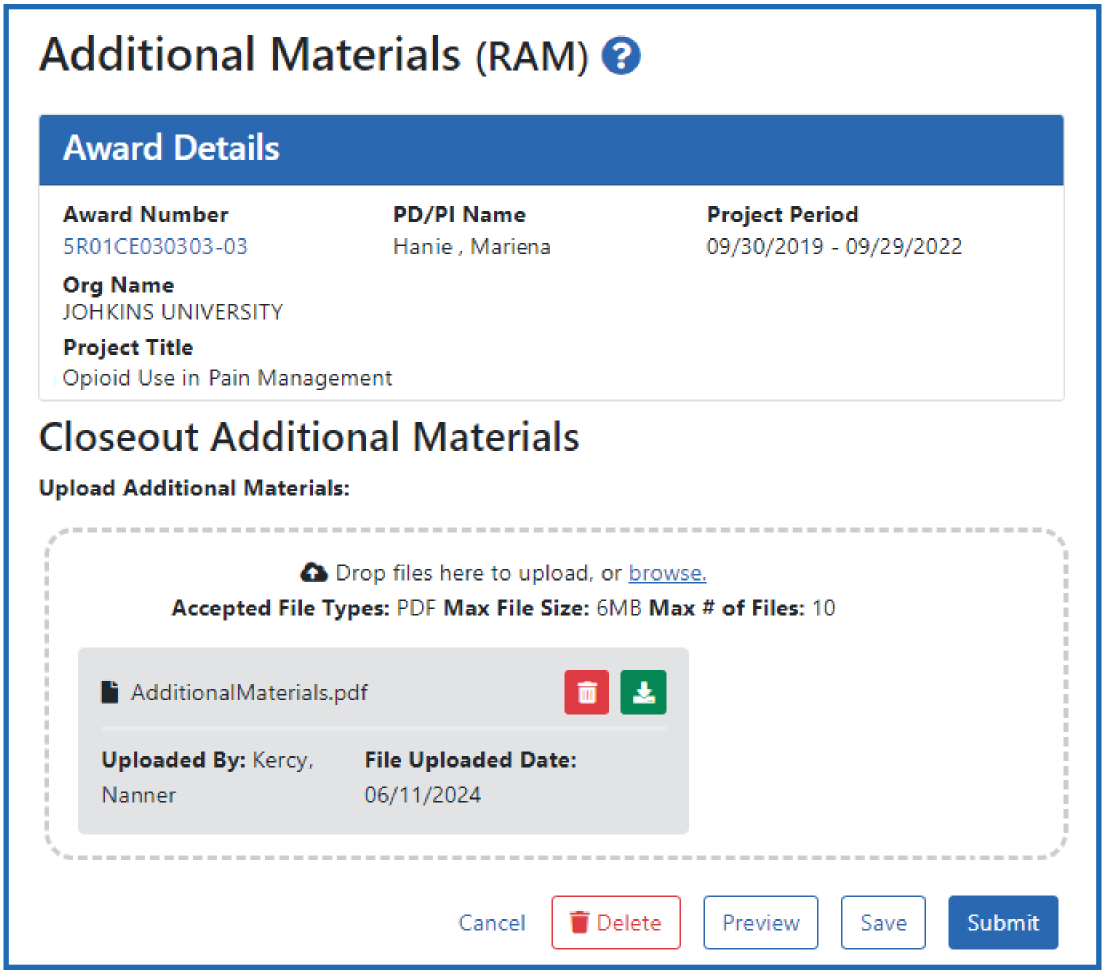
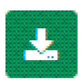


*Figure 285: Additional Materials screen, as seen by an SO after uploading a file. A PI does not see the **Submit** button unless the PI is delegated progress report privileges.*

3. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
4. If you change your mind about this submission, and you want to discard it completely, click the **Delete** button at the bottom of the screen. The **Preview** button

shows the entire submission, which consists of a PDF with application Information, data about who uploaded the file and when, followed by the uploaded file's contents.

5. To save the file with the additional material files, but not submit to the agency, click the **Save** button. This will update the status of the Additional Materials to uploaded.
6. To finalize this additional material submission and submit it for agency review, click the **Submit** button (SO only).

Buttons Available After Submitting Additional Materials

Buttons appear after the Additional Materials is first submitted:

- After the Additional Materials is submitted, but not yet accepted by the agency, the **Additional Material(s)** button remains available on Closeout Status. As long as the submission is not yet accepted, you can continue to upload and submit the Additional materials as many times as needed. Each submission replaces the prior submission.
- After the Additional Materials is submitted, a **View** button becomes available on Closeout Status. Click it to see the entire submission, which consists of a pdf with application Information, data about who uploaded the file and when, followed by the uploaded file's contents.

Closeout Status for DOC Awards

Department of Commerce (DOC) awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Research report:

  Final Progress Report (FPR). A final report for non-research awards.

  - OR -

Final Research Performance Progress Report (Final RPPR). A final report for research awards.

- Additional Closeout Documentation

DOC awardees submit either a **Final RPPR** or a **FPR**, depending on whether the award is a research award or not.

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

See for more information specific to DOC Closeout.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)* on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Research Performance Progress Report for NON-NIH Awards

Consult with the awarding agency for policy guidance on Final Research Performance Progress Reports (RPPRs).

- The F. Changes form is not applicable for Final RPPRs.

  The H. Budget form is not applicable for Final RPPRs.

- The I. Outcomes form is applicable only for Final RPPRs.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

   Below is a sample Closeout Status screen showing a sample award number and tasks. Depending on the awarding agency, different tasks might appear than those shown.

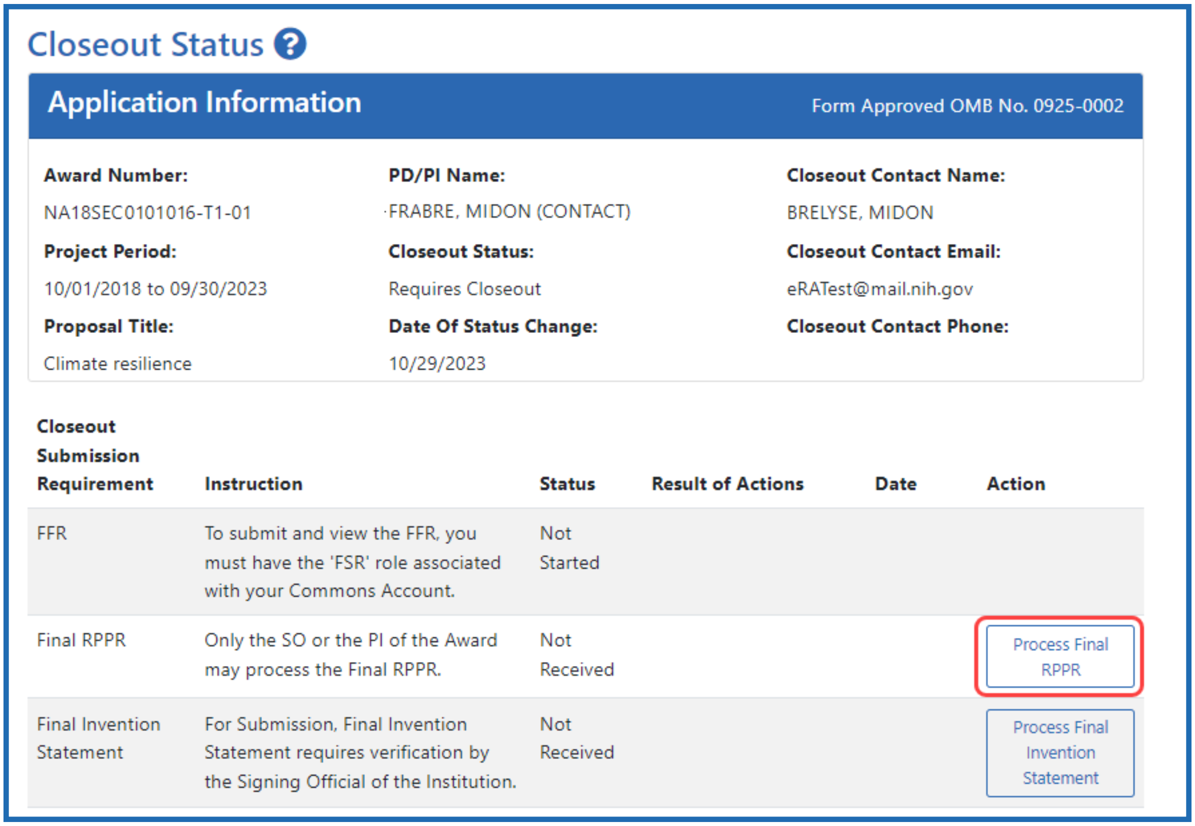


Figure 286: Closeout Status sceen showing the Process Final RPPR button, outlined

The *RPPR Menu* screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

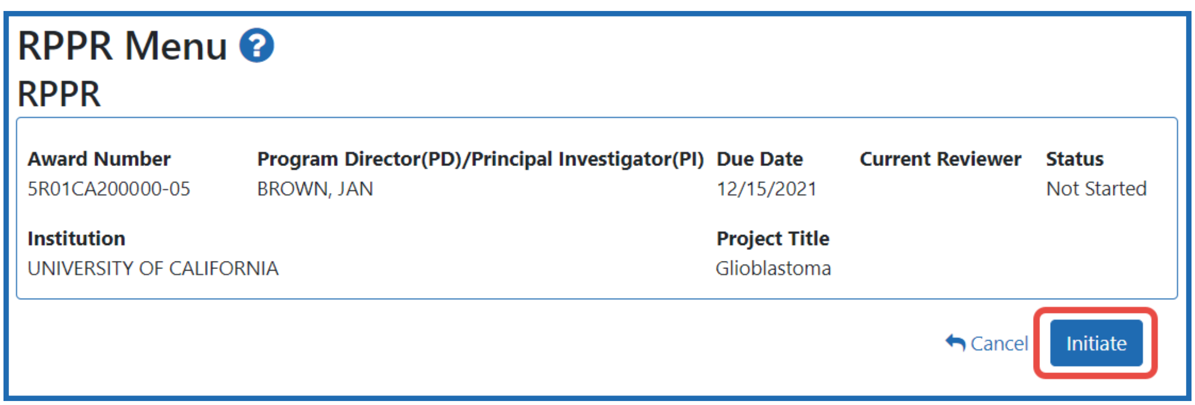


Figure 287: RPPR Menu screen, showing the Initiate button outlined

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

After the Final RPPR has been initiated, you see a three-dot ellipsis icon next to the Award Number, where you can access RPPR actions.

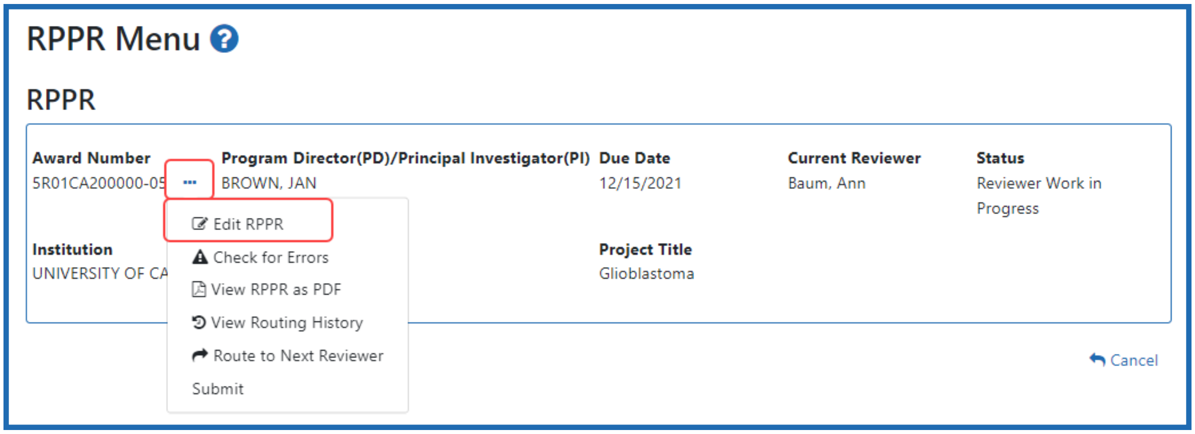


Figure 288: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

4. Select **Edit RPPR** from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Closeout—Final Progress Report (FPR)

Some agencies (SAMHSA, DOC) have a type of report called a Final Progress Report (FPR). Final Progress Reports are for non-research awards.

NOTE: The ***Final Progress Report (FPR)*** should not be confused with the ***Final Research Performance Progress Report (FRPPR)***, which is a different reporting mechanism, designed for research awards. If you need to submit an RPPR, or if you see actions on your award listed as **RPPR** or **Process Final RPPR**, then see *Research Performance Progress Report (RPPR) Module* on page 313 instead of this topic.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

If your closeout requires a Final Progress Report, then both the PD/PI and the SO see an **Initiate Final Progress Report** button on the *Closeout Status* screen for an award. Either the PI or the SO can click the button and add a file or files, and both can then click **Save** to save the document in the eRA system. In addition, the SO can click **Submit** to submit the document to the agency.

This report should be prepared in accordance with instructions provided by the awarding agency.

Initiating Final Progress Report (FPR)

Either the PD/PI or SO can initiate the Final Progress Report and save a file attached to the FPR request, but only an SO can submit.

1. Log in to eRA Commons as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Initiate Final Progress Report** button in *Closeout Status*.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

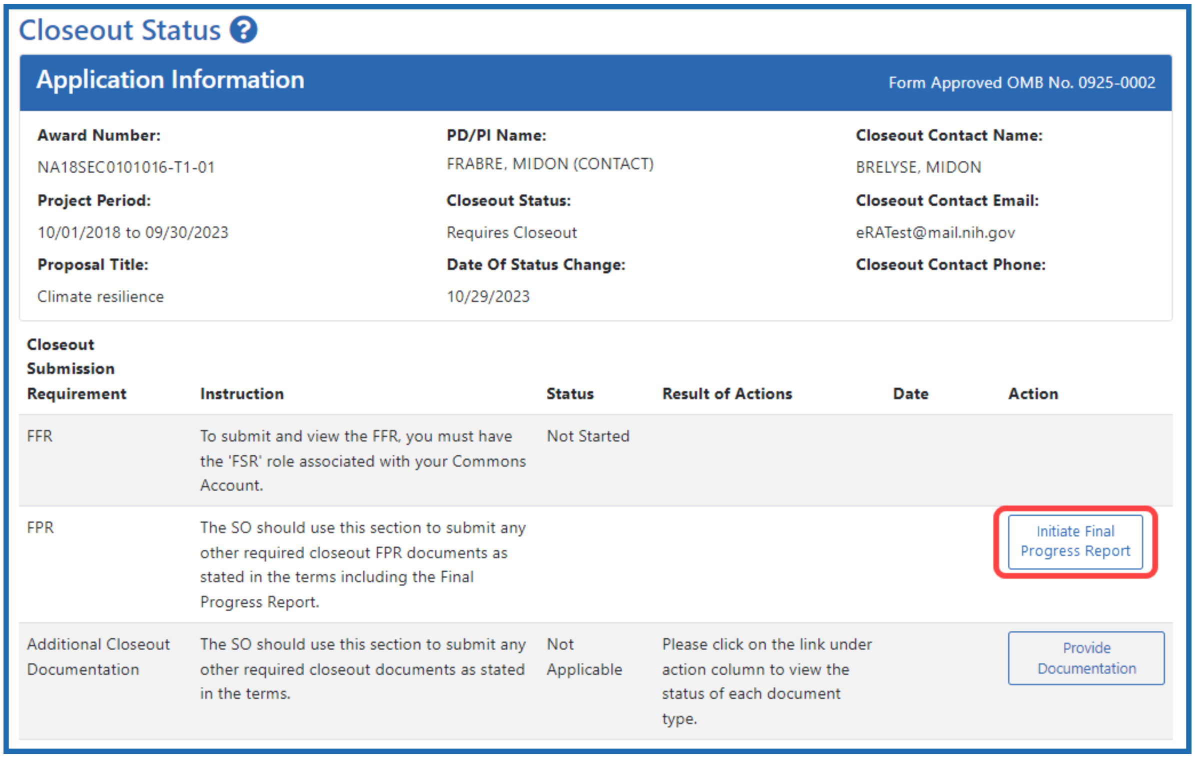


Figure 289: Closeout Status screen showing Initiate Final Progress Report button outlined

The *Final Progress Report (FPR)* screen appears.

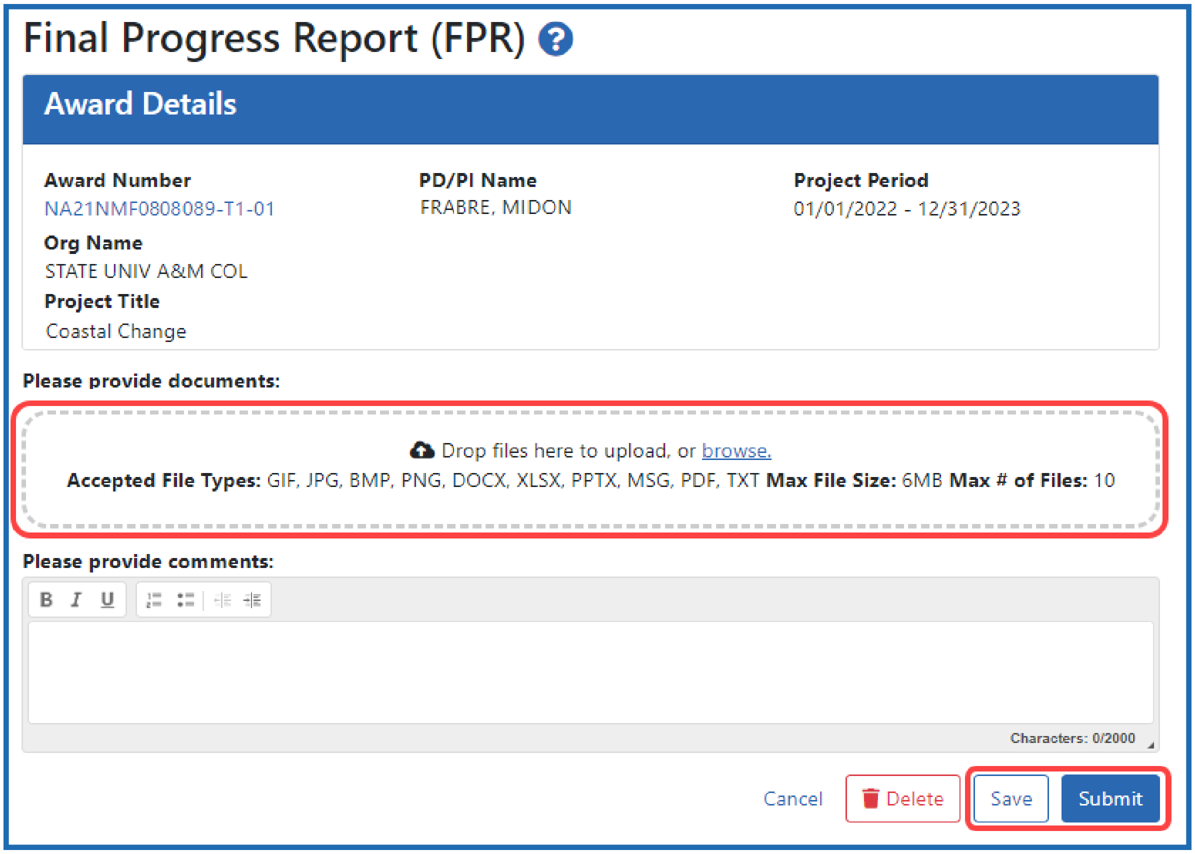
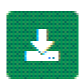


Figure 290: Closeout - Final Progress Report upload screen

3. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
4. If you change your mind about this FPR submission, and you want to discard it, click the **Delete** button at the bottom of the screen.
5. To save this FPR submission package but not submit to the agency, click the **Save** button.

6. To finalize this FPR submission package and submit it for agency review, click the **Submit** button (SO only).

Viewing Prior Submissions or Resubmitting the Final Progress Report After Initial Submission

Once the SO submits the FPR, users can continue to initiate and submit new iterations of the FPR. Either a PD/PI or SO can click the **Initiate Final Progress Report** button again and upload additional files. The FPR files that you upload after previous submissions are appended to the previous submissions. Prior submitted files cannot be removed by initiating a new iteration of the FPR.

To view what has been submitted so far, click the **View Prior Submission** button, which downloads a file using browser download settings.

Agency-Specific Instructions: Department of Commerce (DOC). For DOC awards, you download a ZIP file because multiple file types are allowed to be uploaded--the ZIP contains all files. Additionally, a SUBMISSION SUMMARY lists all the submitted files and details such as time, submitter, and file name.

Agency-Specific Instructions: SAMHSA. For SAMHSA awards, only PDFs are allowed to be uploaded, so only a PDF will be downloaded upon viewing the prior submission.

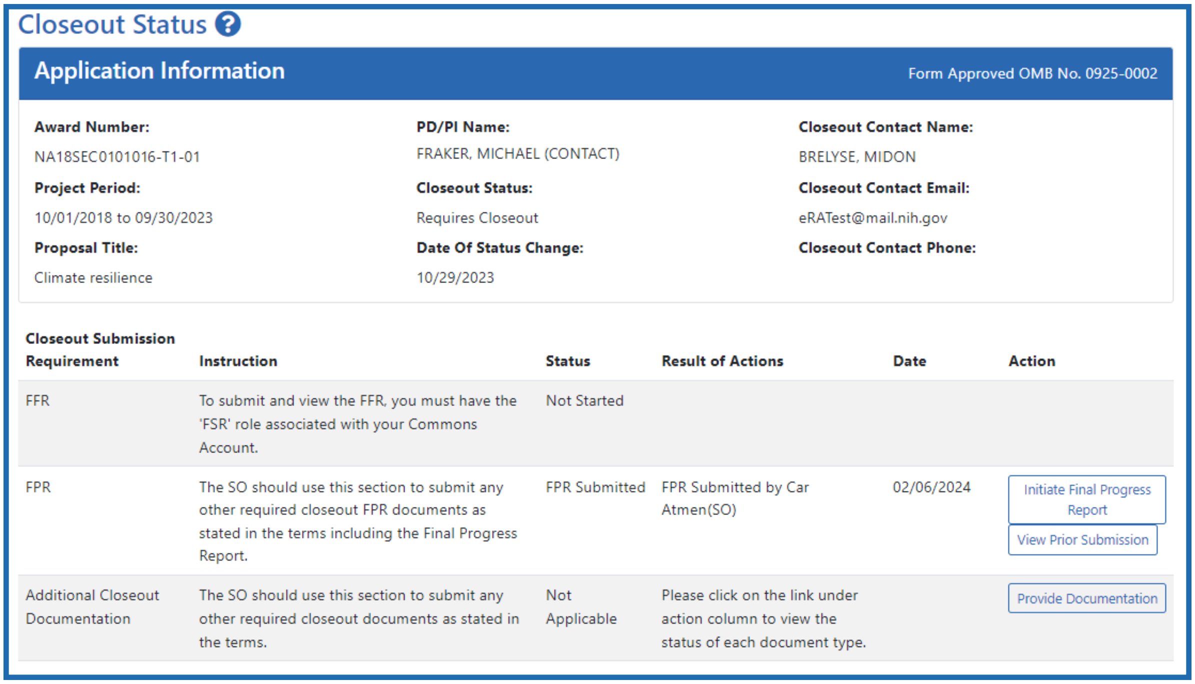


Figure 291: Closeout Status screen showing View Prior Submission button, which appears after a file has already been submitted to the awarding agency

Editing Final Progress Report (Prior to Submission)

If you or another user initiated the FPR at a prior date, and uploaded a file and saved the report, then the file is saved in the eRA system, but is not yet submitted for agency review. If an FPR is saved, the next user to go to closeout for the award sees an **Edit** button for the FPR on the *Closeout Status* screen. A PI or SO can click **Edit** and add additional files, remove files, and save again. If the user is an SO, the SO can also submit to the agency by clicking the **Submit** button.

Follow the same instructions in *Initiating Final Progress Report (FPR)* on page 650 above to add or remove files.

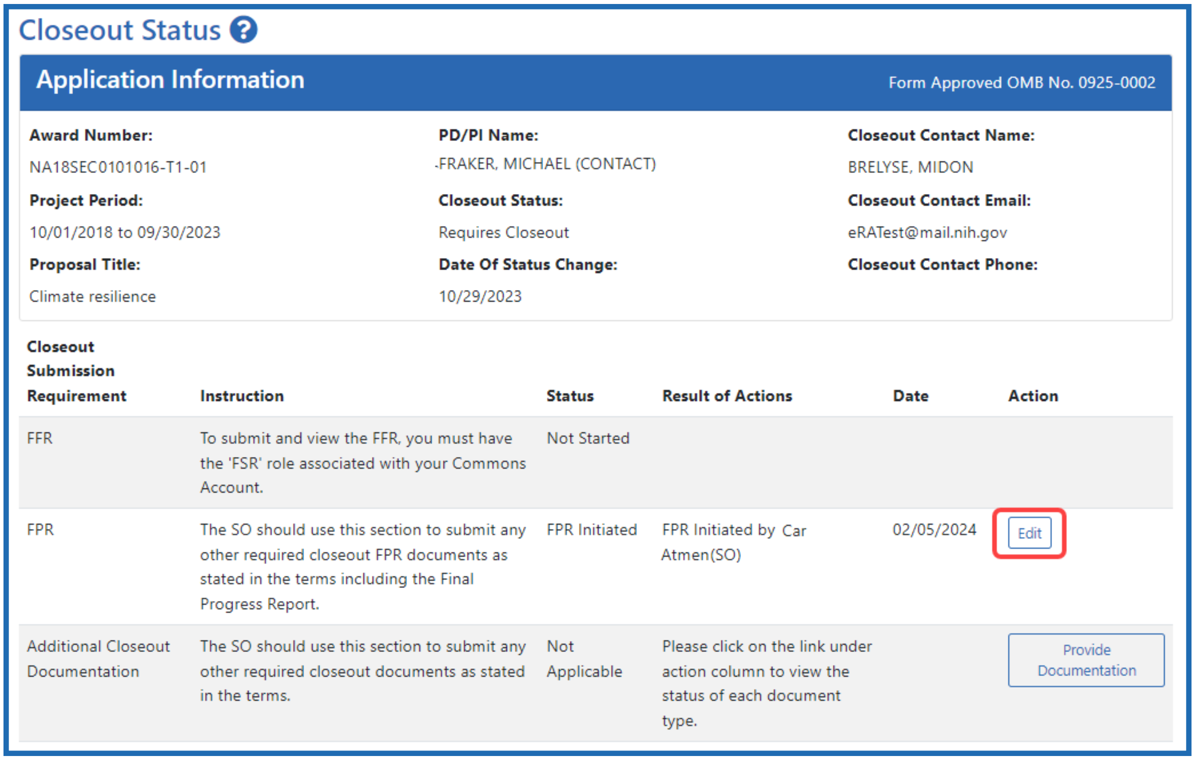


Figure 292: Closeout Status screen showing Edit button for FPR and Provide Documentation button for Additional Closeout Documentation

Upon review of the Final Progress Report, the Program Officer (PO) may determine that additional information is needed from the grantee institution.

Agency-Specific Instructions: Department of Commerce. For DOC awards, the agency staff returns the final progress report to the recipient for changes.

Agency-Specific Instructions: SAMHSA. For SAMHSA awards, agency staff makes 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 *Closeout—Final Progress Report Additional Materials (FRAM)* on page 704 for information and the steps for completing this request.

Closeout—Additional Closeout Documentation

DOC awardees might see the Additional Closeout Documentation closeout task to submit any other required documents as stated in Terms and Conditions of the award.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

To prepare and submit additional documentation:

1. Log into eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Provide Documentation** button in Closeout Status.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

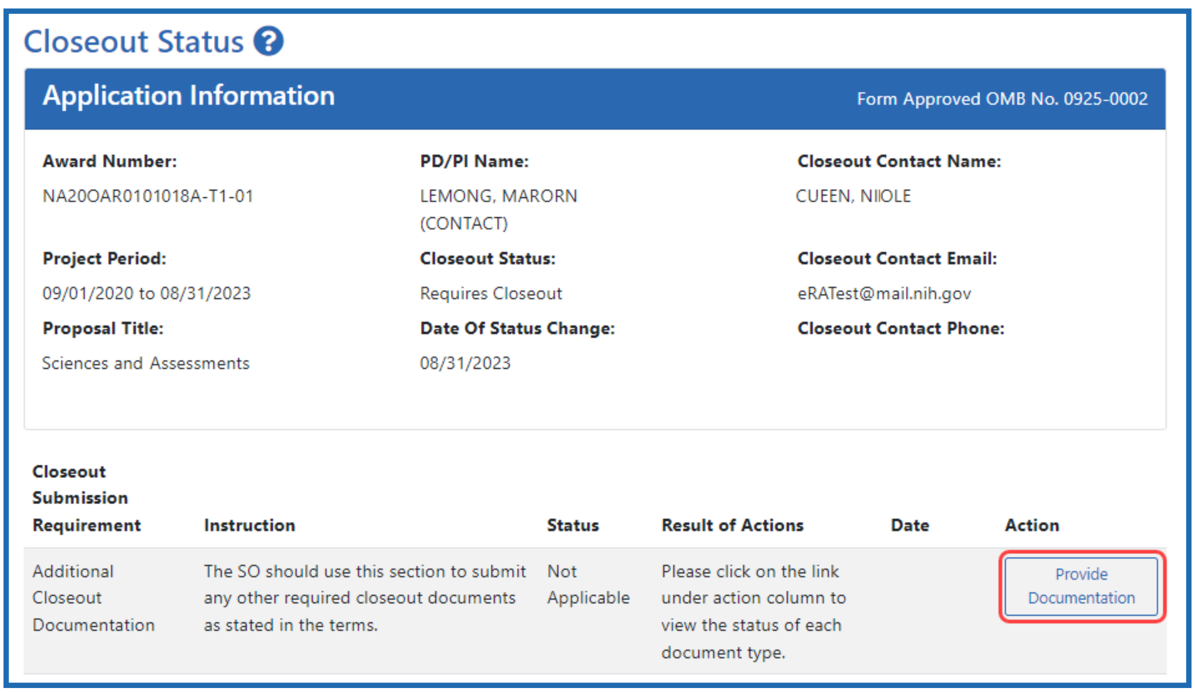


Figure 293: The Closeout Status screen showing the Provide Documentation action

A popup appears, which lists additional documentation that is required.

- A hollow blue hand pointing left means the document has not yet been submitted.
- A green circle with a white checkmark means a document has been submitted by your organization.
- A solid green hand with a thumbs up means a document has been accepted by the agency.
- A solid red triangle with a white exclamation point means a document has been returned by the agency.

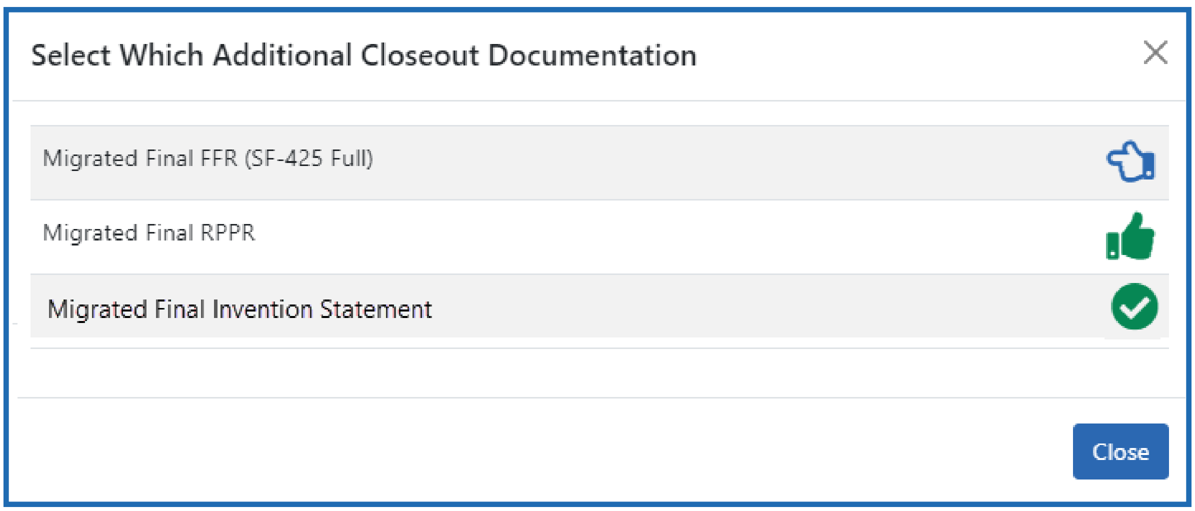


Figure 294: Select Which Additional Closeout Documentation popup, where a hollow blue hand means the document is not yet submitted, a solid green thumbs up hand means the document has been accepted by the agency, a green circle with checkmark means the document has been submitted but not yet accepted, and a red triangle with an exclamation point means the document has been returned. .

3. Click on any row to upload a document.
   If you click on a row where a document has already been submitted, you can still submit an additional document and it is added to prior submissions.

   The *Additional Closeout Documentation* screen appears. A description of the file that is to be uploaded appears above the upload area and is outlined below.

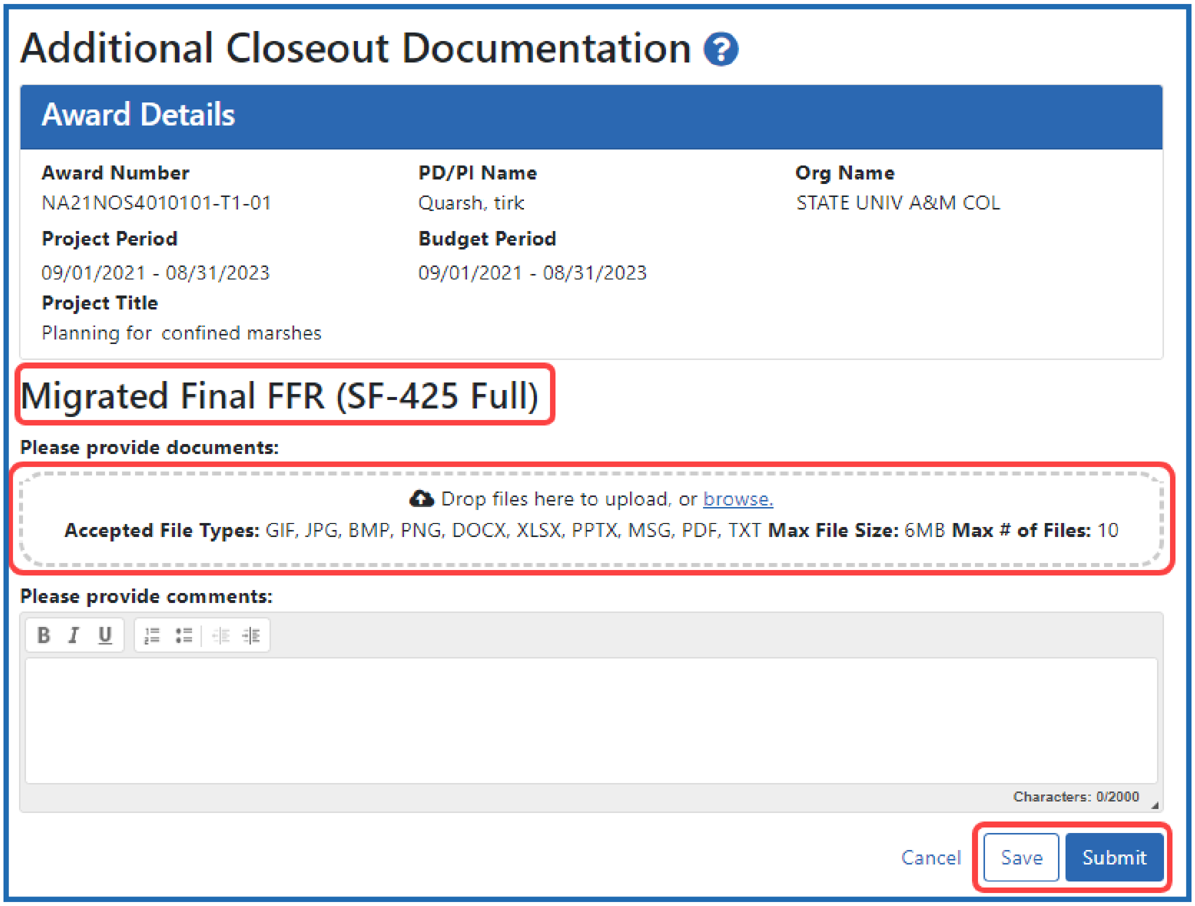
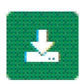


Figure 295: Upload screen for Additional Closeout Documentation task in Closeout

4. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
5. Click **Save** to save the uploaded submission package but not submit it to the agency.
6. Click **Submit** to submit the submission package to the agency. (SO only. PIs do not see the **Submit** button.)

After saving a document, you or another user can go and remove the file or add more files to the unsubmitted document submission package. After submitting a document, you or another user can initiate a new document submission, which appends new submissions to the prior submissions.

Closeout for FDA Awards

Food and Drug Administration (FDA) awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Final Research Performance Progress Report (RPPR). A final report for research awards.
- Final Invention Statement
- Final Progress Report Additional Materials (FRAM). This is only required if the agency asks for updates to the submitted progress report.

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)*

on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Research Performance Progress Report for NON-NIH Awards

Consult with the awarding agency for policy guidance on Final Research Performance Progress Reports (RPPRs).

- The F. Changes form is not applicable for Final RPPRs.

  The H. Budget form is not applicable for Final RPPRs.

- The I. Outcomes form is applicable only for Final RPPRs.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

   Below is a sample Closeout Status screen showing a sample award number and tasks. Depending on the awarding agency, different tasks might appear than those shown.

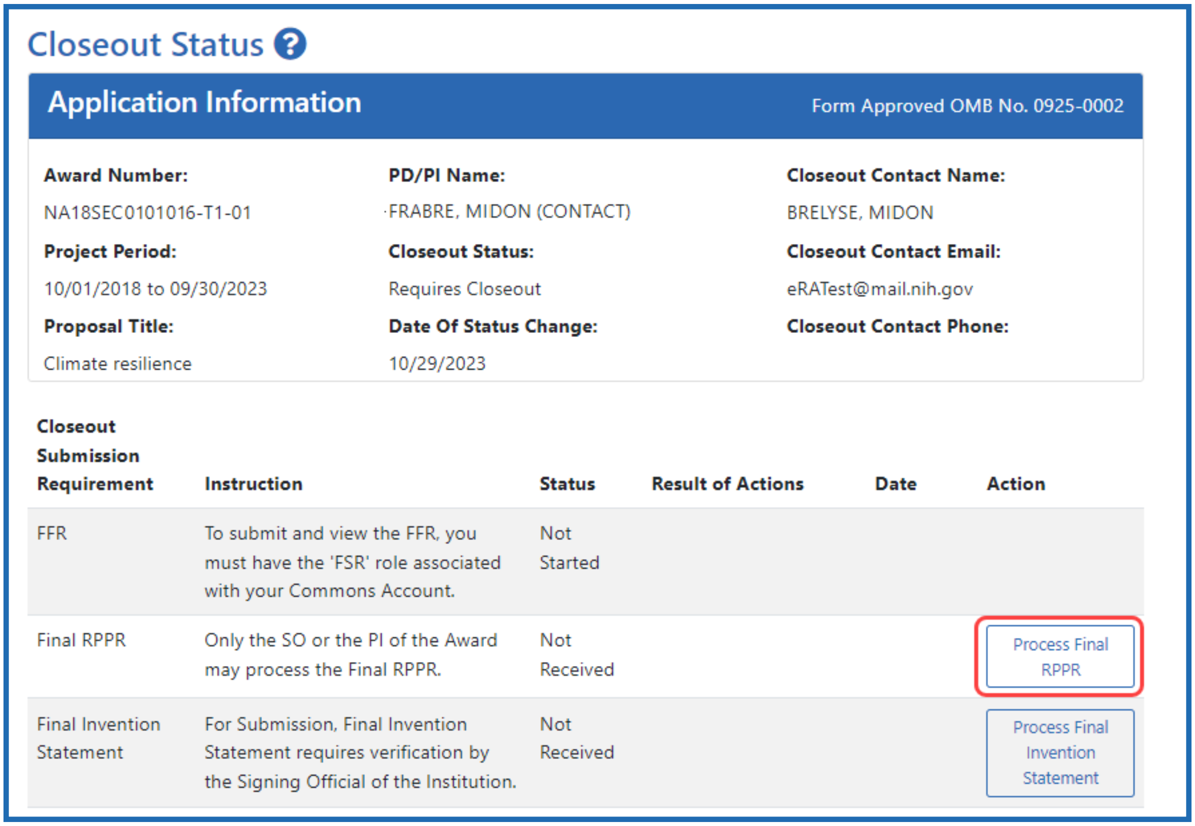


Figure 296: Closeout Status sceen showing the Process Final RPPR button, outlined

The *RPPR Menu* screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

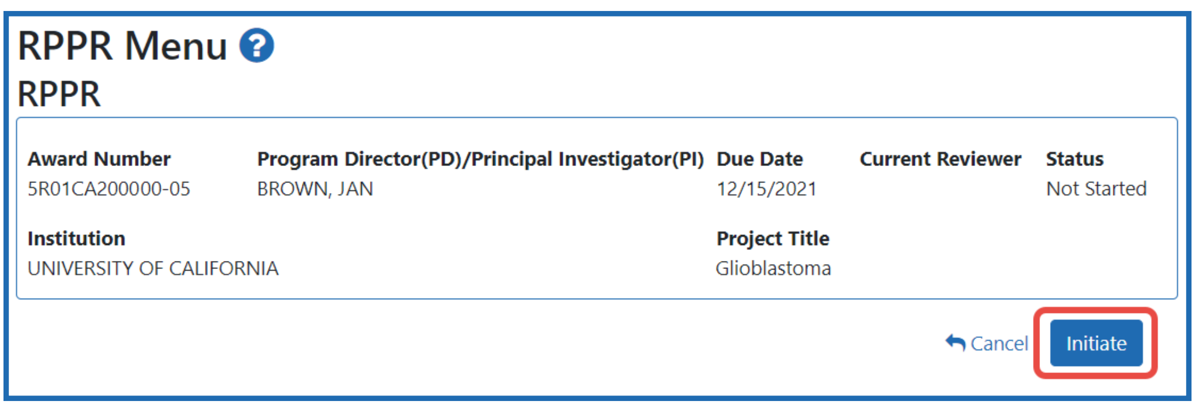


Figure 297: RPPR Menu screen, showing the Initiate button outlined

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

After the Final RPPR has been initiated, you see a three-dot ellipsis icon next to the Award Number, where you can access RPPR actions.

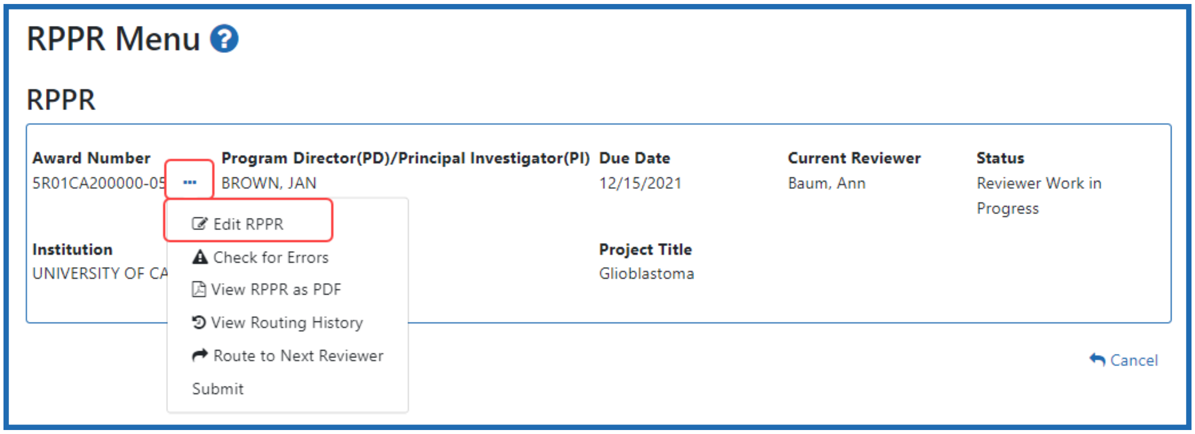


Figure 298: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

4. Select **Edit RPPR** from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Closeout—Final Invention Statement

Either a program directory/principal investigator (PD/PI) or a signing official (SO) can edit a final invention statement, but only an SO can submit it to the agency. Use this procedure to complete a Final Invention Statement that lists inventions that were conceived as part of the research grant.

Reporting Inventions on the Final Invention Statement on page 663

Reporting No Inventions on the Final Invention Statement on page 667

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

NIH and AHRQ Final Invention Statement Policy Guidance

Agency-Specific Instructions: NIH and AHRQ only. The following policy guidance applies to NIH and AHRQ-funded awards only.

You must submit a Final Invention Statement (FIS) within 120 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: For policy information on awards funded by the Department of Health and Human Services, refer to the Procedure for Submission of Final Invention Statement and Certification.

If your award is funded by a non-NIH or non-AHRQ source, check with your awarding agency for policy guidance on final invention statements.

Reporting Inventions on the Final Invention Statement

To complete a final invention statement when inventions need to be reported:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

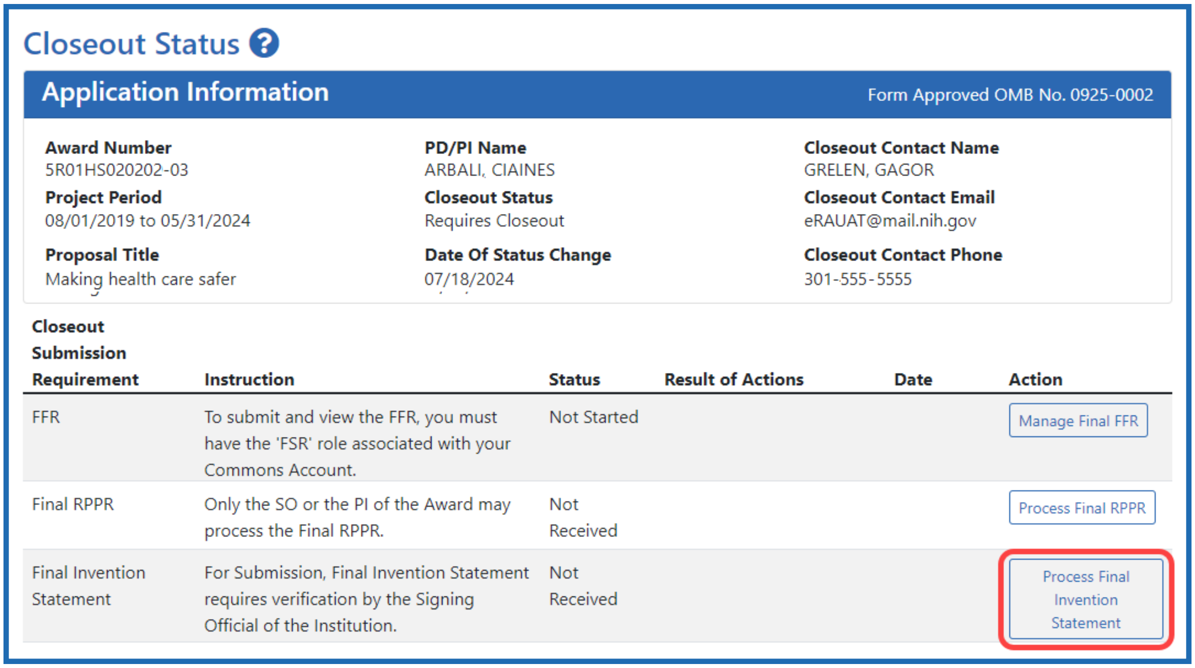


Figure 299: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status*.

   The *Process Final Invention Statement* screen displays.

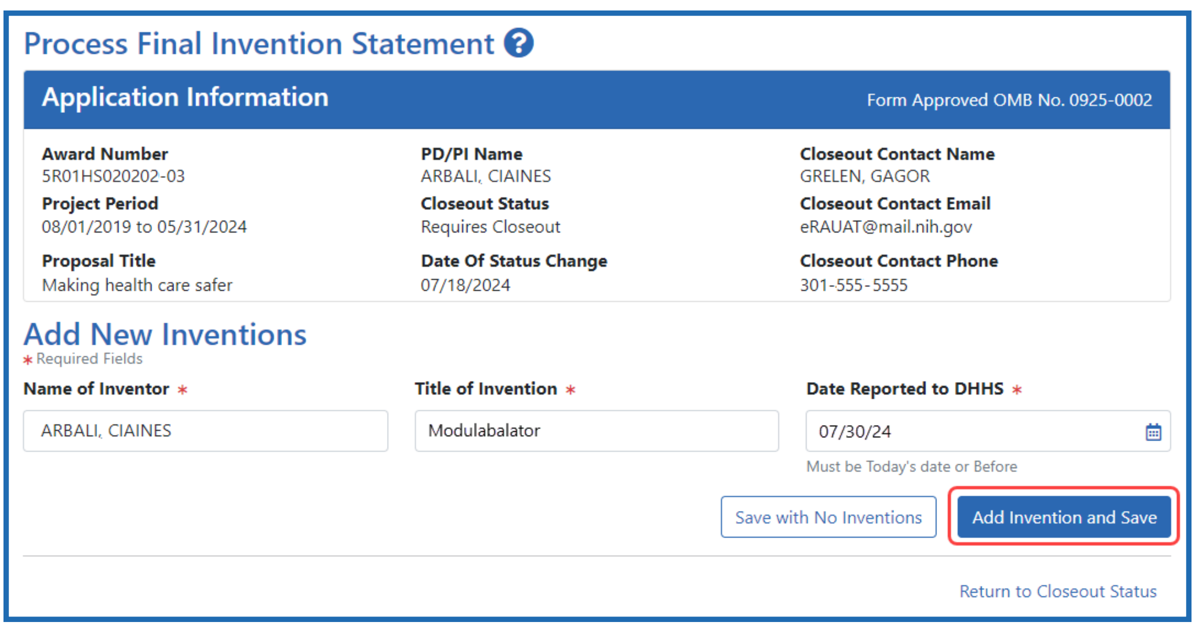


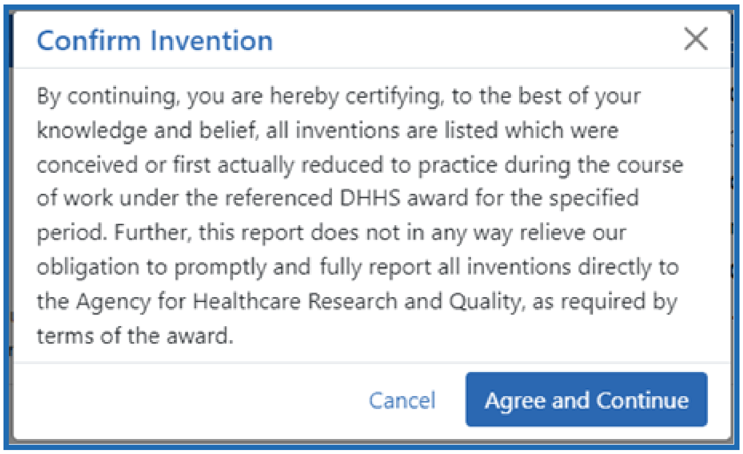
Figure 300: Process Final Invention Statement screen with no inventions yet added

3. To add an invention:

   a. Type the **Name of Inventor**, **Title of Invention**, and the **Date Reported to DHSS** (the date you want to officially report it to the Department of Health and Human Services).

   b. Click the **Add Invention and Save** button.

   The *Confirm Invention* popup appears with customized language depending on whether the award is funded by AHRQ or NIH.



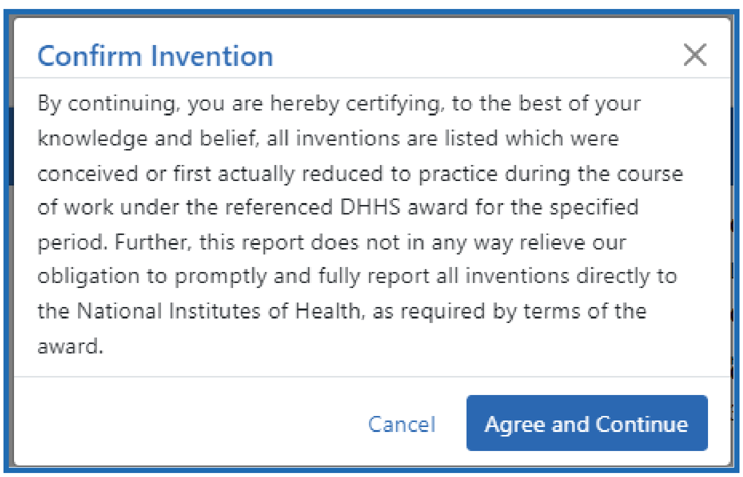


Figure 301: Confirm Invention popup screen attesting that all inventions are listed

   c. Click **Agree and Continue** in the popup even if you have more inventions to add.

The invention is now listed under *Added Inventions* at the bottom of the screen. As long as the final invention statement has not yet been submitted, either a PI or SO who views this screen can click an item's **Delete Invention and Save** link in the Action column to remove it.

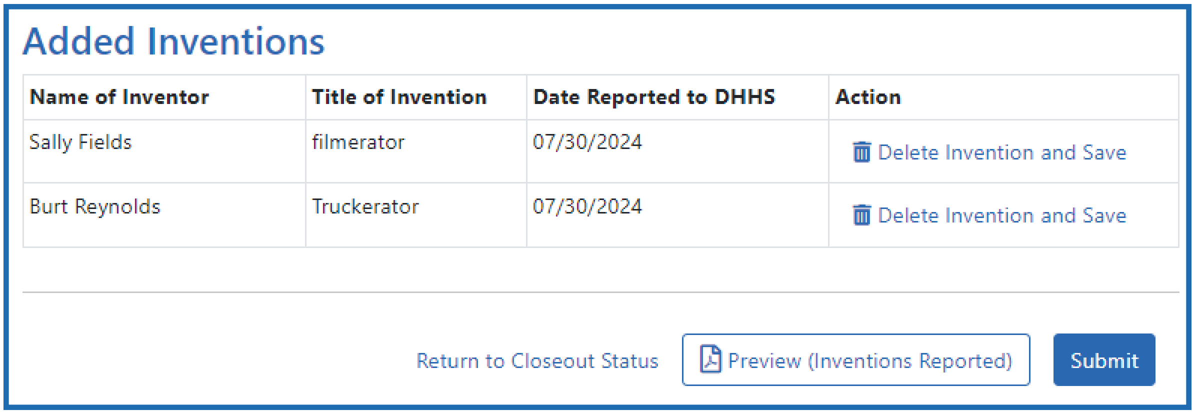


Figure 302: Added Inventions section of Process Final Invention Statement screen, showing a list of inventions

4. To add additional inventions, repeat the previous step as many times as necessary. Any inventions you define are saved immediately.

NOTE: Click the **Preview (Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

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5. When all the inventions are listed at the bottom of the screen, click the **Submit** button to submit the invention statement to the awarding agency. (Only the SO can submit—the PI does not see a **Submit** button.)

   The *Confirm Invention* popup appears again.

6. Click **Agree and Continue** again to complete submission.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Reporting No Inventions on the Final Invention Statement

To complete a final invention statement certifying that no inventions exist:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

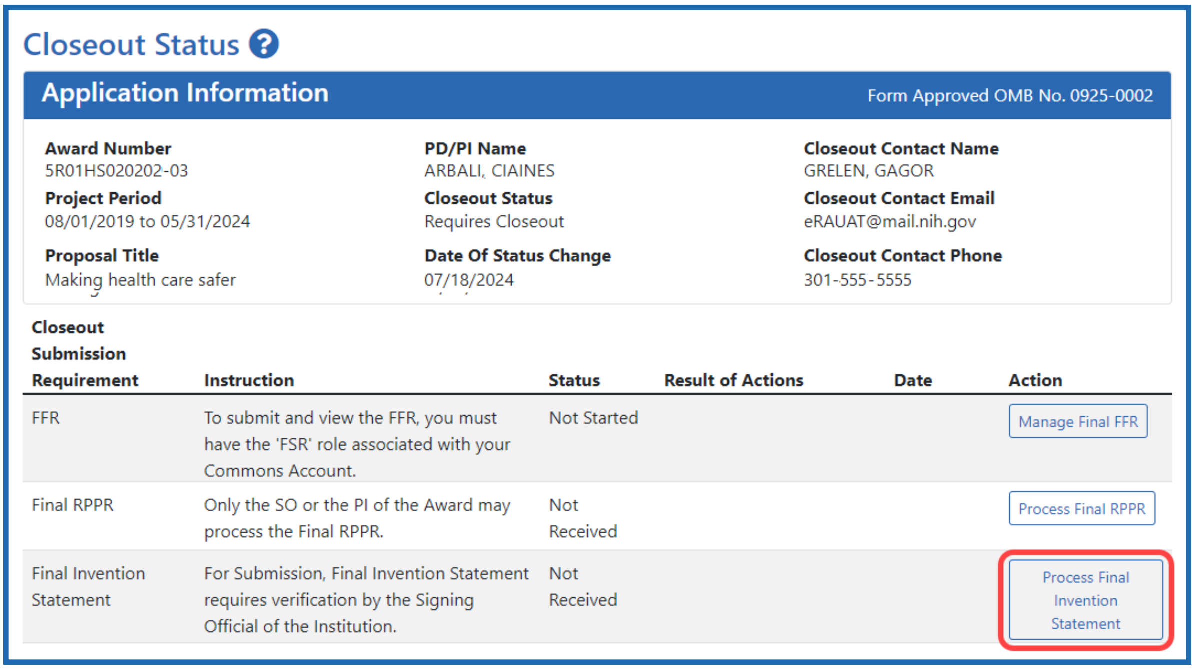
   

   Figure 303: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status* screen.

   The *Process Final Invention Statement* screen displays.

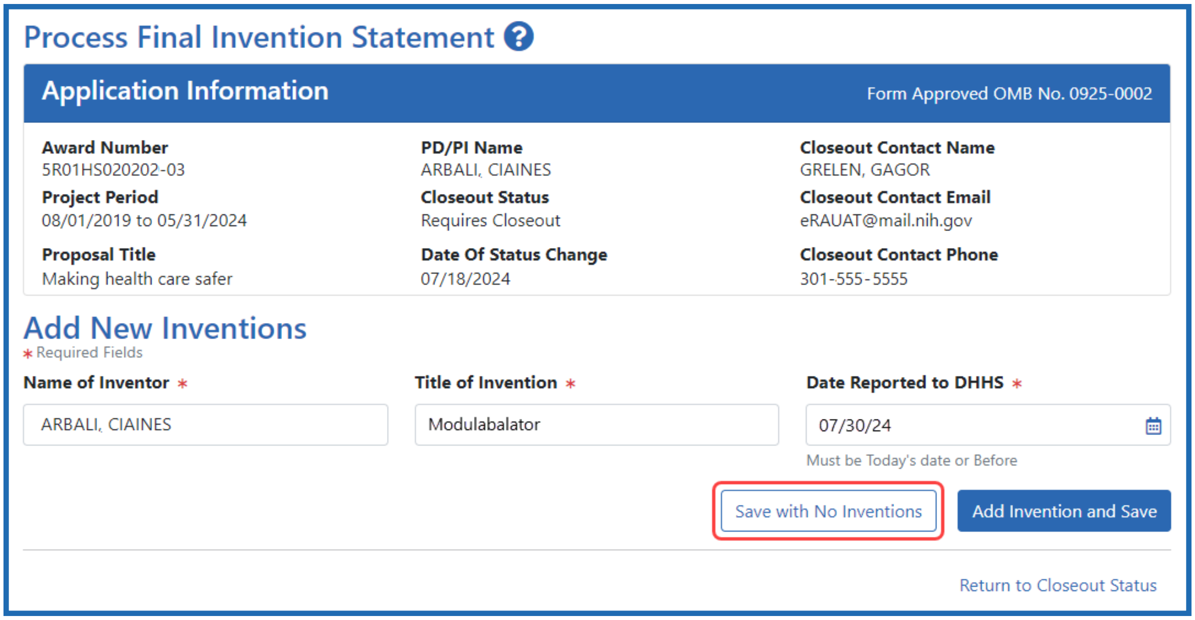


Figure 304: Process Final Invention Statement screen with Save with No Inventions button outlined

3. Click the **Save with No Inventions** button.

   A success message appears on the top right side of the eRA screen heading. You will also notice that the Preview button is now named **Preview (No Inventions Reported)**.

Figure 305: Success message in eRA Commons banner noting the FIS (final invention statement) was created with no inventions reported

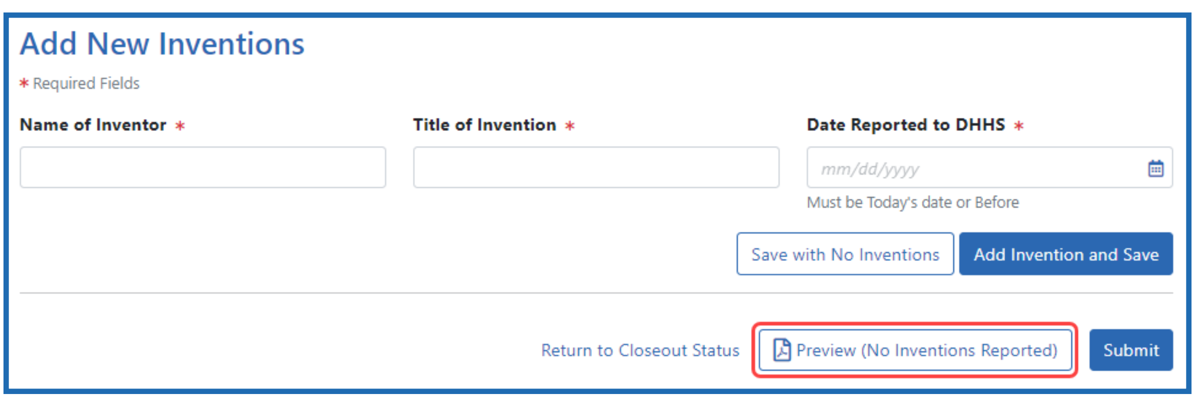


Figure 306: Final Inventions Statement with no inventions, showing the name of Preview button changed to "Preview (No Inventions Reported)

NOTE: Click the **Preview (No Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

4. Once you confirm that the Preview button is now renamed to indicate "**No Inventions Reported**", click the **Submit** button to submit a statement indicating no inventions are being reported. (Only the SO sees a **Submit** button and has the ability to submit.)

   A certification popup appears.

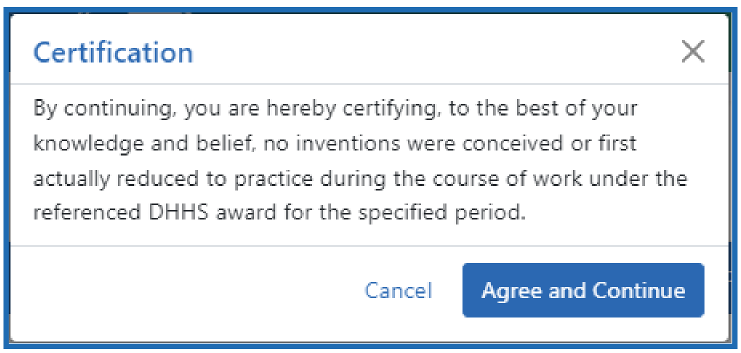


Figure 307: Certification popup for that appears when submitting a final invention statement indicating no inventions

5. Click **Agree and Continue** in the *Certification* popup.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Closeout—Final Progress Report Additional Materials (FRAM)

The *Final Progress Report Additional Materials* (FRAM) link provides a means for recipients to enter, review, route, and submit information in response to specific request(s) by

the program official (PO) for additional information related to the Final RPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

While reviewing a submitted Final RPPR, the PO might determine that additional materials related to the submitted report are required. In this case, the PO submits a request for this information referred to as a FRAM request. When a FRAM request is made, the PD/PI is notified via email with a description of the requested material and a FRAM task appears on the *Closeout Status* screen.

Agency-Specific Instructions: SAMHSA: For awards funded by NIH, FDA, AHRQ, and VA, a FRAM request is also used to ask for a *Revised Project Outcome* from the awardee. SAMHSA awards do not use FRAM to ask for *Revised Project Outcome*, although the *Revised Project Outcome* section appears on SAMHSA FRAM screen. SAMHSA awardees should ignore all references to *Revised Project Outcomes* in the following topic, as that section of the FRAM screen is not applicable to SAMHSA.

TIP: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials (FRAM) Request** link located in **Other Relevant Documents** section of *Status Information* shows the original request.

Initiating Final Progress Report Additional Materials or Revised Project Outcomes (FRAM)

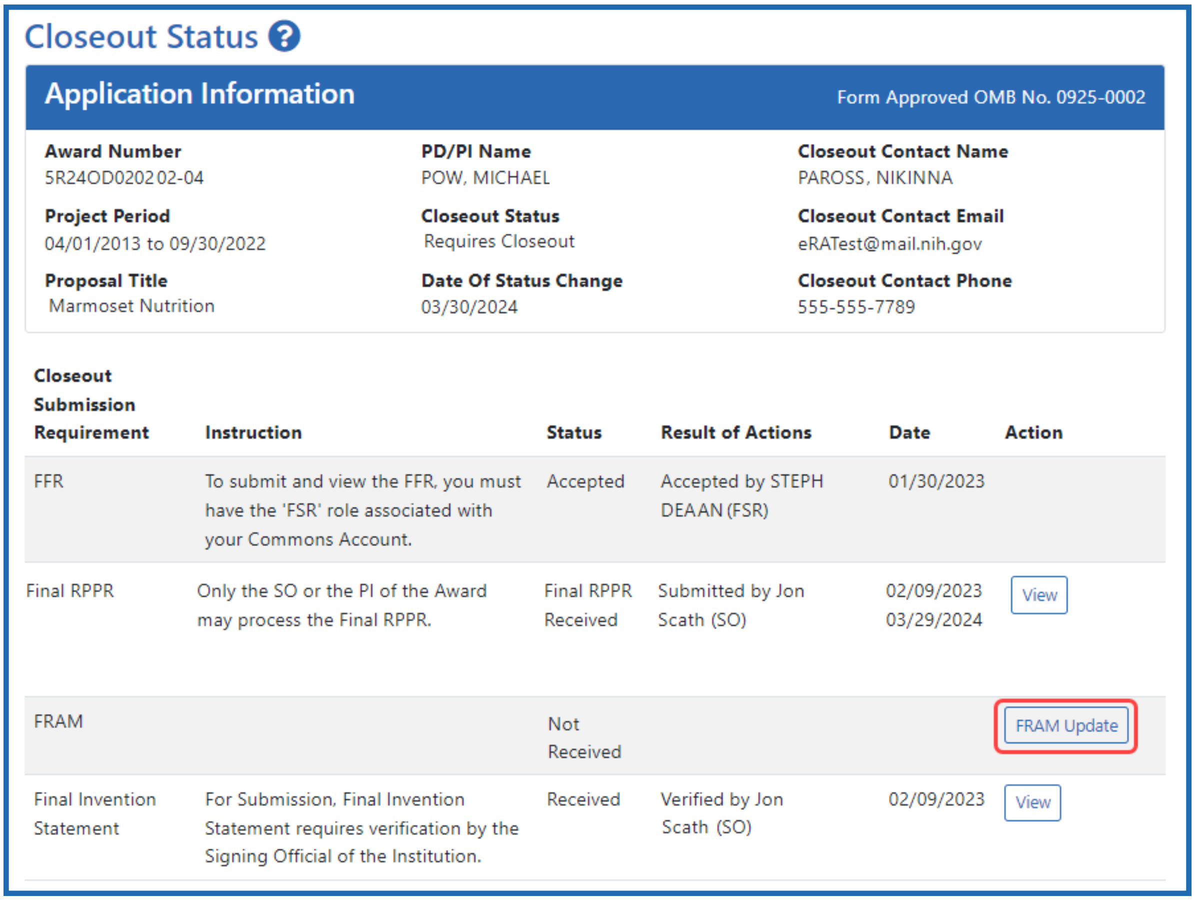
Either the PD/PI or SO can initiate the FRAM and attach a file or type/paste a Revised Project Outcomes, but only an SO can submit.

1. Log into [eRA Commons](#) as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

2. If a PO has requested additional material related to the Final RPPR, the Closeout

Submission Requirement column on Closeout Status screen lists "FRAM" as a task and the **FRAM Update** button appears in the Action column.

Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.


Closeout Status

Application Information — Form Approved OMB No. 0925-0002

Award Number 5R24OD020202-04	**PD/PI Name** POW, MICHAEL	**Closeout Contact Name** PAROSS, NIKINNA
Project Period 04/01/2013 to 09/30/2022	**Closeout Status** Requires Closeout	**Closeout Contact Email** eRATest@mail.nih.gov
Proposal Title Marmoset Nutrition	**Date Of Status Change** 03/30/2024	**Closeout Contact Phone** 555-555-7789

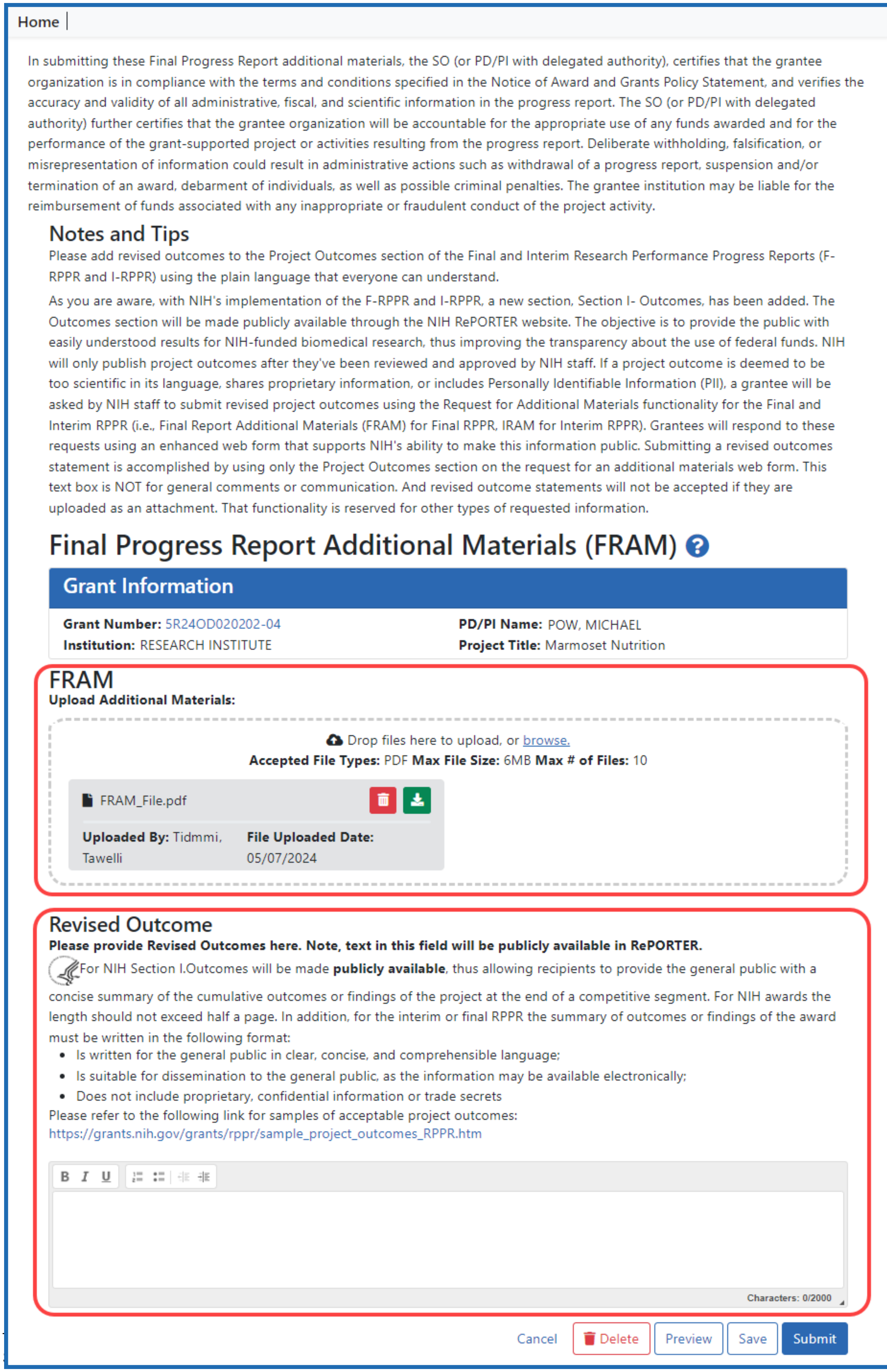
Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	To submit and view the FFR, you must have the 'FSR' role associated with your Commons Account.	Accepted	Accepted by STEPH DEAAN (FSR)	01/30/2023	
Final RPPR	Only the SO or the PI of the Award may process the Final RPPR.	Final RPPR Received	Submitted by Jon Scath (SO)	02/09/2023 03/29/2024	View
FRAM		Not Received			FRAM Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Received	Verified by Jon Scath (SO)	02/09/2023	View

Figure 308: A sample Closeout Status screen showing the FRAM task and FRAM Update button. Depending on the awarding agency, different tasks might appear than those shown.

3. Click the **FRAM Update** link.

The *Final Progress Report Additional Materials (FRAM)* screen appears. The top of the page contains certification language that should be read prior to submitting materials. It also contains *Notes and Tips* with policy guidance of what should be submitted using this screen.

Agency-Specific Instructions: In eRA Commons, please read language on the following screen carefully; language differs depending on the awarding agency's policies. The following sample shows language for NIH awards. If your award is funded by a different agency, the policy language may differ from what you see here.



Home |

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.

Notes and Tips

Please add revised outcomes to the Project Outcomes section of the Final and Interim Research Performance Progress Reports (F-RPPR and I-RPPR) using the plain language that everyone can understand.

As you are aware, with NIH's implementation of the F-RPPR and I-RPPR, a new section, Section I- Outcomes, has been added. The Outcomes section will be made publicly available through the NIH RePORTER website. The objective is to provide the public with easily understood results for NIH-funded biomedical research, thus improving the transparency about the use of federal funds. NIH will only publish project outcomes after they've been reviewed and approved by NIH staff. If a project outcome is deemed to be too scientific in its language, shares proprietary information, or includes Personally Identifiable Information (PII), a grantee will be asked by NIH staff to submit revised project outcomes using the Request for Additional Materials functionality for the Final and Interim RPPR (i.e., Final Report Additional Materials (FRAM) for Final RPPR, IRAM for Interim RPPR). Grantees will respond to these requests using an enhanced web form that supports NIH's ability to make this information public. Submitting a revised outcomes statement is accomplished by using only the Project Outcomes section on the request for an additional materials web form. This text box is NOT for general comments or communication. And revised outcome statements will not be accepted if they are uploaded as an attachment. That functionality is reserved for other types of requested information.

Final Progress Report Additional Materials (FRAM)

Grant Information

Grant Number: 5R24OD020202-04 **PD/PI Name:** POW, MICHAEL
Institution: RESEARCH INSTITUTE **Project Title:** Marmoset Nutrition

FRAM

Upload Additional Materials:

Drop files here to upload, or browse.
Accepted File Types: PDF **Max File Size:** 6MB **Max # of Files:** 10

FRAM_File.pdf
Uploaded By: Tidmmi, Tawelli **File Uploaded Date:** 05/07/2024

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

For NIH Section I.Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

B I U

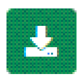
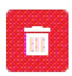
Characters: 0/2000

Cancel Delete Preview Save Submit

Figure 309: The FRAM screen contains two distinct sections where material can be submitted, a section for uploading files, and a section for providing a revised outcome

There are two distinct sections to the FRAM screen: the *FRAM Upload Additional Materials* section, and the *Revised Outcome* section. Use the *FRAM Upload Additional Materials* section to upload one or more files, if files have been requested by the PO. Use the *Revised Outcome* section to type or paste revised text for the RPPR section titled "I. Outcomes". Policy guidance appears under this section to describe what type of description is needed, and it contains a link you can click to see samples of acceptable project outcomes.

To upload one or more files in the *FRAM Upload Additional Materials* section:

1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
2. If you change your mind about this FRAM submission, and you want to discard it, click the **Delete** button at the bottom of the screen. This does not delete prior submissions.

To provide a Revised Outcome:

Agency-Specific Instructions: SAMHSA. The *Revised Project Outcome* section is not applicable for awards funded by SAMHSA.

See NIH notices **NOT-OD-17-022** and **NOT-OD-17-037** for additional policy guidance on revised outcomes.

1. Read the policy guidance in the *Revised Outcome* section prior to submitting a revised outcome.

2. Type or paste the revised outcome description into the text box provided. Tool icons at the top of the text box provide basic editing tools, such as bold, italic, bullets, numbering, and indenting.

To see what the FRAM submission includes:

1. First click the **Save** button at bottom of the screen.
2. Click the **Preview** button at the bottom of the screen.

   A PDF is downloaded by the browser.
3. Use the browser or another file to open the PDF, which contains a summary of files uploaded, person who uploaded, any revised outcome that was saved, and the contents of any files that were uploaded.

To save the FRAM submission package but not submit it:

Click the **Save** button.

To submit the FRAM package to the awarding agency for their review:

1. First read the certification language that appears at the top of the screen. This is what the submitter is agreeing to upon submission of the materials to the awarding agency. Only SOs or those with delegated authority to submit reports can see the **Submit** button.
2. To finalize this FRAM submission package and submit it for agency review, click the **Submit** button (SO only).

After you submit the FRAM, a **View** action appears on *Closeout Status*, which you can click to view a PDF document containing all documents and submission details for the FRAM request. You can also view the FRAM submission on the *Status Information* screen under **Other Relevant Documents**. The **FRAM Update** action remains until acceptance of the Final RPPR, enabling you to upload more files; however, you cannot make changes to files already submitted.

Additionally, an 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.

NOTE: The PO may rescind the approval of the Final RPPR or Final Progress Report (FPR) submission at any time. If this occurs, the **FRAM Update** action appears for submitting FRAM.

Closeout for SAMHSA Awards

Substance Abuse and Mental Health Services Administration (SAMHSA) awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Final Progress Report (FPR). A final report for non-research awards.
- Final Progress Report Additional Materials (FRAM). This is only required if the agency asks for updates to the submitted progress report.
- Tangible Personal Property Report (TPPR)

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)* on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Progress Report (FPR)

Some agencies (SAMHSA, DOC) have a type of report called a Final Progress Report (FPR). Final Progress Reports are for non-research awards.

NOTE: The ***Final Progress Report (FPR)*** should not be confused with the ***Final Research Performance Progress Report (FRPPR)***, which is a different reporting mechanism, designed for research awards. If you need to submit an RPPR, or if you see actions on your award listed as **RPPR** or **Process Final RPPR**, then see *Research Performance Progress Report (RPPR) Module* on page 313 instead of this topic.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

If your closeout requires a Final Progress Report, then both the PD/PI and the SO see an **Initiate Final Progress Report** button on the *Closeout Status* screen for an award. Either the PI or the SO can click the button and add a file or files, and both can then click **Save** to save the document in the eRA system. In addition, the SO can click **Submit** to submit the document to the agency.

This report should be prepared in accordance with instructions provided by the awarding agency.

Initiating Final Progress Report (FPR)

Either the PD/PI or SO can initiate the Final Progress Report and save a file attached to the FPR request, but only an SO can submit.

1. Log in to [eRA Commons](https://public.era.nih.gov/commons) as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Initiate Final Progress Report** button in *Closeout Status*.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

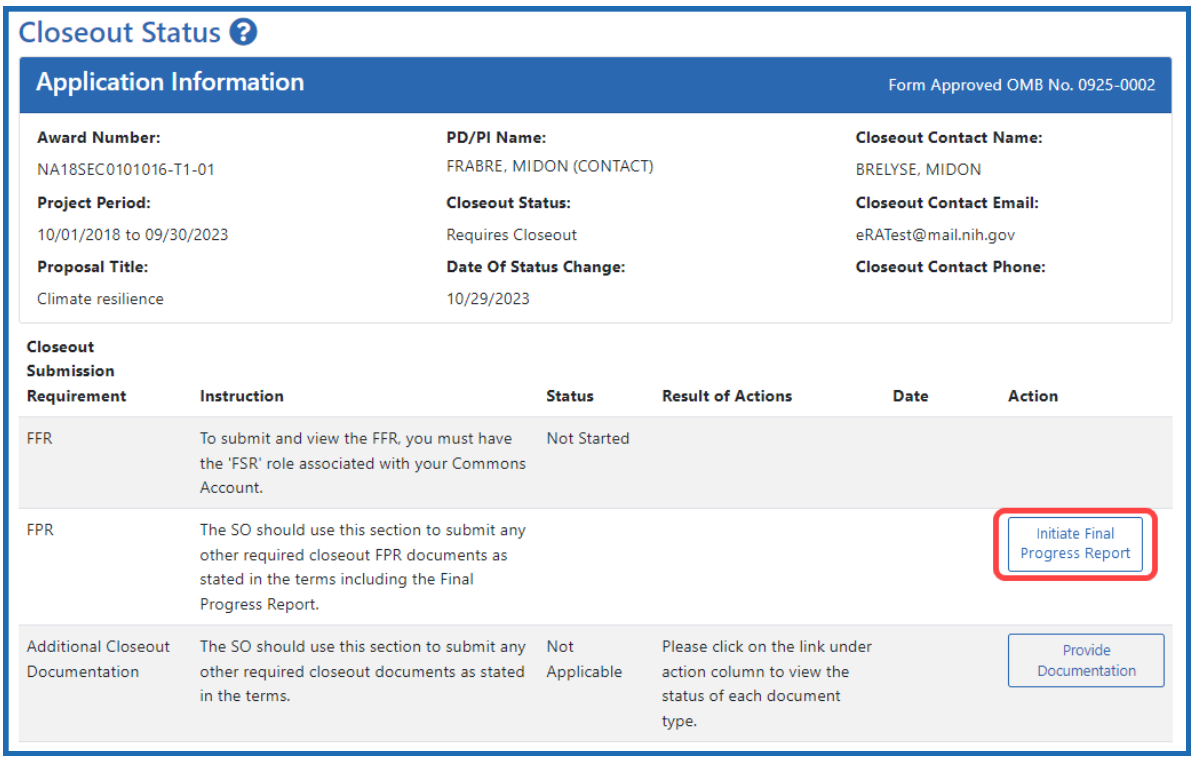


Figure 310: Closeout Status screen showing Initiate Final Progress Report button outlined

The *Final Progress Report (FPR)* screen appears.

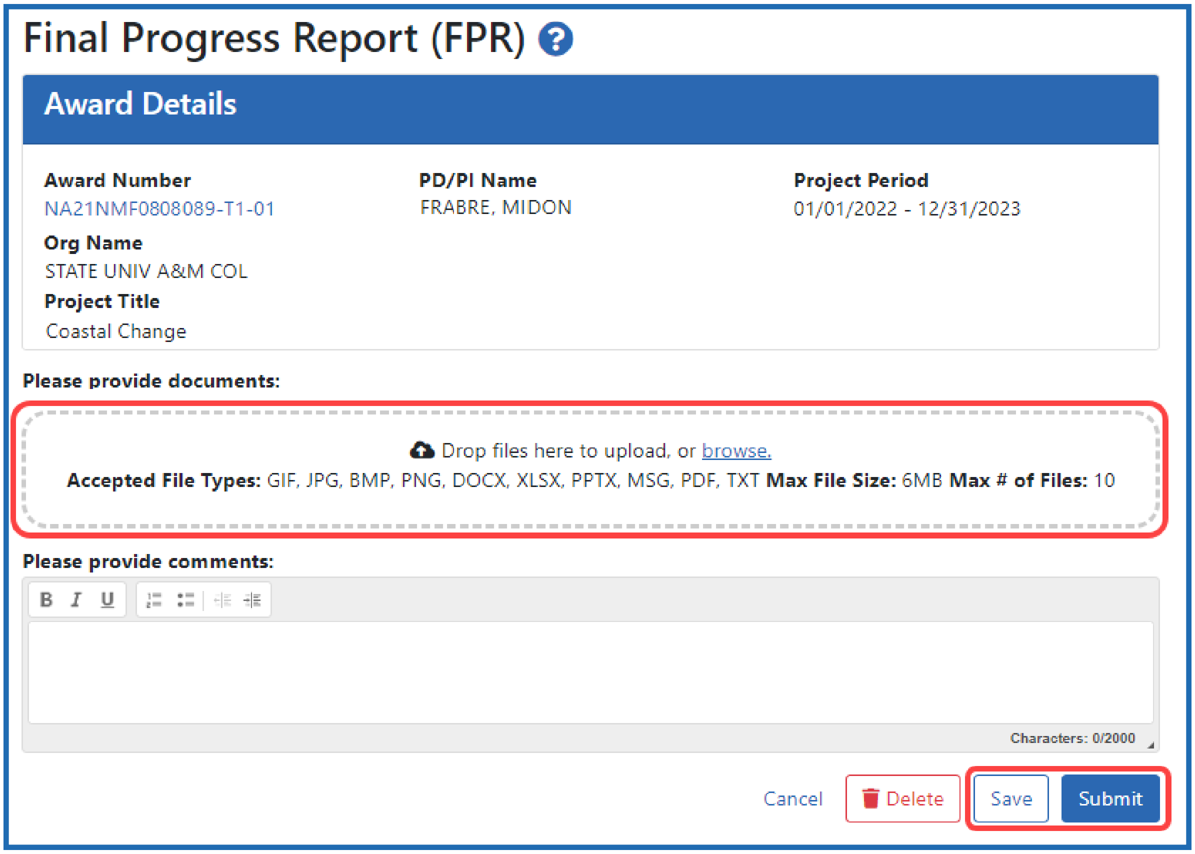
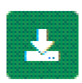


Figure 311: Closeout - Final Progress Report upload screen

3. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
    - Click the **Download** icon  and the browser will open or download the file.
    - Click the **Delete** icon  to remove the file.
4. If you change your mind about this FPR submission, and you want to discard it, click the **Delete** button at the bottom of the screen.
5. To save this FPR submission package but not submit to the agency, click the **Save** button.

6. To finalize this FPR submission package and submit it for agency review, click the **Submit** button (SO only).

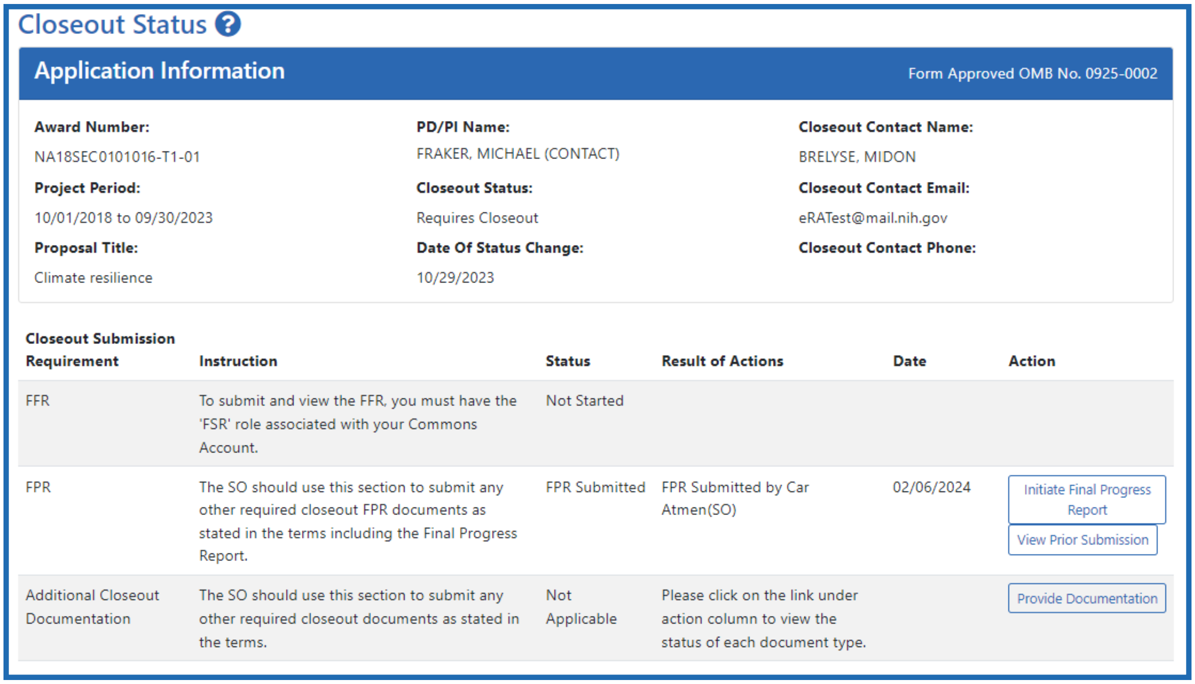
Viewing Prior Submissions or Resubmitting the Final Progress Report After Initial Submission

Once the SO submits the FPR, users can continue to initiate and submit new iterations of the FPR. Either a PD/PI or SO can click the **Initiate Final Progress Report** button again and upload additional files. The FPR files that you upload after previous submissions are appended to the previous submissions. Prior submitted files cannot be removed by initiating a new iteration of the FPR.

To view what has been submitted so far, click the **View Prior Submission** button, which downloads a file using browser download settings.

Agency-Specific Instructions: Department of Commerce (DOC). For DOC awards, you download a ZIP file because multiple file types are allowed to be uploaded--the ZIP contains all files. Additionally, a SUBMISSION SUMMARY lists all the submitted files and details such as time, submitter, and file name.

Agency-Specific Instructions: SAMHSA. For SAMHSA awards, only PDFs are allowed to be uploaded, so only a PDF will be downloaded upon viewing the prior submission.



Closeout Status

Application Information — Form Approved OMB No. 0925-0002

Award Number: NA18SEC0101016-T1-01
PD/PI Name: FRAKER, MICHAEL (CONTACT)
Closeout Contact Name: BRELYSE, MIDON
Project Period: 10/01/2018 to 09/30/2023
Closeout Status: Requires Closeout
Closeout Contact Email: eRATest@mail.nih.gov
Proposal Title: Climate resilience
Date Of Status Change: 10/29/2023
Closeout Contact Phone:

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	To submit and view the FFR, you must have the 'FSR' role associated with your Commons Account.	Not Started			
FPR	The SO should use this section to submit any other required closeout FPR documents as stated in the terms including the Final Progress Report.	FPR Submitted	FPR Submitted by Car Atmen(SO)	02/06/2024	Initiate Final Progress Report View Prior Submission
Additional Closeout Documentation	The SO should use this section to submit any other required closeout documents as stated in the terms.	Not Applicable	Please click on the link under action column to view the status of each document type.		Provide Documentation

Figure 312: Closeout Status screen showing View Prior Submission button, which appears after a file has already been submitted to the awarding agency

Editing Final Progress Report (Prior to Submission)

If you or another user initiated the FPR at a prior date, and uploaded a file and saved the report, then the file is saved in the eRA system, but is not yet submitted for agency review. If an FPR is saved, the next user to go to closeout for the award sees an **Edit** button for the FPR on the *Closeout Status* screen. A PI or SO can click **Edit** and add additional files, remove files, and save again. If the user is an SO, the SO can also submit to the agency by clicking the **Submit** button.

Follow the same instructions in *Initiating Final Progress Report (FPR)* on page 679 above to add or remove files.

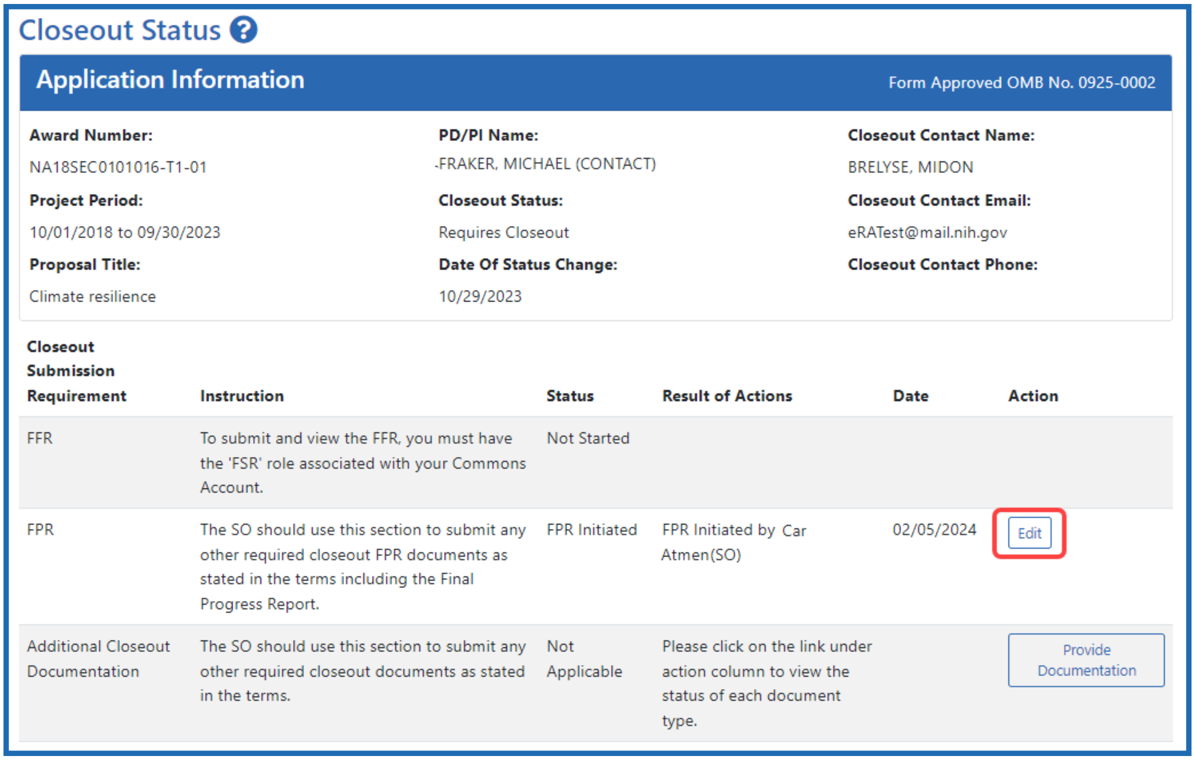


Figure 313: Closeout Status screen showing Edit button for FPR and Provide Documentation button for Additional Closeout Documentation

Upon review of the Final Progress Report, the Program Officer (PO) may determine that additional information is needed from the grantee institution.

Agency-Specific Instructions: Department of Commerce. For DOC awards, the agency staff returns the final progress report to the recipient for changes.

Agency-Specific Instructions: SAMHSA. For SAMHSA awards, agency staff makes 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 *Closeout—Final Progress Report Additional Materials (FRAM)* on page 704 for information and the steps for completing this request.

Closeout—Final Progress Report Additional Materials (FRAM)

The *Final Progress Report Additional Materials* (FRAM) link provides a means for recipients to enter, review, route, and submit information in response to specific request(s) by the program official (PO) for additional information related to the Final RPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

While reviewing a submitted Final RPPR, the PO might determine that additional materials related to the submitted report are required. In this case, the PO submits a request for this information referred to as a FRAM request. When a FRAM request is made, the PD/PI is notified via email with a description of the requested material and a FRAM task appears on the *Closeout Status* screen.

Agency-Specific Instructions: SAMHSA: For awards funded by NIH, FDA, AHRQ, and VA, a FRAM request is also used to ask for a *Revised Project Outcome* from the awardee. SAMHSA awards do not use FRAM to ask for *Revised Project Outcome*, although the *Revised Project Outcome* section appears on SAMHSA FRAM screen. SAMHSA awardees should ignore all references to *Revised Project Outcomes* in the following topic, as that section of the FRAM screen is not applicable to SAMHSA.

TIP: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials (FRAM) Request** link located in **Other Relevant Documents** section of *Status Information* shows the original request.

Initiating Final Progress Report Additional Materials or Revised Project Outcomes (FRAM)

Either the PD/PI or SO can initiate the FRAM and attach a file or type/paste a Revised Project Outcomes, but only an SO can submit.

1. Log into eRA Commons as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. If a PO has requested additional material related to the Final RPPR, the Closeout Submission Requirement column on Closeout Status screen lists "FRAM" as a task and the **FRAM Update** button appears in the Action column.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

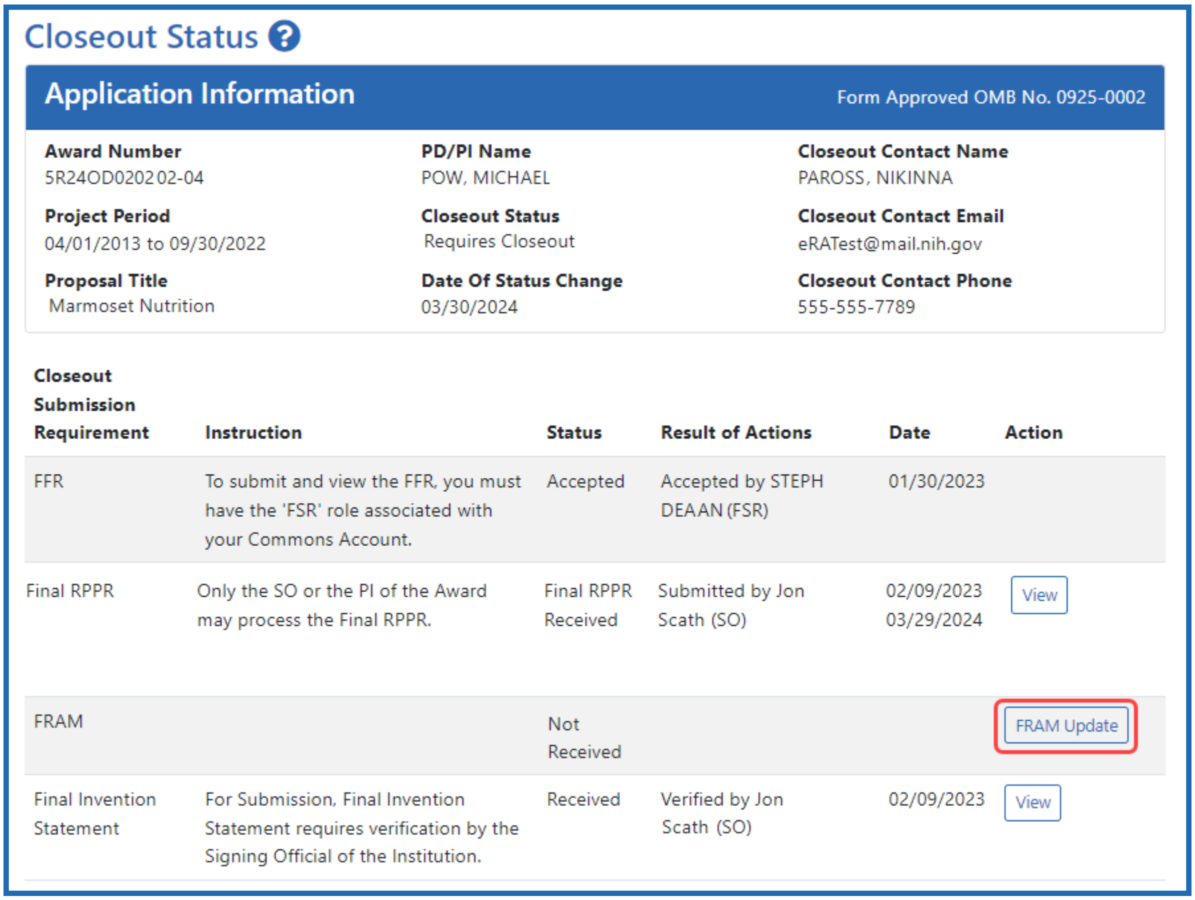
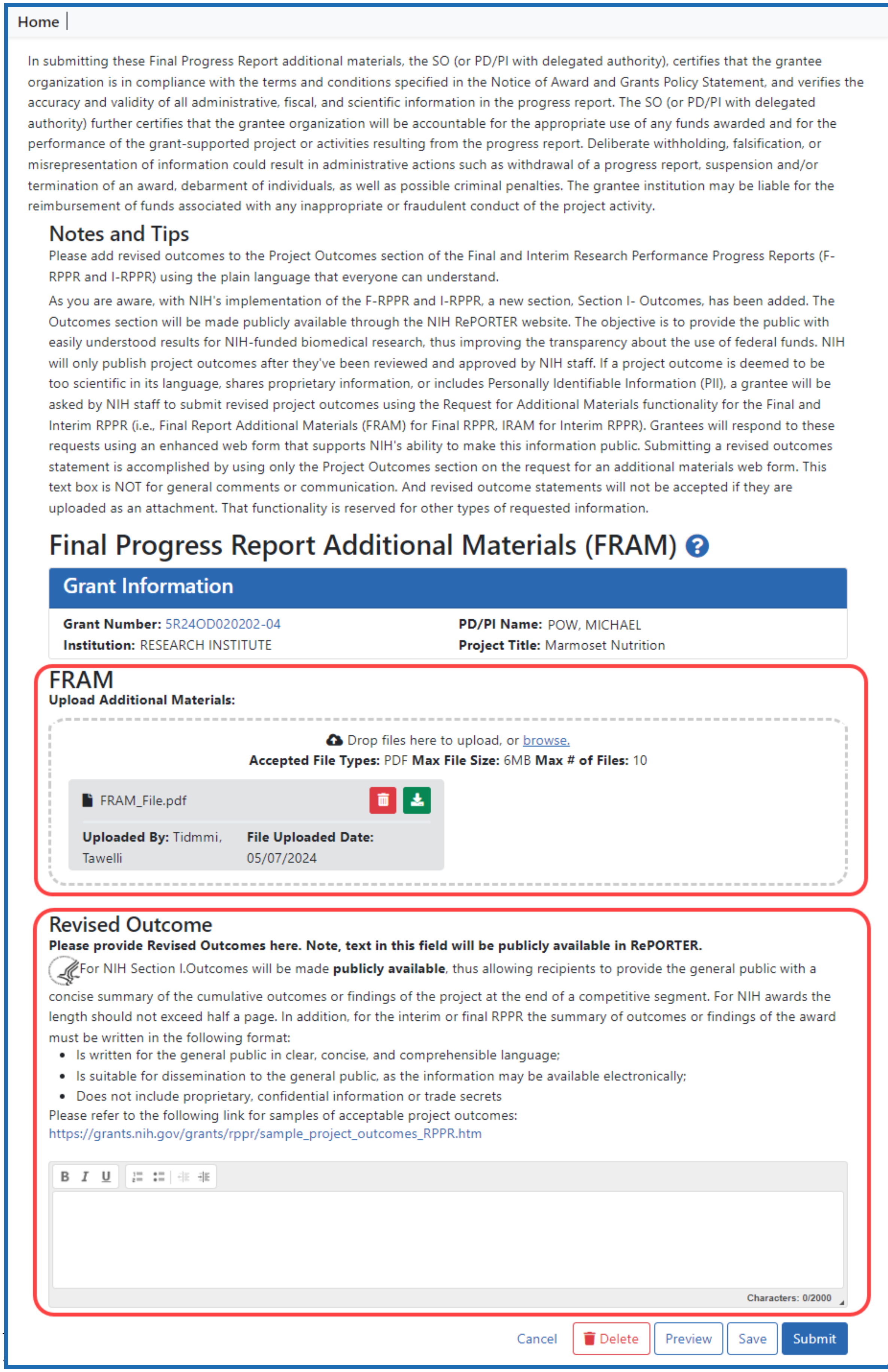


Figure 314: A sample Closeout Status screen showing the FRAM task and FRAM Update button. Depending on the awarding agency, different tasks might appear than those shown.

3. Click the **FRAM Update** link.

The *Final Progress Report Additional Materials (FRAM)* screen appears. The top of the page contains certification language that should be read prior to submitting materials. It also contains *Notes and Tips* with policy guidance of what should be submitted using this screen.

Agency-Specific Instructions: In eRA Commons, please read language on the following screen carefully; language differs depending on the awarding agency's policies. The following sample shows language for NIH awards. If your award is funded by a different agency, the policy language may differ from what you see here.



Home |

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.

Notes and Tips

Please add revised outcomes to the Project Outcomes section of the Final and Interim Research Performance Progress Reports (F-RPPR and I-RPPR) using the plain language that everyone can understand.

As you are aware, with NIH's implementation of the F-RPPR and I-RPPR, a new section, Section I- Outcomes, has been added. The Outcomes section will be made publicly available through the NIH RePORTER website. The objective is to provide the public with easily understood results for NIH-funded biomedical research, thus improving the transparency about the use of federal funds. NIH will only publish project outcomes after they've been reviewed and approved by NIH staff. If a project outcome is deemed to be too scientific in its language, shares proprietary information, or includes Personally Identifiable Information (PII), a grantee will be asked by NIH staff to submit revised project outcomes using the Request for Additional Materials functionality for the Final and Interim RPPR (i.e., Final Report Additional Materials (FRAM) for Final RPPR, IRAM for Interim RPPR). Grantees will respond to these requests using an enhanced web form that supports NIH's ability to make this information public. Submitting a revised outcomes statement is accomplished by using only the Project Outcomes section on the request for an additional materials web form. This text box is NOT for general comments or communication. And revised outcome statements will not be accepted if they are uploaded as an attachment. That functionality is reserved for other types of requested information.

Final Progress Report Additional Materials (FRAM)

Grant Information

Grant Number: 5R24OD020202-04 **PD/PI Name:** POW, MICHAEL
Institution: RESEARCH INSTITUTE **Project Title:** Marmoset Nutrition

FRAM

Upload Additional Materials:

Drop files here to upload, or browse.
Accepted File Types: PDF **Max File Size:** 6MB **Max # of Files:** 10

FRAM_File.pdf
Uploaded By: Tidmmi, Tawelli **File Uploaded Date:** 05/07/2024

Revised Outcome

Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.

For NIH Section I.Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

B I U

Characters: 0/2000

Cancel Delete Preview Save Submit

Figure 315: The FRAM screen contains two distinct sections where material can be submitted, a section for uploading files, and a section for providing a revised outcome

There are two distinct sections to the FRAM screen: the *FRAM Upload Additional Materials* section, and the *Revised Outcome* section. Use the *FRAM Upload Additional Materials* section to upload one or more files, if files have been requested by the PO. Use the *Revised Outcome* section to type or paste revised text for the RPPR section titled "I. Outcomes". Policy guidance appears under this section to describe what type of description is needed, and it contains a link you can click to see samples of acceptable project outcomes.

To upload one or more files in the *FRAM Upload Additional Materials* section:

1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon and the browser will open or download the file.
   - Click the **Delete** icon to remove the file.
2. If you change your mind about this FRAM submission, and you want to discard it, click the **Delete** button at the bottom of the screen. This does not delete prior submissions.

To provide a Revised Outcome:

> **Agency-Specific Instructions:** SAMHSA. The *Revised Project Outcome* section is not applicable for awards funded by SAMHSA.

See NIH notices **NOT-OD-17-022** and **NOT-OD-17-037** for additional policy guidance on revised outcomes.

1. Read the policy guidance in the *Revised Outcome* section prior to submitting a revised outcome.

2. Type or paste the revised outcome description into the text box provided. Tool icons at the top of the text box provide basic editing tools, such as bold, italic, bullets, numbering, and indenting.

To see what the FRAM submission includes:

1. First click the **Save** button at bottom of the screen.

2. Click the **Preview** button at the bottom of the screen.

   A PDF is downloaded by the browser.

3. Use the browser or another file to open the PDF, which contains a summary of files uploaded, person who uploaded, any revised outcome that was saved, and the contents of any files that were uploaded.

To save the FRAM submission package but not submit it:

Click the **Save** button.

To submit the FRAM package to the awarding agency for their review:

1. First read the certification language that appears at the top of the screen. This is what the submitter is agreeing to upon submission of the materials to the awarding agency. Only SOs or those with delegated authority to submit reports can see the **Submit** button.

2. To finalize this FRAM submission package and submit it for agency review, click the **Submit** button (SO only).

After you submit the FRAM, a **View** action appears on *Closeout Status*, which you can click to view a PDF document containing all documents and submission details for the FRAM request. You can also view the FRAM submission on the *Status Information* screen under **Other Relevant Documents**. The **FRAM Update** action remains until acceptance of the Final RPPR, enabling you to upload more files; however, you cannot make changes to files already submitted.

Additionally, an 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.

NOTE: The PO may rescind the approval of the Final RPPR or Final Progress Report (FPR) submission at any time. If this occurs, the **FRAM Update** action appears for submitting FRAM.

Closeout—Tangible Personal Property Report (TPPR)

For awards granted by the Substance Abuse and Mental Health Services Administration (SAMHSA), you are required to submit a Tangible Personal Property Report (TPPR) as part of the Closeout process. The purpose of the TPPR is to ensure any real or tangible personal property is accounted for. The TPPR report should be prepared according instructions provided by the awarding agency. This topic discusses the steps for uploading, viewing, and submitting a TPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

For general SAMHSA closeout information, see Grant Closeout. (https://www.samhsa.gov/grants/grants-management/grant-closeout)

For instructions on FPR and TPPR for SAMHSA awards, see the PDF titled Grantee Closeout: FPR and TPPR. (https://www.samhsa.gov/sites/default/files/grantee-reference-closeout-submitting-tppr-and-fpr.pdf)

Initiating Tangible Personal Property Report (TPPR)

Either the PI or SO can initiate the Tangible Personal Property Report.

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Initiate Tangible Personal Property Report** button in Closeout Status.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

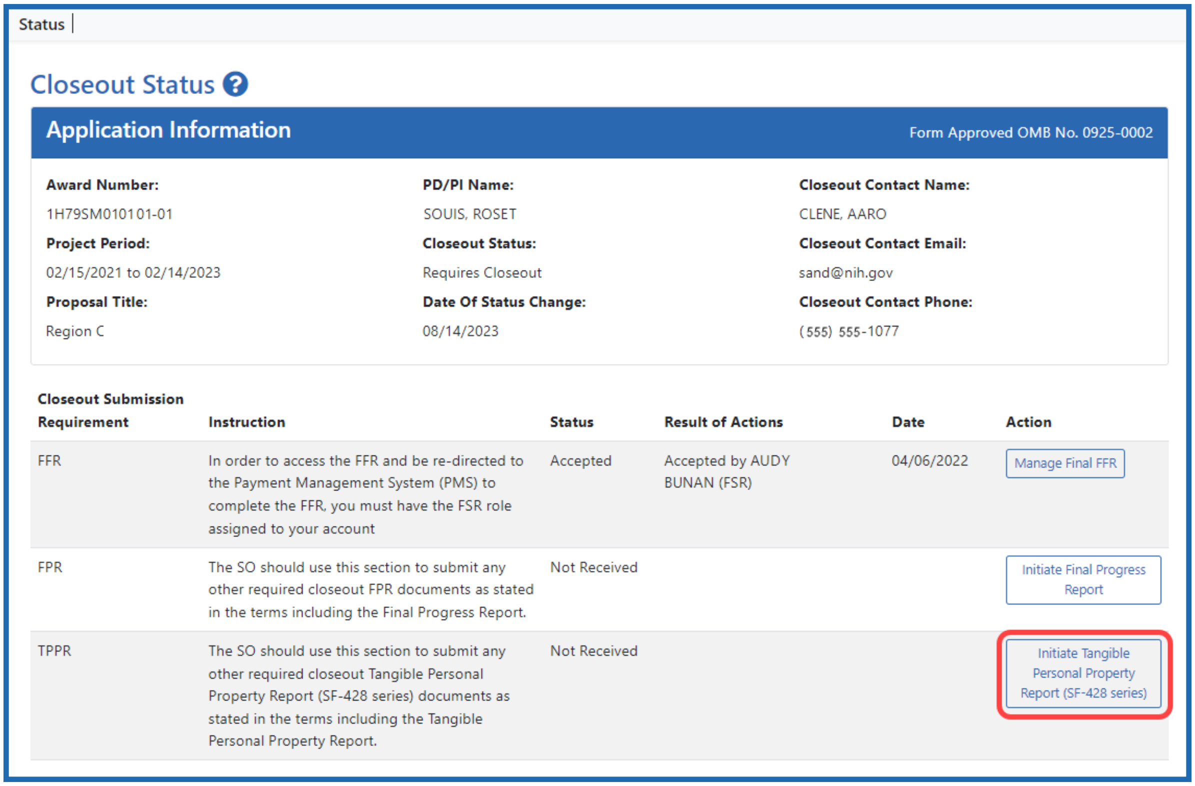


Figure 316: Closeout Status screen showing Initiate Tangible Personal Property Report action, outlined

The *Tangible Personal Property Report* screen appears, shown below:

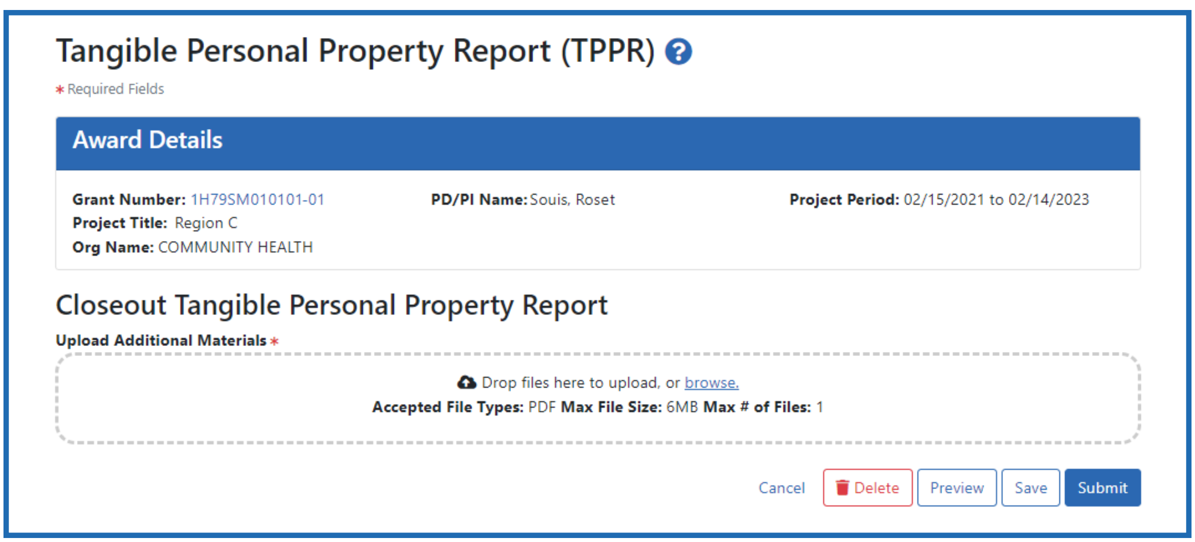


Figure 317: Tangible Personal Property Report screen, as seen by an SO

3. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon and the browser will open or download the file.
   - Click the **Delete** icon to remove the file.
4. If you change your mind about this TPPR submission, and you want to discard it completely, click the **Delete** button at the bottom of the screen. Preview shows the entire submission, which consists of a pdf with application Information, data about who uploaded the file and when, followed by the uploaded file's contents.
5. To save the file with this TPPR but not submit to the agency, click the **Save** button.
6. To finalize this TPPR and submit it for agency review, click the **Submit** button (SO only).

TPPR Buttons Available After Initiating TPPR

Various buttons appear after a TPPR is initiated:

- After a TPPR is saved but not submitted, an **Edit** button appears on the Closeout Status screen. Clicking Edit lets you discard the uploaded file and upload a new one.
- After the TPPR is submitted, but not yet accepted by the agency, the **Initiate Tangible Personal Property** button remains available on Closeout Status. As long as the TPPR is not yet accepted, you can continue to upload and submit the TPPR as many times as needed. Each submission replaces the prior submission.
- After the TPPR is submitted, a **View Prior Submission** button becomes available on Closeout Status. Click it to see the entire submission, which consists of a pdf with application Information, data about who uploaded the file and when, followed by the uploaded file's contents.

Closeout for VA Awards

Veterans Administration (VA) awards have the following type of actions/reports due in closeout:

- Federal Financial Report (FFR)
- Final Research Performance Progress Report (RPPR). A final report for research awards.
- Final Invention Statement
- Final Progress Report Additional Materials (FRAM). This is only required if the agency asks for updates to the submitted progress report.

NOTE: Navigate to topics for each task above by using the Table of Contents at left.

Closeout—Federal Financial Report (FFR)

The Federal Financial Report (FFR) is required for closeout. The FFR report should be prepared according instructions provided by the awarding agency. Commons users with the FSR role can see the **Manage Final FFR** action on the Closeout Status screen.

Click the **Manage Final FFR** action to be redirected to the FFR module, from which you can complete the FFR. If you see a **View** action for the FFR requirement, the FFR has already been submitted and you can use the **View** action to see the submitted data.

For awards funded by the Department of Health and Human Services (DHHS), the FFR can be initiated from eRA Commons FFR module or from the *Closeout Status* screen, but users are then redirected to the federal Payment Management System (PMS) to fill out and submit the report. See *Federal Financial Report (FFR) Long Form (Non-DOC Awards)* on page 221. Users need appropriate access to the Payment Management System; see the PMS Help Desk page if you have trouble accessing PMS.

Agency-Specific Instructions: For awards funded by Department of Commerce (DOC), users initiate and fill out the FFR form within eRA Commons. See *Federal Financial Report (FFR) Module (DOC)*.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

Closeout—Final Research Performance Progress Report for NON-NIH Awards

Consult with the awarding agency for policy guidance on Final Research Performance Progress Reports (RPPRs).

- The F. Changes form is not applicable for Final RPPRs.

  The H. Budget form is not applicable for Final RPPRs.

- The I. Outcomes form is applicable only for Final RPPRs.

Submit Your Final RPPR

1. Log into eRA Commons as the contact PD/PI for an award and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. Click the **Process Final RPPR** button in Closeout Status.

   Below is a sample Closeout Status screen showing a sample award number and tasks. Depending on the awarding agency, different tasks might appear than those shown.

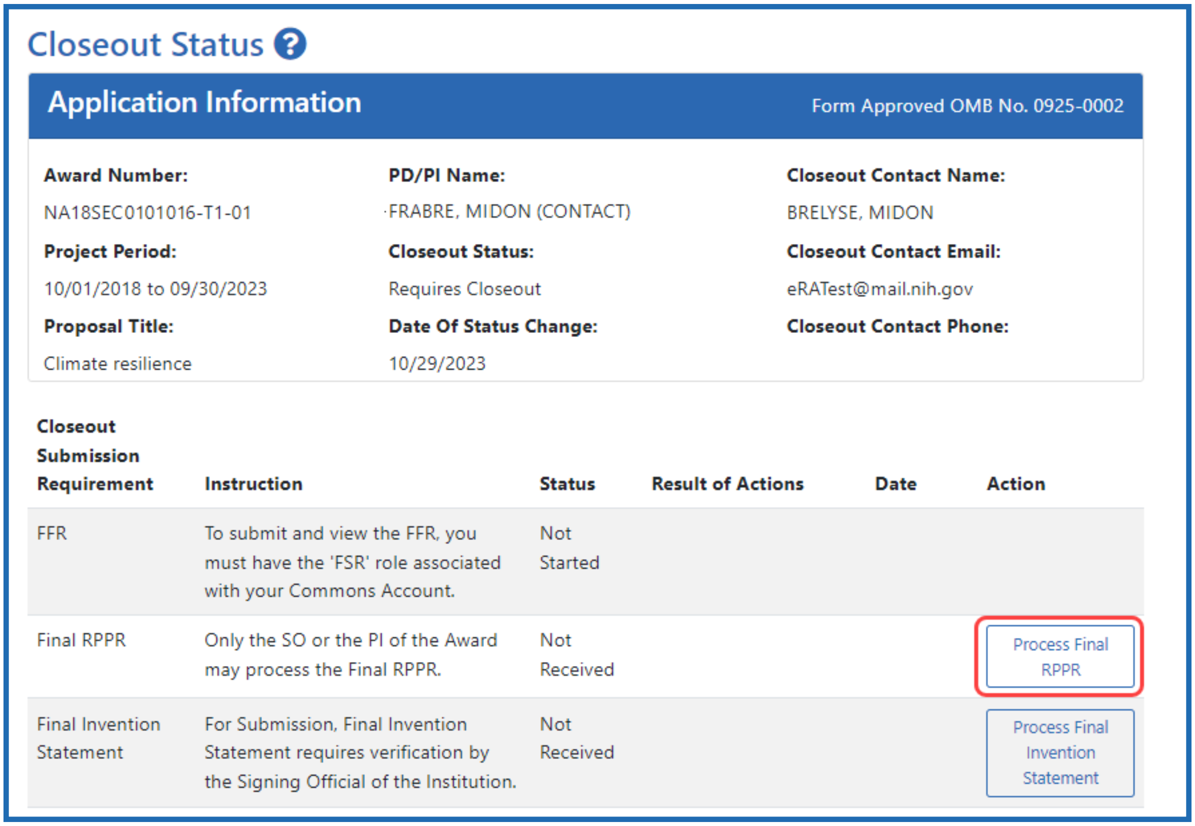


Figure 318: Closeout Status sceen showing the Process Final RPPR button, outlined

The *RPPR Menu* screen appears.

If the Final RPPR has already been initiated, then no **Initiate** button appears and you should skip the next step.

3. If an **Initiate** button appears on this screen, click the **Initiate** button to start the Final RPPR.

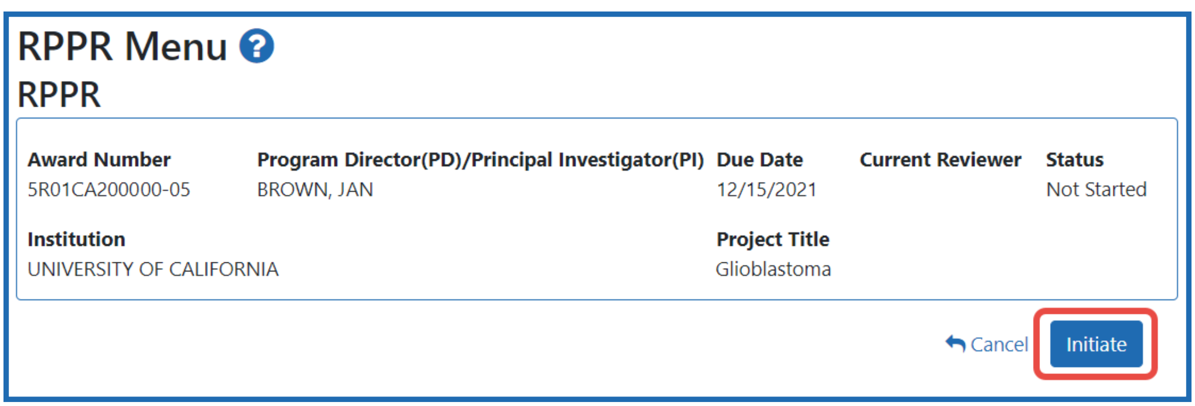


Figure 319: RPPR Menu screen, showing the Initiate button outlined

NOTE: Only the PI can initiate the RPPR, and only the SO can submit it.

After the Final RPPR has been initiated, you see a three-dot ellipsis icon next to the Award Number, where you can access RPPR actions.

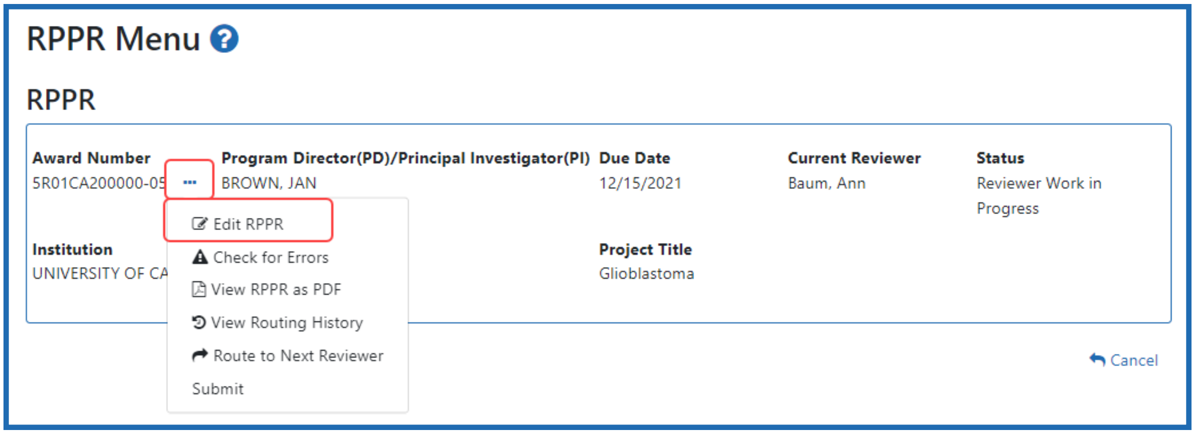


Figure 320: RPPR Menu screen after RPPR has been initiated, showing the three-dot ellipsis menu with the Edit RPPR action

4. Select **Edit RPPR** from the three-dot ellipsis menu, fill out the RPPR, and Submit it (only SOs can submit). For more details on filling out the RPPR, see *Editing the RPPR Forms* on page 329.

Closeout—Final Invention Statement

Either a program directory/principal investigator (PD/PI) or a signing official (SO) can edit a final invention statement, but only an SO can submit it to the agency. Use this procedure to complete a Final Invention Statement that lists inventions that were conceived as part of the research grant.

Reporting Inventions on the Final Invention Statement on page 698

Reporting No Inventions on the Final Invention Statement on page 702

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

NIH and AHRQ Final Invention Statement Policy Guidance

Agency-Specific Instructions: NIH and AHRQ only. The following policy guidance applies to NIH and AHRQ-funded awards only.

You must submit a Final Invention Statement (FIS) within 120 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: For policy information on awards funded by the Department of Health and Human Services, refer to the Procedure for Submission of Final Invention Statement and Certification.

If your award is funded by a non-NIH or non-AHRQ source, check with your awarding agency for policy guidance on final invention statements.

Reporting Inventions on the Final Invention Statement

To complete a final invention statement when inventions need to be reported:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

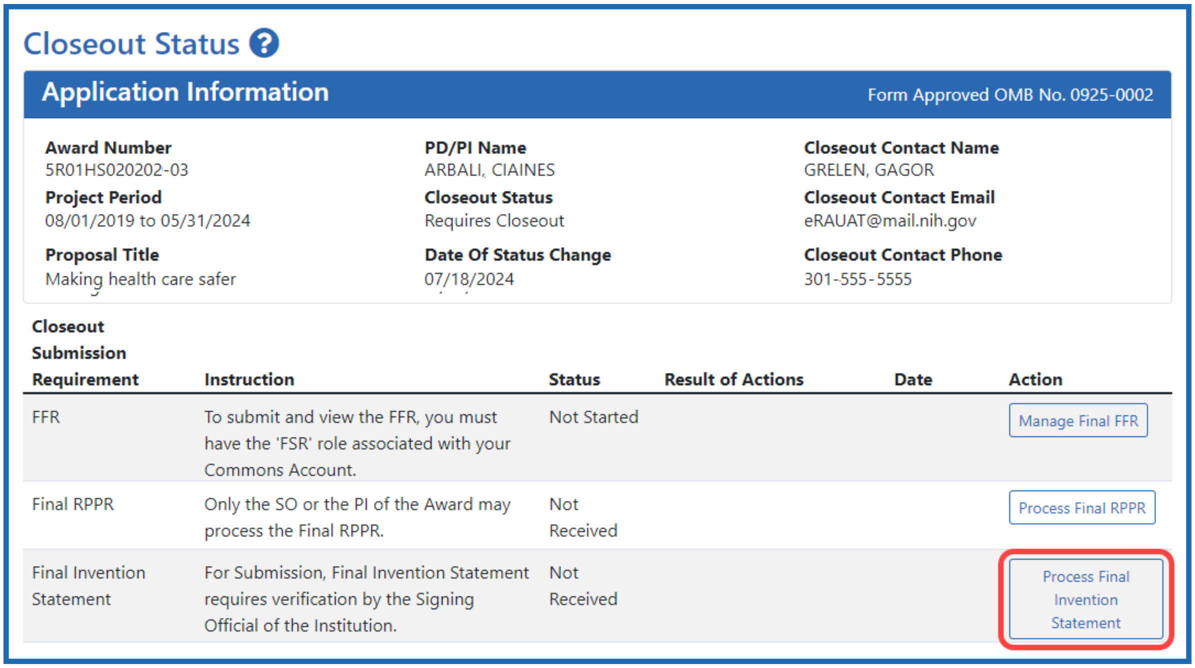


Figure 321: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status*.

   The *Process Final Invention Statement* screen displays.

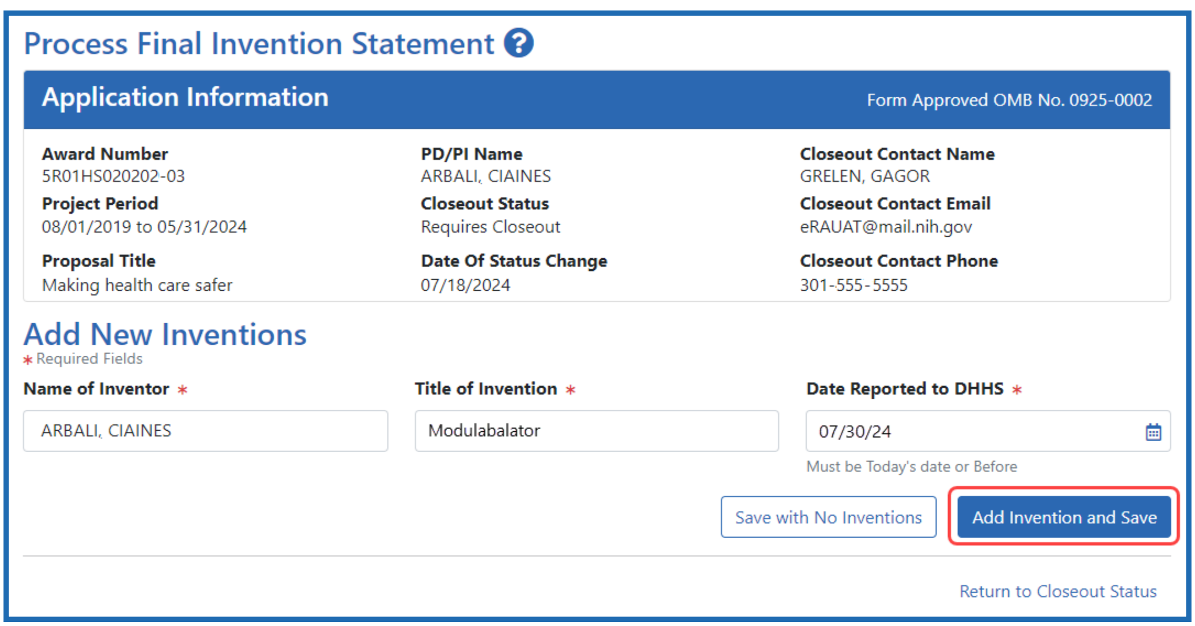


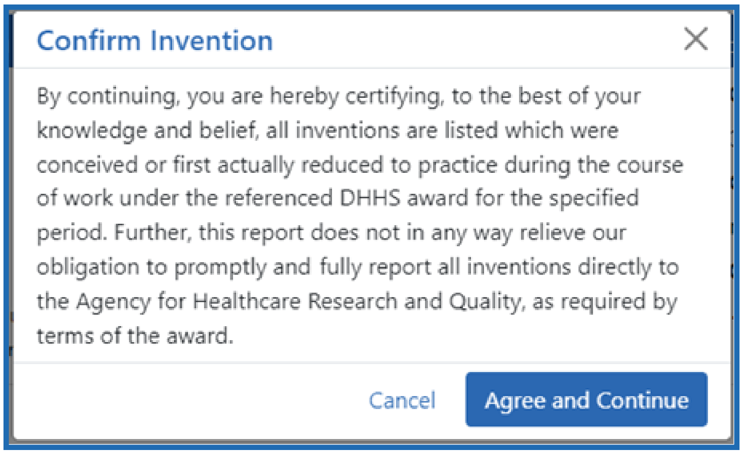
Figure 322: Process Final Invention Statement screen with no inventions yet added

3. To add an invention:

   a. Type the **Name of Inventor**, **Title of Invention**, and the **Date Reported to DHSS** (the date you want to officially report it to the Department of Health and Human Services).

   b. Click the **Add Invention and Save** button.

   The *Confirm Invention* popup appears with customized language depending on whether the award is funded by AHRQ or NIH.



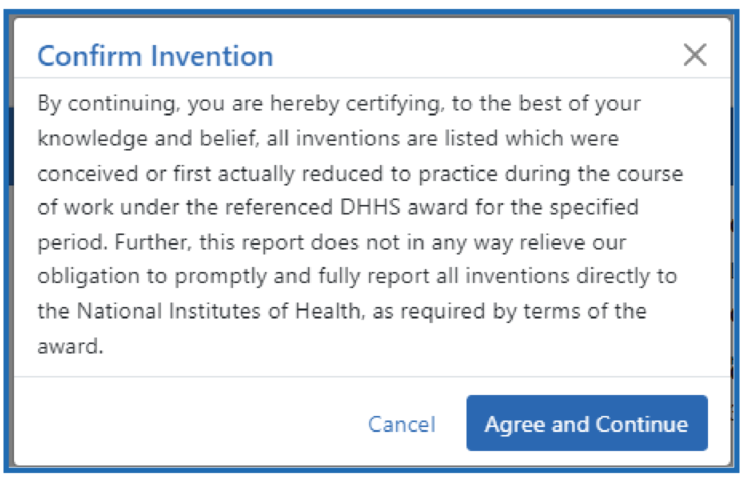


Figure 323: Confirm Invention popup screen attesting that all inventions are listed

   c. Click **Agree and Continue** in the popup even if you have more inventions to add.

The invention is now listed under *Added Inventions* at the bottom of the screen. As long as the final invention statement has not yet been submitted, either a PI or SO who views this screen can click an item's **Delete Invention and Save** link in the Action column to remove it.

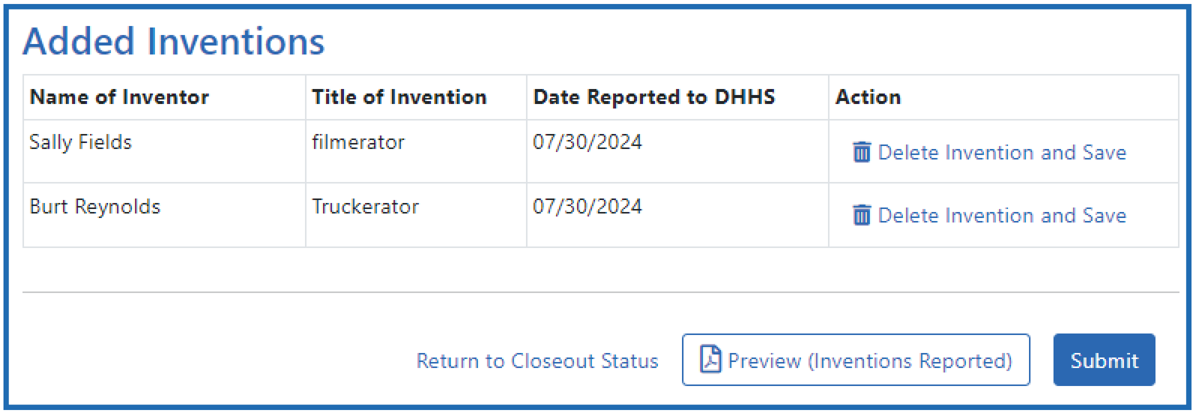


Figure 324: Added Inventions section of Process Final Invention Statement screen, showing a list of inventions

4. To add additional inventions, repeat the previous step as many times as necessary. Any inventions you define are saved immediately.

NOTE: Click the **Preview (Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

5. When all the inventions are listed at the bottom of the screen, click the **Submit** button to submit the invention statement to the awarding agency. (Only the SO can submit—the PI does not see a **Submit** button.)

   The *Confirm Invention* popup appears again.

6. Click **Agree and Continue** again to complete submission.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Reporting No Inventions on the Final Invention Statement

To complete a final invention statement certifying that no inventions exist:

1. Log in to eRA Commons as an SO or a PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.

   The Closeout Status screen appears.

   Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.

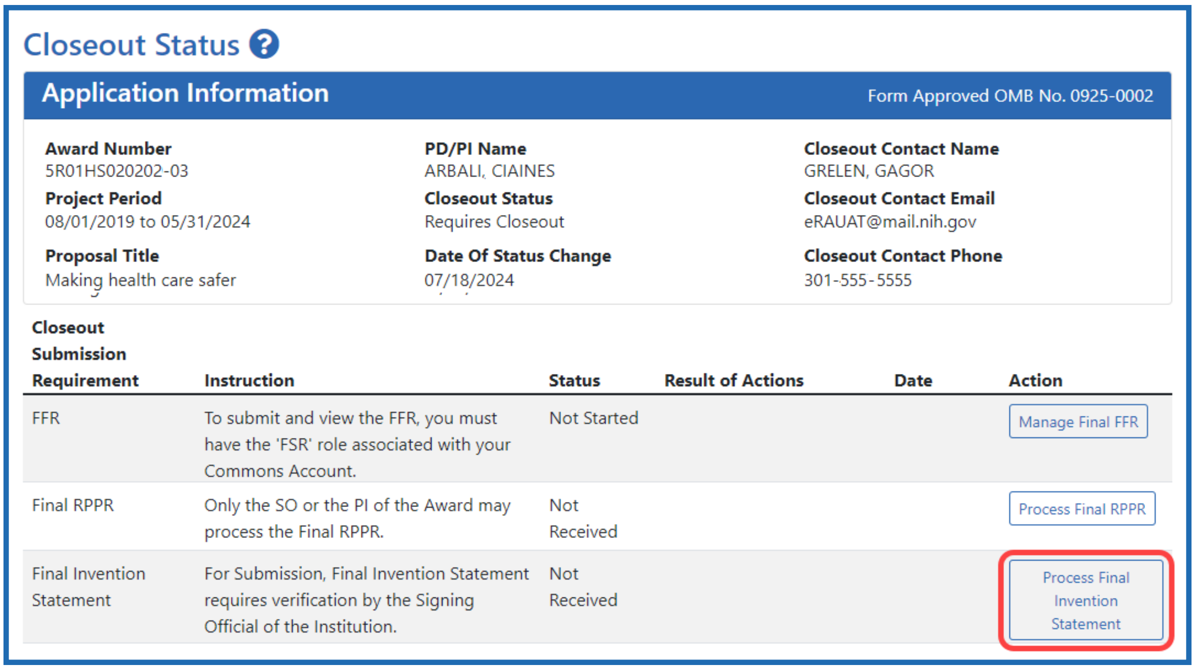
   

   Figure 325: Closeout Status screen example showing the Process Final Invention Statement button

2. Click the **Process Final Invention Statement** button on *Closeout Status* screen.

   The *Process Final Invention Statement* screen displays.

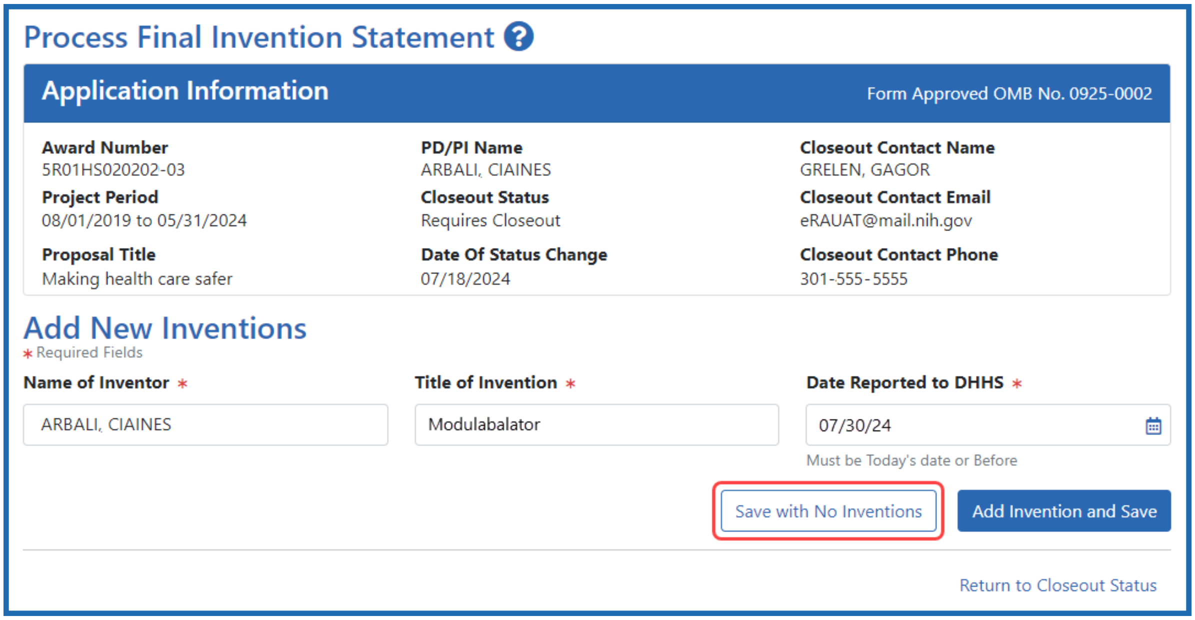


Figure 326: Process Final Invention Statement screen with Save with No Inventions button outlined

3. Click the **Save with No Inventions** button.

   A success message appears on the top right side of the eRA screen heading. You will also notice that the Preview button is now named **Preview (No Inventions Reported)**.

Figure 327: Success message in eRA Commons banner noting the FIS (final invention statement) was created with no inventions reported

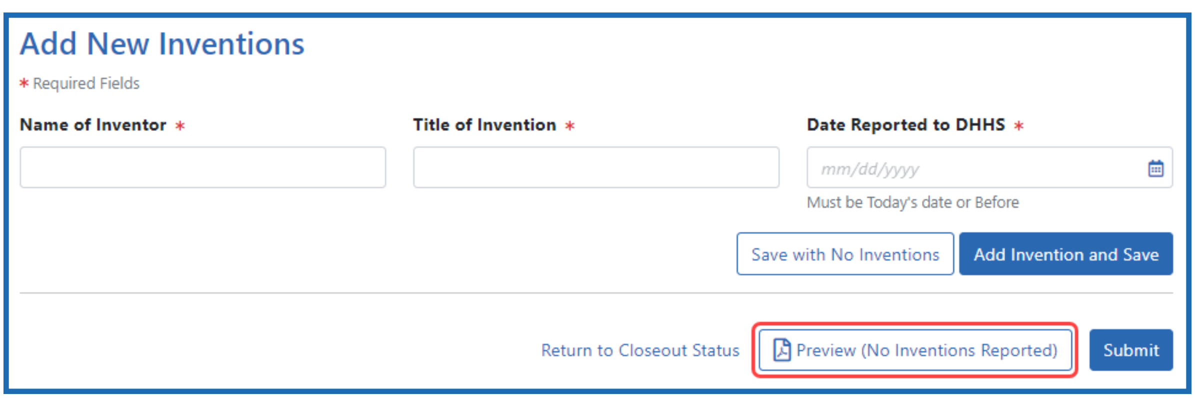


Figure 328: Final Inventions Statement with no inventions, showing the name of Preview button changed to "Preview (No Inventions Reported)

NOTE: Click the **Preview (No Inventions Reported)** button to download a PDF copy of the final invention statement form filled out with the entered information and grant information.

4. Once you confirm that the Preview button is now renamed to indicate "**No Inventions Reported**", click the **Submit** button to submit a statement indicating no inventions are being reported. (Only the SO sees a **Submit** button and has the ability to submit.)

   A certification popup appears.

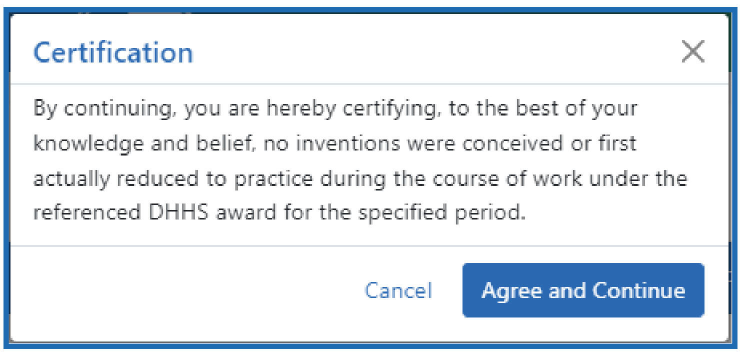


Figure 329: Certification popup for that appears when submitting a final invention statement indicating no inventions

5. Click **Agree and Continue** in the *Certification* popup.

You are returned to the *Closeout Status* screen and the Final Invention Statement task now indicates the Status of Submitted and shows submission details.

After final invention statement submission, the PDF form that was submitted is available on the *Closeout Status* screen by clicking the **View** button next to the Final Invention Statement task.

Closeout—Final Progress Report Additional Materials (FRAM)

The *Final Progress Report Additional Materials* (FRAM) link provides a means for recipients to enter, review, route, and submit information in response to specific request(s) by

the program official (PO) for additional information related to the Final RPPR.

NOTE: Only a signing official (SO) or a user with delegated report submit authority can submit the reports or other data; the program director/principal investigator (PD/PI) can upload, preview, delete and save the closeout report submission package, but cannot complete the final step to submit.

While reviewing a submitted Final RPPR, the PO might determine that additional materials related to the submitted report are required. In this case, the PO submits a request for this information referred to as a FRAM request. When a FRAM request is made, the PD/PI is notified via email with a description of the requested material and a FRAM task appears on the *Closeout Status* screen.

Agency-Specific Instructions: SAMHSA: For awards funded by NIH, FDA, AHRQ, and VA, a FRAM request is also used to ask for a *Revised Project Outcome* from the awardee. SAMHSA awards do not use FRAM to ask for *Revised Project Outcome*, although the *Revised Project Outcome* section appears on SAMHSA FRAM screen. SAMHSA awardees should ignore all references to *Revised Project Outcomes* in the following topic, as that section of the FRAM screen is not applicable to SAMHSA.

TIP: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials (FRAM) Request** link located in **Other Relevant Documents** section of *Status Information* shows the original request.

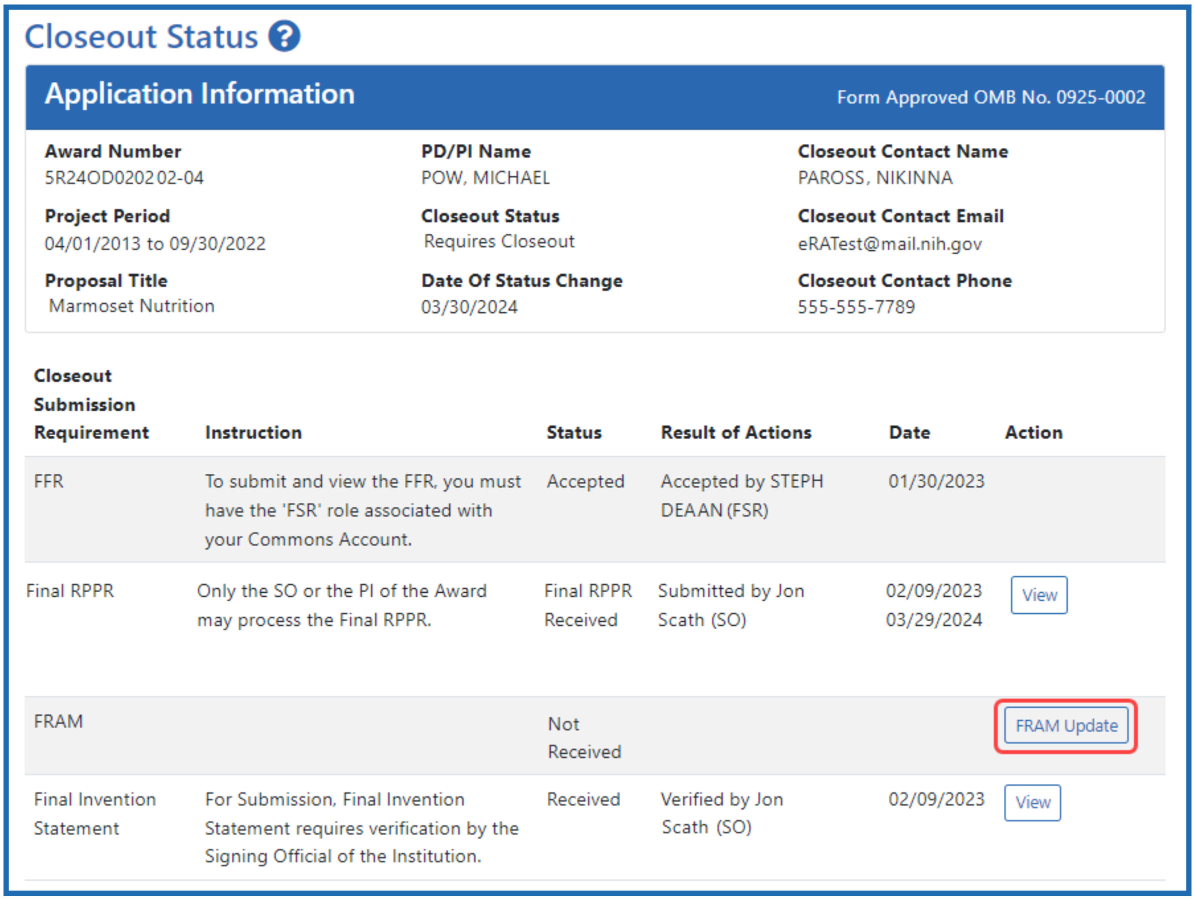
Initiating Final Progress Report Additional Materials or Revised Project Outcomes (FRAM)

Either the PD/PI or SO can initiate the FRAM and attach a file or type/paste a Revised Project Outcomes, but only an SO can submit.

1. Log into eRA Commons as an SO or a PD/PI and access the *Closeout Status* screen. To access the *Closeout Status* screen, see *Accessing the Closeout Screen (SO and PI)* on page 584.
2. If a PO has requested additional material related to the Final RPPR, the Closeout

Submission Requirement column on Closeout Status screen lists "FRAM" as a task and the **FRAM Update** button appears in the Action column.

Below is a sample Closeout Status screen showing the task. Depending on the awarding agency, different tasks might appear than those shown.



Closeout Status

Application Information — Form Approved OMB No. 0925-0002

Award Number 5R24OD020202-04	**PD/PI Name** POW, MICHAEL	**Closeout Contact Name** PAROSS, NIKINNA
Project Period 04/01/2013 to 09/30/2022	**Closeout Status** Requires Closeout	**Closeout Contact Email** eRATest@mail.nih.gov
Proposal Title Marmoset Nutrition	**Date Of Status Change** 03/30/2024	**Closeout Contact Phone** 555-555-7789

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	To submit and view the FFR, you must have the 'FSR' role associated with your Commons Account.	Accepted	Accepted by STEPH DEAAN (FSR)	01/30/2023	
Final RPPR	Only the SO or the PI of the Award may process the Final RPPR.	Final RPPR Received	Submitted by Jon Scath (SO)	02/09/2023 03/29/2024	View
FRAM		Not Received			FRAM Update
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Received	Verified by Jon Scath (SO)	02/09/2023	View

Figure 330: A sample Closeout Status screen showing the FRAM task and FRAM Update button. Depending on the awarding agency, different tasks might appear than those shown.

3. Click the **FRAM Update** link.

The *Final Progress Report Additional Materials (FRAM)* screen appears. The top of the page contains certification language that should be read prior to submitting materials. It also contains *Notes and Tips* with policy guidance of what should be submitted using this screen.

Agency-Specific Instructions: In eRA Commons, please read language on the following screen carefully; language differs depending on the awarding agency's policies. The following sample shows language for NIH awards. If your award is funded by a different agency, the policy language may differ from what you see here.

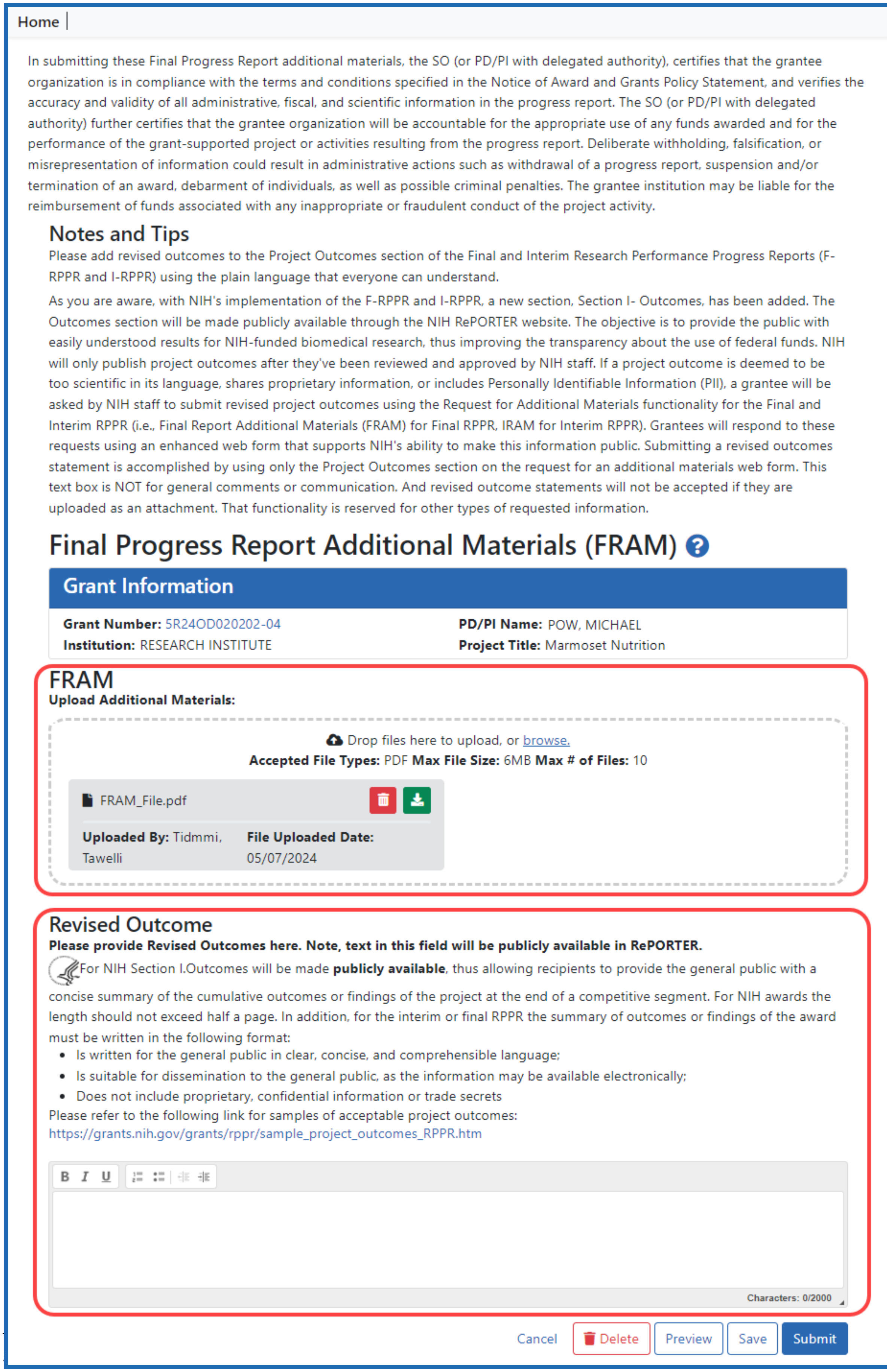

Home
In submitting these Final Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity 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.
Notes and Tips
Please add revised outcomes to the Project Outcomes section of the Final and Interim Research Performance Progress Reports (F-RPPR and I-RPPR) using the plain language that everyone can understand.
As you are aware, with NIH's implementation of the F-RPPR and I-RPPR, a new section, Section I- Outcomes, has been added. The Outcomes section will be made publicly available through the NIH RePORTER website. The objective is to provide the public with easily understood results for NIH-funded biomedical research, thus improving the transparency about the use of federal funds. NIH will only publish project outcomes after they've been reviewed and approved by NIH staff. If a project outcome is deemed to be too scientific in its language, shares proprietary information, or includes Personally Identifiable Information (PII), a grantee will be asked by NIH staff to submit revised project outcomes using the Request for Additional Materials functionality for the Final and Interim RPPR (i.e., Final Report Additional Materials (FRAM) for Final RPPR, IRAM for Interim RPPR). Grantees will respond to these requests using an enhanced web form that supports NIH's ability to make this information public. Submitting a revised outcomes statement is accomplished by using only the Project Outcomes section on the request for an additional materials web form. This text box is NOT for general comments or communication. And revised outcome statements will not be accepted if they are uploaded as an attachment. That functionality is reserved for other types of requested information.
Final Progress Report Additional Materials (FRAM)
Grant Information
Grant Number: 5R24OD020202-04
PD/PI Name: POW, MICHAEL
Institution: RESEARCH INSTITUTE
Project Title: Marmoset Nutrition
FRAM
Upload Additional Materials:
Drop files here to upload, or browse.
Accepted File Types: PDF Max File Size: 6MB Max # of Files: 10
FRAM_File.pdf
Uploaded By: Tidmmi, Tawelli
File Uploaded Date: 05/07/2024
Revised Outcome
Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.
For NIH Section I.Outcomes will be made publicly available, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:
Is written for the general public in clear, concise, and comprehensible language;
Is suitable for dissemination to the general public, as the information may be available electronically;
Does not include proprietary, confidential information or trade secrets
Please refer to the following link for samples of acceptable project outcomes:
https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm
Characters: 0/2000
Cancel
Delete
Preview
Save
Submit

Figure 331: The FRAM screen contains two distinct sections where material can be submitted, a section for uploading files, and a section for providing a revised outcome

There are two distinct sections to the FRAM screen: the *FRAM Upload Additional Materials* section, and the *Revised Outcome* section. Use the *FRAM Upload Additional Materials* section to upload one or more files, if files have been requested by the PO. Use the *Revised Outcome* section to type or paste revised text for the RPPR section titled "I. Outcomes". Policy guidance appears under this section to describe what type of description is needed, and it contains a link you can click to see samples of acceptable project outcomes.

To upload one or more files in the *FRAM Upload Additional Materials* section:

1. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon and the browser will open or download the file.
   - Click the **Delete** icon to remove the file.
2. If you change your mind about this FRAM submission, and you want to discard it, click the **Delete** button at the bottom of the screen. This does not delete prior submissions.

To provide a Revised Outcome:

> **Agency-Specific Instructions:** SAMHSA. The *Revised Project Outcome* section is not applicable for awards funded by SAMHSA.

See NIH notices **NOT-OD-17-022** and **NOT-OD-17-037** for additional policy guidance on revised outcomes.

1. Read the policy guidance in the *Revised Outcome* section prior to submitting a revised outcome.

2. Type or paste the revised outcome description into the text box provided. Tool icons at the top of the text box provide basic editing tools, such as bold, italic, bullets, numbering, and indenting.

To see what the FRAM submission includes:

1. First click the **Save** button at bottom of the screen.

2. Click the **Preview** button at the bottom of the screen.

   A PDF is downloaded by the browser.

3. Use the browser or another file to open the PDF, which contains a summary of files uploaded, person who uploaded, any revised outcome that was saved, and the contents of any files that were uploaded.

To save the FRAM submission package but not submit it:

Click the **Save** button.

To submit the FRAM package to the awarding agency for their review:

1. First read the certification language that appears at the top of the screen. This is what the submitter is agreeing to upon submission of the materials to the awarding agency. Only SOs or those with delegated authority to submit reports can see the **Submit** button.

2. To finalize this FRAM submission package and submit it for agency review, click the **Submit** button (SO only).

After you submit the FRAM, a **View** action appears on *Closeout Status*, which you can click to view a PDF document containing all documents and submission details for the FRAM request. You can also view the FRAM submission on the *Status Information* screen under **Other Relevant Documents**. The **FRAM Update** action remains until acceptance of the Final RPPR, enabling you to upload more files; however, you cannot make changes to files already submitted.

Additionally, an 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.

NOTE: The PO may rescind the approval of the Final RPPR or Final Progress Report (FPR) submission at any time. If this occurs, the **FRAM Update** action appears for submitting FRAM.

xTRACT

E**x**tramural **T**rainee **R**eporting and **C**areer **T**racking (xTRACT) is a module within eRA Commons used by applicants, grantees, and assistants to create research training tables for inclusion in progress reports and institutional training grant applications.

Because xTRACT is integrated with Commons it is able to pre-populate some training data for training tables and reports by using xTrain appointment and related data. This includes trainee names, selected characteristics, institutions, grant numbers, and subsequent NIH and other HHS awards. xTRACT also allows the manual entry of data, for information not found in Commons or xTrain. This manually entered information is stored in xTRAIN and can be re-used when preparing subsequent training table submissions.

If you are a Signing Official (SO), Principal Investigator (PI), or assistant (ASST) in Commons, you have access to the xTRACT module.

IMPORTANT: xTRACT is a tool for creating training tables. Tables generated in xTRACT must be attached to and submitted with the appropriate progress report or application. There is no Submit feature in xTRACT.

For additional information on xTRACT, please refer to the resources below:

- Guide Note: NOT-OD-16-007 (https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html)
- xTRACT Online Help: https://www.era.nih.gov/erahelp/xtract

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://www.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 Degress

Administrative Supplement Request

The Administrative Supplements module in eRA Commons lets authorized staff at extramural grantee institutions initiate an electronic request for additional funds within the scope of the approved project. After initiating a request, you are redirected to the ASSIST module to complete the request.

You can also search for existing administrative supplements and open those supplements in ASSIST for editing.

To initiate an administrative supplement from eRA Commons, you must have a role such as principal investigator (PI), signing official (SO), or assistant (ASST) with Status delegation from the PI. In eRA Commons, navigate to the Admin Supp tab to start the process.

For help with ASSIST, see:

Using ASSIST for compete help on using ASSIST.

Initiate an Administrative Supplement Application for help on initiating an administrative supplement request in ASSIST.

Forms Data Entry for help on editing the forms of an administrative supplement request in ASSIST.

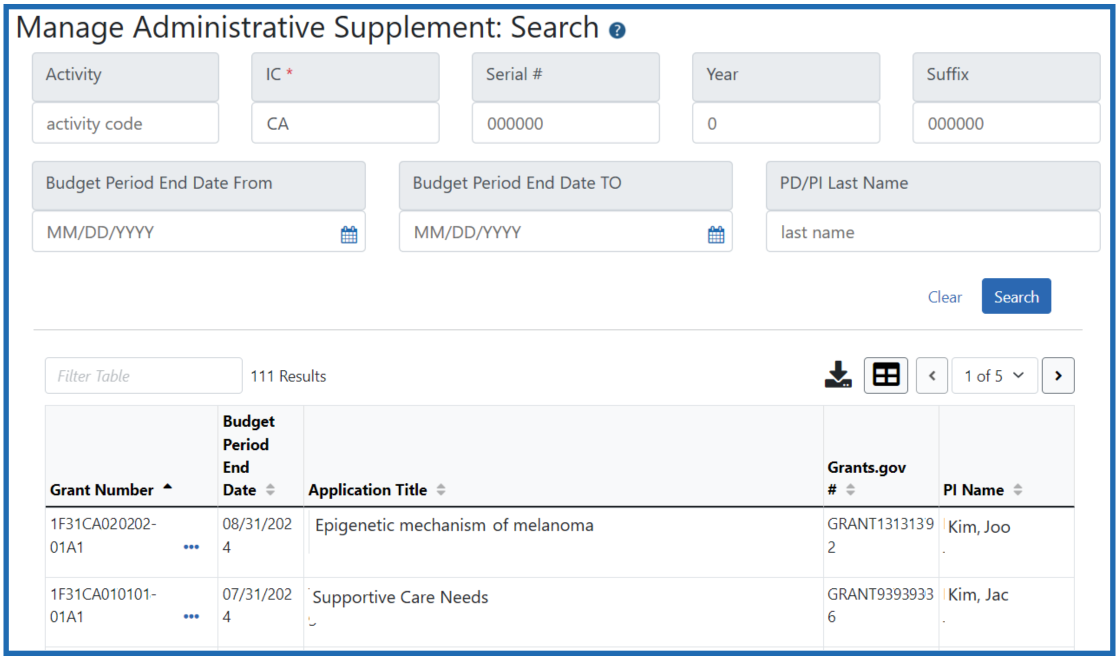
Manage Administrative Supplement

When you select the Admin Supp module from eRA navigation, the *Manage Administrative Supplement* screen appears. Use this screen for the following:

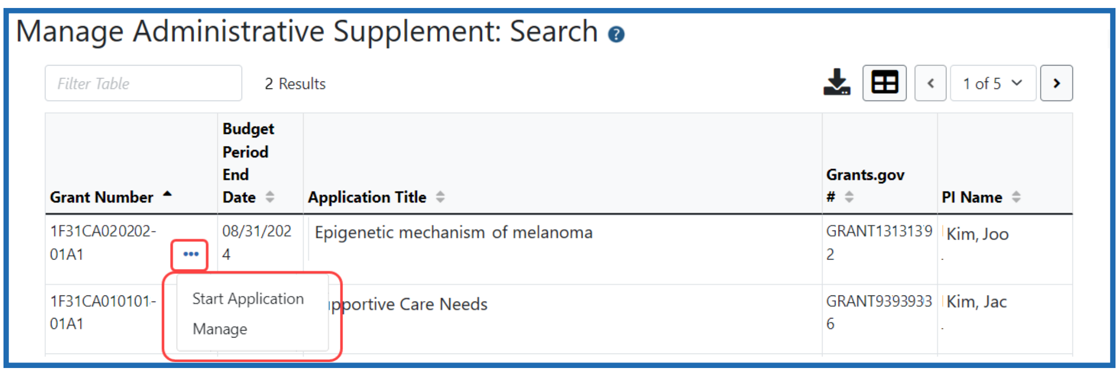
- Search for a grant that already has an administrative supplement if you want to edit the administrative supplement.
- Search for a grant for which you want to initiate a new administrative supplement.

The screen functions differently depending on your role:

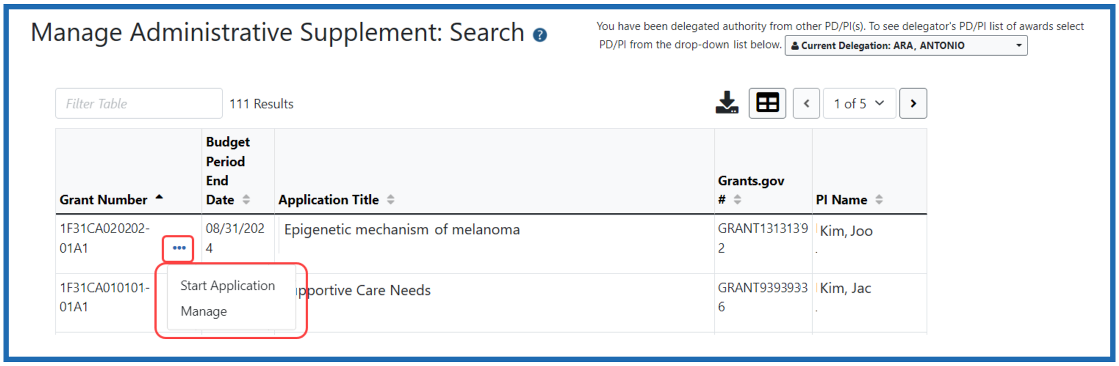
- If you hold the SO role, you are prompted to provide search criteria before any grants are displayed on the screen.



- If you hold the PI role, your grants automatically display if they are eligible for administrative supplements.



- If you are a PI delegate, a delegation dropdown menu appears, letting you select the PI whose grants you wish to display.



In the three-dot ellipsis menu of the row, the following options are available for each grant, depending on the status of the Administrative Supplement Request associated with the grant:

- **Start Application**. If you select the **Start Application** option for a grant, you are taken directly to the ASSIST module opened to the Initiate Administrative Supplement Application screen, with the **Parent Grant** field filled in with the grant number.
- **Manage**. If you select the **Manage** option for a grant, you are taken to the *Award Information* screen. If an administrative supplement already exists for this grant, you can select the **Edit** option from the three-dot ellipsis menu to edit it in ASSIST. If none exist, you can click the **Start Application** button to be taken directly to the ASSIST module opened to the *Initiate Administrative Supplement Application*, with the **Parent Grant** field filled in with the grant number.

NOTE: The option to initiate the application in eRA Commons exists even if responding to a Notice of Special Interest (NOSI) that indicates “the process for Streamlined Submissions using the eRA Commons cannot be used for this initiative.”

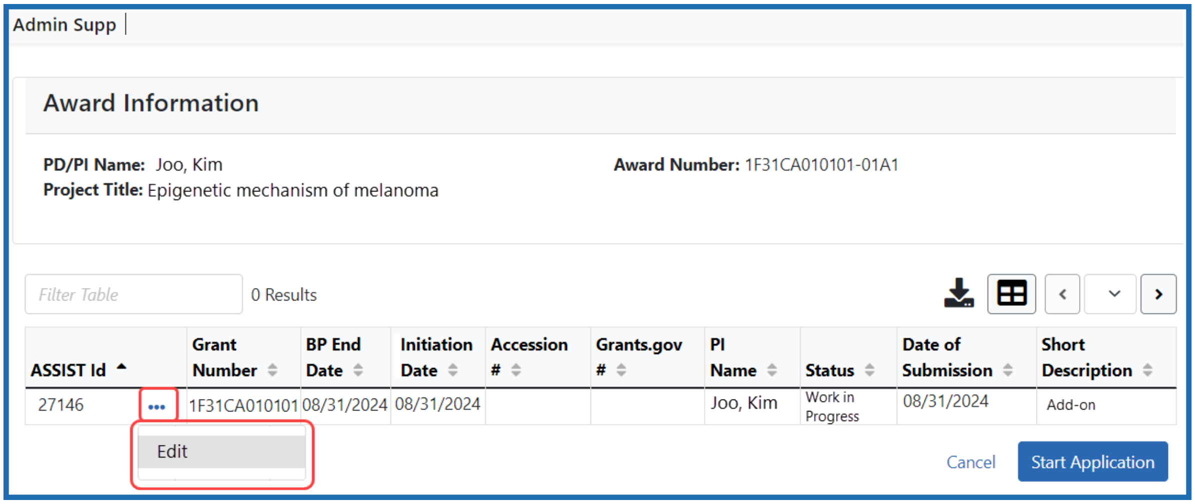
See Using ASSIST for compete help on using ASSIST.

See for Initiate an Administrative Supplement Application for help on initiating an administrative supplement request in ASSIST.

See Forms Data Entry for help on editing the forms of an administrative supplement request in ASSIST.

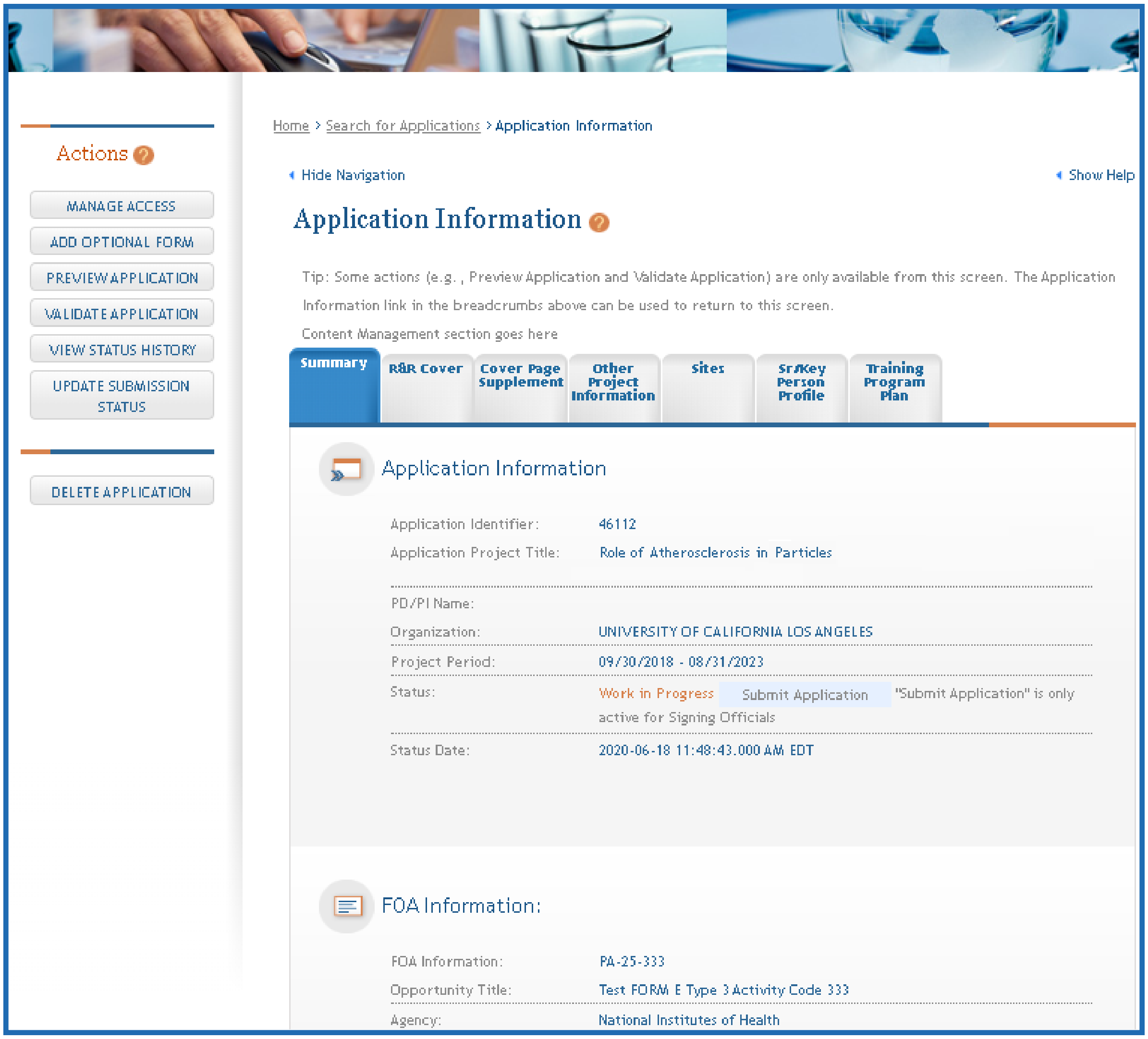
Administrative Supplements- Award Information Screen

The Award Information screen lets you either edit an administrative supplement application that already exists, initiate a new administrative supplement application for a grant, or view an existing administrative supplement in read-only mode.

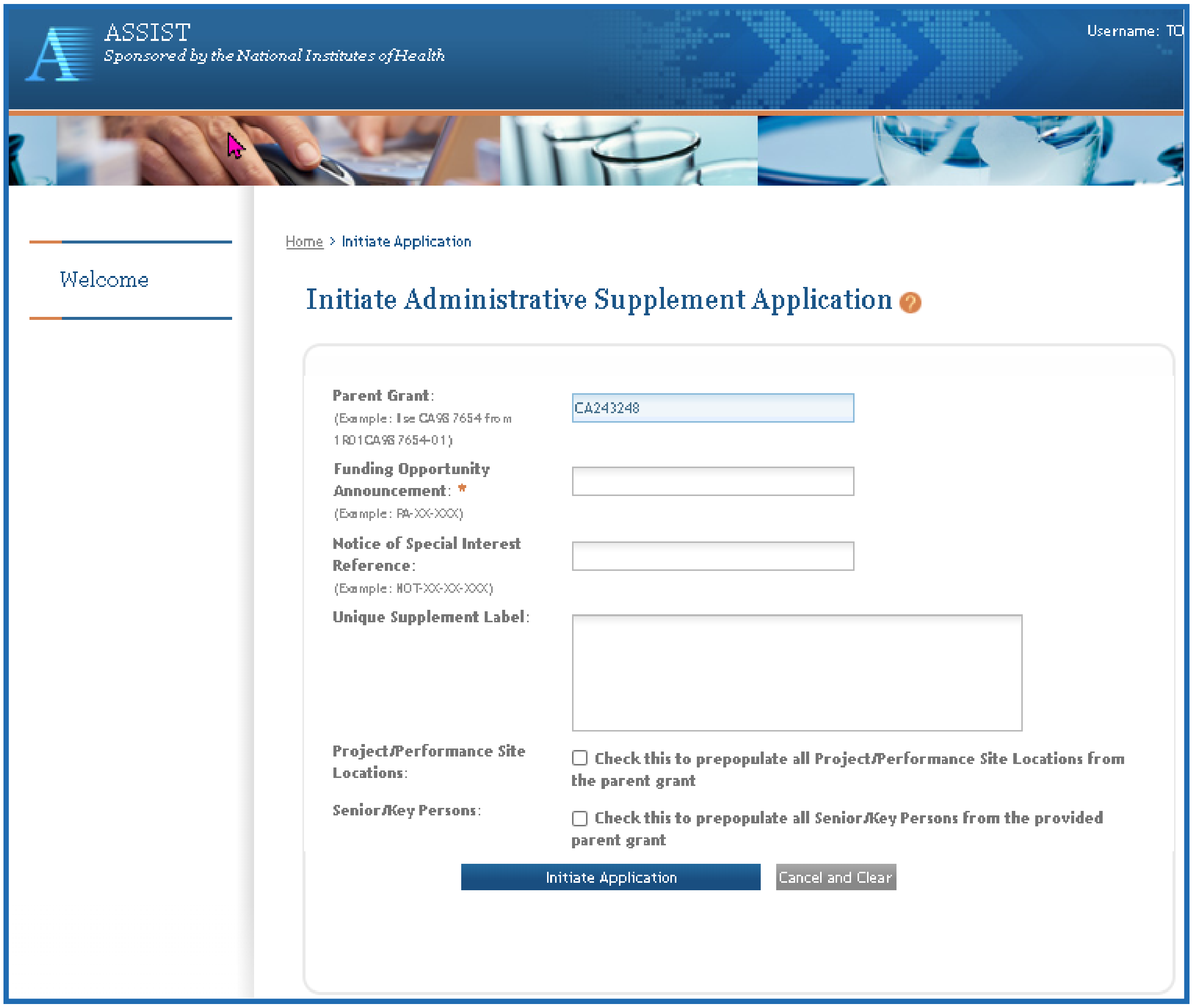


If current administrative supplement applications are found for the current grant, they are listed in the Award Information table, and a the three-dot ellipsis menu shows the **Edit** option. If you select the **Edit** option for a grant, you are taken directly to the current administrative supplement application in ASSIST where you can edit the various forms necessary for the supplement.

See Forms Data Entry for help on editing the forms of an administrative supplement request in ASSIST.



If you click the **Start Application** button, you are taken directly to the ASSIST module opened to the Initiate Administrative Supplement Application screen, with the **Parent Grant** field filled in with the grant number.



NOTE: When you initiate an administrative supplement application from the eRA Commons Administrative Supplement module, the **Parent Grant** field is prepopulated with the grant that you clicked and is not editable. In addition, the Funding Opportunity Announcement number is required to initiate. If you initiate an administrative supplement application directly from ASSIST instead of from eRA Commons, you can initiate an administrative supplement without a parent grant number.

See Using ASSIST for compete help on using ASSIST.

See Initiate an Administrative Supplement Application for help on initiating an administrative supplement request in ASSIST.

Change of Institution Overview

The eRA Commons Change of Institution process lets the extramural grantee institution submit an electronic version of a relinquishing statement 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 relinquishing statement.

The institution holding the grant must complete a relinquishing statement through eRA Commons that states it is giving up the grant and identify the receiving institution. The receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed at https://grants.nih.gov/grants/guide/parent_announcements.htm.

NOTE: This functionality only applies to NIH grants.

Features for Changing Organizations Who Hold an Award

The Commons system has the following features to accommodate a Change of Institution:

- Create, view, update, save, submit, and route the relinquishing statement via the Commons Status screen
- Create relinquishing statement in PDF format upon submitting the relinquishing statement to the agency
- Event generated and time sensitive eMail Notifications to appropriate users

Users Involved in Changing the Organization Who Holds an Award

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 relinquishing statement functions: Start a new one, View, Edit, Save, Route, Cancel, Delete and

Submit relinquishing statement to the awarding agency. Optionally, the SO can route the relinquishing statement to the principal investigator (PI), who can review the statement, change the institution and email address, and then route back to an SO.

   b. The receiving institution's SO can perform the following functions: View relinquishing statement

2. Program director/principal investigator (PD/PI)
   a. The original institution's PD/PI can perform the following relinquishing statement functions: View, Edit, Save, Cancel changes, and Route the relinquishing statement to the SO for submitting to the awarding agency.
3. Grants management official (GMO) or grants management specialist (GMS)
   a. The GMO or GMS can perform the following relinquishing statement functions: View, Receive, and Return the relinquishing statement.

Business Rules

Eligible Grants

All awarded and active grants withing their budget period 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.

Relinquishing statements can be submitted for any activity code.

Access to Relinquishing Statements

At the current award-holding institution, any SO can start or submit the relinquishing statement to the agency via the Status module.

At the prospective institution, SOs can only access a view-only relinquishing statement form via the Status module.

The PD/PI for the award can review and edit parts of the relinquishing statement only if the SO routes the relinquishing statement to the PD/PI. Specifically, the PI can edit the receiving institution and the contact email at the receiving institution, and the PI can route the relinquishing statement back to the SO.

The relinquishing statement can be routed back and forth between the SO and the PD/PI for an unlimited number of times.

Validation

PD/PI routing is not required. The SO can submit the relinquishing statement without routing it to the PD/PI.

Relinquishing statements submitted for pre-award are not validated for the costs relinquished. They can be zero or the original application's requested funds amounts.

Other Rules

The system allows multiple relinquishing statement submissions. The SO is able to submit a new relinquishing statement only if no relinquishing statement has been submitted or if the existing relinquishing statements have been submitted and are now in **Accepted for Consideration** status.

The relinquishing statement can be deleted by the SO from the relinquishing institution if it is in the **SO Work In Progress** status and has never been submitted to the awarding agency.

All submitted and accepted versions of the relinquishing statements 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.

Managing Relinquishing Statements

Relinquishing Signing Official (SO) Responsibilities

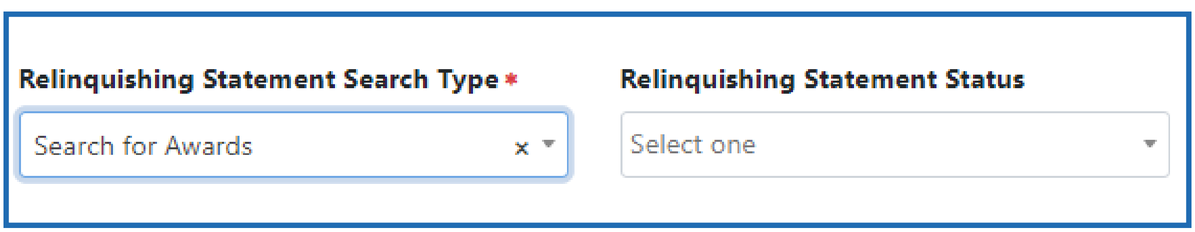
Program Director/Principal Investigator (PD/PI) Responsibilities

Starting and Working on Relinquishing Statements (SO)

If your institution holds an active award but needs to transfer the award to another institution, a signing official (SO) from your institution must start a relinquishing statement, which contains details of the transfer, which is referred to as a Change of Institution. The transfer must occur before the expiration of the approved project period.

Search Types, Statuses, and Actions for Relinquishing Statements

When you search for relinquishing statements, there are three search types and five possible statuses.



Relinquishing Statement Search Type

You can search for awards that are eligible to be relinquished to other institutions, awards that have a relinquishing statement in progress at your institution, and awards that are in the progress of being relinquished to your institution.

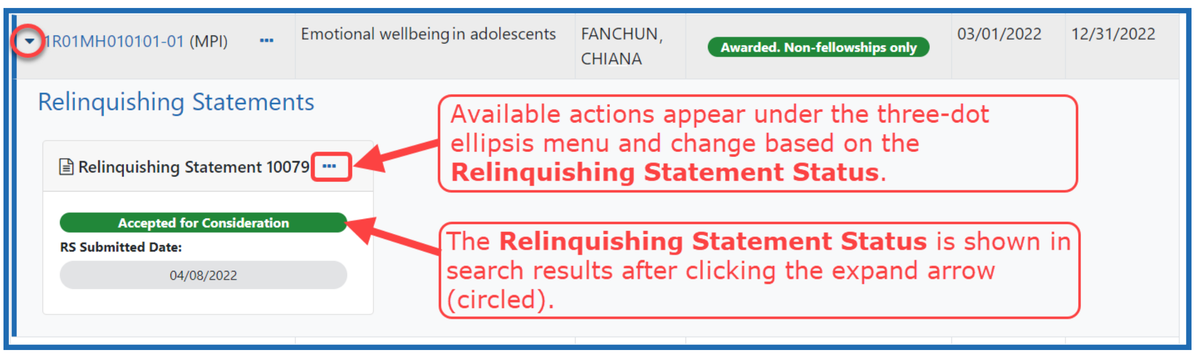
Not Started. This option finds awards at your institution that are eligible to be relinquished to other institutions; that is, awards within the budget period.

Search for Awards. This option finds awards that have a relinquishing statement in progress at your institution

Search for Relinquishing Statements. This option finds awards that are in the process of being relinquished to your institution. These will be in either **Submitted to Agency** or **Accepted for Consideration** status. The only action an SO at the receiving institution can take on these awards is to **View Relinquishing Statement** (view the PDF of the relinquishing statement request).

Relinquishing Statement Status

When you do a search for relinquishing statements, you can click the arrow (circled below) to expand the item and show more information, including the status and the three-dot ellipsis menu, which shows available actions. The actions that are available depend on the status of the relinquishing statement.



SO Work in Progress. An SO has created the relinquishing statement and saved it. The SO, or other SOs at the institution, can edit the statement.

PD/PI Work in Progress. An SO has clicked **Route to PI**, which means the Contact PI for the award will see a Relinquishing Statement action in the Status module for the award, which opens the relinquishing statement. The PI can edit the receiving institution or the email contact at the receiving institution, and when finished, can route the statement back to an SO, who receives a notification email. While the relinquishing statement is routed to a PI, SOs can only view the read-only form or view its routing history.

Submitted to Agency. An SO has clicked **Submit**, submitting the relinquishing statement to the awarding agency for their review and consideration.

Accepted for Consideration. If a relinquishing statement is in **Accepted for Consideration** status, then the awarding agency is currently reviewing and considering the request. While in this status, SOs can only view a read-only PDF of the statement or view its routing history. The agency will either approve the request or set it to **Returned**, which means there is a concern or correction that needs to be made. If a relinquishing statement is in Accepted for Consideration, you can start a new relinquishing statement for the same award.

Returned. If a relinquishing statement status is **Returned**, that means it has been evaluated by the agency and has been returned to the initiating institution for more information or corrections. The SO can continue to edit a relinquishing statement in **Returned** status and can view comments made by agency staff by viewing Routing History.

Actions on Relinquishing Statements

Start a New Relinquishing Statement. This action appears on awards that are eligible for changing their institution. It opens a form where you define the terms of the relinquishment. An SO must use the Relinquishing Statement search in Status module and select the search type of **Not Started** to see awards with this action.

Edit Relinquishing Statement. After an SO saves the relinquishing statement (but does not submit), and while the statement is in **SO Work in Progress** status, the SO can look up the relinquishing statement via the **Search for Awards** search type and use this action to open the relinquishing statement for editing.

View Routing History. Opens a popup window showing all routing actions, including the date, relinquishing statement status, and comments entered by persons who did the routing.

Delete Relinquishing Statement. This can only be done by an SO on a relinquishing statement that is in **SO Work in Progress** status.

View Relinquishing Statement. This can only be done by an SO on a relinquishing statement that is in **Accepted for Consideration**, **Submitted to Agency**, or **PD/PI Work in Progress** status. In the first two statuses, the SO can view only a PDF of the submitted relinquishing statement. For the third status, the SO is taken to the **Edit Relinquishing Statement** web page, but all fields are read-only.

Starting a New Relinquishing Statement (SO)

To start a new relinquishing statement:

1. Log in to eRA Commons with your signing official (SO) user ID and password.
2. In the Status module, select **Relinquishing Statements** from the **Search Type** dropdown.

   The **Relinquishing Statement Search Type** dropdown at the bottom of this screen lets you find relinquishing statements in different stages of being relinquished.
3. To find grants held by your institution that are currently eligible to relinquish (within the current budget period), select **Not Started** from the **Relinquishing Statement Search Type** dropdown.

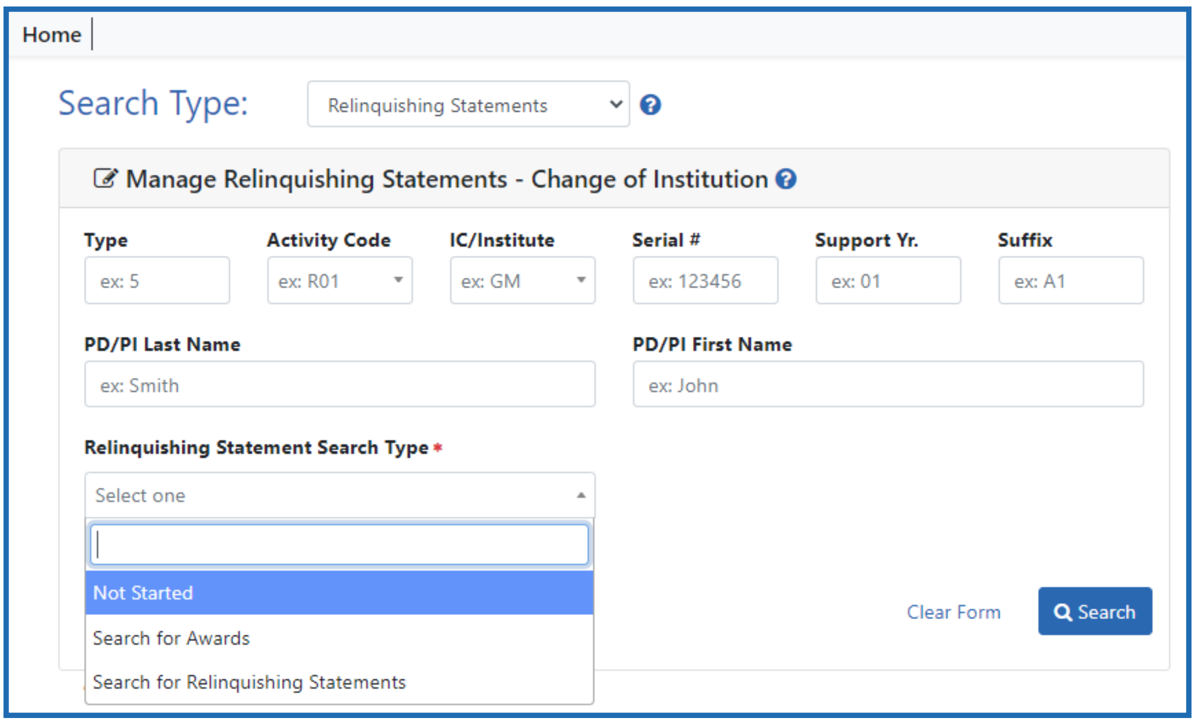
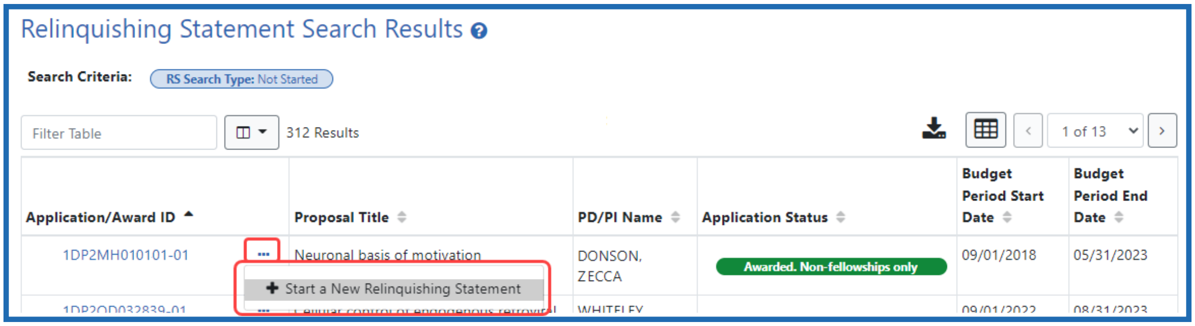


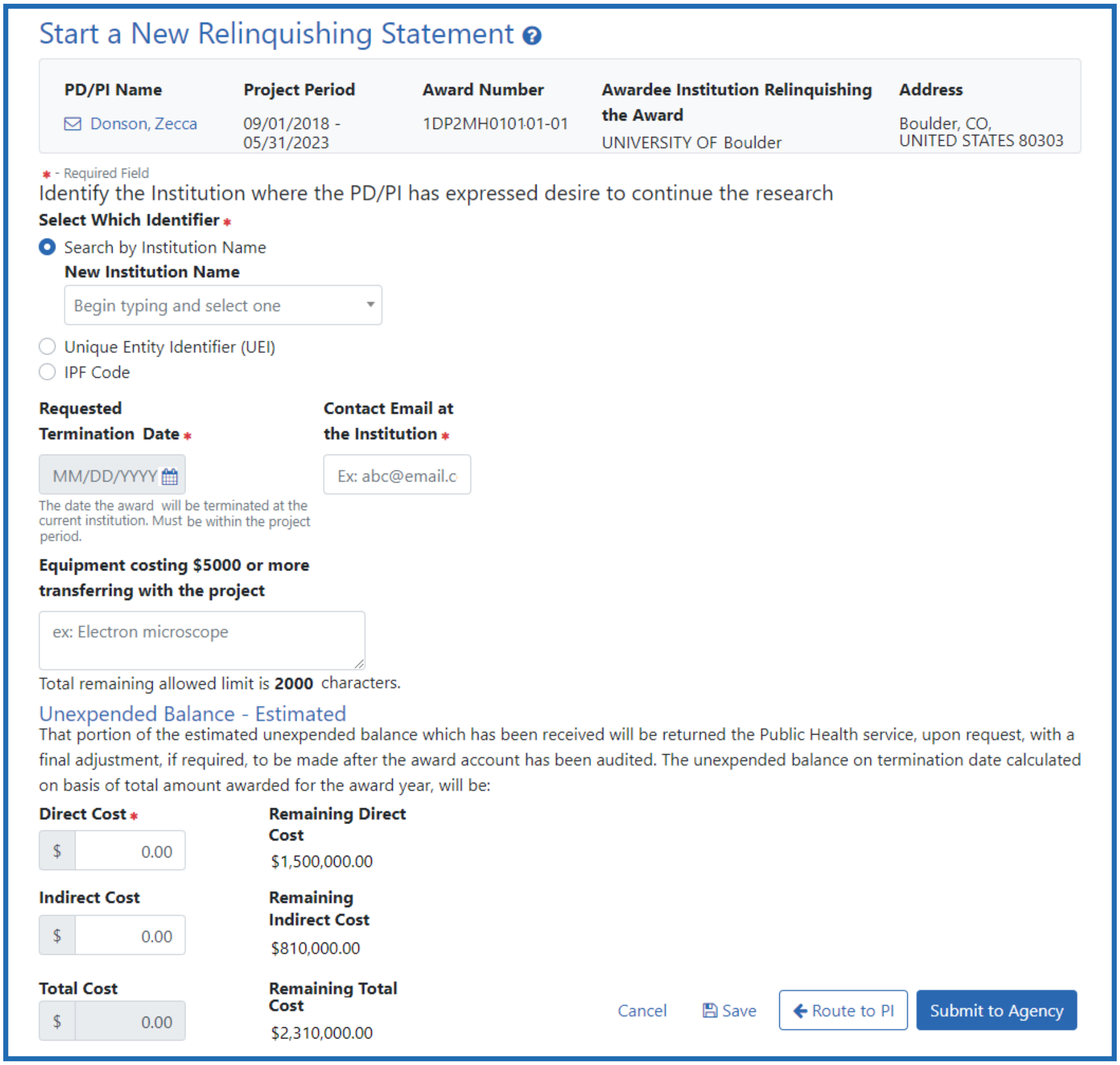
Figure 332: Manage Relinquishing Statement screen

4. In the search results, select **Start a New Relinquishing Statement** from the three-dot ellipsis menu for a grant.



The Start a New Relinquishing Statement screen appears.

NOTE: You can email the PD/PI by clicking the PD/PI name at the top of the screen.



5. Identify the institution to which the award is being transferred in one of three ways:

   Type its name and select from the suggestion list, OR, type the institution's unique entity identifier (UEI), OR, type the institution’s IPF number. Once you select a New Institution Name, if a valid match is found, a Verified symbol appears and all three fields will be filled out for you. If you enter a UEI or an IPF code, a **Verify** button appears, which you must click to verify that a matching institution is found.

6. To clear the identifier fields, click a **Clear and Start Over** link next to the UEI or IPF field.
7. Enter the requested termination date, the contact email at the *NEW* institution, and optionally list equipment that will transfer with the project. The termination date must be within the current project period.
8. Enter the **Direct Cost** and optionally the **Indirect Cost**.
9. Click **Save** to save the relinquishing statement. If you try to route or submit without saving, you are prompted to first save. After saving the form, its name changes to *Edit Relinquishing Statement* and you can edit further. The status of the relinquishing statement changes to **SO Work in Progress**. Once it is saved, clicking **Cancel** will NOT discard the form.

When finished with the form, you have four options:

- Click **Cancel** to discard the changes since the last time the form was saved.
- Click **Route to PI** so that the PI can review and edit it. A Relinquishing Statement action will appear in the Status module for the PI for this award. The status of the relinquishing statement changes to **PD/PI Work in Progress**. When it is in this status, the SO can only view it or view its routing history.
- Click **Submit to Agency** if you are sure all information is correct. Its status changes to **Submitted to Agency**. After it is submitted, you cannot edit or delete it. When it is in this status, the SO can only view it or view its routing history.

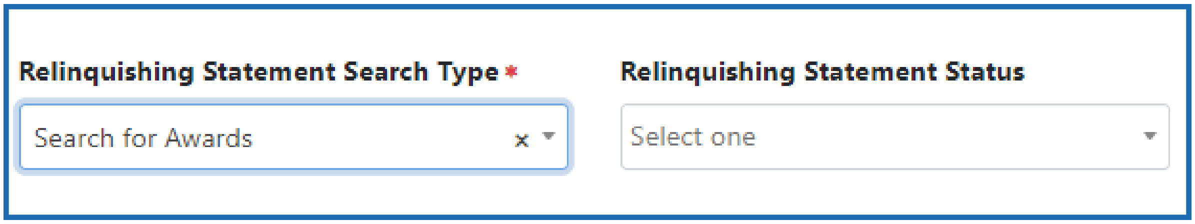
Editing a Relinquishing Statement (SO)

To edit a relinquishing statement, its status must be **SO Work in Progress** or **Returned**.

To edit a relinquishing statement:

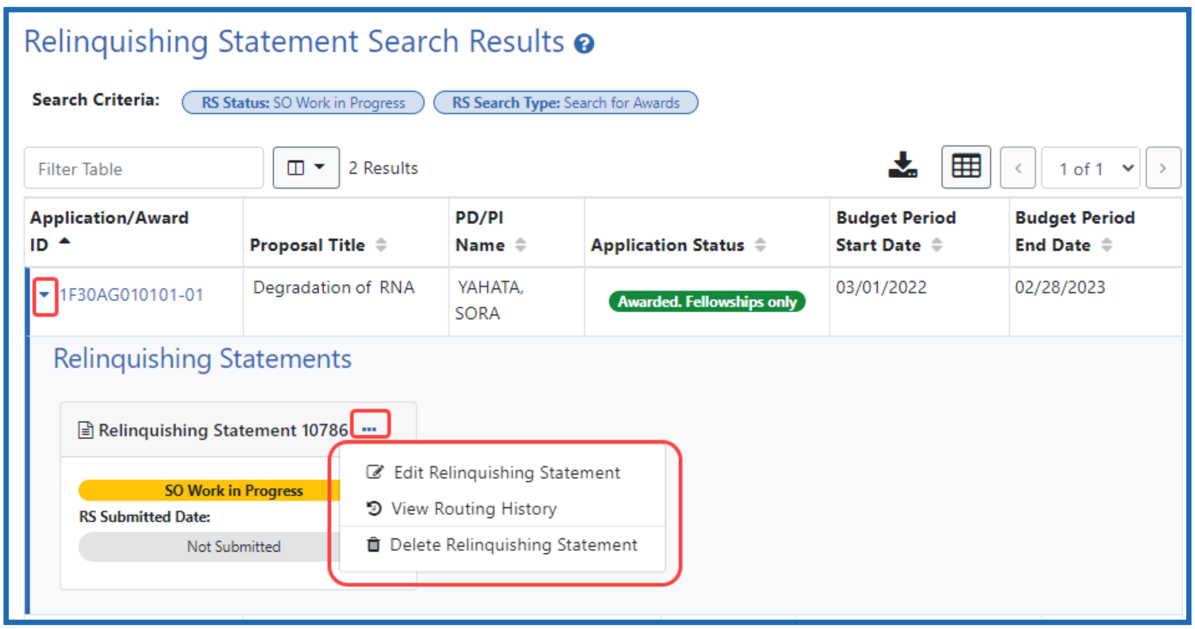
1. Log in to eRA Commons with your signing official (SO) user ID and password.
2. In the Status module, select **Relinquishing Statements** from the **Search Type** dropdown.
3. In the **Relinquishing Statement Search Type** dropdown, select **Search for Awards**.

   The **Search for Awards** option shows relinquishing statements initiated at your institution that are in progress. When you select **Search for Awards**, the **Relinquishing Statement Status** dropdown appears to further narrow the search.



4. In the **Relinquishing Statement Status** dropdown, select either **SO Work in Progress** or **Returned**. Then click **Search**. (You can search for other statues, but you are only able to view them, not change them.)

   The Relinquishing Statement Search Results appears.



5. For the relinquishing statement you are looking up, click the arrow icon in the **Application/Award ID** column, which expands the row to show more information. More than one relinquishing statement can appear here.

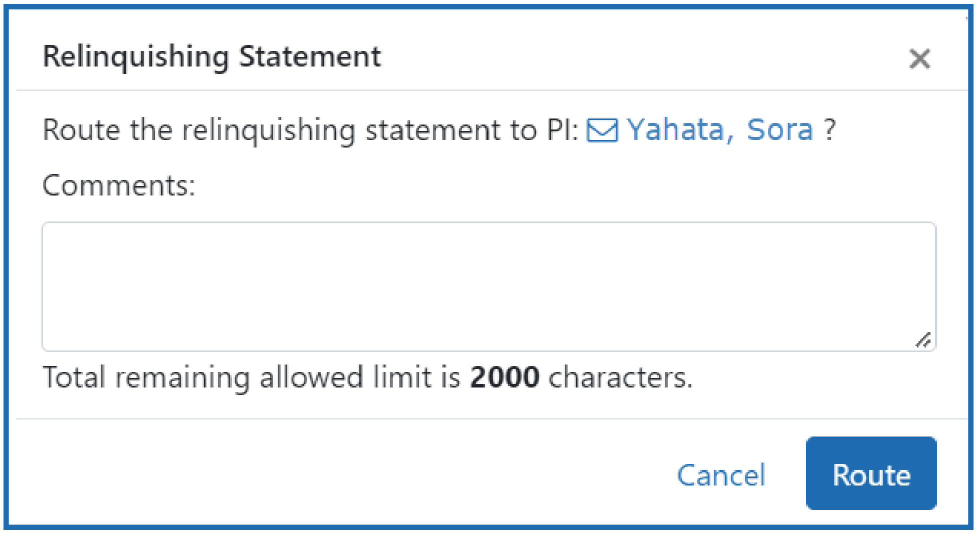
6. Click the three-dot ellipsis menu for the relinquishing statement you want to edit and select **Edit Relinquishing Statement**.

The relinquishing statement opens in edit mode; see *Starting a New Relinquishing Statement (SO)* on page 727 for details of the relinquishing statement form.

Routing the Relinquishing Statement to the PI

Follow the directions to either start a new relinquishing statement or edit an existing relinquishing statement (see above procedures), then click the **Route to PI** button while in the *Relinquishing Statement* screen. Click the **Route** button in the confirmation popup that appears.

A *Relinquishing Statement* comments popup appears if you choose to route.



Deleting a Relinquishing Statement or Viewing a Read-Only Copy (SO)

To delete a relinquishing statement, its status can only be **SO Work in Progress**. If a relinquishing statement is already submitted to the agency, or if it is currently routed to the PI, you can ONLY view a read-only copy of the form.

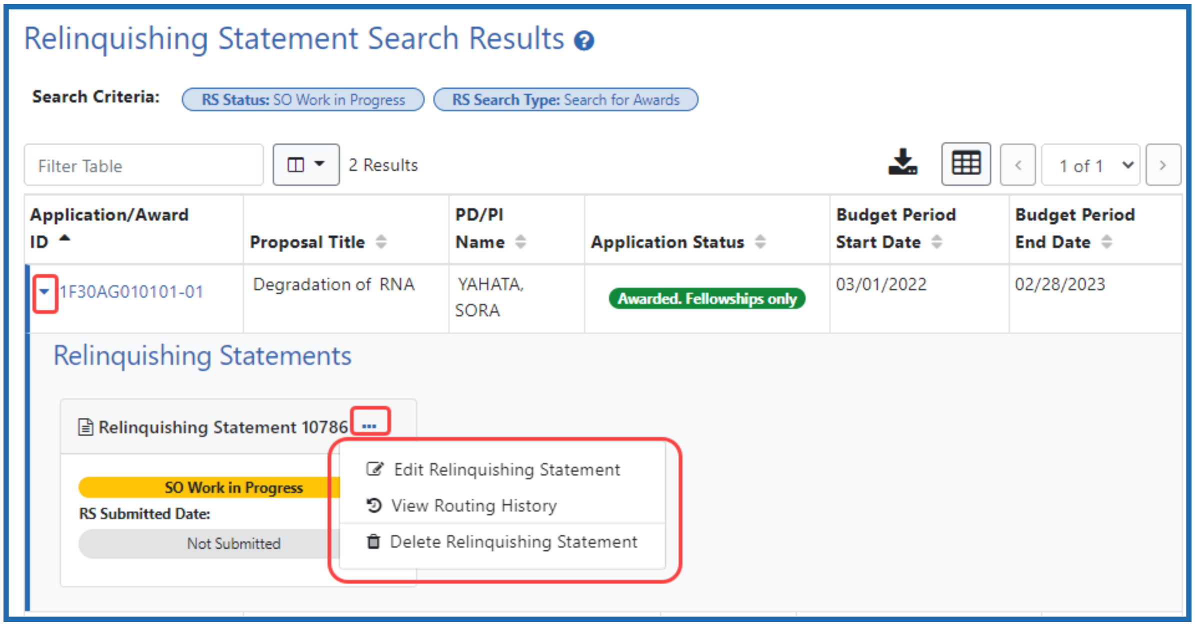
To delete or view routing history:

1. Log in to [eRA Commons] with your signing official (SO) user ID and password.
2. In the Status module, select **Relinquishing Statements** from the **Search Type** dropdown.
3. In the **Relinquishing Statement Search Type** dropdown, select **Search for Awards**.

The **Search for Awards** option shows relinquishing statements initiated at your institution that are in progress.

4. You can leave the **Relinquishing Statement Status** dropdown empty.

   The Relinquishing Statement Search Results appears.



5. For the relinquishing statement you are looking up, click the arrow icon in the **Application/Award ID** column, which expands the row to show more information. More than one relinquishing statement can appear here.

6. To delete, click the three-dot ellipsis menu for the relinquishing statement you want to edit and select **Delete Relinquishing Statement**. (Deletion is possible only **for SO Work in Progress** relinquishing statements.)

7. To view a read-only relinquishing statement (that is either submitted, or routed to the PI), click the three-dot ellipsis menu and select **View Relinquishing Statement**. If it is submitted, you see a PDF of the submitted form. If it is routed to the PI, you see the form on the *Relinquishing Statement* screen.

Viewing Routing History for a Relinquishing Statement

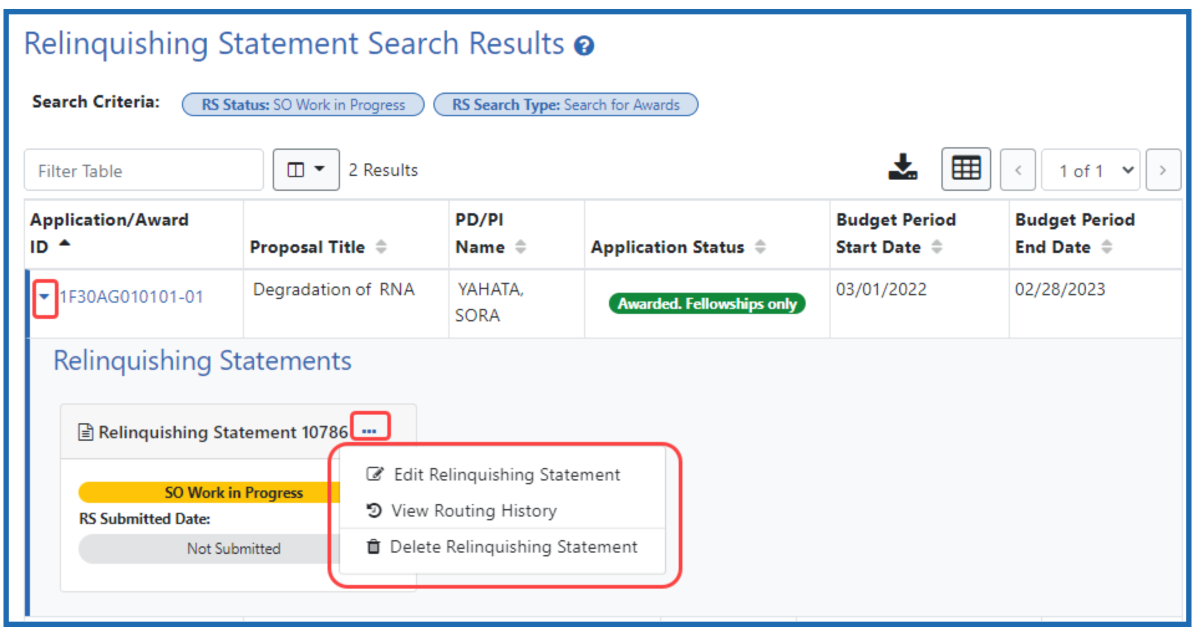
A PI or agency user can choose to write comments on the relinquishing statement. For instance, if the agency reviewer sets the relinquishing statement to **Returned**, meaning there are corrections or concerns, the agency reviewer can write comments. The SO can see these comments, or PI comments, in the *Routing History* popup. The routing history of a relinquishing statement can be viewed in any status.

To view routing history:

1. Log in to [eRA Commons](#) with your signing official (SO) user ID and password.
2. In the Status module, select **Relinquishing Statements** from the **Search Type** dropdown.
3. In the **Relinquishing Statement Search Type** dropdown, select **Search for Awards**.

   The **Search for Awards** option shows relinquishing statements initiated at your institution that are in progress. You can leave the **Relinquishing Statement Status** dropdown empty.

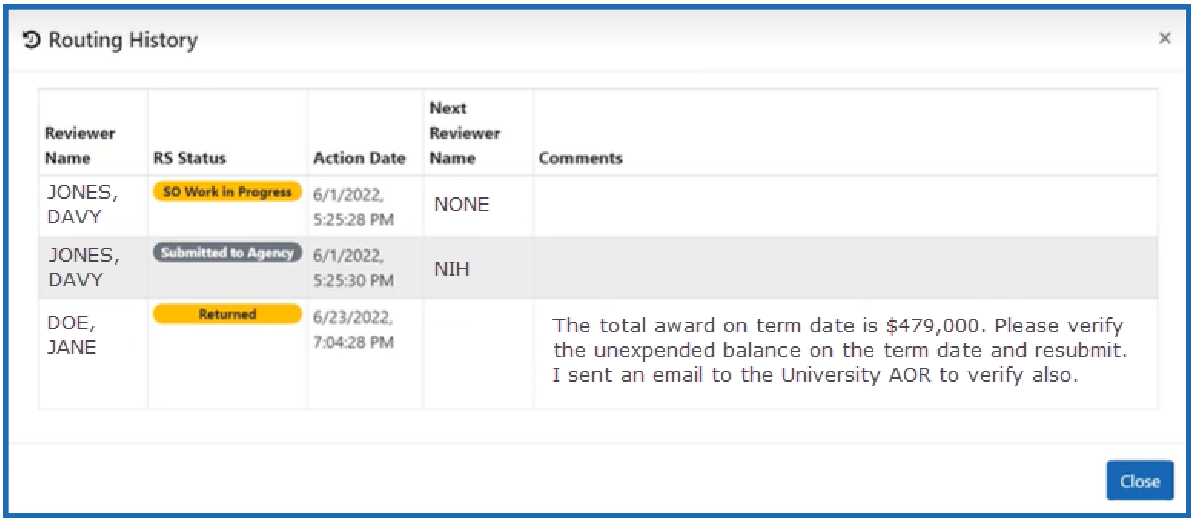
   The Relinquishing Statement Search Results appears.



4. For the relinquishing statement you are looking up, click the arrow icon in the **Application/Award ID** column, which expands the row to show more information. More than one relinquishing statement can appear here.

5. To view routing history, click the three-dot ellipsis menu and select **View Routing History**.

The Routing History popup appears. If the PI or agency reviewer wrote comments, those comments appear here.



Editing and Routing a Relinquishing Statement (PI)

While only a signing official (SO) can start or submit a relinquishing statement, the SO can route a saved relinquishing statement to the principal investigator (PI) of the award being relinquished. If the SO routes the relinquishing statement, the PI sees a Relinquishing Statement action in the Status module and can edit it. For multiple PI awards, only the Contact PI will see the Relinquishing Statement action. When finished, the PI then routes the relinquishing statement back to an SO.

To find, edit, and route a relinquishing statement (PI):

1. Log into eRA Commons and navigate to the Status module.
2. Search for and find the grant that is being relinquished and click its **Relinquishing Statement** action.

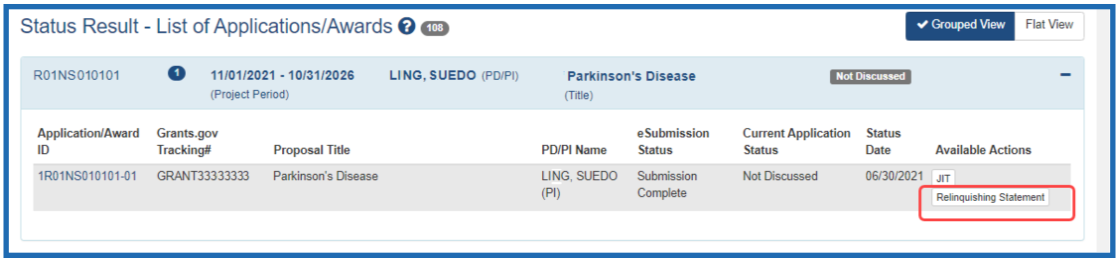
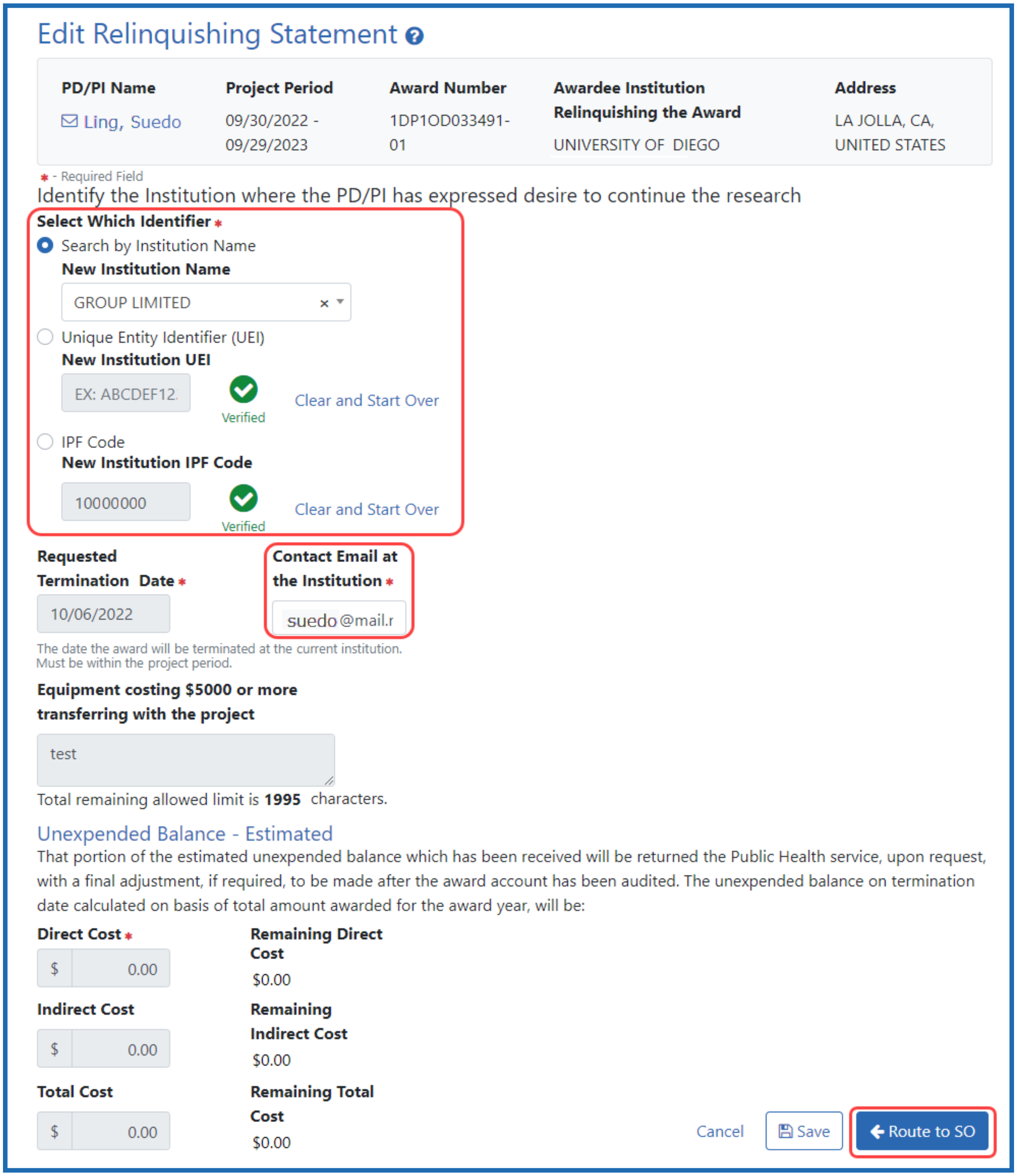


Figure 333: Status Result - List of Applications/Awards Screen

The *Edit Relinquishing Statement* screen appears. As a PI, you can edit the institution to which the grant is moving, or the contact email at the institution. All other fields are disabled.



3. You can identify the institution to which the award is being transferred in one of three ways:

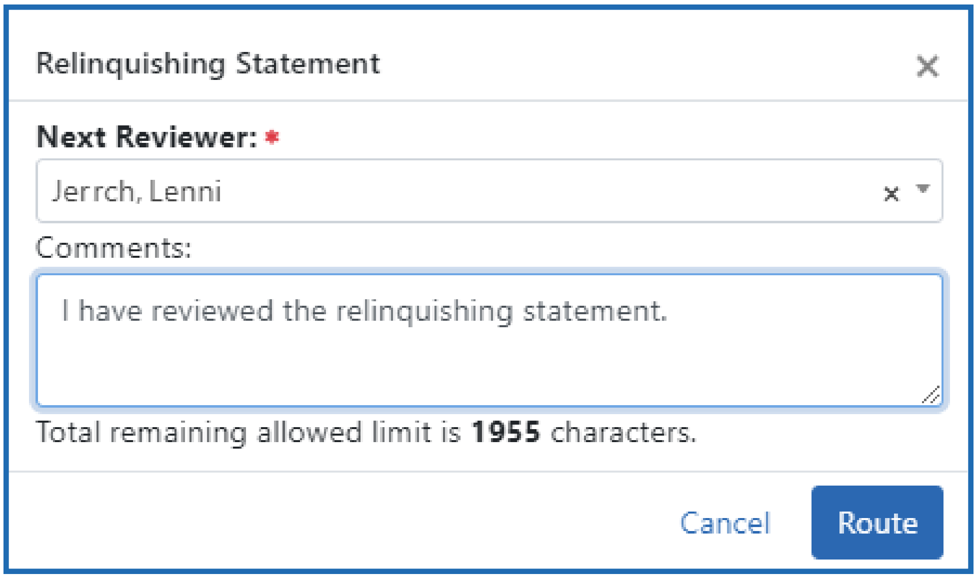
   Type its name and select from the suggestion list, OR, type the institution's unique entity identifier (UEI), OR, type the institution’s IPF number. Once you select a New

Institution Name, if a valid match is found, a Verified symbol appears and all three fields will be filled out for you. If you enter a UEI or an IPF code, a **Verify** button appears, which you must click to verify that a matching institution is found.

TIP: To clear the identifier fields, click a **Clear and Start Over** link next to the UEI or IPF fields.

4. Optionally, change or enter the contact email at the receiving institution.
5. Click the **Save** button if you want to save this statement and come back to it later.
6. If you are done reviewing/editing, click the **Route to SO** button to move the relinquishing statement back to the SO's queue. Only an SO can submit the statement.

   A *Relinquishing Statement* comments popup appears if you choose to route.



7. Choose an SO from the list who is working with you on the relinquishing statement, and optionally enter comments. While any SO can take action on a relinquishing statement, the SO that you choose here will receive a notification email alerting them of the relinquishing statement change, so that particular SO will be reminded to take action. Comments you enter will also appear in the Routing History for the relinquishing statement.
8. Click the **Route** button.

The relinquishing statement is routed back to the SOs for your institution, who can view the routing history to see the comments. The specific SO that you choose during routing will receive a notification email with your comments.

Viewing a Submitted Relinquishing Statement from Status Information (PI or SO)

A relinquishing statement is part of the Change of Institution process allowing an extramural grantee institution to transfer an active grant to another institution.

Once a relinquishing statement has been submitted to the agency, you can view a read-only version of it from the Commons *Status Information* screen. SOs can also view the relinquishing statement by searching in Status using the **Relinquishing Statement** search type and then selecting the **Search for Awards** option, then selecting the **View Relinquishing Statement** action on a grant; see *Deleting a Relinquishing Statement or Viewing a Read-Only Copy (SO)* on page 732.

To view the submitted form via the *Status Information* screen:

1. On any Status search screen (for PI or SO), search for an award that you know has a submitted relinquishing statement.
2. For the award, click the **Application/Award ID**, which takes you to the *Status Information* screen.

   The *Status Information* screen appears.

2. From the *Status Information* screen, click the **Relinquishing Statement** link under Other Relevant Documents.

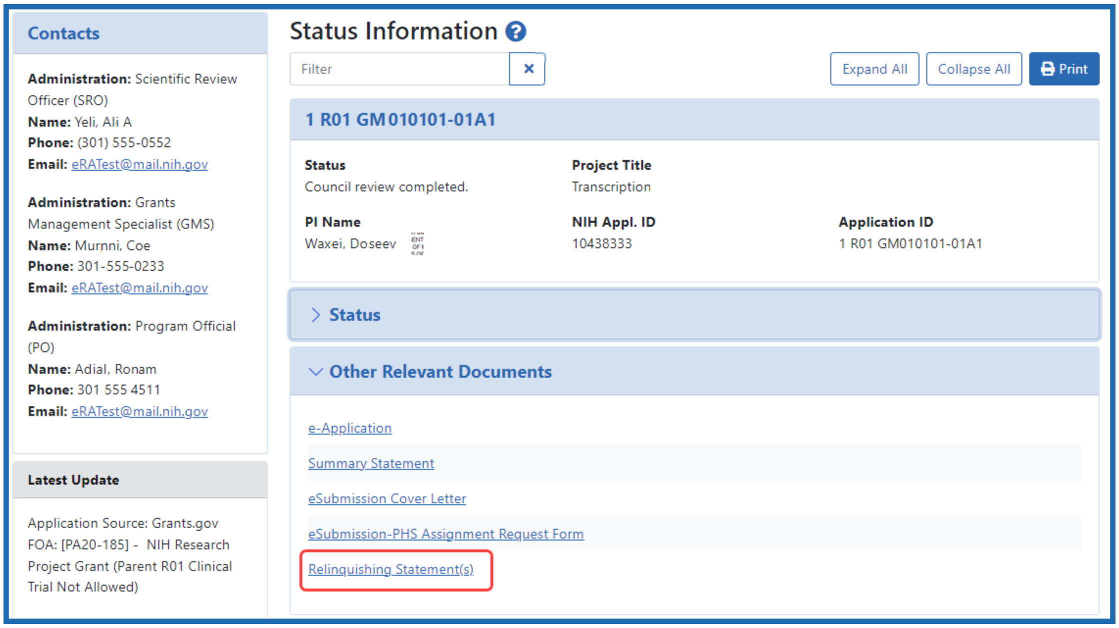


Figure 334: Status Information Screen Displaying the Relinquishing Statement link

The *Relinquishing Statements* screen appears.

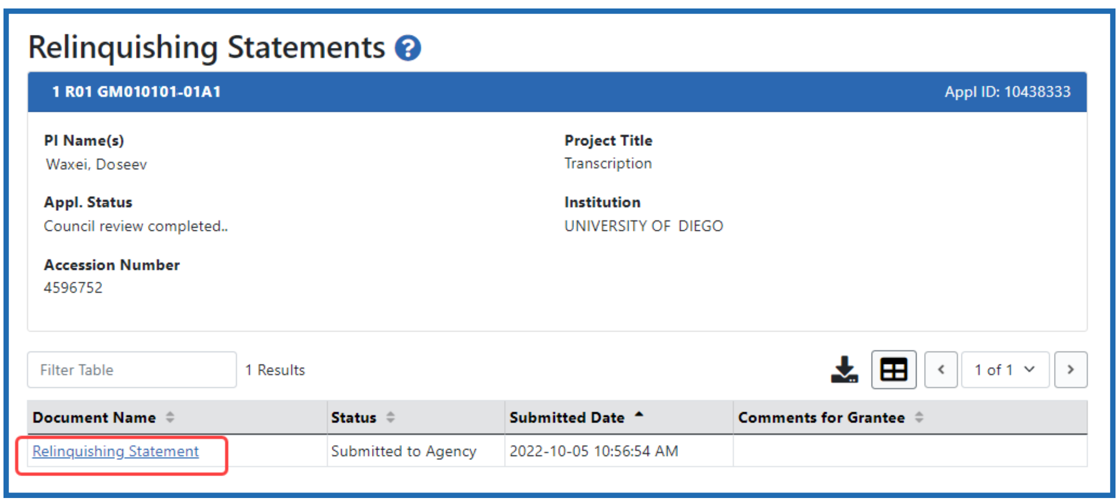


Figure 335: Relinquishing Statements Screen

3. Click the **Relinquishing Statement** link to view the Relinquishing Statement PDF.

Non-Research Amendments, Supplements, and Continuations (for Non-Research Agencies)

The *Non-Research* module lets SAMHSA awardees manage post-award amendment applications, supplements and continuations for non-research applications and awards. On all Non Research screens, principal investigators (PIs) see only their own awards, whereas signing officials (SOs) have search criteria to find specific awards.

Also see: . Post Award Amendments for Discretionary Grants on the SAMHSA website.

Accessing the Non Research Module

After logging into eRA Commons, you can access the *Non-Research* main screen either of two ways:

1. Navigate to Non Research via the Main menu. Navigating to Non-Research via the Apps menu brings you to the Manage Post Award Amendments search screen under *Non-Research*. Once you are in the module, use the navigation at the top of the screen to navigate to other screens.

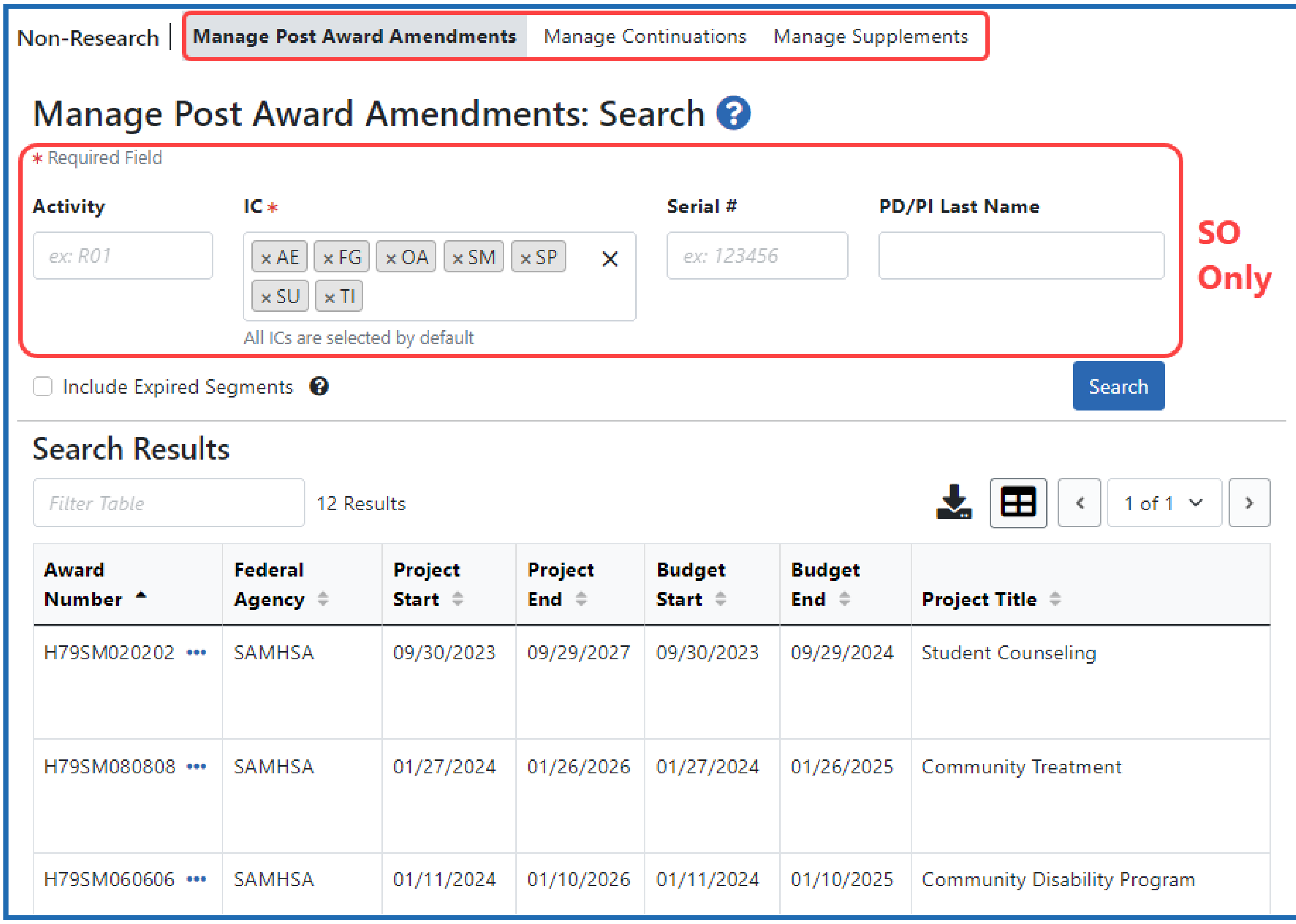


Figure 336: The Manage Post Awards Amendments: Search screen as seen by an SO

2. Select one of the options in the SAMHSA pane on the eRA Commons landing screen. Choosing an option in the SAMHSA pane brings you to the screen in Non-Research that matches the dropdown option you chose.

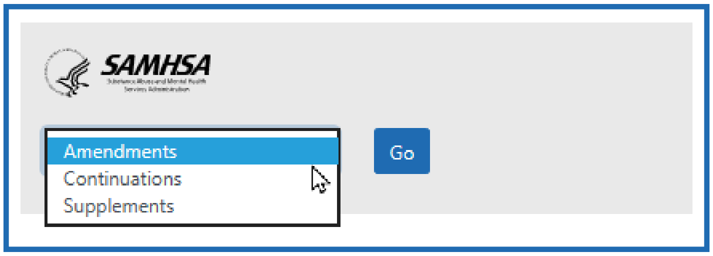


Figure 337: SAMHSA panel on eRA home screen, used to navigate directly to a specific screen of the Non Research module

When an SO views the Non Research module, they see search criteria so they can search for particular awards. PIs do not see search criteria, but instead see a list of their own awards eligible for an amendment. Use the navigation at the top of the screen to navigate to continuations or supplements.

Initiating an Amendment (Principal Investigator)

A principal investigator (PI) can initiate an amendment from the *Manage Post Award Amendments: Search* screen of the Non Research module. In the Non Research module for amendments, PIs see only their own awards (those on which they are a PI) that are eligible for amendments. The PI can also initiate an amendment from the *Manage Post Award Amendments: View* screen.

NOTE: To see expired amendments, click the **Include Expired Segments** checkbox, which shows awards with project period end dates in the past.

About Initiating an Amendment

You can initiate a new amendment from either the *Manage Post Award Amendments: Search* screen or from the *Manage Post Award Amendments: View* screen. See the preceding procedure to learn how to access these screens.

The types of amendments you can request are:

- Budget Revision
- Carryover Request
- Change in scope
- Key Personnel
- Merger, Transfer, etc
- No Cost Extension
- Organization Change

Initiating an Amendment from the *Manage Post Award Amendments: Search* Screen

1. After logging into Commons, navigate to the Non Research module.
2. On the **Manage Post Award Amendments: Search** screen, click an award's three-dot ellipsis menu and select one of the amendment types under **Initiate Application in ASSIST**.

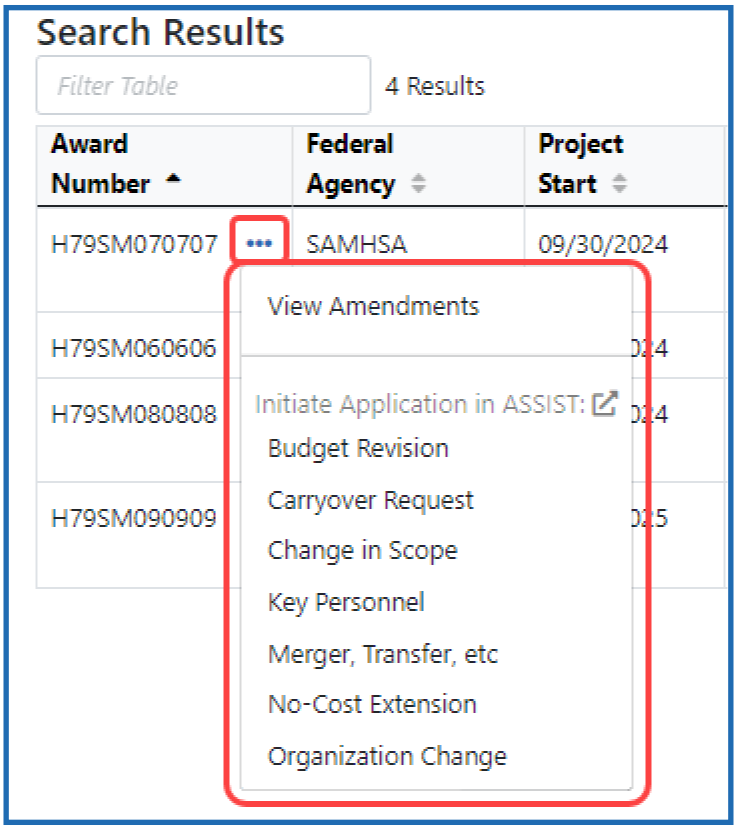


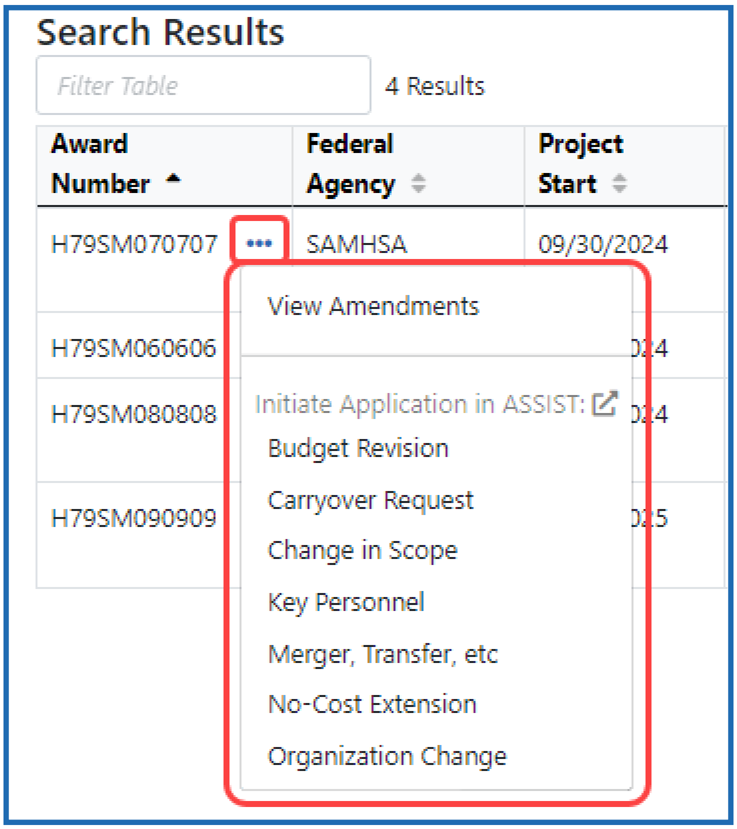
Figure 338: Three-dot ellipsis menu on the Manage Post Award Amendments: Search screen in the Non Research module

The ASSIST module opens. In ASSIST, fill out all required application data and submit as described by ASSIST online help.

Initiating an Amendment from the *Manage Post Award Amendments: View* Screen

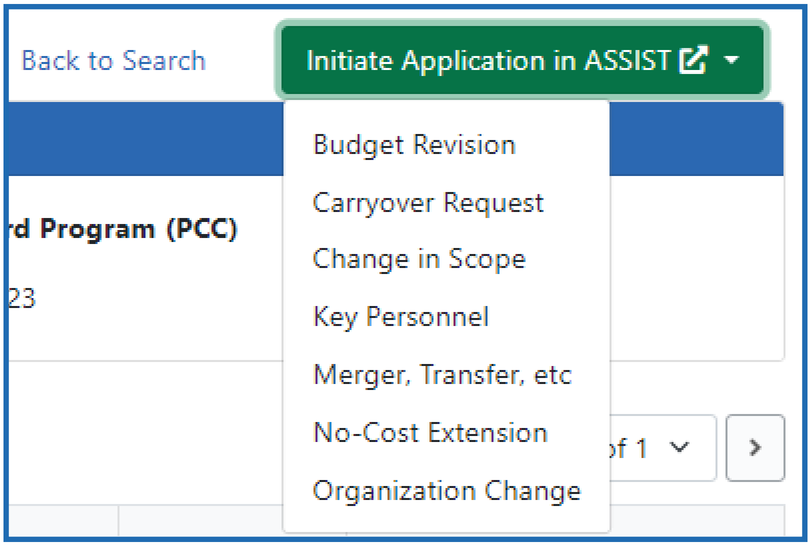
1. After logging into Commons, navigate to the Non Research module.

2. On the **Manage Post Award Amendments: Search** screen, click an award's three-dot ellipsis menu and select **View Amendments**.



The **Manage Post Award Amendments: View** screen appears.

3. Click the **Initiate Application in ASSIST** button, then select one of the amendment types: Budget Revision, Carryover Request, Change in scope, Key Personnel, Merger, Transfer, etc, No Cost Extension, or Organization Change.



The ASSIST module opens. In ASSIST, fill out all required application data and submit as described by [ASSIST online help](#).

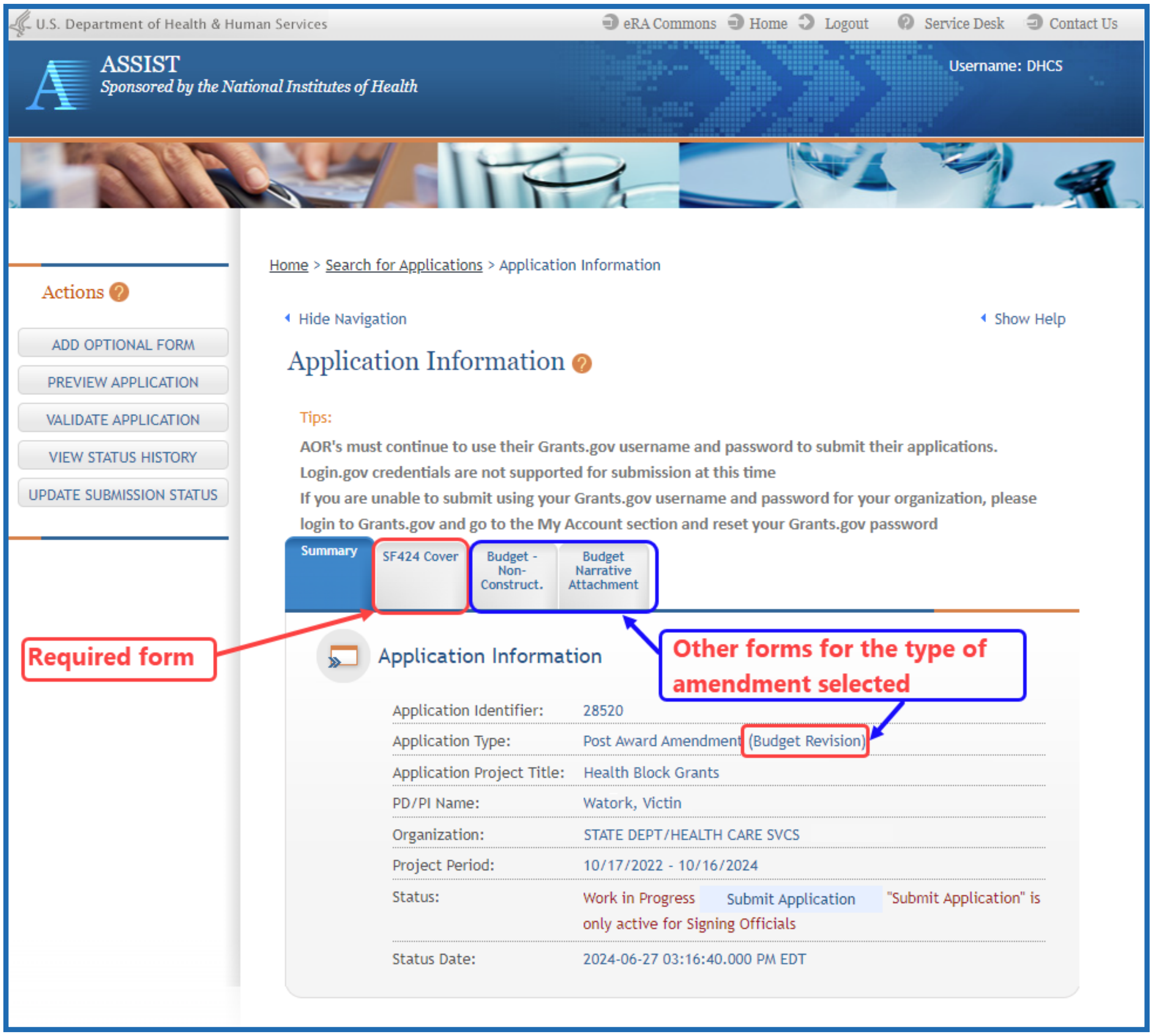


Figure 339: ASSIST screen showing the initial screen for creating a Budget Revision amendment

The application includes the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

The *Application Information* screen in ASSIST shows the type of amendment, the PI and Institution information, etc. Also see help for the ASSIST module: ASSIST online help.

NOTE: It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

Initiating an Amendment (Signing Official)

NOTE: SAMHSA users who are business officials will be given the signing official (SO) role in eRA Commons.

Signing officials can search for all grants that are eligible to be amended within their institution. A signing official (SO) can initiate an amendment from the *Manage Post Award Amendments: Search* screen of the Non Research module. PIs see only their own awards (those on which they are a PI) that are eligible for amendments. . The SO can also initiate an amendment from the *Manage Post Award Amendments: View* screen.

NOTE: To see expired amendments, click the **Include Expired Segments** checkbox, which shows awards with project period end dates in the past.

About Initiating an Amendment

You can initiate a new amendment from either the *Manage Post Award Amendments: Search* screen or from the *Manage Post Award Amendments: View* screen. See the preceding procedure to learn how to access these screens.

The types of amendments you can request are:

- Budget Revision
- Carryover Request
- Change in scope
- Key Personnel
- Merger, Transfer, etc
- No Cost Extension
- Organization Change

Initiating an Amendment from the *Manage Post Award Amendments: Search* Screen

1. After [logging into Commons](), [navigate to the Non Research module]().

2. Search for awards using the search criteria that appears to SOs.

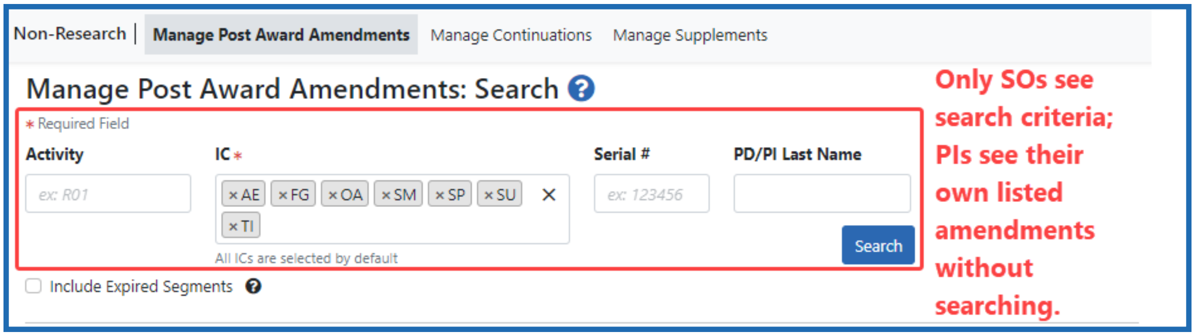


Figure 340: Search criteria that appears for signing officials on the Manage Post Award Amendments screen

3. On the **Manage Post Award Amendments: Search** screen, click an award's three-dot ellipsis menu and select one of the amendment types under **Initiate Application in ASSIST**.

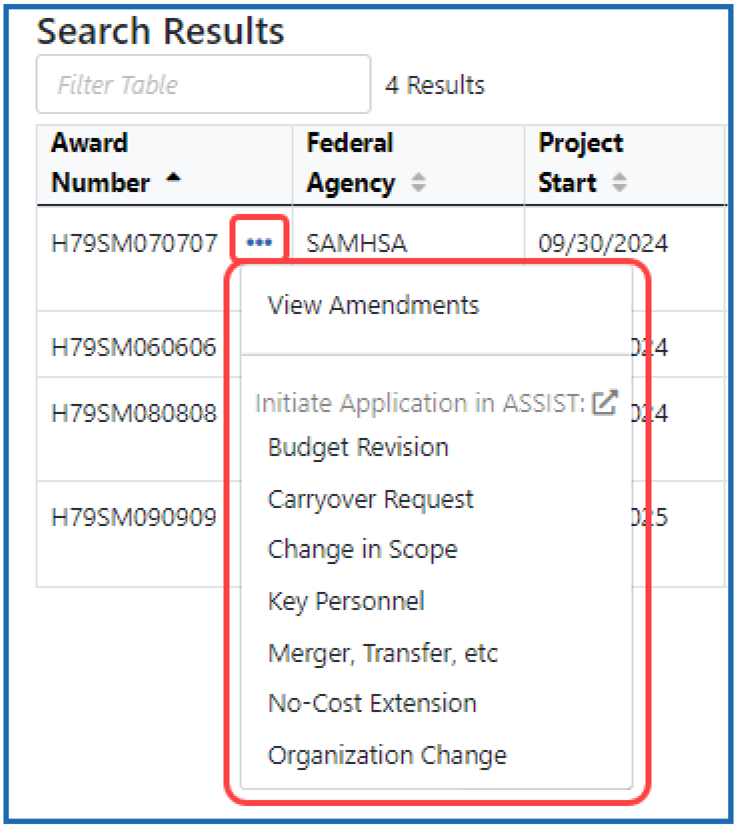
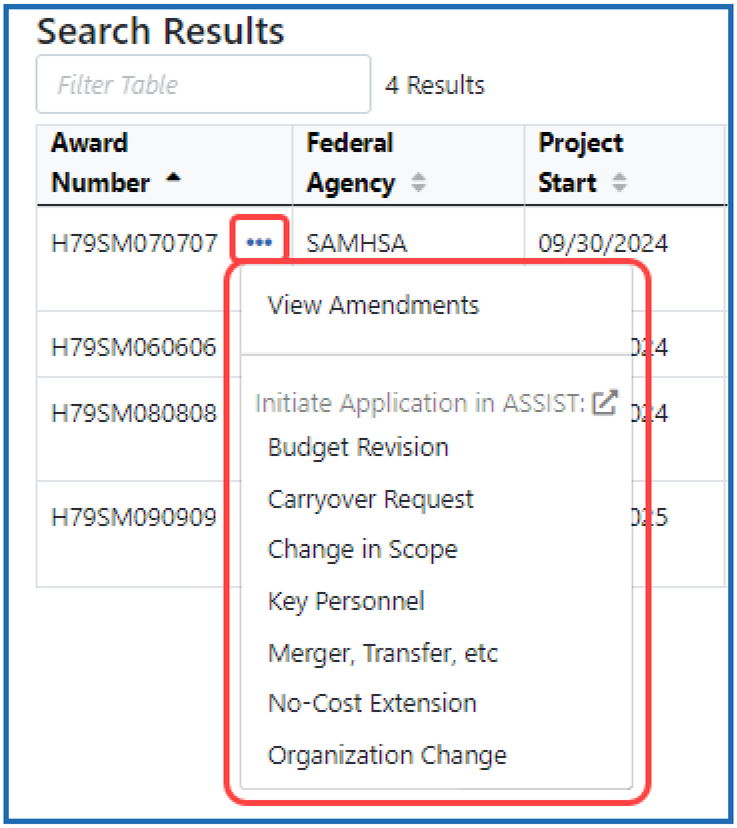


Figure 341: Three-dot ellipsis menu on the Manage Post Award Amendments: Search screen in the Non Research module

The ASSIST module opens. In ASSIST, fill out all required application data and submit as described by ASSIST online help.

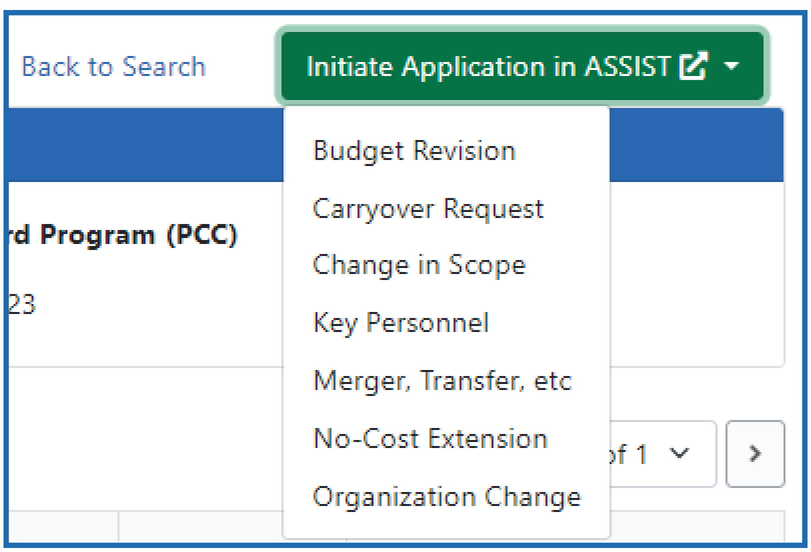
Initiating an Amendment from the *Manage Post Award Amendments: View* Screen

1. After logging into Commons, navigate to the Non Research module.
2. On the **Manage Post Award Amendments: Search** screen, click an award's three-dot ellipsis menu and select **View Amendments**.



The **Manage Post Award Amendments: View** screen appears.

3. Click the **Initiate Application in ASSIST** button, then select one of the amendment types: Budget Revision, Carryover Request, Change in scope, Key Personnel, Merger, Transfer, etc, No Cost Extension, or Organization Change.



The ASSIST module opens. In ASSIST, fill out all required application data and submit as described by ASSIST online help.

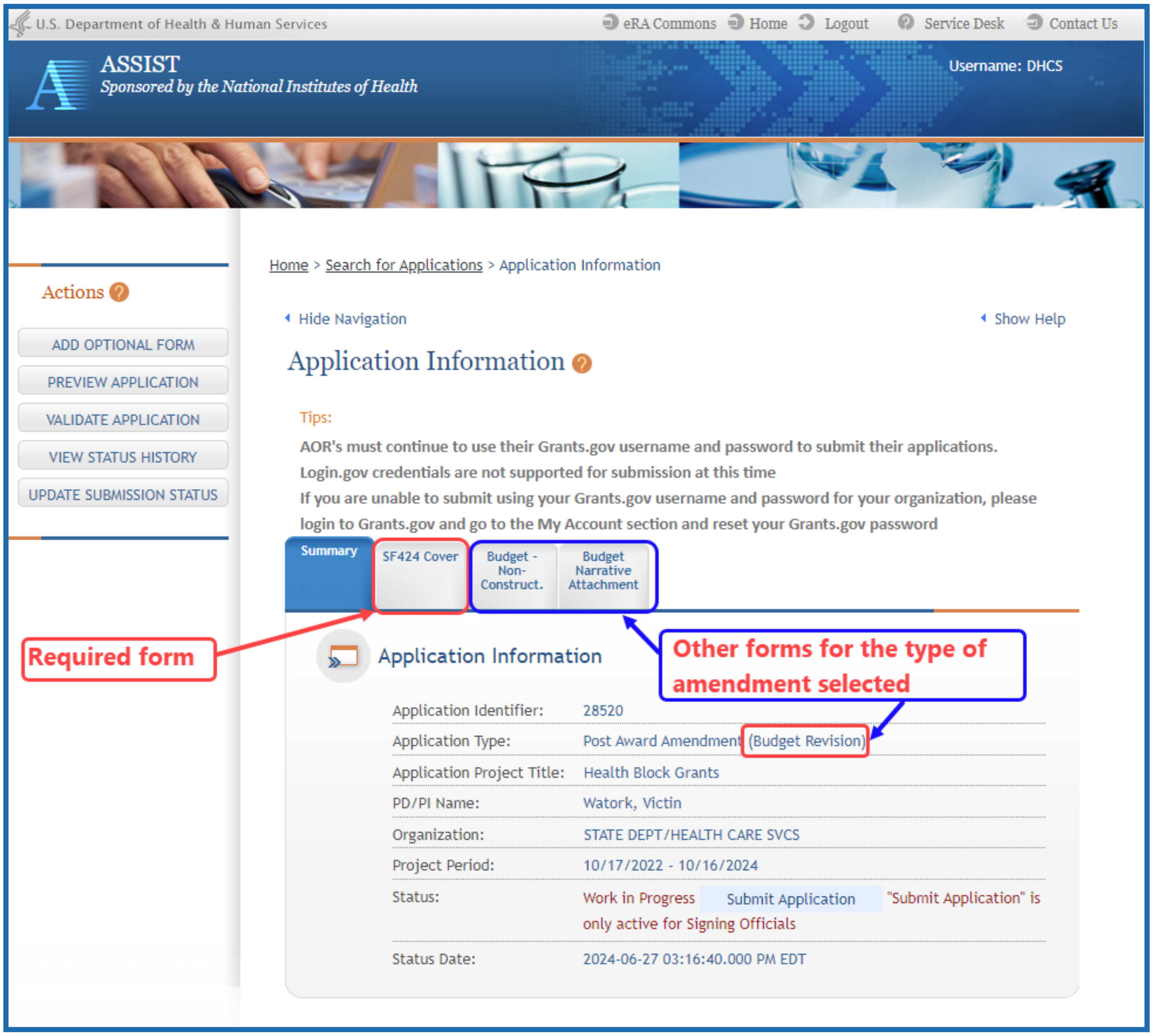


Figure 342: ASSIST screen showing the initial screen for creating a Budget Revision amendment

The application includes the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

The *Application Information* screen in ASSIST shows the type of amendment, the PI and Institution information, etc. Also see help for the ASSIST module: ASSIST online help.

NOTE: It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

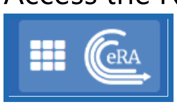
Viewing Non Research Amendments

You can view and manage post award amendments in the Non Research module of eRA Commons. To work with amendments, first log into eRA Commons with the PI or SO role. Awards that have had amendments submitted have a **View** action under the three-dot ellipsis menu.

NOTE: See Post Award Amendment Applications on the SAMHSA website for more information on amendments. (https://www.samhsa.gov/grants/grants-training-materials/post-award-amendments)

Viewing Amendments for a Non-Research Award

To view an amendment for an award:

1. Access the Non Research module by clicking the Main menu/eRA menu  in upper left and selecting **Non Research**.

   The *Manage Post Award Amendments: Search* screen appears.

2. **SOs only:** SOs must enter search criteria and click **Search**.
   SOs can add multiple ICs by selecting them one at a time from the **IC** dropdown.

NOTE: PIs see their non-research amendments listed by default and do not see search criteria.

3. Optionally mark the **Include Expired Segments** checkbox to see awards with project end dates that are in the past.

   The screen shows results in a table. The three-dot ellipsis icon for each result shows available actions for the amendment.

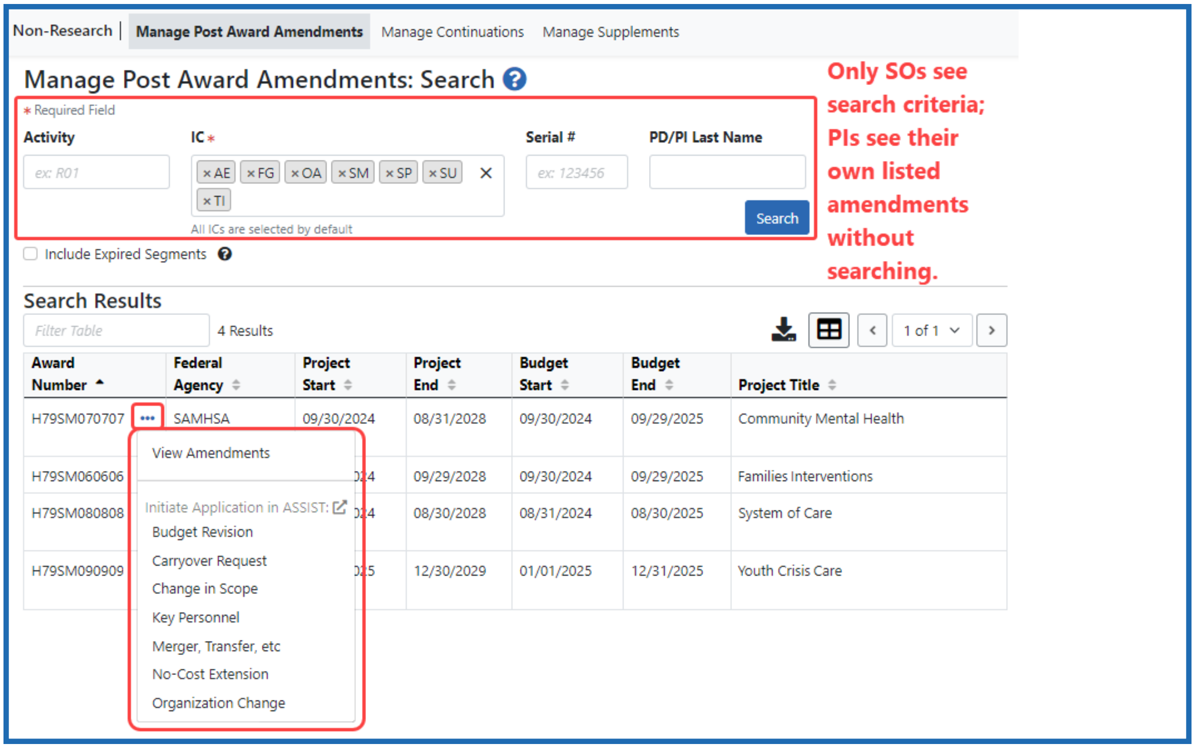


Figure 343: Amendments search screen showing three-dot action menu, including the View Amendments option

4. Select **View Amendments** from the three-dot ellipsis menu.

   The *Manage Post Award Amendments: View* screen appears, listing all amendments associated with that particular award.

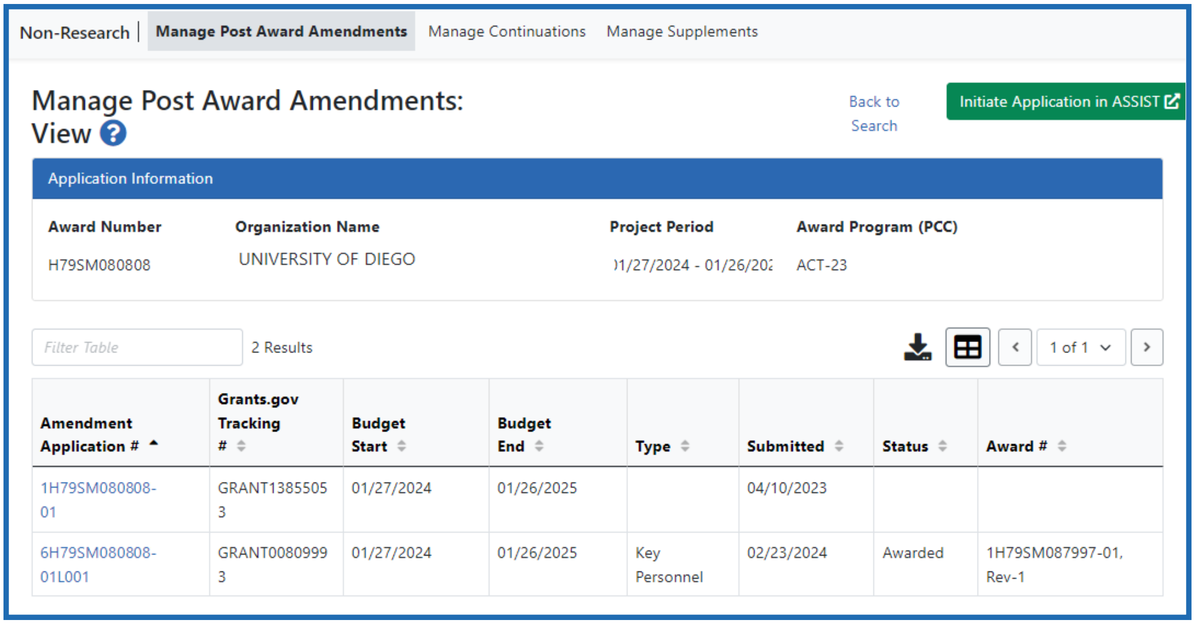


Figure 344: Manage Post Award Amendments: View screen

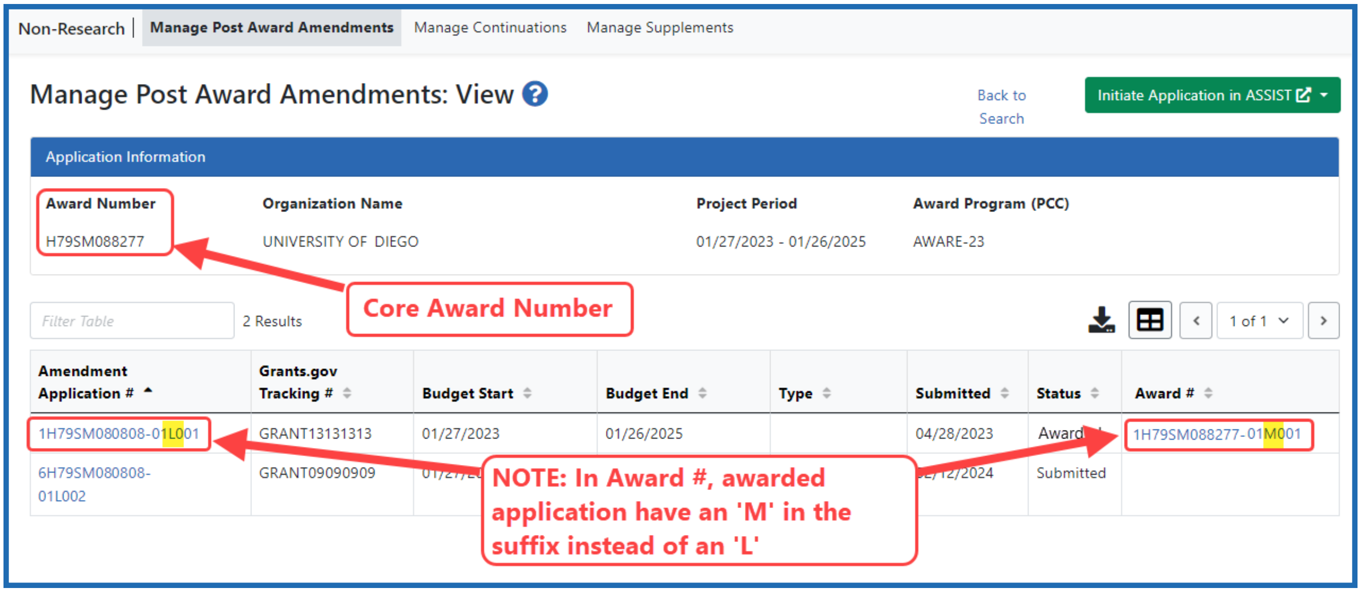
From the View screen, you can also click the linked **Amendment Application #** to view a PDF of the application.

You can also initiate a new amendment application in ASSIST; see:

Initiating an Amendment (Principal Investigator) on page 743

Initiating an Amendment (Signing Official) on page 748

About Award Numbers



Please see these topics for more detail:

- PI Initiate
- SO Initiate

Request for Additional Materials - RAM - for Non Research Awards

After submitting an amendment application, the program official (PO) or grants management specialist (GMS) may ask for additional information to be submitted. This is done via a "Request for Additional Materials" (RAM). The principal investigator (PI) or signing official (SO) or their delegates can upload documentation in response to the request.

NOTE: If you are accessing this screen from an OTA award via the **Add Additional Materials** or **Edit Additional Materials** actions in Status, see *Additional Materials Requests* on page 566 for specific instructions for OTA awards.

To respond to a Request for Additional Materials for a non research amendment:

1. Access the Non Research module by clicking the Main menu/eRA menu  in upper left and selecting **Non Research**.

   The *Manage Post Award Amendments: Search* screen appears.

2. If you are an SO, then enter search criteria and click **Search**.

   NOTE: PIs automatically see eligible awards listed.

3. Click the three-dot ellipsis icon and select Submit RAM Response (RAM Request). .

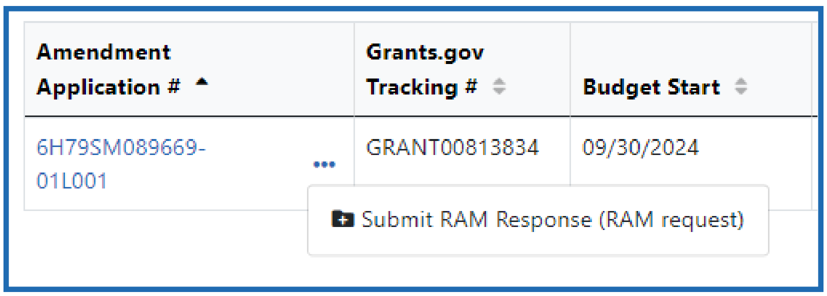
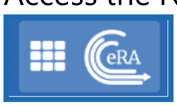


Figure 345: Three-dot ellipsis menu for a non research amendment, showing the Submit RAM Response option

The Post-Award Amendment Application Request for Additional Materials screen appears.

4. Access the Non Research module by clicking the Main menu/eRA menu  in upper left and selecting **Non Research**.

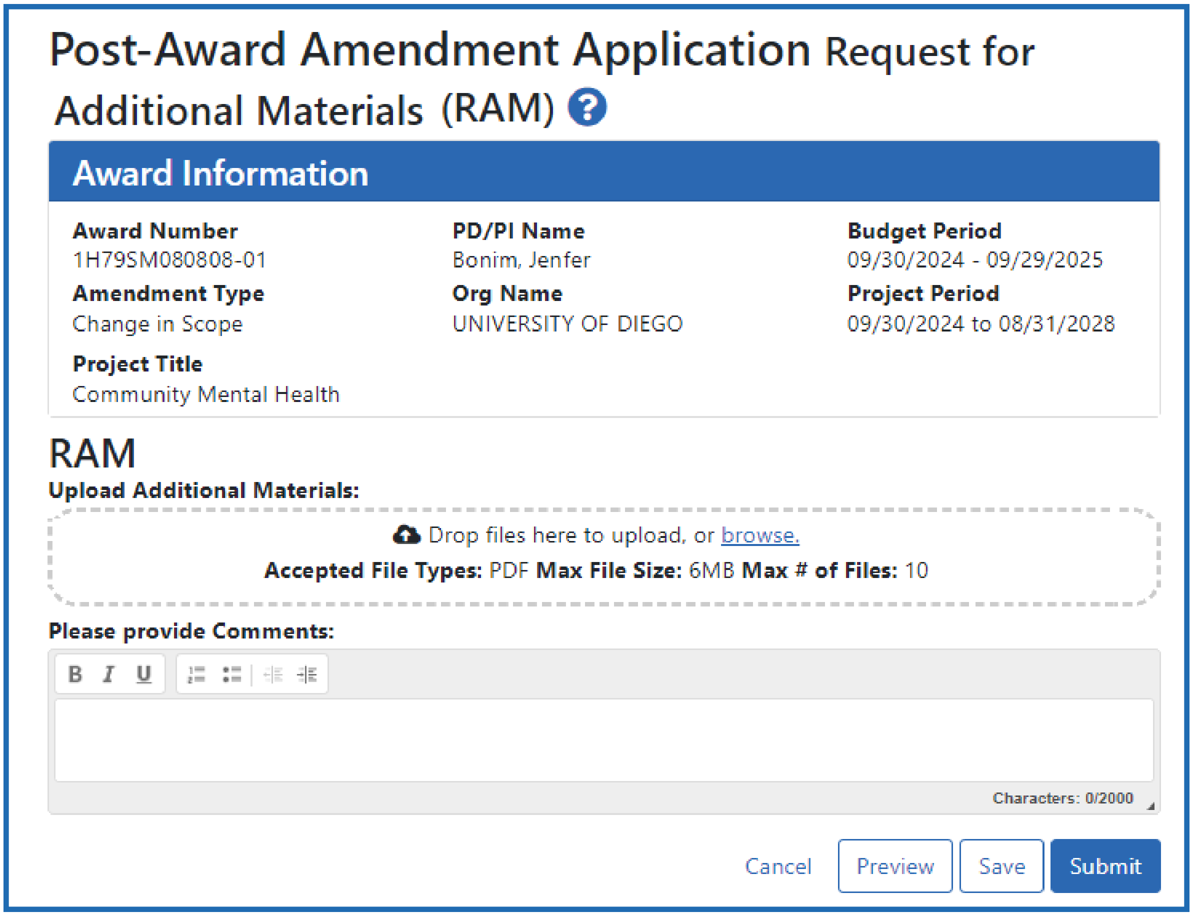
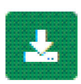
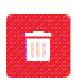


Figure 346: Post-Award Amendment Application Request for Additional Materials (RAM) screen

5. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
6. Add comments to be read by agency staff regarding your submission in the **Please Provide Comments** field.

7. Click **Save** to save the uploaded submission package but not submit it to the agency.
8. Click **Submit** to submit the submission package to the agency. (SO only. PIs do not see the **Submit** button.)

You can also click **Preview** to see a PDF consisting of upload details plus the contents of uploaded files.

About Request for Additional Materials (RAM)

- There can only be one active (i.e. non-submitted) RAM request at a time to which changes can be made by any authorized user. Once submitted, a new RAM is required for additional changes.
- There is no limit to the number of RAMs that the user can submit.
- Both PI and SO can edit the RAM.
- The system provides an audit trail of who uploaded the documents.
- You can click **Preview** to see a consolidated list of all documents uploaded for RAM submission, with the latest on top. The submission to the agency is one PDF with all documents combined.

TIP: Check all documents after uploading to ensure the correct ones have been submitted.

When the RAM is submitted, an email notification is sent to the government project Officer (GPO), grant technical assistant (GTA) and grants management specialist (GMS).

Click the **View Prior RAM** option under the three-dot ellipsis menu to view a consolidated PDF of all prior materials that were uploaded for a Request for Additional Materials (RAM). This option appears only if a prior RAM request was made and materials were uploaded.

Click the **Edit RAM** option under the three-dot ellipsis menu to open the RAM screen and upload requested materials. The **Edit RAM** option does not appear for awarded applications.

Submitting Reference Letters

IMPORTANT: If you are submitting a reference letter for an LRP applicant, see https://www.era.nih.gov/erahelp/LRP/#Ext_SubmitRef/SubmitRefOverview.htm instead of this topic.

If you are asked to submit a reference letter for someone (meaning you are a '***referee***'), you can do so using eRA Commons. Reference letters can be submitted any time after the Notice of Funding Opportunity (NOFO) is posted and no later than the submission deadline. Reference letters cannot be accepted through any means other than eRA Commons. See Reference Letters for information on reference letters. (https://-grants.nih.gov/grants/how-to-apply-application-guide/write-application/reference-letters.htm)

NOTE: Notice of Funding Opportunity (NOFO) is referred to as opportunity number or notice number for short. It replaces the obsolete term of Funding Opportunity Announcement (FOA). See a list at Find Grant Funding. (https://-grants.nih.gov/funding/searchguide/index.html#/)

You do not need to log in to eRA Commons to submit a reference letter for an applicant. Although you - as the referee - do not need a Commons role to submit a reference letter, the candidate on whose behalf you are writing must have a valid Commons account and hold the principal investigator (PI) role. If your candidate has no Commons account or does not have the PI role, you receive an error when attempting to submit a letter.

The candidate's signing official (SO), accounts administrator (AA), or administrative official (AO) at the institution must assign the PI role to the candidate's Commons account.

What You Need Before Starting

Before you submit a reference letter, you need the following:

- Applicant's Commons User ID
- Applicant's last name as it appears on the Commons account

- Notice of Funding Opportunity (NOFO) number, also referred to as opportunity number or notice number.
- Deadline for submitting (between the NOFO release date and application submission deadline). The applicant should provide you with the date by which the letter needs to be submitted.
- If replacing a previously-submitted letter, you need the confirmation number from the first submission; see *Replacing an Already-Submitted Reference Letter* on page 771.

Requirements for Letters

- No longer than two pages
- Not password-protected
- In flattened PDF format. The PDF should not be a fillable form PDF (it should be flattened; see Flattening PDFs for Application Submission and Commons

---

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.

Submitting the Letter

To submit a reference letter, follow the steps below:

1. Access the [Commons login page](#).
2. Click the **Submit a Reference Letter** link.

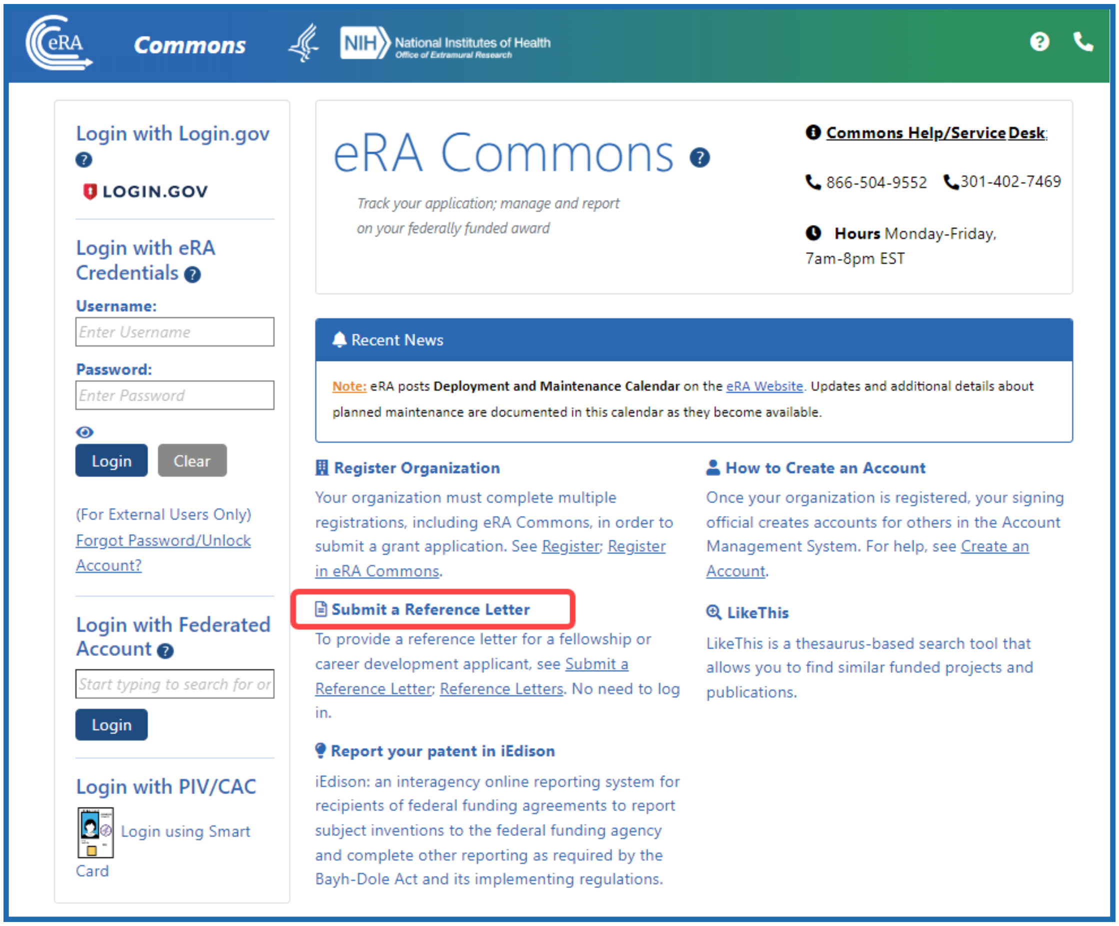


Figure 347: Submit Reference Letter Link

The *Submit Reference Letter* screen displays.

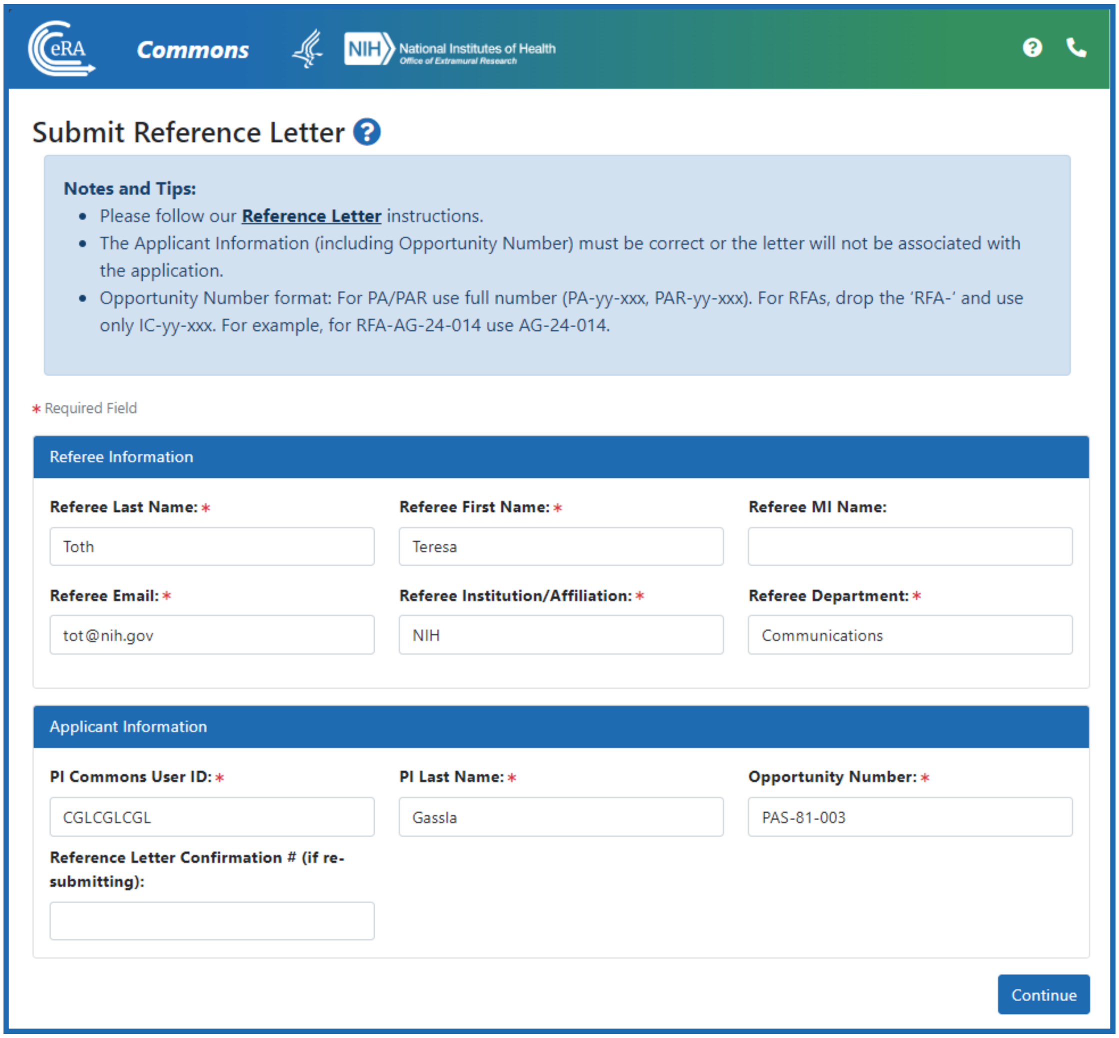


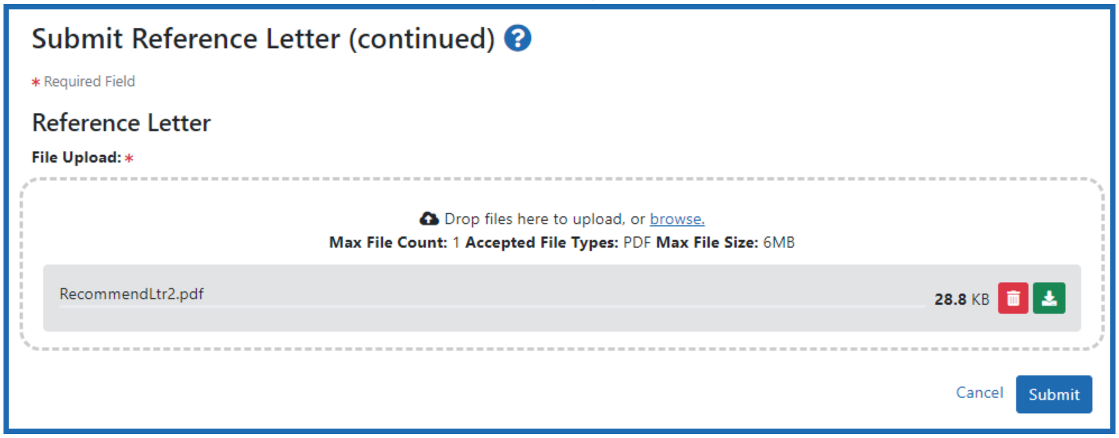
Figure 348: Submit Reference Letter Screen

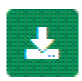
3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*). *Referee* refers to the person who is filling out this form and providing a reference letter.

NOTE: If submitting a reference letter for the first time, ignore the **Reference Letter Confirmation #** field. If replacing a previously-submitted letter, enter the confirmation number for the letter you previously submitted here. See *Replacing an Already-Submitted Reference Letter* on page 771 for more details.

4. Click the **Continue** button.

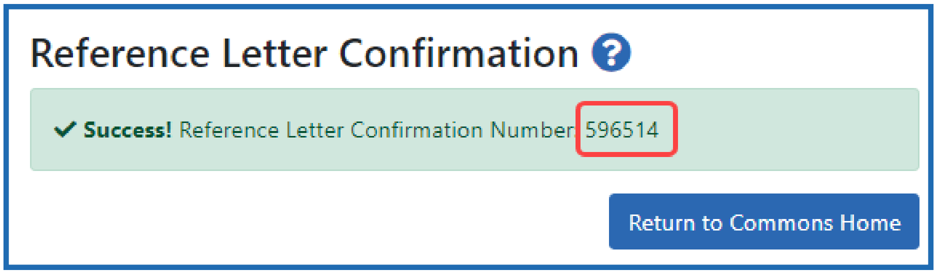
   The next screen lets you upload your letter or form. The letter must be in flattened PDF format and should not exceed two pages.



5. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
6. Click **Submit**.

After submitting, a message appears showing a confirmation number, and you also receive an email with the confirmation number. The candidate receives a confirmation email that the letter was submitted but cannot see the reference letter you've submitted. If you need to re-submit (replace) a reference letter, see *Replacing an Already-Submitted Reference Letter* on page 771.

IMPORTANT: Take note of the confirmation number; if you need to update the reference letter, you must have this confirmation number available.



For more information, refer to the tutorial titled How to Submit a Reference Letter.

Submitting Reference Letters

IMPORTANT: If you are submitting a reference letter for an LRP applicant, see https://www.era.nih.gov/erahelp/LRP/#Ext_SubmitRef/SubmitRefOverview.htm instead of this topic.

If you are asked to submit a reference letter for someone (meaning you are a '***referee***'), you can do so using eRA Commons. Reference letters can be submitted any time after the Notice of Funding Opportunity (NOFO) is posted and no later than the submission deadline. Reference letters cannot be accepted through any means other than eRA Commons. See Reference Letters for information on reference letters. (https://-grants.nih.gov/grants/how-to-apply-application-guide/write-application/reference-letters.htm)

NOTE: Notice of Funding Opportunity (NOFO) is referred to as opportunity number or notice number for short. It replaces the obsolete term of Funding Opportunity Announcement (FOA). See a list at Find Grant Funding. (https://-grants.nih.gov/funding/searchguide/index.html#/)

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What You Need Before Starting

Before you submit a reference letter, you need the following:

- Applicant's Commons User ID
- Applicant's last name as it appears on the Commons account
- Notice of Funding Opportunity (NOFO) number, also referred to as opportunity number or notice number.

- Deadline for submitting (between the NOFO release date and application submission deadline). The applicant should provide you with the date by which the letter needs to be submitted.
- If replacing a previously-submitted letter, you need the confirmation number from the first submission; see *Replacing an Already-Submitted Reference Letter* on page 771.

Requirements for Letters

- No longer than two pages
- Not password-protected
- In flattened PDF format. The PDF should not be a fillable form PDF (it should be flattened; see Flattening PDFs for Application Submission and Commons

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.

Submitting the Letter

To submit a reference letter, follow the steps below:

1. Access the Commons login page.
2. Click the **Submit a Reference Letter** link.

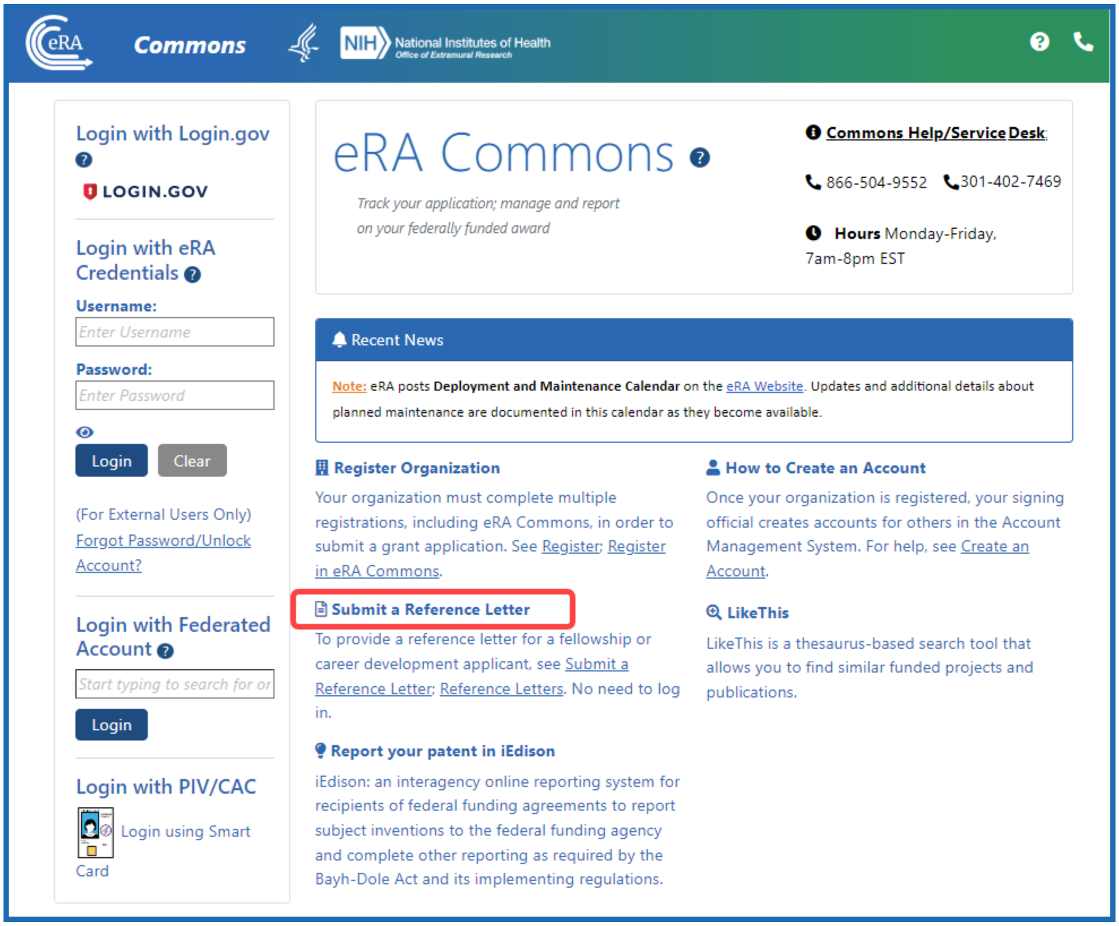


Figure 349: Submit Reference Letter Link

The *Submit Reference Letter* screen displays.

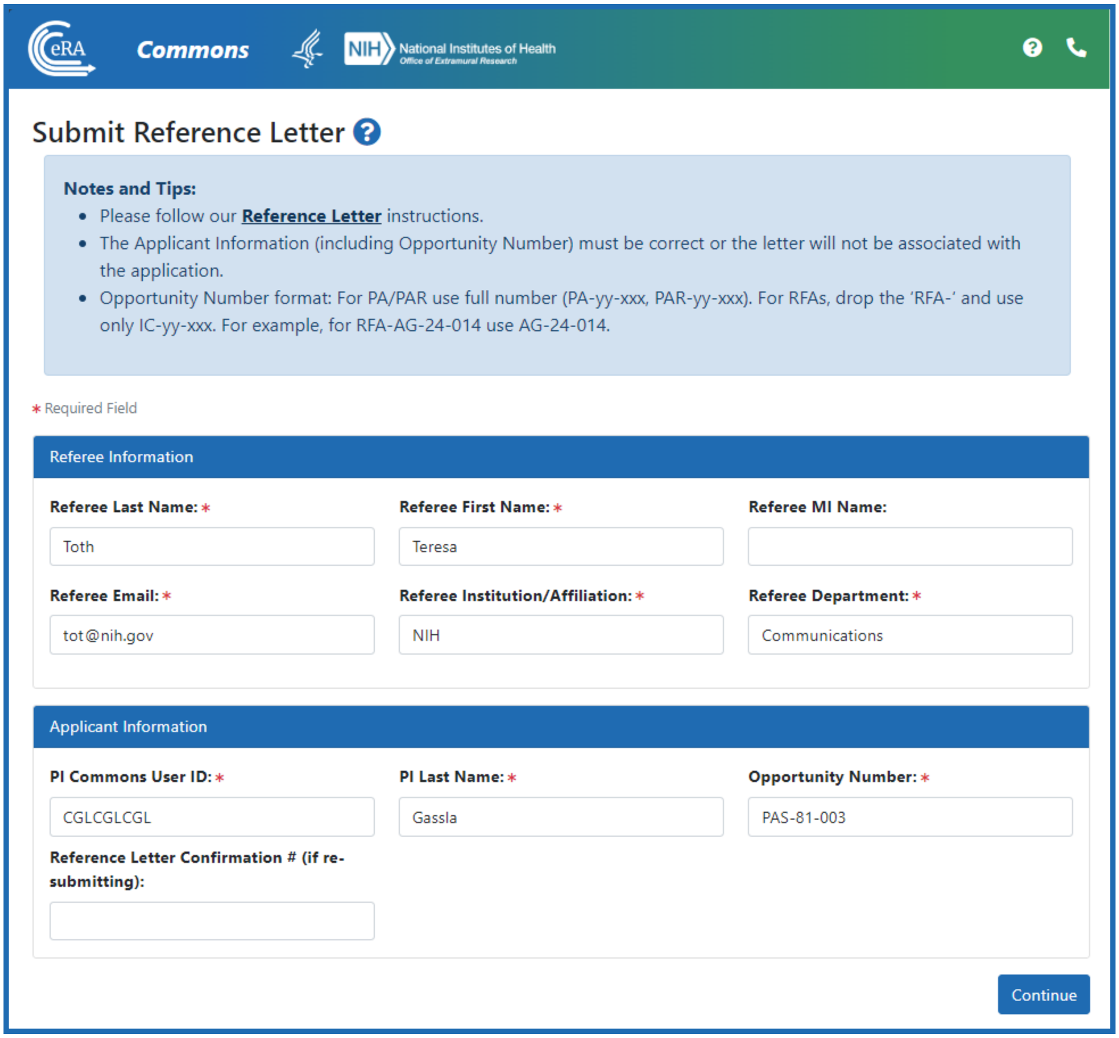


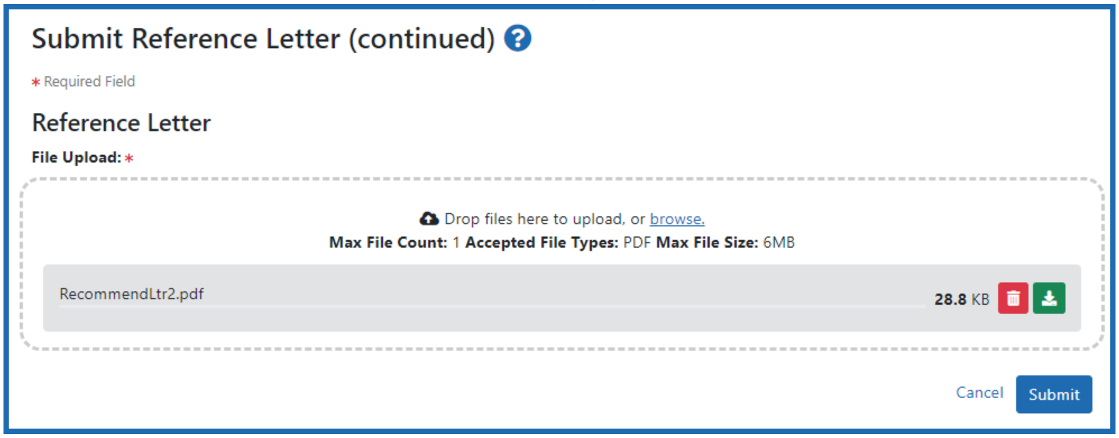
Figure 350: Submit Reference Letter Screen

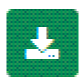
3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*). *Referee* refers to the person who is filling out this form and providing a reference letter.

NOTE: If submitting a reference letter for the first time, ignore the **Reference Letter Confirmation #** field. If replacing a previously-submitted letter, enter the confirmation number for the letter you previously submitted here. See *Replacing an Already-Submitted Reference Letter* on page 771 for more details.

4. Click the **Continue** button.

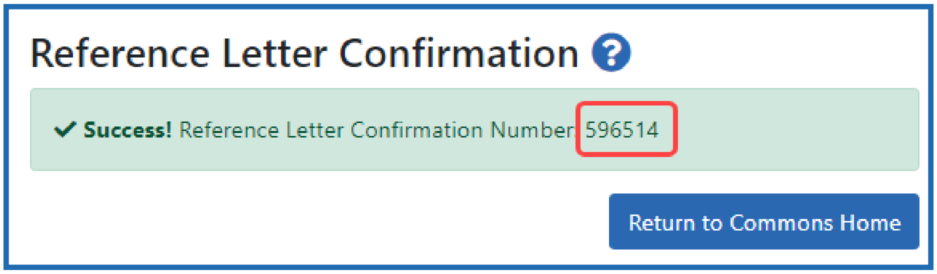
   The next screen lets you upload your letter or form. The letter must be in flattened PDF format and should not exceed two pages.

5. Drag and drop file(s) in the "**Drop Files Here...**" area, or click the **browse** link and choose file(s) from your drive. The drop files area specifies how many files and what file types are allowed. For uploaded files, you can:
   - Click the **Download** icon  and the browser will open or download the file.
   - Click the **Delete** icon  to remove the file.
6. Click **Submit**.

After submitting, a message appears showing a confirmation number, and you also receive an email with the confirmation number. The candidate receives a confirmation email that the letter was submitted but cannot see the reference letter you've submitted. If you need to re-submit (replace) a reference letter, see *Replacing an Already-Submitted Reference Letter* on page 771.

IMPORTANT: Take note of the confirmation number; if you need to update the reference letter, you must have this confirmation number available.

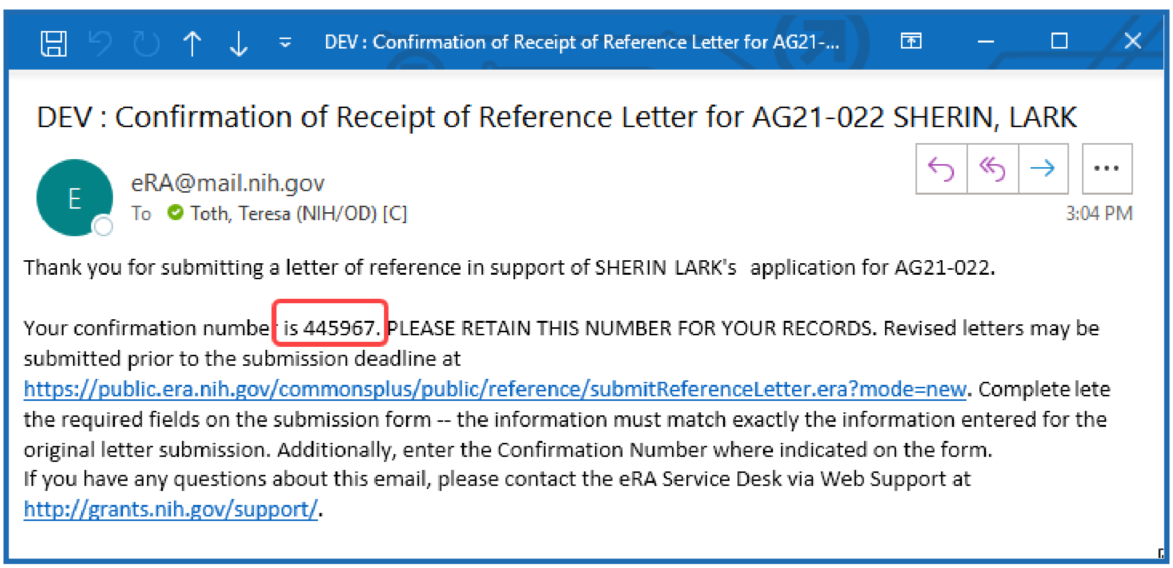


For more information, refer to the tutorial titled [How to Submit a Reference Letter](https://www.youtube.com/watch?v=).

Replacing an Already-Submitted Reference Letter

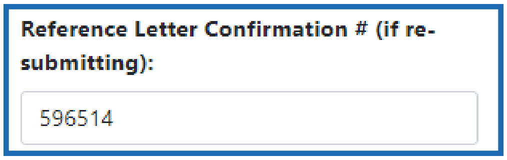
If you previously submitted a reference letter for a grant applicant, and you now want to replace that letter with an updated or corrected letter, you can do so as long as:

- The application deadline has not passed, and
- You know the confirmation number from the submission of the first letter you submitted. When you submitted the letter initially, you saw a screen and received an email, both of which contained the submission confirmation number. Following is an example of the email with confirmation letter:



For letter requirements, see *Requirements for Letters* on page 767.

To submit an updated letter, which will replace the previous letter, follow the steps in *Submitting Reference Letters* on page 766, making sure you enter all the same information for the applicant (last name, Commons ID, opportunity number) that you entered the first time you submitted. Additionally, you must enter the confirmation number that you received after your first submission in the **Reference Letter Confirmation #** field.



Finding Recent NoAs, Awards with RPPRs Due, or Awards Pending Closeout

This topic gives brief instructions on eRA Commons searches that signing officials might perform in order to monitor and track their organization's award activities and deliverables.

The searches described below require:

- That the user be logged into eRA Commons
- That the user must have the signing official (SO) role

NOTE: These "How-Tos" represent alternatives to the now-discontinued Quick Queries.

How to Find Awards Pending Closeout?

1. Go to the Status module.

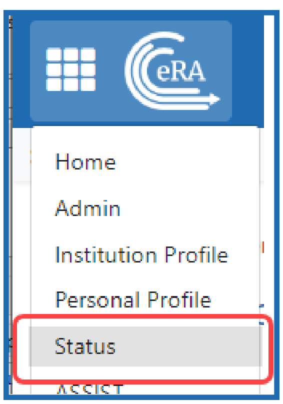


Figure 351: Status option in Main menu

2. Select **Closeout** from the **Search Type** dropdown.
3. Select **Requires Closeout** from the **Closeout Status** dropdown.

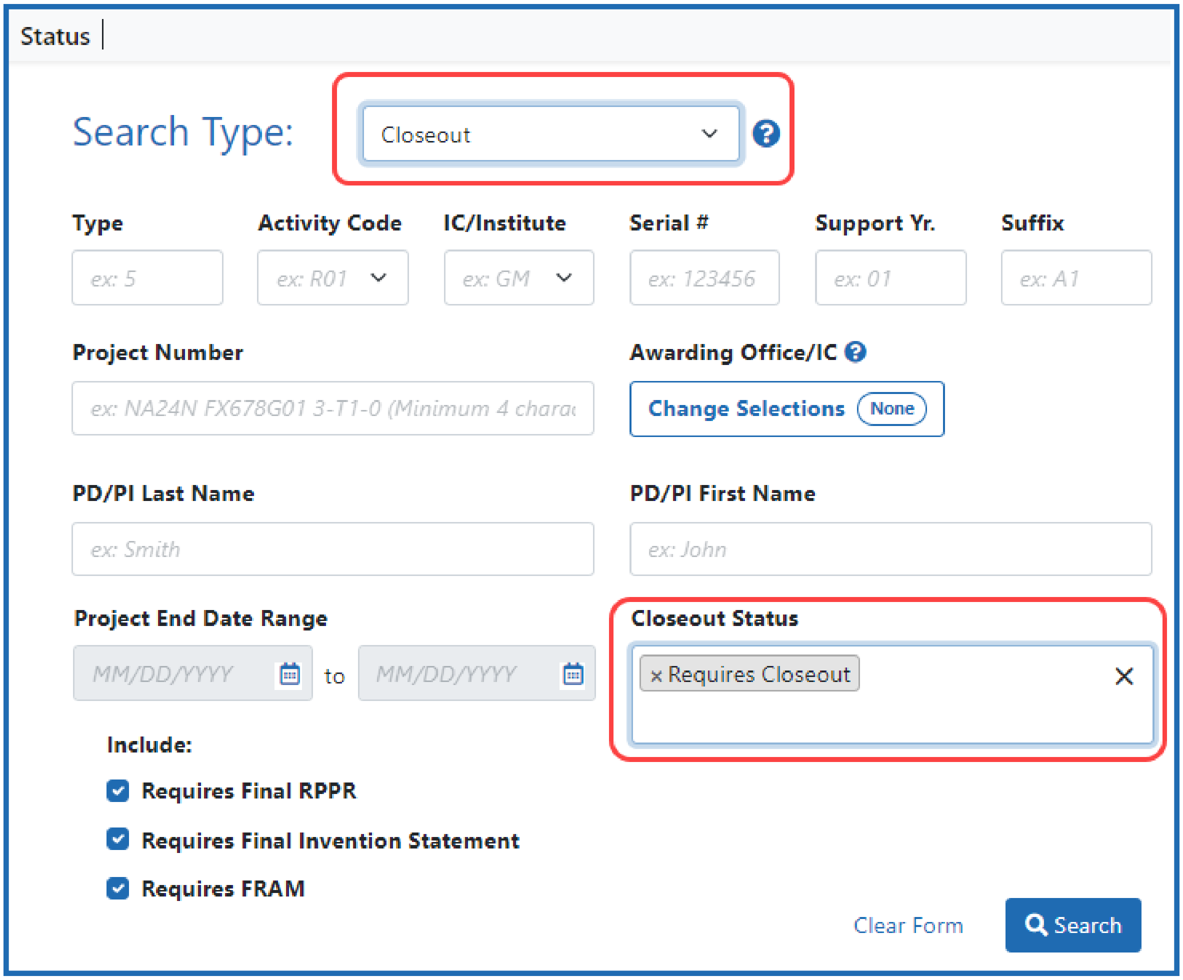


Figure 352: Status module with Closeout Search Type and Requires Closeout in Closeout Status field

4. Click the **Search** button.

Search results appear. The **Requires Closeout** action is available under the three-dot ellipsis menu in search results.

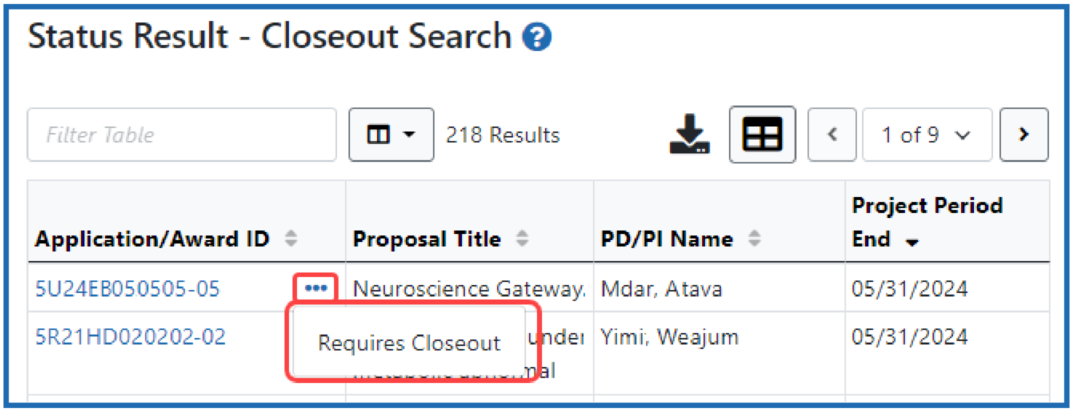


Figure 353: Status search results showing Requires Closeout under the three-dot ellipsis menu

How to Find Annual Awards with Progress Reports Due?

1. Go to the RPPR module.

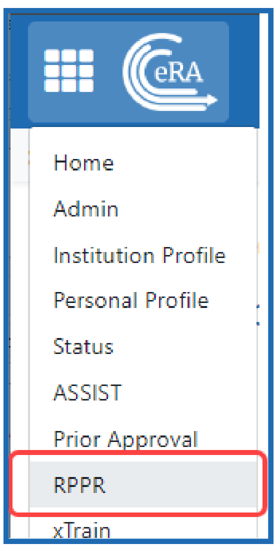


Figure 354: RPPR option showing in the eRA Commons Main menu

2. Select **Not Started** from the **Status** dropdown.

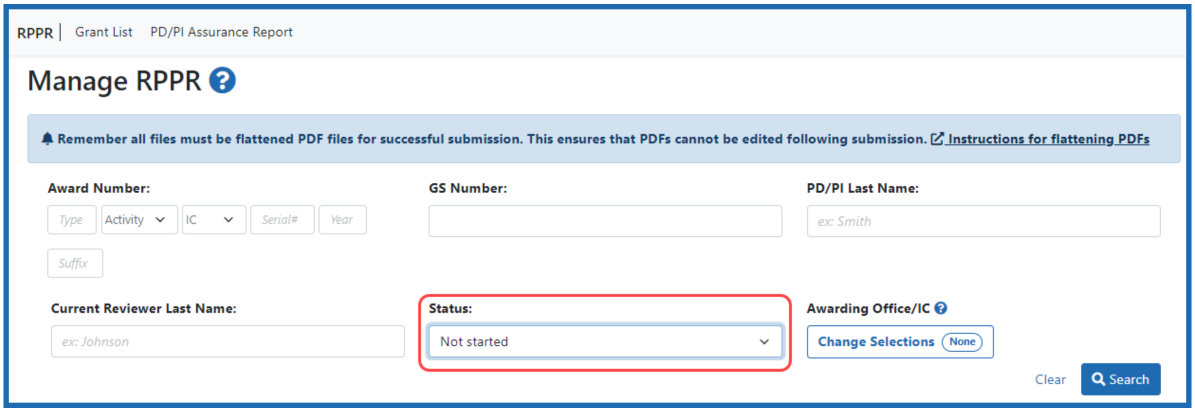


Figure 355: Manage RPPR screen with Not Started selected in the Status field

3. Click the **Search** button.

   Search results appear in a table.

4. Click the **Due Date** column heading to sort by Due Date.

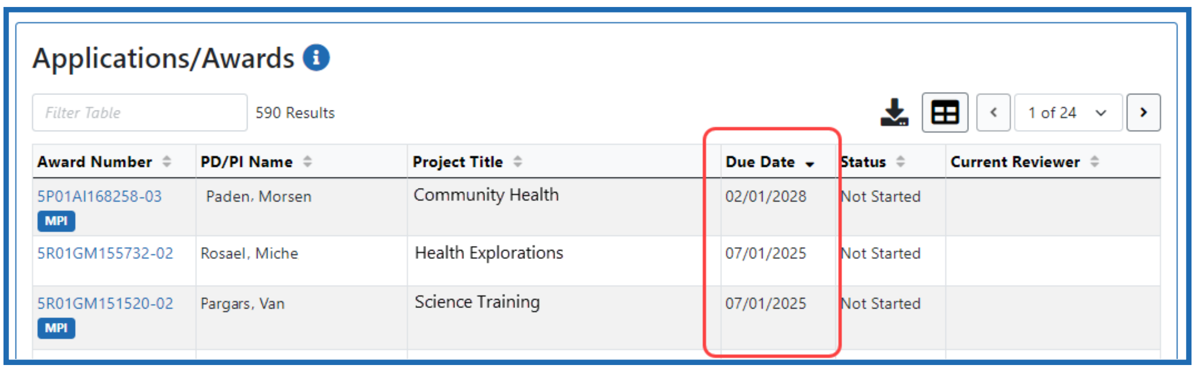


Figure 356: Search Results in RPPR module after searching for Not Started RPPRs and sorting by Due Date

5. View the **Due Date** column to find RPPRs with upcoming due dates.

How to Find Recently Issued Notice of Awards (NoAs)?

1. Go to the Status module.

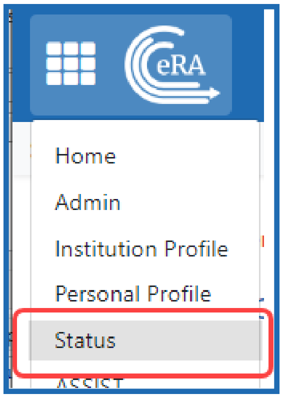


Figure 357: Status option in Main menu

2. Select **Recently Awarded** from the **Search Type** dropdown.

3. In **Days Since Awarded**, type a number of days prior to be searched for recently awarded NoAs. Example: If you enter 15, then search results show all NoAs awarded in the last 15 days.

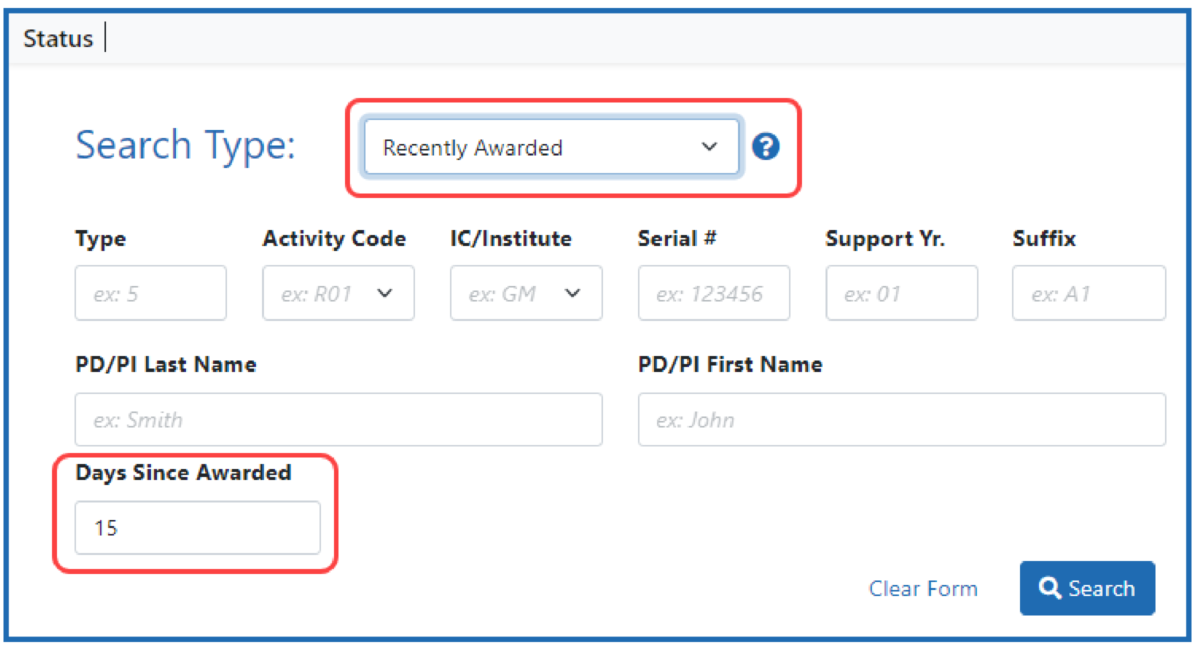
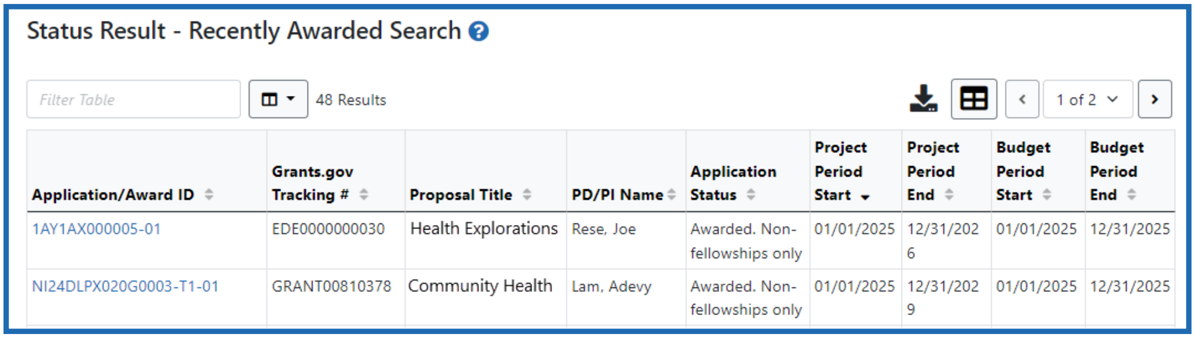


Figure 358: Status module with Recently Awarded Search Type

4. Click the **Search** button.

   Search results appear in a table.


Status Result - Recently Awarded Search

Filter Table

48 Results

1 of 2

Application/Award ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Project Period Start	Project Period End	Budget Period Start	Budget Period End
1AY1AX000005-01	EDE0000000030	Health Explorations	Rese, Joe	Awarded. Non-fellowships only	01/01/2025	12/31/2026	01/01/2025	12/31/2025
NI24DLPX020G0003-T1-01	GRANT00810378	Community Health	Lam, Adevy	Awarded. Non-fellowships only	01/01/2025	12/31/2029	01/01/2025	12/31/2025

Figure 359: Status search results showing recently awarded Notices of Award

Shown are awards with a recently awarded Notices of Award.

Department of Commerce (DOC) Resources

Department of Commerce (DOC) is transitioning to use eRA system for award management. To help DOC grant applicants and grantees get started with using eRA, please see the following resources:

Department of Commerce (DOC) Training Materials

The following DOC webpage contains Webinar recordings, video tutorials, Powerpoint presentations, and business process guides for all aspects of the grant lifecycle in eRA systems.

Applicant and Grantee Training (https://www.commerce.gov/ocio/programs/gems/applicant-and-grantee-training)

The above webpage includes topics such as:

- Commons organization registration
- individual user registration
- user roles, login and password procedures
- Personal Profile
- application submission and tracking
- award acceptance
- post-award activities (reports, requests, correspondance, and terms and conditions)

Department of Commerce Help Topics

Accepting or Declining a DOC Award on page 509

Revision Requests for DOC Awards on page 512

Payment Request Overview on page 229

Closeout Status for DOC Awards on page 645