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Email: helpdesk@od.nih.gov (for IMPAC II Support)
Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

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.
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1 About eRA Commons

The Electronic Research Administration (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://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.

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

See:

Welcome to eRA Commons!
First-Time Login With Temporary Password
Logging into eRA Commons
Registering Institutions and Organizations
2 Latest Updates

2.1 May 23, 2022
Updated the Delegations topics to align with the new look and feel of all delegation screens. See Delegations.

2.2 May 20, 2022
Updated the Demo Site topic to align with the new look and feel of Demo registration screens. See Commons Demonstration Site.

2.3 May 2, 2022
In the Institution Profile, updated the About the Institution section to align with the new use of unique entity identifiers instead of DUNS numbers. DUNS number, if they exist, still display in About the Institution. See About the Institution. Relinquishment of Institution (Change of Institution) screens are updated to show new UEI field in the place of where the DUNS number formerly appeared.

2.4 April 26, 2022
Made changes to align with new unique entity identifier replacement of DUNS number.

2.5 March 7, 2022
Updated Prior Approval section with all new screenshots to match the new look and feel of the Prior Approval module. See Prior Approval Module.

2.6 March 2, 2022
The screens for registering your institution have been updated; see Registering Institutions and Organizations.

2.7 February 15, 2022
Updated the screens for requesting an ESI extension due to Reason for Hiatus screen design and label changes; see Complete and Submit the ESI Extension Request Form.

2.8 February 4, 2022
Added a link for updated instructions for NIH or other Agency staff to log into Commons. The updated instructions also contain details for NIH staff with a PIV exemption. See Log In with PIV/CAC or With Network Credentials+PIV Exemption.

2.9 January 11, 2022
Added information on a new section named Loan Repayment Program (LRP) that will appear in the Name and ID section of Personal Profile for certain LRP applicants. See Name and ID.
2.10 January 20, 2022

Updated all Federal Financial Report (FFR) module screens to the new look and feel for eRA modules. Also, a new option was added to the search screen for external FFR users to search for SAMHSA multi-year funded awards. See Search for FFRs.

2.11 November 10, 2021

The "Recent Substantial Service" option was removed from the Reviewer Information section of the Personal Profile; see Reviewer Information.

The eRA password screens and password policy have been updated; see http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf. Keep in mind that even if you log in to eRA Commons via login.gov, you still possess an eRA username and password, and you must annually update the password.

2.12 October 1, 2021

The reference letter submission screens for applicants have been updated to a new look and feel; see Submitting Reference Letters.

2.13 September 15, 2021

Users with InCommons Federated Accounts can continue using them for eRA Commons login only if their institution supports NIH's two-factor authentication standard. See Federated Institutions/Organizations Commons Login for more information.

2.14 September 8, 2021

There is a new Prior Names section under Name and ID in the Personal Profile module for managing name changes; see Editing Name and ID.

2.15 June 24, 2021

Era Commons has added new VA-specific Just In Time (JIT) screens. Help is available for VA applicants here, and for VA agency staff here. Also, a new JIT search screen has been added for signing officials of all agencies; see Just in Time (JIT) Search for SOs.

Also, the Login.gov section of the eRA Commons login screen was moved to the top of the login screen, and minor screenshot changes were made to reflect this.

2.16 May 19, 2021

The eRA Commons login page has been redesigned to more clearly indicate where to find help. See Welcome to eRA Commons!

Also, PDF files uploaded in the following locations are now required to be flattened PDFs. See Just in Time (JIT) Screen and How Do I Fill Out the RPPR Forms?

- JIT Other Support File section
- RPPR Participants section D.2.b New Senior/Key Personnel
- RPPR *Participants* section **D.2.c Changes in Other Support**

### 2.17 May 3, 2021

The eRA Commons landing page (the screen that follows a successful login) has been updated to include a navigation button to Internet Assisted Review and to clarify the purpose of the Help Topics for... buttons. See *Welcome to eRA Commons!*

### 2.18 March 29, 2021

As indicated in *Updated Reporting Requirements for RADx-rad Grant Recipients*, RADx-rad grant awardees can now use the **Add Additional Materials** option in Status to submit any documentation requested by the awarding agency. See *Submitting Interim Reports for RADx Grants*.

### 2.19 March 26, 2021

VA signing officials can now view the summary statement for grants that have completed the peer review process; see *How Does an SO See the Review Outcome?*

### 2.20 March 4, 2021

As indicated in *NOT-OD-21-038: Updated Instructions on Interim Reporting and Carryover for RADx-UP Recipients*, RADx grant awardees can now utilize the **Add Additional Materials** option in Status to submit any documentation requested by the awarding agency. See *Submitting Interim Reports for RADx Grants*.

### 2.21 January 12, 2021

eRA Commons has a new login and landing screen. Many screenshots have been updated, as well as procedures that deal with login or accessing resources from the login or landing pages. See *Welcome to eRA Commons!*

### 2.22 January 4, 2021

Rewrote documentation about submitting an FFR. As of January 1, 2021, FFR completion and submission is now done in PMS and is only **initiated from FFR in eRA Commons**.

### 2.23 November 12, 2020

Added new screen in Institution Profile that lets you upload your institution's FCOI policy for Agency review. See *Institutional Financial Conflict of Interest Policy*.

### 2.24 October 30, 2020

The look and feel of the *Just In Time* screen in the Status module has been updated; see *Navigating and Using the UI in eRA Modules*. The *Just in Time* screen also has additional validations and a section for entering the IACUC date; see *Just in Time (JIT) Screen*. 
2.25  **October 20, 2020**  
The Page One for Notice of Awards has been updated. See *Viewing the Notice of Award (NoA)* for information and helpful links.

2.26  **September 14, 2020**  
The look and feel of Early Stage Investigator screens has been updated, and the online help has been updated to reflect the new user interface. See *Overview--Early Stage Investigator (ESI) Status*

2.27  **September 10, 2020**  
In the RPPR for multi-project awards, you can now select awarded components rather than manually adding them. See *Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing*.

2.28  **August 24, 2020**  
Awardees of Other Transactions Authority grants (OTAs) can now upload additional materials and submit to the funding agency using the Status module in eRA Commons. See *Additional Materials Requests*.

2.29  **July 31, 2020**  
AHRQ grantees can now use the **Extension** link in eRA Commons Status module 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. See *No-Cost Extension (NCE) for AHRQ Grants*.

2.30  **July 25, 2020**  
Much of the functionality for administrative supplements has been removed from eRA Commons. Applicants will still have the option of initiating an administrative supplement within eRA Commons but will be transferred to ASSIST to complete the submission. Choosing to edit an existing administrative supplement in eRA Commons will redirect you to the administrative supplement in ASSIST. See *Administrative Supplement Request*.

2.31  **June 24, 2020**  
Users with the signing official (SO) role now have access to Summary Statements for applications that have been evaluated at a peer review meeting. See *How Does an SO See the Review Outcome?*

2.32  **April 8, 2020**  
Topic added on *Determining your Early Stage Investigator Status*

2.33  **April 6, 2020**  
Two-factor authentication option now implemented.
2.34 August 16, 2019

Unfunded Application Notification topic added.

2.35 August 5, 2019

Early Stage Investigator (ESI) Extension topic added under Personal Profile topic.

2.36 April 30, 2019

Correction made to the Final Invention Statement topic changing the submission requirement from 90 to 120 days.

Enhancement made to the ORCID topic to show the authorization screen to connect the Commons Personal Profile to the ORCID account.

2.37 April 16, 2019

Minor updates to the Delegations table.

2.38 September 6, 2018

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

Added clarification language to Closeout Status and Submitting Your Final RPPR topics regarding the Interim and Final RPPRs.

2.39 August 22, 2018

Correction made to Delegations topic and table.

2.40 August 10, 2018

Status Information and How Does a PI See the Review Outcome? sections updated.

2.41 July 24, 2018

Added note in FCOI Initiation to avoid any non-numeric characters for SFI >$600K.

2.42 June 11, 2018

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

Go to the HSS online help for more information.

2.43 January 4, 2018

ORCID may now be created or associated directly from the Personal Profile module.

2.44 December 28, 2017

Numerous screens in the Federal Financial Report (FFR) module have been updated to a more secure GUI.
2.45  **November 8, 2017**

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

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

2.46  **September 20, 2017**

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

See the section on **Interim Report Additional Materials**.

2.47  **August 22, 2017**

Personal Profile Module - Education

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

2.48  **June 8, 2017**

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

2.49  **June 1, 2017**

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

2.50  **April 10, 2017**

Security and validation updates.

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

2.51  **February 23, 2017**

**Prior Approval** - Users may now request a **change of the PD/PI** on a grant.

2.52  **February 21, 2017**

**Prior Approval** - Users may now request a **No Cost Extension** (NCE) via Prior Approval.
2.53 February 1, 2017


2.54 January 19, 2017

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

2.55 January 17, 2017

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

2.56 January 1, 2017

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

2.57 December 2016

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

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

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

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

NIH will maintain the business rule that allows the Signing Official (SO) to delegate the submission of the Final RPPR or Interim-RPPR to a Program Director/Principal Investigator (PD/PI).
2.58 October 2016

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

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

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

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

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

- Use one of the four login methods to access eRA Commons. We recommend creating and associating a login.gov account, which uses two factor authentication for enhanced security.

- Use Quick Queries to learn if your organization is already registered in eRA Commons and to look up grant information.

- New to eRA Commons? Click to see help for your specific situation, whether applying for a grant, awarded a grant and in need of grant management info, or evaluating grant applications as a peer reviewer.
Methods for logging in. For help on login methods, see Logging into eRA Commons.

Learn How to Use eRA Systems. Panels leading to role-specific help for applicants, grantees, or reviewers.

Quick Queries. Search public grant information without logging in.

eEdison. Report patents or inventions.

Getting Started links. Learn how to register an institution, work with a demo environment, create accounts, or submit reference letters.

News. Latest eRA news.

Service Desk Contact Information. Get help from the eRA service desk.

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.
Navigate to the most commonly used modules by clicking the module's colored tile or use the Apps 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.

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

### 3.1 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:
3.1.1 Log In with Login.gov

If switching to Login.gov, follow the instructions in Transitioning To and Using Login.gov.

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.

The table below indicates which methods internal (staff) and external users can use. For external users, use of eRA Credentials is being phased out during 2021 in favor of login.gov, which provides two-factor authentication.

<table>
<thead>
<tr>
<th>Authentication Method</th>
<th>External</th>
<th>Internal</th>
</tr>
</thead>
<tbody>
<tr>
<td>eRA Credentials</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Federated Account</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>PIV/CAC</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>login.gov account</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

1 Only for users with accounts at Federated institutions/organizations.
3.1.2 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 Login.gov account, which associates the eRA credentials with the Login.gov account, but uses Login.gov for authentication. 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.

3.1.2.1 To log into Commons:

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.

![Login with eRA Credentials](image)

(For External Users Only)
**Forgot Password/Unlock Account?**

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

A successful login shows the username, institution, and user roles in the upper right of each screen. For newer screens you click the person icon to see this information, while older screens show it in the header.

![User Information](image)

![Footer](image)
Are you affiliated with multiple institutions? Make sure that the correct institution is displayed after you log in. This will affect the information you can access in Commons. Refer to the topic called Changing the Displayed Affiliated Institution on Page 39 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.

The modules accessible to a user depend on that user’s role and privileges. See Opening Modules for information on navigating to modules.

### 3.1.3 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 for instructions.

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

If you are an internal NIH or 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).

### 3.1.5 Commons Landing Page

After logging in, you see the landing page. See Welcome to eRA Commons! for details.
3.1.6 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.

3.2 Transitioning To and Using Login.gov

eRA is moving to two-factor authentication via Login.gov for accessing its external modules, meaning that log-in will require something you know (password) and something you have (a phone or other device).

Users of eRA Commons, Commons Mobile, IAR, and ASSIST must transition to the use of Login.gov credentials, instead of their Commons username and password, to log in. 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.

3.2.1 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. Groups of reviewers are being migrated during 2021; if you are a reviewer attempting 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 before the September 15 deadline.

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://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://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/commons/

- Ensure your eRA Commons account is active and. 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.
For those who use InCommon federated credentials, NIH is working with the InCommon Federation community to determine if and when that service could implement the necessary two-factor authentication processes to allow that login method to continue in the future.

### 3.2.2 Detailed Login.gov Steps and Troubleshooting

**Accessing eRA Commons with Login.gov for the first time**

**Steps for the Initial Setup at Login.gov**

<table>
<thead>
<tr>
<th>STEP 1</th>
<th>STEP 2</th>
<th>STEP 3</th>
<th>YOU ARE DONE!</th>
</tr>
</thead>
<tbody>
<tr>
<td>Click on the login.gov option on eRA Commons</td>
<td>Create a login.gov account</td>
<td>Associate your login.gov account with your eRA Commons account (one-time only)</td>
<td>The next time you log into eRA Commons using login.gov, you will automatically be redirected to eRA Commons without having to log in again.</td>
</tr>
</tbody>
</table>

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

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.

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.
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:
Welcome to Commons Screen

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:
3. If it still does not work, please contact the eRA Service Desk at https://era.nih.gov/need-help
4.1 **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 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 are required to use Login.gov; see Transitioning To and Using Login.gov.

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 that should be available in early 2022.

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

4.1.1 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 are not using old bookmarked URLs to access eRA Commons. The URL for eRA Commons is https://public.era.nih.gov/commons/.

• 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?

4.1.2 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.

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.

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.

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

4.2 Switching Institutions

Are you a PI who has switched institutions?

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

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

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

Follow these steps if you switch institutions:
1. Request that the SO at your new institution/organization affiliate your existing Commons account with your new university/organization. You will need to provide the SO with your Commons ID.

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

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

   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.

   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.

4.3 Changing the Displayed Affiliated Institution

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

To select a specific institution to work with in Commons:

1. Log into eRA Commons.

2. If you are affiliated with multiple institutions, the login info area at the upper right corner of the page screen lets you switch institutions. The login info area varies depending on the screen you are on:
   - If you see the following user info in the upper right, click the linked institution name.
If you see the person icon in the upper right, click it and then click the **Change Institution** link.

The *Change Affiliation* screen opens, which lists the names of all institutions with which you are affiliated.
3. Select the radio button of the institution you want to work with in eRA Commons.

4. Click the Submit or Save button to set the institution as your current default. When you log in, you are automatically set to log into the default institution.

In eRA Commons, you now see the grant data and roles associated with the institution you chose. You can check your current institution from selected Commons screens in the user area at the upper right.

4.4 **Logging out of Commons**

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

eRA Commons is in the midst of a shift from an older user interface for modules to a newer modern look. During the transition, you will see a mix of older and newer headers, and logging out is slightly different between these.

Use the following methods to log out, depending on which header you see.
With the newer blue header (below), click the Person icon in the upper right, and then click the Sign Out link in the dropdown menu.

4.5 Create or Edit a New Commons Account

If you are a Commons user with one of the following roles, you have the ability to create new Commons user accounts (such as for a PD/PI) using the Manage Accounts feature.

- SO (signing official). Can create accounts of any role type, including creating additional SO accounts. See Signing Official (SO).
- AO (administrative official). Create all accounts except SO, BO, FCOI accounts, and IAR accounts
- AA (account administrator). Create all Commons accounts except SO, FCOI accounts, and IAR accounts
- BO (business official). Create all accounts except SO, BO, FCOI accounts, and IAR accounts
Users, such as principal investigators (PIs), cannot create their own accounts. Commons accounts are created by users with the roles mentioned above or via invitation, appointment, or institutional registration (see additional links below).

You can also use the steps in this procedure to edit an account. 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. Keep in mind that 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.

To create a new account:

1. Navigate to the Admin module, and select the Accounts tab.
2. Select the Account Management option.

The Search Accounts screen opens in a separate window. You'll notice that there is no Create New Account button displayed at this time. You cannot create a new account until you perform a search for the account first. This measure is in place to help avoid the creation of duplicate accounts.
By default, the "Search only within my organization" checkbox is not checked so that existing accounts for investigators and other scientific roles can be located and affiliated instead of creating new accounts. PI roles, for example, are intended to be used throughout the investigator’s career regardless of their current affiliation(s).

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

The 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.
5. 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 username.
   - **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**
   - **Confirm Email**

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

7. Select the role or roles required for the new account. You can use multi-select in order to choose multiple roles to add at one time. Some roles conflict with one another and can not be assigned at the same time, such as PD/PI and SO. An error message occurs if you assign conflicting roles.

8. Click the Add Role(s) button when all roles have been selected. You are taken back to the Create Account screen and the new roles will be listed.
9. If it is necessary to add additional roles (now or later), repeat the same steps.
10. When all necessary roles are displayed, click the **Create** button and the new account will be created. Clicking the **Clear** button will reset the page to blanks except for the default institution.
11. *Optional:* If a role is either no longer required or if it was added in error, use the **Remove** button to eliminate that role for that account.

### 4.5.1 Additional information:

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

### 4.6 Navigating and Using the UI in 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 UI 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 UI elements that you might see on updated screens. All modules will eventually use the same framework for building the UI and navigation through 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 module.
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

4.6.1 Header and Footer Navigation

A mixture of older and newer headers appears throughout screens in eRA Commons. During a period of transition, you will see both older and newer style screens in eRA Commons and eRA modules.

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

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

Other Icons in Header

Links to the Department of Health and Human Services.
Link to grants.nih.gov.

Links to a general eRA Service Desk Support page.

Links to eRA Points of Contact page.

The person icon shows your login information, institution, a link to change your password, email preferences, 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, circled below.
**Redesigned Footer**

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

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**4.6.2 Navigating Within a Module**

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

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.

If the screen size is small, all the app section names are collapsed under a three-line icon, shown below.
When clicked, the three-line icon shows all module navigation in vertical form, below.

### 4.6.3 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.

### 4.6.4 Standard Tools for Tables

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

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 filter is highlighted in the table.

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).

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.
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.

Column Sorting

Click column headers to sort by that column.

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.

Rows Per Page

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

Page Navigation

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

Instantly scroll back to the top of the page by clicking the Back to Top button, which appears on selected screens:
4.6.5 How Screen Size Can Affect Visible Columns

When the screen is narrowed, the **Manage Conflicts** column and **Assign Applications** column are not visible in the table, as shown below.
5 Password Policy

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.


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://era.nih.gov/faqs.htm#XXIV](https://era.nih.gov/faqs.htm#XXIV)

### 5.1 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.
3. Click Submit to update the new password information.
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.

### 5.2 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://era.nih.gov/faqs.htm#XXIV](https://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.
Password Policy

- 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/commons) 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.


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:


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://era.nih.gov/faqs.htm#XXIV

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.

5.3 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://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.
However, if your account is locked from too many failed login attempts, the password can only be reset by your institution's signing official or account administrator. If you don't know who that is, you can contact the eRA Service Desk.

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

If you know your password and just want to change it, use the change password feature instead. Refer to the section of this document titled Changing Your Password on Page 61.

To reset your password:

1. Click the Forgot Password/Unlock Account? link on the Commons home page.
2. Enter your User ID and Email address in the required fields of the Reset Password screen.

![Reset Password form](image)

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.


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.

### 5.4 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 the Accounts tab, and then the Change Password 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 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.

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

4. Click the Submit button.

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[Image of the Change Password screen showing password requirements and validation results.]

**Information:**
- The password length must be between 15-64 characters
- Cannot re-use previous 10 generations of passwords
- Allows user selection of long passwords and passphrases, including spaces and all printable characters

**Password Validation Results:**
- The password length must be between 15-64 characters
- Confirm New Password should be the same as New Password
The password change takes effect immediately. You are still required to change your eRA Commons password annually even though you use Login.gov to log into Commons.

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.

### 5.5 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://era.nih.gov/faqs.htm#XXIV](https://era.nih.gov/faqs.htm#XXIV).

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

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.
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.

5.6 Resetting a Locked Account

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 30 minutes or until the account is reset by an authorized administrator, such as a signing official (SO) with your organization.

SOs can reset locked accounts with the Manage Accounts screen.

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

Reactivating/Unlocking an Account (SO or Account Administrator roles ONLY)
Resetting a Password

If your account is not locked, but you've forgotten your password, you can reset the password yourself. Refer to the section of this document titled Reset Password on Page 59.
6 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.

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](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](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.

- **TTO**: Technology Transfer Office (TTO) Administrator supports the Technology Transfer/Licensing Office or Office of Research and Development at the grantee organization. The TTO administrator can submit inventions, patents, and utilization reports in iEdison, request waivers and create iEdison accounts.

- **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](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html).

**6.1 Account Administrator (AA)**

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

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

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

### 6.2 Administrative Official (AO)

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

SO and AO authorities should not be combined.

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

The AO cannot view summary statements or priority scores.

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

An AO cannot modify the Institution Profile.

### 6.3 Assistant (ASST)

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

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

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

### 6.4 Business Official (BO)

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

If you hold a BO role, you have privileges to perform the following tasks:
• View the following Training Grant related items:
  • Trainee Roster
  • List of Grants
  • Grant Summary
  • Routing History
  • PDF-formatted Appointments/Amendments/Terminations

• Initiate, update, route, and submit Termination Notices (TN), if authorized
• Certify Loan Repayment Program (LRP) applicants using the IBO Portal; see Overview of LRP IBO Portal.

### 6.5 Financial Conflict of Interest (FCOI)

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

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

• Initiate FCOI
• View and Edit FCOI
• Delete FCOI
• Submit FCOI

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

#### 6.5.1 FCOI Assistant (FCOI_ASST) Role

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

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

• Initiate FCOI
• Search FCOI
• View FCOI
• Edit FCOI
• Delete FCOI

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.
6.5.2 FCOI Read-Only (FCOI_View) Role

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

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

- Search FCOI
- View FCOI

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.

6.6 Federal Financial Report (FSR Role)

The Federal Financial Report (FFR) is a statement of expenditures for a grant. The Commons role assigned for completing FFR responsibilities is the FSR role. Depending on the institution’s workflow process, it is possible for the SO or BO/BO 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.

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

6.7 Internet Assisted Review (IAR)

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

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

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

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

*Other Transaction Authority (OTA) - Some screens and terminology may be different in order to accommodate review of OTA, a type of award that is neither a grant nor a contract but a different way of funding that is being used across NIH. These changes will typically not be visible to NIH or agency reviewers.
If you are a Reviewer with an IAR role and are seeking help with the IAR module, check out the IAR for Reviewers online help system: [http://era.nih.gov/erahelp/IAR_Rev/](http://era.nih.gov/erahelp/IAR_Rev/).

### 6.8 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

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)

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

### 6.9 Signing Official (SO)

An SO has institutional authority to legally bind the institution in grant-administration matters by providing signature approval on grant application submissions. The SO monitors grant related activities within the extramural organization and may have a number of titles. The SO can also create additional accounts for personnel at their institution, including new signing official accounts.

To find your signing official, see [Finding Your Signing Official](#) later in this topic.

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

- Create additional signing official accounts; see [Create or Edit a New Commons Account](#)
- Register the applicant institution in Commons
- Create and update the Institutional Profile (IPF)
- Create/delete/update all Commons accounts (except IAR and TRAINEE accounts).

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

- Create affiliation between an existing Program Director/Principal Investigator (PD/PI) and/or IAR Commons account and the institution
- Submit electronic grant application(s) on behalf of the institution via Grants.gov (outside of eRA Commons), if also registered with Grants.gov as the Authorized Organization Representative (AOR)
- View status of all grant applications originating from their institution and any errors or warnings that may have been triggered
- View Review outcome information, including summary statement, the overall impact score and percentile, if available; see [How Does an SO See the Review Outcome?](#)
- View assembled image of submitted grant applications before they move on for further processing
- Reject grant applications to address submission warnings
- View award information for all grants awarded to the institution

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

An SO role cannot be combined with a PI role.

### 6.9.1 Finding the Signing Official

For most institutions, the signing official (SO) is in the Office of Sponsored Research or equivalent. You can find the list of signing officials for your institution 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 and TTO Administrators*.

   ![Signing Officials and TTO Administrators](image)

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

   If you are unable to identify your SO, contact the eRA Service Desk.
A Technology Transfer Office (TTO) Administrator supports the Technology Transfer/Licensing Office or Office of Research and Development at the grantee organization. The TTO administrator can submit inventions, patents, and utilization reports in iEdison, request waivers and create iEdison accounts.

### 6.10 Sponsor (SPONSOR)

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

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

- View the following Training Grant related items:
  - Trainee Roster
  - List of Grants
- Review Termination Notices and route to BO before submission to Agency
- Initiate Termination Notices on behalf of fellows who have left the institution
- Delegate Sponsor authority to another individual

### 6.11 Trainee (TRAINEE)

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

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

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

eRA Commons is slowly transitioning from older horizontal bars for module navigation to a more modern, space-saving Apps menu that drops down. During the transition, you will see a mix of older and newer module navigation methods. Navigate to and between eRA Commons modules using one of the following navigation bars:

Above, click the Apps menu to show module navigation. The dark blue highlighted module indicates the module you are currently in.

Above, use the light blue navigation bar to navigate between modules. The dark blue tab highlighted in red indicates the current module.
Above, use the light gray navigation bar to navigate between modules. The white tab highlighted in red indicates the current module.

*Home* brings you to the Commons landing page, which contains useful links and essential information.

**7.0.0.1 Can’t find a module?**

You see only those modules, or features within modules, that your user role(s) give you access to. User roles are assigned by your institutional signing official, administrative official, or accounts administrator.
8 Commons Demonstration Site

The Commons Demo Site is a fully functioning site for all users. Once you create an account, you can access an environment containing realistic demonstration data that is almost identical to the Commons production environment.

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

8.1 Accessing Commons Demo Site

To access the Commons Demo Site, click the Commons Demo link on the eRA Commons login page.

Users with a demo account should log in using the username and password created for this purpose; users without a demo account should create one. See the section below to create a new demo account.
8.2 Creating a New Demo Site Account

The Create a New Demo Account screen lets you create a sample institution and user accounts. Creation of a signing official (SO) and a principal investigator (PI) account is required.

A number of sample grant applications are assigned to the PI account and are accessible to the SO account. After registering and creating sample accounts, you can use the Commons demo site to perform all functions on the sample data linked to these accounts (such as creating new accounts, submitting an RPPR or FFR, reviewing application status, and affiliating other demo users to the demo institution).

To create a new Commons Demo Site account:

1. Click the Register link under Commons Demo on the Commons login page.

The Create a New Demo Account screen displays.

2. Fill in the appropriate information for creating the account.
   
   For information about roles, see User Roles.

   All fields followed by an asterisk (*) are required. The User Name length should be between 6 and 30 characters and should NOT contain special characters except the @ sign, the hyphen, the period, and the underscore. The User names must be unique.

3. Click the Submit button.
A verification message displays the information entered.

4. Review all entered information and click the **Submit** button to create the Commons Demo Site account.
A confirmation page lists the user name information and passwords. Make sure to copy the information.

5. Click the Continue button.
You are redirected to the Commons Demo Site for login, where you can start the training/demo session. When you first log in to the Commons Demo Site, you will be asked to change your password. See Reset Password for help on changing your password.
9 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).

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)

If your organization intends to only apply for Other Transaction Authority (OTA) opportunities, neither a DUNS nor UEI are required for initial registration.

9.1 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.
9.2 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? 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

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

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

Other Transaction Authority 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 an institutional identifier on the next screen, either the DUNS number or UEI, which can be obtained from Dun and Bradstreet or SAM.gov, respectively.

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 must specify a DUNS or unique entity identifier (UEI) number to identify your institution, which must have been previously registered in SAM.gov.

- If you marked ONLY the NIH Other Transaction Authority as the Purpose for registration, then you have the option to 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 must enter an identifier, choose either DUNS or UEI and 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 DUNS or 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 DUNS or 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 3: Institution Details

In the following screen, you must create a signing official (SO) account; see Signing Official (SO) 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 submitting, 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.

![Success message](image)

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.

![Email notification](image)
3. After you click the link in the above email, you are directed to 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 are directed to 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.

![Registration Confirmed](image)

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.

![STAGE: eRA Commons: Notification of Authentication Credentials and New e...](image)

Jane Doe,

An eRA account has been created for you on Feb 25, 2022. Your account details are:
- Account holder: Jane Doe
- Username: eratest.nih.gov
- Organization: FILTERS INC
- System(s): Commons
- Role(s): SO/FILTERS INC;

Shortly, you will be receiving another email containing your password.

To access the system use the username and password provided in these emails.

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/

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

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

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*.

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 New Commons Account*.

**9.2.1 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)**.
10 Admin Module

The Admin module includes the features used to perform:

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

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

10.1 **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 *Advanced Search on Page 93* for help with searching.

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

10.1.1 **Advanced Search**

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

To perform an advanced search:

1. Select the **Accounts** tab from within the Admin module.
2. From within *Accounts*, select the **Advanced Search** tab to display the *Account List* screen.
3. Enter the search criteria. The percent sign (%) can be used as a wildcard (e.g., Sm%).
The **Search within your institution** field is checked as a default and means that Commons will only search for matching records within your institution. To include accounts outside of your institution, uncheck this field before performing the search.

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

4. Select the **Search** button.

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

![Account Search Results Table](image)

The search results include the following information:

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

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

The **Continuous Submission Eligibility for <PI Name>** displays the same information the PI can view from the Personal Profile. For more information on this screen, refer to the Personal Profile **Reviewer Information** topic, specifically **Continuous Submission Eligibility Status**.
10.1.2 Create or Edit a New Commons Account

If you are a Commons user with one of the following roles, you have the ability to create new Commons user accounts (such as for a PD/PI) using the Manage Accounts feature.

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

Users, such as principal investigators (PIs), cannot create their own accounts. Commons accounts are created by users with the roles mentioned above or via invitation, appointment, or institutional registration (see additional links below).

You can also use the steps in this procedure to edit an account. 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. Keep in mind that 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.

To create a new account:

1. Navigate to the Admin module, and select the Accounts tab.
2. Select the Account Management option.

The Search Accounts screen opens in a separate window. You'll notice that there is no Create New Account button displayed at this time. You cannot create a new account until you perform a search for the account first. This measure is in place to help avoid the creation of duplicate accounts.
By default, the "Search only within my organization" checkbox is not checked so that existing accounts for investigators and other scientific roles can be located and affiliated instead of creating new accounts. PI roles, for example, are intended to be used throughout the investigator’s career regardless of their current affiliation(s).

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

The 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.
5. 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 username.
   - **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**
   - **Confirm Email**

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

7. Select the role or roles required for the new account. You can use multi-select in order to choose multiple roles to add at one time. Some roles conflict with one another and can not be assigned at the same time, such as PD/PI and SO. An error message occurs if you assign conflicting roles.

8. Click the Add Role(s) button when all roles have been selected. You are taken back to the Create Account screen and the new roles will be listed.
9. If it is necessary to add additional roles (now or later), repeat the same steps.

10. When all necessary roles are displayed, click the **Create** button and the new account will be created. Clicking the **Clear** button will reset the page to blanks except for the default institution.

11. **Optional:** If a role is either no longer required or if it was added in error, use the **x Remove** button to eliminate that role for that account.

### Additional information:

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

### 10.2 Delegations

Organizational institutions and users of the Commons system can grant other institutional Commons users 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.
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.

**Table 1: Delegation Authorities**

<table>
<thead>
<tr>
<th>Authority Type</th>
<th>Delegated By</th>
<th>Delegated To</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Progress Report</td>
<td>SO, AA (on behalf of PI)</td>
<td>PI, ASST</td>
<td>Enables the delegated PI/ASST to work on progress reports for another PI - Includes Interim and Final RPPR and HSS requests</td>
</tr>
<tr>
<td>Progress Report</td>
<td>PI</td>
<td>PI, ASST</td>
<td>Enables the authorized user to work on progress reports for the PI - Includes Interim and Final RPPR and HSS requests. This does <strong>not</strong> include the ability to <strong>submit</strong> any RPPRs—only the SO can submit, unless they delegate that authority to the PI.</td>
</tr>
<tr>
<td>Sponsor</td>
<td>SO, AA (on behalf of SPONSOR) or SPONSOR</td>
<td>ASST</td>
<td>Allows the ASST to work with the xTrain module for the SPONSOR</td>
</tr>
<tr>
<td>Status</td>
<td>PI</td>
<td>ASST</td>
<td>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.</td>
</tr>
<tr>
<td>PPF</td>
<td>All users Within the Institution</td>
<td>Active user in the same institution to edit someone else's personal profile</td>
<td></td>
</tr>
<tr>
<td>Submit</td>
<td>SO</td>
<td>PI</td>
<td>Enables the PI to submit RPPR and MYPR reports -- now needed for PI if they are to submit Interim and Final RPPR</td>
</tr>
<tr>
<td>xTrain</td>
<td>PI</td>
<td>ASST</td>
<td>Enables the ASST to work with the xTrain module and xTRACT</td>
</tr>
</tbody>
</table>

Delegations are not permanent and can be revoked at any time.
10.2.1 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 topic for role-based constraints on delegation.

10.2.1.1 Delegating Progress Report Authority on Behalf of Another User

This topic discusses delegating authority for another user's account. See Direct Delegations for delegating authority to your own account.

The SO or AA (see User Roles) 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 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's) delegations; this procedure helps you create a delegate for another user, not your own.

3. Click 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.

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**.

---

**Delegator Delegate Progress Report**—**Third Party Delegates Screen Showing**

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.
Delegate Progress Report—Third Party Delegates Screen Showing

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.
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.

### 10.2.1.2 Delegate Sponsor Authority on Behalf of Another User

This topic discusses delegating authority for another user's account. See *Direct Delegations* 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*. 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* 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’s) delegations; this procedure helps you revoke a delegate of another user, not your own.

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.
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**
Delegate  Third Party Delegate--Selecting the User For Whom You Will Create a

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.
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.
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.

### 10.2.1.3 Revoke Authority on Behalf of Another User

This topic discusses revoking authority for another user’s account. See Direct Delegations 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’s) delegations; this procedure helps you revoke a delegate of another user, not your own.


   - 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.
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**.
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.
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).
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.

### 10.2.2 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** topic for role-based constraints on delegation.
10.2.2.1 Delegating Institutional Submit Progress Report Authority

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.

<table>
<thead>
<tr>
<th>Name</th>
<th>Role(s)</th>
<th>Commons ID</th>
<th>PPF</th>
</tr>
</thead>
<tbody>
<tr>
<td>SMITH, Joe</td>
<td>PI</td>
<td>SMITH</td>
<td></td>
</tr>
</tbody>
</table>

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.

This section walks through the steps for granting the authority. See Revoking Institutional Submit Progress Report Authority for the steps on revoking the authority.
4. Click the Candidates for Delegation tab. A list of all users in your institution who are eligible for submit authority appears.
5. In the first column of the table, mark the checkbox(es) for user(s) who will be granted Submit Progress Report delegation.

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.
**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.*
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.

10.2.2.2 Revoking Institutional Submit Progress Report Authority

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

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

The My Current Delegates screen opens.
3. Click the **Institution Delegation** link.

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

This section walks through the steps for revoking the authority. See *Delegating Institutional Submit Progress Report Authority* 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.

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.

### 10.2.3 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). 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 his or her 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 his or her 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.

### 10.2.3.1 Delegate Authority to Someone

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* 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* topic for role-based constraints on delegation.

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 for steps on editing existing delegations.

3. Click the 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.

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

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.
10.2.3.2 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.

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.
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.

### 10.2.3.3 *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.
Menu  

My Current Delegates - Edit Delegations Option Under Three-Dot Ellipsis

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.

![Select Delegation(s) Screen](image)

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.
10.2.3.4 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.

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.
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.
11 Institution Profile Module (IPF)

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

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.

11.1 Navigating the Institution Profile

If you hold one of the following Commons roles, you have access to the Institution Profile: AA, AO, ASST, BO, FSR, PI, POSTDOC, SCIENTIST, SPONSOR, or SO. Only an SO can see the Policy Documents tab; see **Institutional Financial Conflict of Interest Policy**.

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

The Institution Profile consists of three main tabs:
Institution Basic Information
Institutional Assurances and Certifications
Policy Documents (SO only)

The first two tabs are viewable for all who have access to the Institutional Profile and editable to those with an SO role. The Policy Documents tab is visible only to those with a SO role. This topic discusses how to navigate around these sections of the Institutional Profile. Details of each section are discussed in separate topics. See the related topic list at the bottom of this screen for links to those topics.

The dashboard appears on all views of the profile, providing general information about the profile.

11.1.1 IPF Dashboard

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

- Name of the institution
- IPF Code

**Institution Profile Navigation Links**

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

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

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

**General Information:**

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

**eRA Service Desk Information**

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

### 11.1.2 Institution Profile Online Help Topics

Click any of the question mark icons (‘?’) within the Institution Profile to access content specific help. The help icons are located on each Institution Profile page heading as well as within each component’s heading within the **Basic Information** section. The icons lead you to help that is specific for the page you are on (e.g., the icon on the **Institution Name** component heading opens the help topic pertaining to the **Institution Name** component of the Institution Profile).
The *Institution Profile* topics are part of the overall Commons Online Help and are also accessible by entering the following URL into your browser: [http://era.nih.gov/erahelp/commons](http://era.nih.gov/erahelp/commons)

### 11.2 What's the Difference Between View and Edit?

While most Commons users are only able to view the information provided in the Institution Profile, SO users have the two options: view mode and edit mode. Only SOs can see the Policy Documents tab.

#### 11.2.1 Viewing the Information in the Institution Profile

View mode provides a read-only summary of the information within a specific component of the profile. In view mode, not all fields are displayed. To see a section, click its name in navigation.

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

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

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

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

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

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

Hiding or closing individual components of the Basic Information section is not the same thing as saving the information. If you navigate away from the personal profile, your changes will be lost. You must select the Save All button to save your changes!
If you wish to discard your changes, select the **Discard Changes** button, then select **Yes** from the confirmation pop-up message. Keep in mind that any information you’ve added since the last time you hit **Save All** will be discarded when you hit the **Discard Changes** button!

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

### 11.3 Institution Basic Information

As its name implies, the **Institution Basic Information** page of the **Institution Profile** provides a means for viewing and managing fundamental information about the institution such as name, contact persons, etc. This information is divided into expandable and collapsible sections, or tiles.
The **Institution Basic Information** component of the **Institution Profile** is viewable by clicking the **Basic Information** link from the dashboard or the **Basic Information** tab from the Commons menu bar. For most users, the information is read-only, however, if you hold a Commons SO role, you have the ability to edit the information. Regardless of your role, the default view of the **Institution Basic Information** is read-only.

### 11.3.1 How Are Data Errors Indicated?

Each component contains certain required information and data validation occurs on Save. 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. Specific errors display at the top of the screen after Save, the header with the error appears in red, and specific error message appear adjacent to fields with errors.
11.3.2 How to View Information, or Edit If You Are an SO

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

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

Only those users holding an SO role can edit.

Refer to the specific related topic listed below for information on that individual component of the profile.
To the left of the **Institution Basic Information**, you find the Institution Profile dashboard. This dashboard provides quick access information to items such as number of accounts, last updated date, status of required fields, etc. The dashboard is discussed in greater detail inside the topic titled *Navigating the Institution Profile on Page 134.*

### 11.3.3 Institution Name

The **Institution Name** component 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.

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

#### 11.3.3.1 Viewing Institution Name

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

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

The information displays as read-only:

- **Profile Name**
- **Commons Preferred Name** (if existing)
11.3.3.2 Editing Institution Name

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

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

When you are done, click the **Save All** button at the top or bottom of the profile to save the changes. The **Save All** button saves the changes made in all components. For information on errors, see **How Are Data Errors Indicated?**

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

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

Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

11.3.4 Institution Contact Information

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

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

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

The information displays as read-only:

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

11.3.4.2 Editing Institution Contact Information

If you hold the SO role within an organization, you can edit the information in the **Institution Contact Information** component of the Institution Profile.
Click the **Edit** button on the **Institution Contact Information** panel header to display all editable fields available in this component. The following fields are available for editing and are required fields:

- **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 or bottom of the profile to save the changes. The Save All button saves the changes made in all components. For information on errors, see How Are Data Errors Indicated?

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

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

Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

11.3.5 About the Institution

The About the Institution component of the Institution Profile lets you view information about your organization, such as unique entity identifiers (UEI), older DUNS numbers, and assurance numbers. If you hold the SO role within your organization, you can also edit some of this information.

11.3.5.1 Viewing About the Institution Information

You can view the information in the About the Institution component 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/DUNS
- Secondary UEI/DUNS
- Opportunity Type Eligibility
- Federal-Wide Assurance Numbers
- Animal Welfare Assurance Number
- Organization Type
- Ownership Control
- View Primary/Secondary DUNS for your organization prior to April 2022
11.3.5.2 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.
Click the **Edit** button (pencil icon) on the **About Institution Information** header to display editing tools for those fields that are editable.

The **Primary UEI/DUNS**, **Organization Type**, and **Ownership Control** fields are read-only, populated with organizational information on file. The **Primary UEI/DUNS** 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/DUNS, please contact the **eRA Service Desk** for assistance.

The following fields are available for editing, but are not required:

**Secondary UEI/DUNS**

The **Secondary UEI/DUNS** 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. Until you save the profile, the space after the slash (/) displays as "No DUNS associated with this UEI". After saving the profile, if a DUNS is already associated with the entered UEI, the associated DUNS will appear after the slash.

- To edit a secondary UEI, simply update the value in the editable text field. You cannot edit the UEI’s corresponding DUNS number.

- To remove a secondary UEI/DUNS value, click its **Remove** button and then click **Yes** in the confirmation popup to complete the deletion.

**Opportunity Type Eligibility**

There are three opportunity types, and the institution is eligible for those types with a marked checkbox. At least one of these types must be selected for the institution to be eligible to submit grant applications. Information links provide additional information. Opportunity types were specified during the institution registration process (see **Registering an Institution**).
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 grants for, you can mark the unchecked opportunity types to add these to the list of types of opportunities your institution can apply for.

The three types are:

- **NIH Grants/Contracts** - This is the most common type of registration and is required for any application that is funded by NIH.
- **Non-NIH Grants/Contracts** - This type of registration will 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 an 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.
To edit an Federal-Wide Assurance number, simply update the value in the editable text field.

To remove an Federal-Wide Assurance number, click its Remove button and then click Yes 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 passed to Commons from OLAW. If existing, a number in parentheses represents the old format number that corresponds to the new format number. This field is not editable.

**View Primary/Secondary DUNS for Your Organization Prior to April 2022**

Click on this heading to see the read-only DUNS numbers used by your organization prior to April 2022, when the federal government switched over to unique entity identifiers (UEI); see Unique Entity Identifier Update on the GSA website for more information. Each DUNS number is accompanied by its corresponding UEI (if a corresponding UEI exists).

When you are done, click the Save All button at the top or bottom of the profile to save the changes. The Save All button saves the changes made in all components. For information on errors, see How Are Data Errors Indicated?
If you do not wish to save your changes, click the Discard Changes button instead.

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

Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

### 11.3.6 Indirect Cost Negotiations

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

#### 11.3.6.1 Viewing Indirect Cost Negotiations

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

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

The information displays as read-only:

- **Negotiator Name**
- **Last Negotiation Date**
11.3.6.2 Editing Indirect Cost Negotiations

If you hold the SO role within an organization, you can edit the fields in the Indirect Cost Negotiations component of the Institution Profile.
Click the **Edit** button on the **Indirect Cost Negotiations** panel header to display all editable fields available in this component. The following fields are available for editing, but are not required:

- **Negotiator Name**
  Enter the name of the agent who negotiated the most recent indirect cost agreement.

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

When you are done, click the **Save All** button at the top or bottom of the profile to save the changes. The **Save All** button saves the changes made in all components. For information on errors, see *How Are Data Errors Indicated?*

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

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

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Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

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### 11.3.7 Signing Officials and TTO Administrators

You can find all Commons users in your organization who are assigned the signing official (SO) and/or TTO Administrator roles. Use the **Signing Official and TTO Administrators** pane in the Institution Profile module.

A Technology Transfer Office (TTO) Administrator supports the Technology Transfer/Licensing Office or Office of Research and Development at the grantee organization. The TTO administrator can submit inventions, patents, and utilization reports in iEdison, request waivers and create iEdison accounts. See *Signing Official (SO)* for more information on signing officials.

To view the information in the **Signing Officials and TTO Administrators** pane of the profile:

- Log into eRA Commons.
- Navigate to the Institution Profile module.
- Under the Basic Information tab, find and expand the Signing Officials and TTO Administrators panel.

The information for each person displays as read-only.
11.3.8 Institution Address

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

11.3.8.1 Viewing Institution Address

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

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

The information displays as read-only:

- **Address**
- **Phone**
- **Fax**
11.3.8.2 Editing Institution Address

If you hold the SO role within an organization, you can edit the fields in the Institution Address component of the Institution Profile.
Click the **Edit** button on the **Institution Address** panel header to display all editable fields available in this component. The following fields are available for editing:

- **Street Address**
  
Enter the street address for the organization. This is a required field.

- **City**
  
Enter the city for the address. This is a required field.

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

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

- **Zip Code**
  
Enter the zip code for the address. This is a required field.
• **Phone**
  Enter the phone number associated with the address above. This is a required field.

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

When you are done, click the **Save All** button at the top or bottom of the profile to save the changes. The **Save All** button saves the changes made in all components. For information on errors, see *How Are Data Errors Indicated?*

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

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

Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

### 11.3.9 Extramural Technology Transfer Administration

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

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

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

#### 11.3.9.1 Viewing Extramural Technology Transfer Administration

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

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

The information displays as read-only:

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

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**11.3.9.2 Editing Extramural Technology Transfer Administration**

If you hold the TTO_Admin or SO role within an organization, you can edit the fields in the Extramural Technology Transfer Administration component of the Institution Profile.
Click the Edit button on the Extramural Technology Transfer Administrations tile header to display all editable fields available in this component. The following fields are available for editing:

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

Are batch uploads allowed by this organization?
Select a value from the drop-down list: Yes or No.

The month that begins the utilization period
Select a value from the drop-down list.

Are the inventions submitted by the organization assigned for administration and reporting by the user?
Select a value from the drop-down list: Yes or No.

Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

11.4 Institutional Assurances and Certifications

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

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

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

Status

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

**Assurances and Certifications**

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

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

**Policy:** Not all assurances and certifications may be applicable to each institution.

For detailed information about assurances:

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".

### 11.4.0.1 Editing the Assurances and Certifications

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

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

The assurance and certification indicators display over several categories.

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

- Age Discrimination Assurance
- Civil Rights Assurance
- Handicapped Individuals Assurance
- Inclusion of Children Policy
• Sex Discrimination Assurance
• Women and Minority Inclusion Policy

This institution complies with all laws and regulations regarding:

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

Research at this institution meets all requirements for:

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

Check or uncheck the certification and/or assurance indicator(s) as appropriate. You can also 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 or bottom of the profile to save the changes. If you do not wish to save your changes, click the Discard Changes button instead.
Only signing official (SO) users can edit the Institution Profile, except for institutions that have a TTO administrator but no signing official, in which case, the TTO administrator can edit. For institutions with both an SO and TTO administrator, the TTO administrator can edit only the Extramural Technology Transfer Administration component.

Only SOs can see the Policy Documents tab, which contains the financial conflict of interest policy.

### 11.5 Institutional Financial Conflict of Interest Policy

The Policy Documents tab of the Institutional 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 new Policy Documents tab.

**To access the Financial Conflict of Interest Policy screen:**

Log into eRA Commons with a signing official (SO) role, go to the Institution Profile, and then click the Policy Documents tab.
To upload your FCOI policy to eRA Commons for Agency approval:

1. On the Policy Documents tab of the Institution Profile module, click the green **Upload** button in the FCOI Policy Submission area.
2. Locate the FCOI PDF and click **Open**.
3. Optionally, before submitting, you can either view or delete the file you uploaded by clicking the **View** or **Delete** button in the FCOI Policy Submission area.
4. Click the **Submit** button and the file will be routed to Agency officials for review.
5. If you make a mistake, you can simply upload another PDF file and it replaces the first.
TIP: If nothing appears to happen when you upload, scroll to the top of the screen and check for error messages that may have appeared in a red bar. 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.

![Prior FCOI Policy Submissions](image)

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, click the green Upload button in the FCOI Policy Submission area, 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*
12 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.

The personal profile is divided into sections of information and includes:

- **Name and ID**: Personal information such as name, contact information, date of birth
- **Demographics**: Race, ethnicity, gender
- **Employment**: Current employment and past employment history
- **Reviewer Information**: Reviewer work address for those users performing tasks in IAR as a Reviewer
- **Trainee Information**: Trainee permanent address for those with Trainee roles using the xTrain module
- **Education**: Degree and Post-Graduate Clinical Training Information
- **Reference Letters**: Letters of reference submitted to NIH
- **Publications**: Access to MY NCBI, at which publications can be viewed

Depending on your Commons role, you might not have access to all sections of the Personal Profile.

For more information, refer to the Commons Personal Profile Online Help System (https://era.nih.gov/erahelp/ppf/) or the eRA Commons Personal Profile Module User Guide (https://era.nih.gov/files/personal_profile_userguide.pdf).
13 Status Module

The Status screens let PD/PIs, their delegates, and 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://era.nih.gov/docs/era_status_codes.pdf](https://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).

What you can see and do in the Status module depends on the role associated with your Commons account. For this reason, the query and results screens in the Status module behave differently per user role. Help topics for the Status module are available for both SO and PI users.

Refer to the section of this document titled Steps for AOR/SO to Check Submission Status on Page 168 if you have an SO or AO role.

Refer to the section of this document titled Status for Program Directors/Principal Investigators (PI Role) on Page 181 if you have a PI role.

13.1 Steps for AOR/SO to Check Submission Status

Looking for help on the JIT Search page below? If you are an SO doing a JIT search, click here. If you are VA Agency Staff, click here.

Signing Officials can check the status of the applications that have been submitted for their organization using the Status module in eRA Commons.

Steps:

1. Log in to eRA Commons with your Signing Official (SO) account username and password.
2. Navigate to the Status module and click the "Recent/Pending eSubmissions" search option in the left hand navigation.
3. Enter desired search criteria and click the "Search" button. The search criteria options are:
   - Accession Number
   - Grants.gov Tracking #
4. The corresponding search results include all appropriate links for the applications. These are the same links that appear in the Status Result - General Search results. Refer to the help topic titled Status Result - General Search for information on search results.

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

- Check the “eSubmission Status” column to determine if your application status is “eSubmission Error” or “Pending Verification”.
- If the status is "eSubmission Error", you have two options to view the errors or warnings.
  - Click the **Show Prior Errors** link from the **Show All Prior Errors**
  - Click the **Application ID** displayed as link to open Status Information. Any existing submission errors or warnings display at the top of Status Information. Refer to the section of this document titled Status Information on Page 193 for more information on this screen.
- Click **Reject eApplication** to reject the eSubmission of an application. Refer to the section of this document titled How Does an SO Reject the eApplication? on Page 172.
13.2 How does an SO track submission status?

After submitting an application, you have a two business day application viewing window to check the application and revise it. Your application automatically moves forward to receipt and referral staff for further processing after the application viewing window has elapsed unless you explicitly "reject" the application in eRA Commons.

Also see Submit, Track and View Your Application.

All signing officials are able to verify the status of the applications that have been submitted for their organization utilizing eRA Commons.

Steps:

1. Log in to eRA Commons with your SO account username and password.
   a. Navigate to the Status module and click the "Recent/Pending eSubmissions" search option in the left hand navigation menu. (image)

b. On the next screen, enter desired search criteria and click the "Search" button.
   Search criteria options;
   - Accession Number: A unique value assigned to applications before an NIH grant number is assigned.
   - Grants.gov Tracking # A value is assigned by Grants.gov when the application is electronically submitted.
   - eSubmission Status (All, Pending Verification, or Rejected)
- **Received Date** Enter a range of dates for the received date using the “From” and “To” fields. Either enter the date(s) manually in the MM/DD/YYYY format or by selecting from the calendar icon.

![Recent/Pending eSubmissions](image)

The corresponding search results include all appropriate links for the applications. These are the same links that appear in the Status Results - General Search results.

**To check for eSubmission errors and to reject an applications:**

1. Check the **eSubmission Status** column to determine if your application status is “eSubmission Error” or “Pending Verification”.
2. Use one of the two following methods to view the error messages and warnings. (view example).
Errors will stop the submission process and need to be addressed via a change/corrected application. Warnings will not stop the process but it is still critical to check the warning messages to ensure that any referenced issue does not apply to your application.

- **Method 1**: Click the *Show Prior Errors and Warnings* link from the *Show All Prior Errors* column.

- **Method 2**: If the status is "Pending Verification", select the Accession Number (AN:#######) displayed in the Application ID column to open the Status Information. Submission errors or warnings are displayed at the top of the Status Information page during the two day review period before the submission deadline. Refer to the section of this document titled *Status Information* on Page 193 for more information on this screen.

3. If warranted, click **Reject eApplication** in the **Action** column to reject the eSubmission of the application. Refer to the section of this document titled *How Does an SO Reject the eApplication?* on Page 172.

### 13.3 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](https://era.nih.gov) with your Signing Official (SO) user ID and password.
2. Navigate to the Status module and then select the Recent/Pending eSubmissions (or General Search) option to locate the application being rejected.
3. From the search result screen, click the **Reject eApplication** link in the **Action**
column.

<table>
<thead>
<tr>
<th>PD/PI Name</th>
<th>Status Date</th>
<th>eSubmission</th>
<th>Prior Errors</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>FREEMAN, PETER A</td>
<td>06/15/2016</td>
<td>09:10:04</td>
<td>Show Prior Errors and Warnings</td>
<td>Transmittal Sheet</td>
</tr>
</tbody>
</table>

The **Reject eApplication** screen displays.

4. Enter the required comment in the provided text box. This message will be part of the rejection email notification.
5. Click the **Reject** button. The contact PI will receive an email notification that the SO has rejected the application.

### 13.4 Steps for SO to Re-assign a Grant

Signing Officials can use the "Reassign Grant" option from the **Status** menu in eRA Commons to change the assignment of a grant from one existing department or component to another existing department or component within their institution.

This functionality is only available to Signing Officials from grantee organizations that are classified as **Institutions of Higher Education**. This tool cannot be used to create new departments or components.
To re-assign one or more grants, log into eRA Commons with an account that has the SO (Signing Official) role and navigate to the Status module.

This displays the Status menu on the left. Click the "Re-assign Grant" link in the list.

- **STEP 1:** Clicking "Re-assign Grant" from the menu will open a search window. In this window, provide the search criteria for the grant or grants in question. The search can be done on any combination of; all or part of a grant number; Contact PI name; or major Department/Component. Once the search criteria has been entered, click Search.
The search results are displayed. Options on this screen let you select the grants that are to be moved as well as change how many results are displayed per screen. To select all visible search results, click the checkbox at the top of the column of checkboxes. You may also select a smaller subset of grants or just one.

Once you have made your selections, click Next.

You can move all of the grants visible on a page at one time however you will not be able to combine results on other pages into the current re-assignment step. Another reassignment procedure will need to be performed in order to move grants on other pages.
STEP 2: The next step is to select the School and Department to which the selected grants should be moved. Use the drop-down menus to make the selections (only existing schools and departments will be shown) and then click Next.

STEP 3: The summary is shown next. This will indicate the number of grants being moved and to which destination. If the information is correct, click Submit.
You will receive a final confirmation of the reassignment.

- **Items Of Note:**
  - Functionality is only available to Signing Officials from grantee organizations that are classified as Institutions of Higher Education.
  - Assignments are immediate in Commons. The new assignment can be viewed on the Re-assign Grant search page.
  - Assignments will be visible in RePORTER on the following Monday.
  - Search criteria is limited to the current and future fiscal years, for awarded grants or pending type 5 grants.
  - Grants on one page can be moved at one time, i.e. grants returned on multiple pages will require multiple moves.

### 13.5 Status Results for SOs

Status Result - General Search
The **Status Result - General Search** screen provides matching records from searches performed by SOs using the General Search feature in the Status module. The information displays in tables and includes links to other Commons modules and/or features depending on the application.

The **Status Result - General Search** screen differs from the results displayed for PI users. Refer to the section of this document titled **Status for Program Directors/Principal Investigators (PI Role)** on Page 181 for more information.

The screen has a limit of 100 records per view, with additional records accessed via the page number links and/or navigation arrows at the top of the results table. The results can be sorted by selecting the up/down arrow displayed in the column heading. If the arrow exists in the heading, the information can be sorted by that category.

The figure below represents a sample of various action links that could be displayed and may not reflect realistic search results.

The results include the following information:

- **Application ID**

  The application ID is provided as a link, which when selected opens the **Status Information** screen. **Status Information** includes grant/application information such as status history, study section, contacts, etc. Refer to the section of this document titled **Status Information** on Page 193 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.

  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://era.nih.gov/docs/era_status_codes.pdf](https://era.nih.gov/docs/era_status_codes.pdf).

- **Budget Start Date**

- **FFATA**
  
  This column indicates Yes if the application is eligible to report as a Federal Funding Accountability and Transparency Act (FFATA) application.

- **Show All Prior Errors**
  
  This column displays the **Show All Prior Errors** link. Selecting this link opens the **Errors/Warnings for Prior Failed eSubmissions** screen, providing any errors or warnings received for the application during eSubmission.

- **Action** (links)
  
  The links in this column are used to access other modules or features in Commons and vary depending on the application. Possible links are as follows:

  - **RPPR**
    
    Opens the RPPR Menu screen for editing or submitting an Research Performance Progress Report (RPPR). Refer to the section of this document titled **Research Performance Progress Report (RPPR) Module** on Page 310.

  - **Public Access PRAM**
    
- **IC Requested PRAM**

- **Fellowship Face Page**
  Displays for Fellowship Awards only

- **Progress Report Face Page**
  Only for paper grants not SNAP eligible

- **JIT**
  This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. Refer to the section of this document titled *Just in Time (JIT) Screen* on Page 246.

- **Extension**
  This link opens the No-Cost Extension (NCE) feature. Refer to the section of this document titled *No-Cost Extension (NCE) for NIH Grants* on Page 259.

- **Closed**
  This link opens the *Closeout Status* screen, which provides information on a closed grant. Refer to the section of this document titled *Closeout Status* on Page 218.

- **Requires Closeout**
  This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. Refer to the section of this document titled *Closeout Status* on Page 218.

- **Reject eApplication**
  Available only to SO users, select this link to reject an electronically submitted application. If rejected, the status of the application is updated to *Refused*. Refer to the section of this document titled *How Does an SO Reject the eApplication?* on Page 172.

- **Transmittal Sheet**
  Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.
• **Administrative Supplement**
  For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

• **Manage Relinquishing Statement**
  Available to SOs and used to access the feature for initiating an electronic relinquishing statement.

• **Relinquishing Statement**
  Used to access the feature for editing and re-routing the electronic relinquishing statement.

• **Sandy Quarterly Report**
  For grants identified as NIH Hurricane Sandy Recovery awards. The link opens the *Sandy Quarterly Report* for editing, saving, and/or submission.

• **Human Subjects**
  Provides access to the Human Subjects System (HSS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about HSS via Status, refer to the separate [Human Subjects System Online Help](#).

  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.

### 13.6 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 the section of this document titled *Steps for AOR/SO to Check Submission Status* on Page 168 if you hold an SO role.

Upon entering the Status module, a PI is taken to a landing page with three options:
Recent/Pending eSubmissions: Select this option to view a list of recent or pending electronic submissions of grant applications.

List of Applications/Grants: Select this option to view a list of applications/grants on which the PI user is the contact PI or one of multiple PIs (MPI)

Search by Grants.gov Tracking Num: Use this field and the Search button to display information for a specific grant application by tracking number.

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 the section of this document titled Direct Delegations on Page 124 for information on delegating Status.

13.6.1 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
The results display in the Status - Recent/Pending eSubmissions screen in a table format. If the number of records returned by the search exceeds the amount allowed on the screen, you can use the page number links and/or navigation arrows at the top of the results table to scroll to the remaining records.

The 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 the section of this document titled Status Information on Page 193 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.

In the Proposal Title field, NFP (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name
This is the Contact PI on the application.

eSubmission Status Date
This is the date of the latest status update.

Show All Prior Errors
This column displays the Show All Prior Errors link. Clicking this link opens the Errors/Warnings for Prior Failed eSubmissions screen, providing any errors or warnings received for the application during eSubmission.

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.

13.6.2 Viewing the List of Applications/Grants

The Status Result - List of Applications/Grants screen provides a collected source of information pertaining to a PI's grants/applications. The screen 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.
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.

To find the total number of your applications/grants, look for the number displayed next to the screen title.

To expand the field and display all grants/applications associated with a family, click the plus sign (+) for that particular grant family.
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 the section of this document titled Status Information on Page 193 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://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 this column to access other modules or features within Commons. Available actions vary depending on the application. Possible actions include:

**RPPR**

Opens the RPPR Menu screen for editing or submitting an Research Performance Progress Report (RPPR). Refer to the section of this document titled Research Performance Progress Report (RPPR) Module on Page 310.

**Public Access PRAM**


**IC Requested PRAM**

Opens the Progress Report Additional Materials (PRAM) screen for submitting IC Requested PRAM. Refer to the section of this document titled Research Performance Progress Report (RPPR) Module on Page 310.

**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 the section of this document titled *Just in Time (JIT) Screen* on Page 246.

**Extension**

This link opens the No-Cost Extension (NCE) feature. Refer to the section of this document titled *No-Cost Extension (NCE) for NIH Grants* on Page 259.

**Closed**

This link opens the *Closeout Status* screen, which provides information on a closed grant. Refer to the section of this document titled *Closeout Status* on Page 218.

**Requires Closeout**

This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. Refer to the section of this document titled *Closeout Status* on Page 218.

**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 lease one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

**Relinquishing Statement**

Used to access the feature for editing and re-routing the electronic relinquishing statement

**Sandy Quarterly Report**

For grants identified as NIH Hurricane Sandy Recovery awards. The link opens the *Sandy Quarterly Report* for editing, saving, and/or submission.

**Inclusion**

Provides access to the Human Subjects System (HSS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about HSS via Status, refer to the separate *Human Subjects System Online Help*. 
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.

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.

13.6.3 Searching by Grants.gov Tracking Number

To search for an application by its Grants.gov tracking number, enter the tracking number into the Tracking Number field of the Search by Grants.gov Tracking Num section and click the Search button.

The Status Result - Recent/Pending eSubmissions screen returns only the application matching the entered tracking number. You can view Errors/Warnings for Prior Failed Submissions by clicking the Show Prior Errors and Warnings button.

To return to the search screen, click the Return to PI Search link at the top of the page.
13.7 How does a PI track submission status?

The designated Contact PD/PI is able to view status information relating to their newly submitted applications during the "viewing window" (the first two business days after submission up to the submission deadline).

Note that PIs can check status information in eRA Commons on the go, using Commons Mobile (see info).

After the deadline, any applications which remains in the Pending status will also be visible.

A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the Action column. Refer to the section of this document titled Direct Delegations on Page 124 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 click the "Recent/Pending eSubmissions" search option in the sub-menu bar or in the body of the page. (view screenshot)
3. The next screen will display the results.

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.

*The following information is included in the table:*

**Grants.gov Tracking #**

*This is the number assigned when the application was submitted electronically to Grants.gov.*

**Application ID**

*A unique value assigned to applications before an NIH grant number is assigned*

**eSubmission Status**

*This shows the status of approval for the application.*

**Proposal Title**

*This is the project name submitted on the application.*

In the **Proposal Title** field, the designation of **NFP** (no further processing) is added to the application title to indicate that the application will not be referred for review.
PD/PI Name

*This is the Contact PI on the application.*

eSubmission Status Date

*This is the date of the latest status update.*

Show All Prior Errors

*This column displays the Show Prior Errors and Warnings link. Clicking this link opens the Errors/Warnings for Prior Failed eSubmissions screen and displays any errors or warnings received for the application during eSubmission.*

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

1. Check the **eSubmission Status** column to determine if your application status is “eSubmission Error” or “Pending Verification”.

   Errors will stop the submission process and require a [change/corrected application](#) but warnings will not. It is still critical to check the warning messages to ensure that the issue referenced does not apply to your application.

2. Use one of the two following methods to view the error messages and warnings. (show screenshot)

   ![Status Result - Recent/Pending eSubmissions](image)

   - **Method 1:** Click the Show Prior Errors and Warnings link from the Show All Prior Errors column to the right.
   - **Method 2:** If "Pending Verification", select the Accession Number (AN:#####) displayed in the Application ID column to open the Status Information page. Submission errors or warnings are displayed at the top of the Status Information page during the two day review period before the submission deadline. Refer to the section of this document titled Status Information on Page 193 for more information on this screen.
13.8 Status Information

Status Information is a collection of grant information and links to grant-related documents stored in one place. Status Information is accessed by clicking the Application Number (link) from any result screen in the Status module.
### Status Information

#### 1 R21 CA123456-01

- **Status:** Application awarded.
- **Project Title:** Algorithmic Cancer Forecasting and Disruption
- **PI Name:** Cantor, Georg
- **NIH Appl. ID:** 7654321
- **Application ID:** 1 R21 CA123456-01

**Status:** Application awarded.

- **Last Status Update Date:** 06/24/2014
- **PI Name:** Cantor, Georg
- **Institution Name:** COLLABORATORIUM UNIVERSITY
- **NIH Appl. ID:** 7654321
- **School Name:** SCHOOL OF MATHEMATICAL MEDICINE
- **School Category:** ORGANIZED RESEARCH UNITS
- **Division Name:** NONE
- **Department Name:** NONE

- **Proposal Receipt Date:** 10/24/2013
- **Proposal Title:** Prediction of Cancer Progression and Associated Markers to Inform Innovative Diagnostics and Treatment
- **Project Period Begin Date:** 07/01/2014
- **Project Period End Date:** 06/30/2018
- **Current Award Notice Date:** 07/28/2014

- **Application Source:** Grants.gov
- **eApplication Status:** Submission Complete
- **FOA:** [PA15-123] - Development of Innovative Methods and Algorithms for Cancer Research and Management (R21)

**Latest NCA**

- **Notice(s) of Grant Award (PDF):**
  - 07/28/2014, 06/24/2014

- **Abstract (Awarded Grant):**

- **Just In Time:**
  - 06/13/2014, Times Revised: 2

- **eSubmission Cover Letter**

**Additions for Review**

**Document Event Log**

**Review**

- **Application Award Number:** RCA123456A
- **FSR Accepted Code:** N
- **Impact Score:** 21
- **Percentile:** 13.0
- **Early Stage Investigator Eligible:** N
- **New Investigator Eligible:** N
- **Eligible for FFATA Reporting:** Yes

**Study Section**

- **Scientific Review Group:** ZRG1
- **Council Meeting Date (YYYY/MM):** 2014/05
- **Meeting Date:** 02/24/2014
- **Meeting Time:** 08:30
- **Study Roster:** [View Meeting Roster](#)

**Institute/Center Assignment**

<table>
<thead>
<tr>
<th>Institute or Center</th>
<th>Assignment Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>NATIONAL CANCER INSTITUTE</td>
<td>10/24/2013</td>
</tr>
<tr>
<td>(Primary)</td>
<td></td>
</tr>
<tr>
<td>NATIONAL CANCER INSTITUTE</td>
<td>11/04/2013</td>
</tr>
<tr>
<td>(Primary)</td>
<td></td>
</tr>
</tbody>
</table>

**Status History**

<table>
<thead>
<tr>
<th>Effect Date</th>
<th>Status Message</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
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<td></td>
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</tbody>
</table>

**Advisory Council**

<table>
<thead>
<tr>
<th>Meeting Date</th>
<th>Meeting Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>06/24/2014</td>
<td>08:30</td>
</tr>
</tbody>
</table>

**eRA Service Desk**

- **Hours:** Mon-Fri, 7AM-8PM EDT/EST
- **Web:** [http://grants.nih.gov/irsupport](http://grants.nih.gov/irsupport)
- **Contact:** 888-504-9552
- **Phone:** 301-402-7469
- **Contact initiated outside of business hours via Web or voice mail will be returned the next business day.**
13.8.0.1 The screen displays the following sections of information:

Contacts: Names, phone numbers, and email addresses for grant-related contacts

The Name, Phone, and Email displays for the following contacts:

- Scientific Review Officer (SRO*)
- Grants Management Specialist (GMS)
- Program Official (PO)

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 is able to address most technical, functional, and account-related questions.

![Contact Information](image)

**Screen Tools:** Under the title of the screen (Status Information) is a row that contains tools to manage the screen content.

- **Filter** provides a text field that is used to search for specific content on the screen. This tool does not search the previously listed sections on the left of the page (Contacts, Latest Update, or eRA Service Desk).
- **Expand All** and **Collapse All** will affect each of the sections under the screen title except the application information section. **Expand All** will open all of the remaining sections to show all of the contents of that section. **Collapse All** will hide the content of those sections and only show the title of the section. This applies to:
  - Status
  - Other Relevant Documents
  - Additions for Review
  - Institute/Center Assignment
  - Status History
  - Awards
  - Reference Letters

  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://era.nih.gov/docs/era_status_codes.pdf](https://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://era.nih.gov/docs/era_status_codes.pdf](https://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**
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.

**Review**: This section contains the following subsections and content:

- **Application**:
  - Award Document Number
  - FSR Accepted Code
  - Snap Indicator Code
  - Impact Score (PI only)
- Percentile (PI only)
- Early Stage Investigator Eligible
- New Investigator Eligible
- Eligible for FFATA Reporting

**Study Section**
- Scientific Review Group
- Council Meeting Date
- Meeting Date
- Meeting Time
- Study Roster

**Advisory Council**
- Meeting Date
- Meeting Time

---

**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**

<table>
<thead>
<tr>
<th>Institute or Center</th>
<th>Assignment Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>NATIONAL CANCER INSTITUTE (Primary)</td>
<td>10/24/2013</td>
</tr>
<tr>
<td>NATIONAL CANCER INSTITUTE (Primary)</td>
<td>11/04/2013</td>
</tr>
</tbody>
</table>

**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**

**Awards**: Details on awarded dollar amounts.

The following award dollar information is available:

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

**Reference Letter(s)**: A list of submitted references letters.

If there are associated reference letters, the following information is available.
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.

*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.

### 13.8.1 Additions for Review

As the applicant, after submitting an application, you might send your Scientific Review Officer (SRO*) additional material that either clarifies or supplements information found on the original submission. When the SRO uploads this material, it is available to you via the Status Information screen.

Clicking the Additions for Review link from the Other Relevant Documents section of Status Information opens the Additions for Review screen. This screen provides links to the additional material along with other associated information.

The top of the screen displays general grant information including:
- **Grant Number**
- **PI Name(s)**

  For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word *(Contact)* following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the uploaded material(s):

- **Group**
  
  Displays the category to which the item belongs. Categories include Updated Pages; Supplemental Material; Collaboration Letters; Modified Budget Pages; Accepted Publication; Biographical Sketches; and Other.

- **Document**

  Displays the document file name as a link, which opens the uploaded document. This document can be viewed, updated, and saved.

- **Date**

  The date the document was uploaded.

*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.

### 13.8.2 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.
The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

  For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word *(Contact)* following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the administrative supplements, displayed in a table format. You can opt to view the current support year or all support years by selecting the appropriate radio button:

- **Show Current Support Year Admin Supplements**
- **Show All Support Years Admin Supplements**

The table includes the following columns of information:

- **Identifying information**

  Displays the grant number as a link, which opens the *Administrative Supplement Request* PDF.

- **Accession Number**
- **Supplement Status**
- **Submitted Date**
- **Comments for Grantee**

Click the **Close** link to exit the screen.

### 13.8.3 Institute/Center PRAM Requests

Clicking the link for *Progress Report Additional Material (PRAM)* from the **Other Relevant Documents** section of *Status Information* opens the Institute/Center
**PRAM Requests** screen. This screen provides read-only access to all current IC PRAM requests along with associated data.

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**
  
  For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word *(Contact)* following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the submitted PRAM.

- **Identifying Information**
  
  Displays the identifying name for the information provided by the IC PRAM request sender, displayed as a link. Click the link to open a read-only copy of the I/C PRAM Request details sent to the grantee.

- **Requested Date**
- **Number of Reminders Sent**
- **Last Reminder Sent Date**

At the bottom of the screen is a link next to the title **Progress Report Additional Material**. Click this link to open a consolidated report of all submitted materials responding to the PRAM request. The link itself shows the last updated date of the PRAM and the number of times revised.

The **Progress Report Additional Materials** file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of IC Requested PRAM were completed, the additional materials are separated in the document with the most recent
Submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.

13.8.4 Relinquishing Statements

Clicking the link for Relinquishing Statement(s) from the Other Relevant Documents section of Status Information opens the Relinquishing Statements screen. This screen provides access to read-only versions of all relinquishing statements associated with the grant.

A relinquishing statement is required as part of the Change of Institution process allowing an extramural grantee institution to transfer an active grant to another institution. The process is initiated by the Signing Official of the institution that holds the award, who submits a Relinquishing Statement in eRA Commons and identifies the institution that will take over the award.

![Relinquishing Statements Screen]

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**
  
  For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (Contact) following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the relinquishing statement(s) for the grant.
• **Document Name**
  The relinquishing statement name is displayed as a link, which opens a read-only version of the form.

• **Status**
  The status of the submitted form.

• **Submitted Date**
  The date on which the organization's SO submitted the form.

• **Comments for the Grantee**
  Where applicable, displays comments entered by Agency staff directed to the grantee.

### 13.8.5 Closeout FRAM Requests
Clicking the link for Closeout Final Report Additional Materials Request (FRAM) from the **Other Relevant Documents** section of Status Information opens the Closeout FRAM Requests screen. This screen provides read-only access to all current Closeout FRAM requests along with associated data.

The top of the screen displays general grant information including:

• **Grant Number**

• **PI Name(s)**
  For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (Contact) following the name.

• **Project Title**

• **Institution**

• **Appl ID**

Below this section, you can find information specific to the submitted FRAM.
### Identifying Information

Displays the identifying name for the information provided by the FRAM request sender, displayed as a link. Click the link to open a read-only copy of the FRAM Request details sent to the grantee.

### Requested Date

### Number of Reminders Sent

### Last Reminder Sent Date

#### 13.9 How Does a PI See the Review Outcome?

Review Outcomes are found in Summary Statements. These statements are PDF documents combining reviewers' written comments and the Scientific Review Officer's (SRO*) summary of the discussion surrounding your application during the review meeting.

**Policy:** [Scoring System and Procedure](#)

As a PI, you can view your application's Summary Statement using the Status Information screen once it has been released by the SRO following the review meeting. If you are a signing official and are looking for the Summary Statement, see *How Does an SO See the Review Outcome?*

#### 13.9.1 To view your Summary Statement:

1. Log into Commons.
2. **Navigate to the Status module.**
3. Click the **List of Applications/Grants** section.

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.
4. Select the application ID link for the specific application. For a list of possible application statuses, see [https://era.nih.gov/docs/era_status_codes.pdf](https://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.
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
*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.

13.10 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
13.10.1 To view a Summary Statement:

1. Log into eRA Commons.
2. Navigate to the Status module.
3. On the General Search screen, enter criteria to find a grant application and click Search.

4. In the Search Results, click the Application/Award ID. The Status Information screen for the application/award appears. For a list of possible application statuses, see https://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. Expand this section to see the following:

- **Application**:
  - Award Document Number
  - FSR Accepted Code
  - Snap Indicator Code
  - Impact Score: 21
  - Percentile: 13.0
  - Early Stage Investigator Eligible: N
  - New Investigator Eligible: N
  - Eligible for FFATA Reporting: Yes

- **Study Section**
  - Scientific Review Group: ZRG1
  - Council Meeting Date (YYYY/MM): 2014/05
  - Meeting Date: 02/24/2014
  - Meeting Time: 08:30
  - Study Roster: View Meeting Roster

- **Advisory Council (A)**
  - Meeting Date: 06/02/2014
  - Meeting Time: 08:30
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

*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.

13.11 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 Grant Awards are sent to the email address specified in the Institutional Profile. The signing official (SO) can update the NoA address through the institutional profile update function. You can view NoAs from the Status Information screen.

Beginning October 1, 2020, the NoA was updated to reflect a standardized Page One, which serves as the first page for all HSS (Department of Health and Human Services) Notices of Awards for discretionary awards. The updated Page One displays key award information in an intuitive and digitally accessible format.

To view the NoA from the Status Information screen:

1. Log into Commons.
2. Navigate to the Status module.
3. Select the **List of Applications/Awards** section.

The results display in Grouped or Flat view. The application ID within this table is a link, which opens the **Status Information** screen.
4. Click the application ID link for the specific application. (For a list of possible application statuses, see https://era.nih.gov/docs/era_status_codes.pdf.)

The Status Information screen displays. The top of 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).

5. Click the Notice(s) of Grant Award link. The NoA opens in a separate window.
13.12 Closeout Status

Policy: Closeout policy information

Closeout is a feature that allows a grantee to electronically file the information necessary to complete grant closeout requirements. It interfaces with the Closeout system used by Agency staff to track and monitor this business process. NIH will close out grants as soon as possible after expiration of a grant that is not to be extended or after termination of a grant. Closeout includes timely submission of all required reports and adjustments for amounts due the grantee or NIH. Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Following Closeout, the grantee remains obligated to return funds due, because of later refunds, corrections, or other transactions, and the Federal Government may recover amounts based on the results of an audit covering any part of the period of grant support.
If you hold an SO, PI, or FSR role, you can access the Closeout Status screen to perform the following:

- Track your grants that are in Closed status
- Submit reports required for closeout
- Submit any requested additional material (FRAM) related to your Final Research Performance Progress Report (Final RPPR)
- Access the FFR module of Commons to initiate and submit Federal Financial Reports (you must hold an FSR role)

### 13.12.1 Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

The Closeout Status screen is accessed via links on the Status result screens (Status Result - Closeout or Status Result - General Search for SOs; Status Result - List of Applications/Grants for PIs).

The links you may see on your results screen include:

- **Requires Closeout**: Grant has not completed the closeout process
- **Closed**: Grant has completed the closeout process
- **In Unilateral Closeout**: Grant is currently in the process of being unilaterally closed (see note below)
- **Unilaterally Closed** Grant has been unilaterally closed by the IC (see note below)

**NOTE**: The U.S. Department of Health and Human Services (HHS) has issued a directive to Agencies on new policies for closeout of grant awards. NIH has revised its policies and procedures to align with the OER Policy Announcement 2014 regarding the guidance on implementation of HHS GPAM Chapter 1101 (Closeout), including Unilateral Closeout.

The policy chapter directs Institutes/Centers (ICs) to initiate a unilateral closeout – a closeout without the cooperation of the grantee – 180 days after the project end date if it has not received acceptable final reports required by the terms and conditions of an award. After making reasonable efforts to obtain the final reports ICs must close all awards no later than 270 days after the project end date. This substantially decreases the timeframe in which NIH must officially close a grant after the project end date.

At the top of the Closeout Status screen, the following **Application Information** displays:
• Grant Number
• PI Name
• Closeout Contact Name
• Closeout Contact Email
• Closeout Contact Phone
• Project Period
• Proposal Title

Below this information is the **Closeout Submission Requirement** including **Instruction**, **Status** of the requirement, **Result of Actions**, and **Date** of action. Also included are the available **Action link(s)**, which vary and may include:

• FFR (**Create New** and **View** links)
• Final RPPR (**Process Final RPPR; View; FRAM**; and **View FRAM** links)
• Final Invention Statement (**Process Final Invention Statement** and **View** links)

Refer to the related topics for more information about FFR, Final Research Performance Progress Report, and Final Invention Statements.

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At the top of the screen, text will indicate if the grant is in unilateral closeout or has been unilaterally closed, as applicable, and the date on which this occurred. While In Unilateral Closeout, links will be available in the **Action** column unless they have been closed by Grants Management Staff, in which case you will not see the links. When Unilaterally Closed, links will not be available. The message on the screen indicates whether links have been disabled.

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eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.
### Closeout Status

**Application Information**

<table>
<thead>
<tr>
<th>Grant Number:</th>
<th>5R01DK123456-13</th>
</tr>
</thead>
<tbody>
<tr>
<td>P/D/PI Name:</td>
<td>FATHERS, SAM</td>
</tr>
<tr>
<td>Closeout Contact Name:</td>
<td>MCCASLIN, ISAAC</td>
</tr>
<tr>
<td>Closeout Contact Email:</td>
<td><a href="mailto:erAInst@mail.nih.gov">erAInst@mail.nih.gov</a></td>
</tr>
<tr>
<td>Closeout Contact Phone:</td>
<td>301-555-5555</td>
</tr>
<tr>
<td>Closeout Contact Status:</td>
<td>Requires Closeout</td>
</tr>
<tr>
<td>Proposal Title:</td>
<td>Role of Nitric Oxide in Interstitial Cystitis</td>
</tr>
</tbody>
</table>

**Closeout Submission Requirement**

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Instruction</th>
<th>Status</th>
<th>Result of Actions</th>
<th>Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>FFR</td>
<td>For FFR submission, you must have the Commons FSR role.</td>
<td>Not Started</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final RPPR</td>
<td>Only the SO or PI of the Grant may process the Final RPPR.</td>
<td>Not Received</td>
<td></td>
<td></td>
<td>Process Final RPPR</td>
</tr>
<tr>
<td>Final Invention Statement</td>
<td>For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.</td>
<td>Not Received</td>
<td></td>
<td></td>
<td>Process Final Invention Statement</td>
</tr>
</tbody>
</table>

**Form Approved OMB No. 0925-0002**

A Federal Financial Report (FFR) is a statement of expenditures associated with a grant. Recipients of federal funds are required to complete an FFR to report the status of funds to the sponsor of the grant.

If you have the FSR role, you can use the FFR module to search for grants and associated FFRs for your institution. In the FFR module, you can perform the following tasks:

- Manage an FFR—This redirects you to the federal Payment Management System to complete and submit the form, or to edit a saved FFR
- View a PDF of an FFR
- View the history of an FFR

With the FSR role, you can also access the FFR module from the Closeout Status screen.

13.12.3 Submitting Your Final Invention Statement (FIS)

You must submit a Final Invention Statement 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:** Refer to the Procedure for Submission of Final Invention Statement and Certification for more policy related information.

All actions are performed from the Submit Final Invention Statement screen, which is accessed via the Closeout Status screen. From here, SOs and PIs to do one of the following:

- Certify that no inventions were conceived or first reduced to practice during the course of work
- Add and submit information on inventions conceived/used during the course of work

Although a PI can create the FIS, only a SO can submit it to Agency.

13.12.3.1 Reporting Inventions on Your FIS

eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.

If you hold an SO or PI role, you can add inventions to the Final Invention Statement.

To add inventions to the FIS:

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

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

2. From Closeout Status, click the **Process Final Invention Statement** link.
The *Submit Final Invention Statement* screen displays. From this screen you can:

- Cancel out of the processing of the FIS
- Indicate that no inventions were created during the course of the project
- Report inventions created during the course of the project

Refer to the section of this document titled *Claiming No Inventions on Your FIS* on Page 227 for information on submitting an FIS with no inventions.

Follow the steps below to submit a report and claim an invention.
3. Click the **Yes** button.

   The *Add Invention* screen opens. From this screen, SOs and PIs may perform the following actions:

4. To add a new invention:
   a. Fill in the required fields.
   
      - **Title of Invention**
      - **Name of Inventor**
      - **Date Reported to DHHS**
   b. Click the **Add Invention** button.

   The added invention displays in the **Saved Invention** section of the screen.

5. Repeat the steps above to add all of your project’s inventions.

6. **Optional**: If you need to remove an invention, you can do so by clicking the **Remove** link in the **Action** column under the **Saved Invention** section.
7. Click the **Save** button.

In a separate window, a certification statement displays.
I hereby certify that, to the best of my knowledge and belief, all inventions are listed which were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period. Further, this report does not in any way relieve our obligation to promptly and fully report all inventions directly to the National Institutes of Health, as required by the terms of the grant or award.

If you are a PI saving an invention, you will also see the following statement added to the certification message:

*Note that a user with the SO privilege must verify the Final Invention Statement prior to submission.*

8. Click the **OK** button to continue.

You can click **Cancel** if you have made a mistake and need to return to the *Submit Final Invention Statement* screen.

When you save the report, the status of the FIS updates depending on whether you are an SO or a PI.

- Status = Saved (if SO) or Awaiting SO Verification (if PI)
- Result of Actions = Submitted by <your name>
- Date = Current date/date you saved the information
- Action = **Process Final Invention Statement** link

The SO must verify and submit the FIS. Refer to the section of this document titled *Submitting Your FIS on Page 231* for more information.

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**13.12.3.2 Claiming No Inventions on Your FIS**

eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps.
and images provided for your eRA Commons role.

If you hold an SO or PI role, you can create a Final Invention Report indicating no inventions. To create a Final Invention Statement certifying that no inventions exist:

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

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

2. Click the Process Final Invention Statement link.
The Submit Final Invention Statement screen displays.

3. Click the No button.

![Submit Final Invention Statement Screen]

In a separate window, a certification statement displays.

_I hereby certify that, to the best of my knowledge and belief, no inventions were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period._

4. Click the OK button to confirm.

You can click Cancel if you have made a mistake and need to return to the Submit Final Invention Statement screen.

When you save your FIS, the Closeout Status screen will update to show the following:

- Status = Saved
- Result of Actions = Submitted by <your name>
Action = **Process Final Invention Statement** link

The SO must verify and submit the FIS. Refer to the section of this document titled *Submitting Your FIS on Page 231* for more information.

### 13.12.3.3 Updating Your Saved FIS

If you hold an SO role, you can change a saved Final Invention Statement to add invention(s) or to change the certification.

To change your FIS:

1. Click the **Process Final Invention Statement** link from *Closeout Status*.

   ![Closeout Status](image)

   The *Submit Final Invention Statement* screen displays. The options available on this screen include:

   - **View Invention Statement** (<inventions reported> -or- <no inventions reported>) link
   - **Submit** (only if you have an SO role)
   - **Change**
   - **Cancel**

   ![Submit Final Invention Statement](image)

2. To change your FIS, select the **Change** button.
When **Change** is selected, you have the option to re-select **Yes** or **No** to indicate whether inventions are being reported. Select the **No** button if you wish to certify that no inventions are being reported. Otherwise, follow the next steps to update your saved inventions on the FIS.

3. To update the inventions on your FIS, select the **Yes** button.

The *Add Invention* screen displays. From here, you can add another invention or remove saved inventions. Refer to the section of this document titled *Reporting Inventions on Your FIS* on Page 223.

### 13.12.3.4 Submitting Your FIS

If you hold an SO role, you may submit a Final Invention Statement.

To submit the FIS:

1. Click the **Process Final Invention Statement** link from the *Closeout Status* screen.

The *Submit Final Invention Statement* screen displays. As an SO, your options include:

- **View Invention Statement** (<inventions reported> -or- <no inventions reported>)
- **Submit** (available only to SO role)
- **Change**
- **Cancel**
2. Click the **View Invention Statement** link to look the FIS over and verify its accuracy. The report will open in a separate window as a PDF document.

3. Click the **Submit** button.

In a separate window, a certification statement displays.

*I hereby certify that, to the best of my knowledge and belief, all inventions are listed which were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period. Further, this report does not in any way relieve our obligation to promptly and fully report all inventions directly to the National Institutes of Health, as required by the terms of the grant or award.*

4. Click the **OK** button to confirm and continue.

Once you have submitted the report, you cannot update it. If you need to hold off on submission, you can select **Cancel** to return to the **Submit Final Invention Statement** screen.

Once you’ve submitted the FIS, the status details update as follows:

- Status = Received
- Result of Actions = Verified by <your name>
- Date = Current date/date you submitted the report
- Action = **View** link

The FIS is now available to view using the **View** link on **Closeout Status**. It can also be viewed from the **Status Information** screen for the grant.

---

**13.12.4 Submitting Your Final Research Performance Progress Report**

As of January 1, 2017, a **Final Research Performance Progress Report** (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports (Final RPPR)](https://eracommons.nidcd.nih.gov/statusmodule) — Guide Notice NOT-OD-17-022
Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The Interim RPPR link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the Process Final RPPR link only appears on the Closeout Status screen.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR.

Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

13.12.4.1 Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.
- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.
13.12.4.2 To submit your Final RPPR:

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

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

2. From Closeout Status, click the Process Final RPPR link.

   Clicking the Process Final RPPR link opens the Final RPPR Menu screen:

3. Click the Initiate button to create the Final RPPR.

   The Final RPPR Menu will then change, providing the user with the option to Edit the Final RPPR:
4. Clicking **Edit** opens the navigation to the various sections of the Final RPPR:

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

   Be sure to click **SAVE** when moving between sections or unsaved data may be lost.
When done, click **Cancel** to return **Final RPPR Menu** screen.

In the **Final RPPR Menu** screen, there are several action buttons at the bottom that you can use to complete the Final RPPR:

![Final RPPR Menu](image)

For more information on these options, see:

- **Final Progress Report Additional Materials (FRAM)**
- **Interim RPPR Overview**
- **Editing the RPPR Forms**
- **Checking for Errors and Warnings**
- **Viewing the RPPR**
- **Routing the RPPR**
- **Recalling the RPPR**
- **Submitting RPPR to Agency**

The **Cancel** button closes the **Final RPPR Menu** screen.

### 13.12.4.3 Final Progress Report Additional Materials (FRAM)

A **Final Research Performance Progress Report** (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. This report should be prepared in accordance with instructions provided by the awarding component.

Refer to the topic titled **Submitting Your Final Research Performance Progress Report on Page 329** for information related to the Final RPPR.
The Final Progress Report Additional Materials (FRAM) feature provides a means for grantees to enter, review, route, and submit information in response to specific request(s) by the Program Official (PO) for additional information related to the Final RPPR.

While reviewing a submitted Final RPPR, the PO may determine that additional materials related to the submitted report are required. In this case, the PO will submit a request for this information referred to as a FRAM request. When a FRAM request is made, the PI is notified via email; Final RPPR status on Closeout Status is updated to FRAM Requested; and a FRAM Update link appears in the Closeout Status screen. The link is located as an action on the Final RPPR Report line for Closeout Submission Requirement.

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

For Revised Project Outcomes, please review the following information. To submit revised Project Outcomes, SOs should follow the IRAM process for outcomes for Interim RPPRs and the FRAM process for outcomes for Final RPPRs with the exception that a text box will be provided to enter the new Outcomes text and then you click an Upload button instead of an Add Attachment button as with other RAM requests.

Project Outcomes provide information regarding the cumulative outcomes or findings of the
project.
Note that outcomes will be made publicly available, allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. The name of the Primary Investigator/Project Director will be attached to the public posting in RePORTER.

For NIH awards the length of the Outcome statement should not exceed half a page. In addition, the summary of outcomes or findings of the award must be written in the following format:
*** Is written for the general public in clear, concise, and comprehensible language
*** Is suitable for dissemination to the general public, as the information may be available electronically
*** Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes: https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm
See NIH notices NOT-OD-17-022 and NOT-OD-17-037 for additional details on this requirement.

Uploading Final Report Additional Materials

When FRAM is requested by the reviewing PO, an email notification will be sent to the PI (and SO) describing the additional information being requested. It is the PI who is responsible for uploading this requested FRAM via the Closeout module in Commons.

To upload FRAM:

1. Navigate to the Closeout Status screen.
2. Locate the Final RPPR line item under the Closeout Submission Requirement column.

If a PO has requested additional material related to the Final RPPR, the Status will show FRAM Requested, the Result of Action column will show FRAM Requested By <PO Name>, and the FRAM Update link will appear in the Action column of this line item. If this information is not there, the request was not made.
3. Click the **FRAM Update** link.

The **Final Progress Report Additional Materials (FRAM)** screen appears. From this screen, the PI has the ability to either; upload an attachment meeting the requirements of the requested information or, for Revised Outcomes (Section I of the RPPR), a text field in which to enter the Revised Outcomes text.

You can view the original request for information from the **Status Information** screen. The **Closeout Final Report Additional Materials Request (FRAM)** link located in **Other Relevant Documents** section of **Status Information** will show the original request.

4. Use the **Add Attachment** button to search for and select the appropriate document from your local computer. The attached document must be in PDF format and no larger than 6MB.
After passing system validations, the screen will display a message as follows: FRAM was successfully uploaded and is ready for processing by the SO in your institution.

FRAM attachments can be viewed at any time using the View Attachment or View button on the screen. Before being submitted to Agency, FRAM attachments can be deleted using the Delete Attachment button.

When FRAM is attached, the Closeout Status screen updates to show FRAM Updated in the Status column and FRAM Updated By <PI Name> in the Result of Action column. You will
notice that the **FRAM Update** link remains as an available action. Attachments for additional requests can be uploaded using this link and following the same steps described above. Subsequent uploads will be appended in the stored PDF document viewable in Status Information.

The SO is now able to submit FRAM. Refer to the steps in the section titled [Submitting FRAM](#) for details on how an SO submits FRAM to Agency.

Please note that after the SO submits FRAM, the **FRAM Update** link on Closeout Status will be replaced by the View FRAM link and updates can no longer be made.

**Submitting FRAM**

Once a response to a FRAM request has been uploaded by the PI using the *Final Progress Report Additional Materials (FRAM)* screen, the SO can submit the material to Agency. Only those with an SO role in Commons can submit FRAM.

To submit FRAM:

1. Navigate to the Closeout Status screen for the specific grant.
2. Locate the Final Research Performance Progress Report line item under the Closeout Submission Requirement column.

   If the PI has uploaded the additional material successfully, the Result of Action column will show *FRAM Updated By <PI Name>*. The **FRAM Update** link will appear in the Action column of this line item.
3. Click the **FRAM Update** link.

![Closeout Status](image1)

The **Final Progress Report Additional Materials (FRAM)** screen appears with the **Submit** button enabled.

4. **Optional:** To view the FRAM response before submitting it, click the **View Attachment** button.

5. To submit the FRAM, click the **Submit** button.

![Final Progress Report Additional Materials (FRAM)](image2)
6. Before the submission is completed, a certification message will appear on the screen. Click the **I Agree** button to confirm this certification and to complete the process.

After a successful submission, the screen will display a message as follows: *The final progress report additional materials have been successfully submitted to Agency.* The Closeout Status screen will show **FRAM Submitted By** `<SO Name>` in the **Result of Action** column, and the **FRAM Update** link available before the submission is replaced by the **View FRAM** link. FRAM cannot be edited after submission to Agency.

Additionally, email notification is sent to both the SO who submitted the FRAM and to the PI of the grant. A separate notification is sent to the PO of the grant. Commons will generate a PDF document containing all documents adding for the FRAM request. This document can be accessed within the **Status Information** screen under **Other Relevant Documents**.
The PO may rescind the approval of the Final RPPR submission at any time. If this event occurs, the **FRAM Update** link will be made available for submitting FRAM.

SOs can continue to add additional attachments even after submission to Agency (before acceptance of the Final RPPR). Any subsequent documents will be added to the PDF generated by Commons.

### 13.13 Just in Time (JIT) Search for SOs

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 [Steps for AOR/SO to Check Submission Status](#).
- JIT screen available to VA applicants, see [Just in Time (JIT) for VA Applicants](#).
- 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 an auto-generated email from eRA Commons alerting you that a Just in Time request has been made on one of your institution's applications. 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.

To search for an applicant that has a current JIT process (SOs only):

1. In eRA Commons, navigate to the **Status module**.
2. Click the **Just In Time** link at left (outlined in red here).

   The SO Search screen appears.

   ![Just In Time (JIT)](just_in_time.png)

3. Enter search criteria to find a specific application, or use the **Just In Time** radio buttons to find:
   - **Eligible for JIT**: all applications eligible for JIT
   - **JIT in WIP**: all applications with an in-progress JIT, or
   - **JIT Submitted**: all applications with a submitted JIT. Then click **Search**.

   The Search results appear in a table. See *Standard Tools for Tables* to learn about the filter and other table tool icons that appear over tables.
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*.

If you are working on a non-VA application, see *Just in Time (JIT) Screen*.

13.13.1 Just in Time (JIT) Screen

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*.
- JIT approval screen available to VA agency staff, see *Just in Time (JIT) Overview for VA Agency Staff*.

The JIT feature of the eRA Commons allows the electronic submittal of additional grant application information after the completion of the peer review, and prior to funding. The program director/principal investigator (PD/PI) and the signing official (SO) work together to complete and submit Other Support, Budget, IACUC, IRB, and/or Human Subject Assurances information directly to the NIH when that information is requested. For information on the new header and footer and navigating between modules, see *Navigating and Using the UI in eRA Modules*.

**NOTE:** If you have the PI role, you may upload and save JIT information; however, you must be an SO to submit it to NIH.

The JIT feature is available for applications meeting established business criteria. In general this feature becomes available for applications that fall within a certain percentile or priority score range; however, applicants should not submit any JIT information until specifically requested by the agency. These requests can be eRA-system generated emails or contacts directly from the specific awarding agency via email and/or phone.
NOTE: All JIT attachments should be submitted in PDF format with a maximum size of 6MB. Each upload area can accept only a single PDF, and if you re-upload a file, it replaces the previous file.

Policy: JIT policy information also is available online. Look for the *Just-in-Time Procedures* section of the [NIH Grants Policy Statement](#).

To search for a JIT as an SO, see *Just in Time (JIT) Search for SOs*. In Commons, the *Just In Time* screen is accessible from the Actions column on each of the following:

- **JIT** link on *Status Result - Just In Time search or General Search (SO)*
- **JIT** link on *Status Result - List of Applications/Grants (PI)*
Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide Other Support, Budget Upload, Other Upload, IACUC, IRB, and Human Subject Assurance. Just in Time allows submission of a document directly to the NIH when that information is requested. Guidance follows:

- Although a PI may save this information through Commons, only an SO may submit it to NIH.
- Any element of the JIT form may be submitted at different times while the JIT link is available.
- Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.
- Number of Submission provides the user with the number of times the JIT form was submitted to Agency.
- All elements on the JIT form can be submitted multiple times and will be appended to the JIT report, with the latest version at the top of the report.
- If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this "Just in Time" page.

**Application Information**

| Award Number: R21DE022519-01A1 | PI Name: REUBE, HANK | Proposal Title: Molecular determinants | Total Submissions: 0 |

Please provide active and pending support for all key personnel. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research awards, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at Other Support and upload the document using the Upload button provided below. Alternatively, you can drag and drop a file onto the respective panel. Please note that when you upload a document it is automatically attached to your application.

**Human Subjects Information**

| IRB Date: | Number of Submissions: 0 |

Your institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval by an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your institution. Select Your Assurance Number.

**Human Subjects Education**

| Last Uploaded File Name: | Number of Submissions: 0 |

**Animal Subjects Information**

| IACUC DATE: | Number of Submissions: 0 |

The institution must verify approval by the Institutional Animal Care and Use Committee (IACUC) of those components of the application related to the care and use of animals. By specifying a date and saving this form you confirm that IACUC approval of this application was awarded on that date. If the IACUC required any modifications in the care or use of animals as described in the Research Plan, those changes must be submitted to the appropriate NIH Awards Management Office. The OLAW Assurance Number listed for your institution is A0196-01.

**Genome Data Sharing Certification**

Genome Data Sharing Certification is expected prior to funding award for all research generating large-scale human genomic data under the NIH Genomic Data Sharing Policy. If a final Institutional Certification is not available at Just in Time, you may submit a provisional Institutional Certification along with other Just in Time documents. A final version of the Institutional Certification may be uploaded in the "Additional Information" section of your award folder at a later date. You should keep Program Staff of the funding IC informed of the expected date of submission of the final Institutional Certification.
The procedure below is for both a PI or an SO. However, the SO has a **Submit** button and the PI does not. Also, the button name for viewing a report changes slightly depending on role, but the report button performs the same action.

### 13.13.1.1 Uploading, Saving, and Submitting JIT Information

A PI can upload and save JIT information, and can also view the JIT report that the JIT screen will prepare 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 JIT files:

1. Access the *Just in Time* screen through the **JIT** link on the Status result screen(s) **Action** or **Available Actions** column.

**NOTE:** The **JIT** link is removed once an application has been awarded.

The Just in Time screen appears. The Application Information section shows the application being modified.

2. Upload the appropriate file types.
   - **Other Support File**
   - **Budget File**
   - **Other File**
   - **Human Subject Education**
   - **Genome Data Sharing Certification**

**Other Support File Information**

Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this *Just in Time* screen.

For instructions regarding certifications and assurances, please refer to the *Institutional Assurances and Certifications (IPF)* instructions. Both PD/PIs and SOs may view the current status of the assurances and certificates but only SOs (or TTOs if no SO has been assigned) are able to make changes to the information.

It is requested that active and pending support for all key personnel be provided. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide Other Support information, follow the suggested format available at [http://grants1.nih.gov/grants/funding/phs398/othersupport.doc](http://grants1.nih.gov/grants/funding/phs398/othersupport.doc) and upload the document using the **Upload** button provided.

PDF uploads for **Other Support File** 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. ....".

a. Click the **Upload** button for each type of file you need to upload..

-OR-

b. Drag and drop the file from your Windows directory into the appropriate section of the JIT screen.

The panel shows an Upload Complete message. The panel also displays the name of the file and the date it was uploaded. Optionally, you can remove the file by clicking the **Delete** button, or simply by uploading a different file. Click the **View** button to view the contents of the PDF file in a separate browser window.

3. Enter IRB date and assurance number as appropriate.

   - **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 HSA # to be entered in the Institution Profile.
4. If this grant includes animal subjects, enter the IACUC date, which should be within the last three years.

5. Click the **Save** button at the bottom of the JIT screen.

   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.

6. If you are a signing official, and you have added or modified the information on the screen so it is ready to submit, click the **Submit** button at the bottom of the screen to submit to the Agency. A confirmation message appears:

   ![Submit Confirmation](image)

   **Warning!** You are about to submit the JIT information to be reviewed by the Government. Are you sure you would like to continue?

   **Cancel**  **Submit JIT Data**

7. In the **Submit Confirmation** popup that appears, click the **Submit JIT Data** button. A Success message appears at the top of the JIT screen.

   **Commons** performs validations upon saving or submitting. If required information is missing or invalid, error messages will appear on the screen to guide you.

   Once submitted, the report is available to view from within **Status Information**. **Status Information** is accessed by selecting the application ID (displayed as a link) from any of the Status result screen. Refer to the section of this document titled **Status Information on Page 193**.

   You can resubmit JIT information as many times as necessary. Each section of the JIT information can be submitted separately and more than once as long as at least one field element has been completed. After each submission, the **Just In Time** screen displays the **Number of Submissions** for each piece of information.
When a resubmission has occurred, the Status result screens display the JIT link with an indication of the number of times revised.

13.13.1.2 Viewing the Just In Time Report

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; PIs click the View Report button, while SOs click the View Just In Time Report button. The two buttons show the same report.

**IMPORTANT:** If your system is set up to view PDFs in the browser and you view the report, the PDF report will replace the JIT screen in the current browser tab, and you will lose all unsaved data. Click the Save button before viewing the report to avoid this.

If the JIT information has already been submitted to NIH, the Just In Time report can be viewed from a link within Status Information. The link displays as the date of the last submission plus the number of times submitted and is located under the Other Relevant Documents section.

Status Information is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. Refer to the section of this document titled Status Information on Page 193.
13.13.2 Just in Time (JIT) for VA Applicants

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.
- 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. For more information, see Just-in-Time Process to Release Funds on the VA website.

NOTES:
• 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 link is available in the Status module for applications for which VA agency staff have prepared a JIT request. See Accessing the JIT Screen. 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.

Sample JIT Screen

The JIT screen for VA applicants (PI/SO) is shown here. Keep in mind that the screen looks different depending on what categories of information that the VA agency staff have 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, and Human Subject Assurances Just In Time information directly to the Agency when that information is requested. Guidance follows:

- Although a 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 Submissions" 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.

Application Information

Award Number: 0108300000-01A
PI Name: DYER, RAJ
Proposal Title: Novel Mechanistic Insights

Primary Research Site: VETERANS HEALTH ADMINISTRATION

Please provide active and pending support for all key personnel. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual’s research endeavors, including but not limited to research awards, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the Agency Other Support, follow the suggested format available at Other Support and upload the document using the Upload button provided below. Alternatively, you can drag and drop a file onto the respective panel. Please note that when you upload a document it is automatically attached to your application.

Revised Budget

Last Uploaded File Name: None
Date Created: None
Number of Submissions: 0

Miscellaneous

Last Uploaded File Name: None
Date Created: None
Number of Submissions: 0

Clinical Trial Registration

Last Uploaded File Name: None
Date Created: None
Number of Submissions: 0

Data Monitoring Committee (DMC)/Data and Safety Monitoring Board (DSMB)

Last Uploaded File Name: None
Date Created: None

Animal Subjects Research Review

Last Uploaded File Name: None
Date Created: None
Number of Submissions: 0

Additional Sites

BIRMINGHAM VA MEDICAL CENTER
Site PI: Teresa Toth

U.S. DEPT/VIETS AFFAIRS MEDICAL CENTER
Site PI: Jim Johnson

Documents

PI Assurance
Last Uploaded File Name: None
Date Created: None

ACOS Assurance
Last Uploaded File Name: None
Date Created: None

Miscellaneous
Last Uploaded File Name: None
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. Standard award information appears at the top of the JIT screen in the Application Information section. The **Total Submissions** field indicates how many times 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** link in the **Available Actions** column.

**SOs: Access to JIT Screen**

See **Just in Time (JIT) Search for SOs** for steps on searching for a grant that is in the JIT process.

**Responding to the JIT**

**Viewing Initial Agency Comments**

To access initial agency comments, which might include reminders or instructions, hover over, or click, the **Additional Agency Comments** link in the section, shown below. Hovering shows the comments briefly, while clicking makes the comments stay visible until the link is clicked again:
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 overtop of the appropriate section on the JIT screen; however, if drag and drop is used for sections that allow two files to be uploaded (which contain two Upload buttons), both files will be replaced.

Example of two-file section:

![Image of two-file section]

**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 button, 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 name, which is linked, to view the PDF in a browser window.

**Viewing History of Submissions**

To view the history of a section's submission, click the section's History button to see a record of all submissions for the particular section you are viewing. 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.

**Fields in a Section**

**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.

**Comments.** 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 or click to see comments that were entered by agency staff when they configured this JIT.

**Agency Review File Name.** After submittal, agency staff can approve or reject a section. At that time, agency staff can upload a document as part of the approval/rejection; that file will then reside in the Agency Review File Name 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 indicators, shown here, that appear over each section to determine what action has been taken on each section. For instance, in the image, one file has been uploaded to the JIT package (not yet submitted), and the other has been submitted, meaning the agency can review it.
Finally, you can click the **View Just In Time Report** button, outlined in purple 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, using the **Submit** button shown above outlined in green, more than once. 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 and submit, and return later to the JIT to upload the last file and resubmit. And as long as the agency has not yet approved a particular section, you can continue to update the file in that 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 again, with the number of times it has been submitted. Select the JIT link to revisit the JIT.
At this point, you can:

- Upload files for any sections you omitted earlier
- Replace a file that you previously uploaded by uploading a different file. The new file replaces the existing file.

Any additional or replaced 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**.

**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.

<table>
<thead>
<tr>
<th>Other Relevant Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>e-Application</td>
</tr>
<tr>
<td>Summary Statement</td>
</tr>
<tr>
<td>Just In Time 10/29/2020 Times Revised(1)</td>
</tr>
<tr>
<td>eSubmission Cover Letter</td>
</tr>
</tbody>
</table>

**13.14 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 up 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. An email notification is automatically sent to the grants management specialist. No further action is required by the recipient.
**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 for the requirements and steps to request an NCE.

**Policy: Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds**

Grantees may extend the final budget period of the project when the following conditions are met:

- If no additional funds are required 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

The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds.

To facilitate this process, use the No-Cost Extension feature in the eRA Commons Status module, which allows signing officials (SOs) to request an NCE of between 1 and 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.

 NIH requires grantees to use the No-Cost Extension feature, either in the Status module as shown here for automatic approvals, or in the Prior Approval module, and will not accept requests via any other channels. Use the Status module for NCEs if your grant is eligible for an automatic NCE, in which case an “Extension” link appears in the Actions column of Status grant search. If not eligible for an automatic extension, you can still request prior approval for a NCE when the grant meets certain conditions, described in Requesting a No-Cost Extension with Prior Approval.

To submit a No-Cost Extension:
1. Search for a particular grant using the Status - General Search screen.
2. Click the Extension link from Action column of the appropriate grant on the Status Result - General Search screen.
   The Extension link in the Action column 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 Extension screen opens.

3. Select the number of months by which to extend the grant by selecting an option from the Extend drop-down list. Selecting an option updates the date in the This will extend the project to text box.

   In extending the final budget period of the project period, the grantee agrees to update all required certifications, including human subjects and animal welfare, in accordance with applicable regulations and policies.

4. Click the Extend Project Date button.

   A confirmation screen displays a message You selected to extend the project period for this grant for <#> months.
5. Click the **Confirm** button to continue.

Upon notification, the NIH awarding office will revise the project period ending date and provide an acknowledgment to the grantee.

When an extension without cost is submitted but cannot be processed due to an internal business error, the link displays in Status Result as Extension Error. This link will continue to display until the error has been corrected. Instruction will be given on whom to contact if you need to have the error corrected before resubmitting. Once the error has been corrected, the No-Cost Extension will be processed, and the appropriate eNotifications sent.

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**13.15 No-Cost Extension (NCE) for AHRQ Grants**

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.*

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](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

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.

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. Click the Extension link from Action column of the appropriate grant on the Status Result - General Search screen.
   - The Extension link in the Action column 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 Extension screen opens.
3. Select the number of months by which to extend the grant by selecting an option from the Extend drop-down list. Selecting an option updates the date in the This will extend the project to text box.

In extending the final budget period of the project period, the grantee agrees to update all required certifications, including human subjects and animal welfare, in accordance with applicable regulations and policies.
4. Click the **Extend Project Date** button.

A confirmation screen displays a message **You selected to extend the project period for this grant for <#> months.**

5. Click the **Confirm** button to continue.

Upon completion, the project period end date will be updated and an acknowledgment will be emailed to the grantee.

When an extension without cost is submitted but cannot be processed due to an internal business error, the link displays in Status Result as **Extension Error.** This link will continue to display until the error has been corrected. Instruction will be given on whom to contact if you need to have the error corrected before resubmitting. Once the error has been corrected, the No-Cost Extension will be processed, and the appropriate eNotifications sent.
13.16 Change of Institution

The Change of Institution process in eRA Commons allows extramural grantee institutions to submit Relinquishing Statements electronically via Commons. Relinquishing Statements (RS) are the official documents relinquishing interests and rights to Public Health Service (PHS) research grants and typically accompany a change of institution or successor in interest request.

The Manage Relinquishing Statement and Relinquishing Statement screens are accessible via the Status module.

For more information, refer to the collection of topics within the Commons Online Help for Change of Institution (http://era.nih.gov/erahelp/commons/default.htm#ChgInst_Overview.htm) or the Commons Change of Institution User Guide (http://era.nih.gov/files/ccoi_userguide.pdf).

13.17 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 the NIH eRA system to the authorized organization representative (AOR) and signing official (SO) listed in the grant application, and 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.
13.18 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

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

13.18.1 Responding to Additional Materials Requests from the Funding Agency

Some award types, such as "Other Transactions" (OT) types, allow awardees to 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, such as progress reports, at the frequency required by the awarding agency, or 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 for their award. If materials have been added but not yet submitted, the option is labeled Edit Additional Materials.

Principal Investigator View of Status Results

Signing Official View of Status Results

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 Steps for AOR/SO to Check Submission Status or Status for Program Directors/Principal Investigators (PI Role).
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.

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.

![Cancel, Save, Delete, Submit buttons]

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 user ID and password.
2. Open the **Status** module and search for the award that requires additional materials.
   See **Steps for AOR/SO to Check Submission Status** or **Status for Program Directors/Principal Investigators (PI Role).**
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.

13.18.2 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

Updated Reporting Requirements for RADx-rad Grant Recipients

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 for their award. If materials have been added but not yet submitted, the option is labeled Edit Additional Materials.

Principal Investigator View of Status Results
Signing Official View of Status Results

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 Steps for AOR/SO to Check Submission Status or Status for Program Directors/Principal Investigators (PI Role).
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.
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](https://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 **Steps for AOR/SO to Check Submission Status** or **Status for Program Directors/Principal Investigators (PI Role)**.
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.
14 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 principal investigators (PIs) and signing officials (SOs) respond to a 500K prior approval invitations from the granting agency or to withdraw from 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 Carryover 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 grant change request for FDA grants only.

Signing officials (SO) and program directors/principal investigators (PD/PIs) can access the Prior Approval module by logging into eRA Commons and then clicking Prior Approval in eRA Commons navigation.

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:

1. Log in to eRA Commons; see Logging into eRA Commons.
2. Navigate to the Prior Approval module.

You see a list of prior requests; see Viewing and Initiating Requests for PI- and SO-specific Prior Approval landing pages, along with tasks available to the PI or SO.

14.1 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 grants 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.

14.1.1 Initiate a Prior Approval Request

To initiate a Prior Approval Request:

1. Log in to eRA Commons; see Logging into eRA Commons.
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.

![Prior Approval](image)

All grants under your jurisdiction that are eligible for the request type you selected are listed. 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**:

![Prior Approval Request](image)

4. Click the **Initiate** link for the appropriate grant.

![140 Result(s)](image)

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
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** (SO only)
- **Prior Approval - Other Request** (SO only for FDA grants only)
- **Prior Approval - Withdrawal Request** (SO or PI)
- **Prior Approval - Carryover Request** (SO only)
- **Prior Approval - Change of PD/PI on a Grant** (SO only)
- **Prior Approval - $500K Request** (SO or PI)

### 14.1.2 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*
- 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*.

### 14.1.3 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*. 500K requests appear only under certain conditions; see *Prior Approval - $500K Request*.

- 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.

14.2 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.

14.2.1 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.

![Existing Prior Approval Requests](image)

The "Search Prior Approval Requests" screen opens, where you enter search criteria.
3. 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:)

4. 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**.
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* (SO only)
- *Prior Approval - Other Request* (SO only for FDA grants only)
- *Prior Approval - Withdrawal Request* (SO or PI)
- *Prior Approval - Carryover Request* (SO only)
- *Prior Approval - Change of PD/PI on a Grant* (SO only)
- *Prior Approval - $500K Request* (SO or PI)

### 14.2.2 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**.
### 14.3 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.

**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* 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 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

<table>
<thead>
<tr>
<th>Application Information</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>PD/PI Name</td>
<td>Grants Management Specialist</td>
<td>Program Official</td>
</tr>
<tr>
<td>Milli Evan</td>
<td>Walker, Pam</td>
<td>Leeds, Miriam</td>
</tr>
<tr>
<td>PD/PI User ID</td>
<td>Email: <a href="mailto:erATest@mail.nih.gov">erATest@mail.nih.gov</a></td>
<td>Email: <a href="mailto:erATest@mail.nih.gov">erATest@mail.nih.gov</a></td>
</tr>
<tr>
<td>EWMILL</td>
<td>301-555-4207</td>
<td>301-555-1917</td>
</tr>
<tr>
<td>Grant #:</td>
<td>Application Title</td>
<td></td>
</tr>
<tr>
<td>SR01NS098000-05</td>
<td>Interrogating Neuronal Dynamics</td>
<td></td>
</tr>
<tr>
<td>Institution</td>
<td>Budget Period</td>
<td>Project Period</td>
</tr>
<tr>
<td>UNIVERSITY OF CALIFORNIA</td>
<td>01/01/2021 - 12/31/2021</td>
<td>01/01/2017 - 12/31/2021</td>
</tr>
</tbody>
</table>

Request Details

Request ID: 22001

<table>
<thead>
<tr>
<th>Number of Months</th>
<th>Proposed Budget Period End Date</th>
<th>Proposed Project Period End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select One</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Amount of Unobligated Balance</th>
<th>Does PI Maintain Measurable Effort</th>
<th>Vertebrate Animals - IACUC Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Select One</td>
<td>mm/dd/yyyy</td>
</tr>
</tbody>
</table>

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.

![Drop file area](image)

**Submitting the Request to the Agency**

**Saving a Request**

**Canceling Changes to a Request**

**Deleting a Request**

### 14.4 Prior Approval - Other Request

The Other Request type provides a generic request type for signing officials (SO) to make requests for FDA grants. The Other Request type does not appear for principal investigator (PI) roles or non-FDA grants. All FDA grants are eligible for the Other Request type.

**What Grants are Eligible for Other Requests?**

- Must be an FDA grant
- Must be awarded
- Must be within the current budget period
- Grant is not closed or terminated.

The Other Request can be initiated for any application type matching the above criteria.

See **Viewing and Initiating Requests** for details on initiating a request. After initiating an Other Request, you see the following details screen.
**Prior Approval Request** Other Request - Modify Request

### Application Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>PD/PI Name</td>
<td>Jasoick, Keith</td>
</tr>
<tr>
<td>PD/PI User ID</td>
<td>JSICK</td>
</tr>
<tr>
<td>Grant #</td>
<td>5R01FD006000-03</td>
</tr>
<tr>
<td>Institution</td>
<td>UNIVERSITY OF CALIFORNIA</td>
</tr>
<tr>
<td>Grants Management Specialist</td>
<td><a href="mailto:eRATest@mail.nih.gov">eRATest@mail.nih.gov</a> (240) 555-7592</td>
</tr>
<tr>
<td>Program Official</td>
<td>Anov. Losi <a href="mailto:eRATest@mail.nih.gov">eRATest@mail.nih.gov</a></td>
</tr>
<tr>
<td>Application Title</td>
<td>Investigation of DNA</td>
</tr>
<tr>
<td>Budget Period</td>
<td>08/01/2021 - 07/31/2022</td>
</tr>
<tr>
<td>Project Period</td>
<td>09/10/2019 - 07/31/2022</td>
</tr>
</tbody>
</table>

### 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
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.

---

**Submitting the Request to the Agency**

**Saving a Request**

**Canceling Changes to a Request**

**Deleting a Request**

### 14.5 Prior Approval - Withdrawal Request

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.

**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* 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.

14.6 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* 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

<table>
<thead>
<tr>
<th>PD/PI Name</th>
<th>Grants Management Specialist</th>
<th>Program Official</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mill, Brasl</td>
<td>Mesile, Marie</td>
<td>Kan, Ahsan</td>
</tr>
<tr>
<td>PD/PI User ID</td>
<td><a href="mailto:eRAtest@mail.nih.gov">eRAtest@mail.nih.gov</a></td>
<td><a href="mailto:eRAtest@mail.nih.gov">eRAtest@mail.nih.gov</a></td>
</tr>
<tr>
<td>MILLER</td>
<td>(301) 555-8016</td>
<td>(301) 555-0064</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Grant #:</th>
<th>Application Title</th>
<th>Project Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>5R35HL100000-06</td>
<td>AP therapy</td>
<td>02/01/2017 - 01/31/2024</td>
</tr>
<tr>
<td>Institution</td>
<td>Budget Period</td>
<td></td>
</tr>
<tr>
<td>UNIVERSITY OF CALIFORNIA</td>
<td>02/01/2022 - 01/31/2023</td>
<td></td>
</tr>
</tbody>
</table>

### Request Details

<table>
<thead>
<tr>
<th>Request ID:</th>
<th>Amount of Funds to be Carried Over *</th>
</tr>
</thead>
<tbody>
<tr>
<td>22002</td>
<td></td>
</tr>
</tbody>
</table>

### 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
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.

Submitting the Request to the Agency

Saving a Request

Canceling Changes to a Request

Deleting a Request

14.7 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* 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

**Application Information**

**Contact PD/PI**
Dole, Agi

**Contact PD/PI User Id**
ABDOLE

**Grants Management Specialist**
Haen, Anih
eRA0Test@mail.nih.gov
(555) 555-5506

**Program Official**
Yavi, Jion
eRA0Test@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**

<table>
<thead>
<tr>
<th>PD/PI Name</th>
<th>PD/PI ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dole, Agi</td>
<td>ABDOLE</td>
</tr>
</tbody>
</table>

**PD/PI Name**

<table>
<thead>
<tr>
<th>PD/PI Name</th>
<th>PD/PI ID</th>
<th>Contact PD/PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin typing and select</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Biosketch**

- Drop file or browse to attach 1 PDF file, not exceeding 6MB.

**Other support**

- Drop file or browse to attach 1 PDF file, not exceeding 6MB.

**Requested PD/Pis**

<table>
<thead>
<tr>
<th>PD/PI Name</th>
<th>PD/PI ID</th>
<th>Contact PD/PI</th>
<th>Cal</th>
<th>Aca</th>
<th>Sum</th>
<th>Bio Sketch</th>
<th>Other Support</th>
</tr>
</thead>
</table>

**Level of Effort** in Person Months

- Calendar
- Academic
- Summer

Add/New
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 Requested
**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.

---

**Submitting the Request to the Agency**

**Saving a Request**

**Canceling Changes to a Request**

**Deleting a Request**

---

### 14.8 Prior Approval - $500K Request

Both PIs and 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.
14.8.1 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 principal investigator (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.

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, you 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.

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.

![Date Created]

**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*.

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.

Also see:

- *Submitting the Request to the Agency*
- *Saving a Request*
- *Canceling Changes to a Request*
- *Viewing History of a Request*
- *Routing a Prior Approval Request*

### 14.9 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.

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.

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.

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.

### 14.10 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..

#### 14.10.1 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*.

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.
14.10.2 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.
14.11 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.

   ![Confirmation Screen]

2. [Optional] Enter comments in the **Comments** box to provide information to the next reviewer.

3. 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.

### 14.12 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*.

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
successfully recalled.

The request is now assigned back to you and can be modified.
15 Research Performance Progress Report (RPPR) Module

The RPPR module allows extramural grantee institutions to electronically submit Research Performance Progress Reports (RPPR) to the Grants Management community.

RPPR module features include:

- Electronic initiation of an RPPR
- Electronic routing of an RPPR to authorizing officials at the applicant institution for review and approval prior to submission to the agency
- Viewing of RPPR routing history
- Error checking capabilities
- Electronic submission of an RPPR
- Creation of Interim RPPR
- Electronic submission of Interim RPPR
- Creation of Final RPPR
- Electronic submission of Final RPPR
- Ability for an SO to delegate authority to a PD/PI for submitting an RPPR
- PDF generated version stored in the electronic grant folder (Commons Status Information screen)


15.1 Initiating the RPPR

Only the PD/PI or the PD/PI delegate may initiate an RPPR. When there are multiple PIs (MPI), only the Contact PI or the PD/PI delegate of the Contact PI may initiate the report.

To initiate, the user can choose from one of two ways to access the RPPR functionality:

1. Access RPPR from Status.
   a. 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.
a. From the **Status Result - List of Applications/Grants** screen, locate the grant 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.

While **RPPR Year <X>** links for multiple years may appear at the same time in **Status**, you are prevented from initiating a reporting year’s progress report until the progress report(s) of the previous year(s) has been submitted.
1. Access RPPR from RPPR tab.
   a. Navigate to the RPPR module in eRA Commons.
      The Manage RPPR screen displays. Manage RPPR is used to view the progress reports to which the user has access and allows the user to select a progress report in order to perform various actions. PD/PIs or users delegated PD/PI updating authority uses the Manage RPPR screen to view their own progress reports. SOs and AOs use the screen to search for grants from their institutions and/or for grants routed to them for review.
   b. Select the specific grant by clicking the link in the Grant Number column on the Manage RPPR screen.
If an RPPR exists already, Commons displays the report for editing.

The RPPR Menu screen displays. The options for the uninitiated report are **Initiate** and **Cancel**. Once an RPPR is in progress, the buttons for other options are enabled.

**NOTE:** For multi-year funded awards, the following message displays when attempting to initiate an RPPR if the previous year's report has not been submitted:

*The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.*

In this case, the option to initiate is disabled.

The RPPR Menu screen includes the following fields:

**Grant Number**
This is the complete number of the grant

**Grantee Institution**
This field contains the name of the applicant’s institution

**PD/PI Name**
The PD/PI of the grant award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the Contact PD/PI indicated by the word Contact.

**Project Title**
The project title of the grant

**Due Date**

*NIH*
The due date of the progress report for awards issued under the SNAP (Streamlined Noncompeting Award Process) provisions is the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the award is not issued under SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1). If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day. Progress reports for Fellowships are due two months before the beginning date of the next budget period. Occasionally the Notice
of Award (NoA) will indicate a different due date that will supersede these dates. Grantees should consult the NoA to determine when SNAP procedures apply.

AHRQ

All AHRQ progress reports due in FY 2015 (10/1/14 – 9/30/15) and beyond are due 3 months before the anniversary of the award. For example, for an FY2014 award issued with a start date of 2/1/14, the annual progress report is due 11/1/14 (i.e., three months before the FY2015 budget period start date (i.e. anniversary date) of 2/1/15). However, if the budget period start date is between 1/1/15 and 4/1/15, grantees will not be penalized if the progress report is received 2 months before the next budget period start date rather than 3 months. If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

Status

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

Buttons

The displayed and enabled buttons vary depending on the status of the RPPR and/or the limitations of the current user’s role.

Initiate: Begins the RPPR process. Available for grants with a status of Not Started. Access is granted to PD/PIs and PD/PI delegates. An RPPR can be initiated even if required information in the Personal Profile and Institution Profile sections is missing. If any of this information is incorrect or missing, a prompt will appear to correct/complete the information after initiating the report. Processing may continue on the RPPR without making the corrections; however, the RPPR will not pass validations for submission to the agency until the errors are corrected.

Edit: Opens the RPPR for edits. Available for progress reports with a status of Work in Progress (WIP). Access is granted to PD/PIs or PD/PI delegates when the PD/PI is the current reviewer, AOs when the AO is the current reviewer, and SOs when the SO is the current reviewer. The Edit button allows the user to view and edit RPPR information.

View: Opens the RPPR report in PDF format, as it will be seen by the agency. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers. Until the RPPR is submitted to agency, the PDF report shows a status of Draft and a blank submission date.

Check for Errors: Checks the RPPR for any errors or warnings. Available for progress reports with a status of Work in Progress (WIP). Access is granted to any user with
access to the grant. The RPPR can be validated at any time while in the status of WIP and can be validated multiple times.

**View Routing History:** Opens a page that displays a routing history table. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers.

**Route:** Routes the RPPR to the next reviewer for further review or corrections. Available for progress reports with a status of Work in Progress (WIP). Access is granted to the current reviewer. A PD/PI delegate cannot route an RPPR to the next reviewer.

**Recall:** Recalls RPPRs that have been forwarded to another reviewer and resets the user as the current reviewer. Available for reports with a status of Work in Progress (WIP). Access is granted to the last reviewer (who recalls the report from the current reviewer). Signing Officials and PD/PIs can recall an RPPR even if they are not the last reviewer whenever it has a status of Reviewer Work in Progress. This is useful in situations when a RPPR has been routed to the wrong person or to someone who is unavailable.

**Submit:** Submits the RPPR to the Agency. Available for reports with a status of Work in Progress (WIP). Access is granted to the SO when the SO is the current reviewer and to the PD/PI when the PD/PI has been delegated Progress Report authority.

A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

**Cancel:** Closes the RPPR Menu screen and returns the user to the previous screen.

2. Click the **Initiate** button to begin the RPPR.

![RPPR Menu Screen](image)

Once initiated, Commons creates the report in a PD/PI Work in Progress status and sets the current reviewer. A message displays as follows:

*The RPPR has been successfully initiated.*

If at any time initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, the editing process can begin. The RPPR is accessed for editing via the **RPPR Menu** screen. The editing feature for single-project RPPRs is different from those of multi-project RPPRs. The steps for accessing each type of RPPR are outlined in other topics.
Refer to Accessing a Single-Project RPPR for Editing or Accessing a Multi-Project or Single-Project with Complicated Structure for Editing as appropriate.

15.2 Routing the RPPR

If you are looking for help routing PRAM, click this link: Routing PRAM

Progress reports in Work in Progress (WIP) status can be routed to others for review or corrections by the current reviewer of the report. The routing feature is found on the RPPR Menu screen.

NOTE: A person who is delegated a role of PD/PI cannot route an RPPR to the next reviewer.

To route an RPPR to the next reviewer:

1. Click the Route button from the RPPR Menu.

   The figure above shows a single-project RPPR's RPPR Menu, however, multi-project RPPRs have a similar Route button on their own RPPR Menu screen.

   The Route RPPR to Next Reviewer screen displays. From this screen, the next reviewer can be chosen from a list of reviewers, and comments can be added.

2. Select a reviewer from the Next Reviewer drop-down list.
3. Optional: Enter comments in the Comments box to provide information to the next reviewer.
4.  
5. Click the Submit button.
6. **When routed by the PD/PI only**: The PD/PI Assurance statement displays. Click the I Agree button to continue.

![Route RPPR to Next Reviewer](image)

The RPPR Menu displays once again. If the routing is successful, the message on the screen reads as follows:

*The RPPR was successfully routed to [Selected Reviewer User ID], [Selected Reviewer Name].*

The person who routed the RPPR can no longer edit the report (Edit button becomes disabled). The editing feature is now available only to the new reviewer. The RPPR status is updated to Reviewer Work in Progress.

### 15.3 RPPR Routing History

From initiation to submission to Agency, the routing of an RPPR is captured for auditing purposes. PD/PIs, PD/PI delegates, and reviewers can view the routing history for *Work in Progress* or *Submitted to Agency* RPPRs at any time, even when not they are not the current reviewer.

To view the routing history:

1. Click the **View Routing History** button from the RPPR Menu screen.

![RPPR Menu](image)

The Routing History screen displays.
2. To close the screen, click the **Back** button.

### 15.4 Submitting RPPR to Agency

Grantees are strongly encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. Refer to the section of this document titled *Viewing the RPPR on Page 377*.

Completed and validated RPPRs in a status of *Work in Progress* can be submitted to the Agency for acceptance. This act is performed by the Signing Official (SO) when the SO is the current reviewer of the report. For SNAP awards only, PD/PIs may also submit the report if they have been delegated submit authority by the SO.

A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

To submit the RPPR to agency:

1. Click the **Submit** button from the *RPPR Menu* screen.

   ![RPPR Menu](image)

   The Submit RPPR screen displays a certification statement.

   *In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies to the best of his/her knowledge that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded*
and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

2. 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 Agency.

Any citations associated with the RPPR in C.1. Publications are officially associated with the award in MyNCBI.

If inclusion enrollment data are reported in the RPPR, this information will be provided in a structured data form and updated into the eRA inclusion data system for NIH staff review and acceptance. The data then becomes the data of record for the particular grant year.

When an RPPR is submitted to Agency, email notification is sent to the PD/PI (Contact PI) on the grant and the SO and AO assigned to the RPPR.

15.4.1 Submission Errors & Warnings for Multi-Project RPPRs

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.

15.5 Overview of the Interim RPPR

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See NIH Implementation of Final Research Performance Progress Reports (Final RPPR) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The Interim RPPR link will made available to the Signing Official (SO) and the Principal Investigator (PI) in the Status screen when a grant is eligible for submission of a Competing Renewal application.
The Final RPPR is only available as part of the Closeout process and the Process Final RPPR link only appears on the Closeout Status screen.

If a system check by the Agency does not detect that there is a pending Type 5 renewal application associated with the award when the grant goes into a Closeout Module, any Interim RPPR that has been started will be converted to a Final RPPR and will be accessible through the Closeout link in the Status column.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR. Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

Since a renewal application is competitive, there is no guarantee it will be funded. Therefore the following scenarios should be noted:

<table>
<thead>
<tr>
<th>Competing Renewal Application Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not submitting a Competing Renewal application</td>
<td>Submit a Final RPPR no later than 120 days from the project period end date</td>
</tr>
<tr>
<td>Submitting a Competing Renewal application</td>
<td>Submit an Interim RPPR no later than 120 days from the project period end date</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Funded</th>
<th>Not Funded</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Interim RPPR is accepted as the annual RPPR</td>
<td>The Interim RPPR is accepted as the Final RPPR</td>
</tr>
</tbody>
</table>

15.5.1 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.
15.5.2 Submitting Your Interim RPPR

15.5.2.1 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.

   The Final RPPR Menu will then change, providing the user with the option to Edit the Interim RPPR:
4. Clicking **Edit** opens the navigation to the various sections of the Interim RPPR:

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 action buttons at the bottom that you can use to complete the Interim RPPR; see *RPPR Menu*.

For more information, see:

- Final RPPR
- Editing the RPPR Forms
- Checking for Errors and Warnings
- Viewing the RPPR
- Routing the RPPR
- Recalling the RPPR
- Submitting RPPR to Agency

### 15.5.3 Interim Report Additional Materials (IRAM)

The Agency may use *Interim Report Additional Materials* (IRAM) to provide a means for the grantee to enter, review, route, and submit information in response to specific request(s) by
the Program Official at the IC (or AHRQ, if applicable) for additional information following the submission of an Interim RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the IRAM. However, only the SO can submit the IRAM to the agency.

For **Revised Project Outcomes**, please review the following information:

To submit revised Project Outcomes, SOs should follow the IRAM process for outcomes for Interim RPPRs and the FRAM process for outcomes for Final RPPRs with the exception that a text box will be provided to enter the new Outcomes text and click **Upload** instead of an **Add Attachment** button as with other RAM requests.
Project Outcomes provide information regarding the cumulative outcomes or findings of the project. Note that outcomes will be made publicly available, allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. The name of the Primary Investigator/Project Director will be attached to the public posting in RePORTER.

For NIH awards the length of the Outcome statement should not exceed half a page. In
addition, the summary of outcomes or findings of the award must be written in the following format:
* Is written for the general public in clear, concise, and comprehensible language
* Is suitable for dissemination to the general public, as the information may be available electronically
* Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes: https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm
See NIH notices NOT-OD-17-022 and NOT-OD-17-037 for additional details on this requirement.

The link for the request will be displayed in the Available Actions column as "IRAM".

![Image of RPPR Module](image-url)
When you click the link, the IRAM screen opens and provides an **Upload** button. Click this button to select the PDF file that satisfies the agency request as well as any appropriate comments related to the request and/or file.

For *Revised Outcomes*, use the text box to directly enter (or copy and paste) the Revised Outcomes text and then it can be uploaded as per the **IMPORTANT** information box above. The text box caption will read, "*Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.*"

The character limit for the comments is 2,000 characters.

After selecting the appropriate document, you are returned to the IRAM screen where you can enter comments and then use the buttons at the bottom of the page to:

- **Cancel** - No changes will be made and you will be returned to the *Status Results* page.
- **Preview** - This opens the submission to let you view the uploaded document and comments that will be sent to the Agency.
- **Save** - The selected document and comments (if any) will be saved for future submission.
- **Delete** - The selected document will be removed and a different document can be uploaded.
- **Submit** - Send the document and comments to the Agency.
You can also upload additional documents [limit 10] as well as View or Delete individual documents.

See Also:

- Submitting Your Interim RPPR
- Submitting Final RPPR
- Editing the RPPR Forms
- Checking for Errors and Warnings
- Viewing the RPPR
- Routing the RPPR
- Recalling the RPPR
- Submitting RPPR to Agency

15.6 Submitting Your Final Research Performance Progress Report

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See NIH Implementation of Final Research Performance Progress Reports (Final RPPR) — Guide Notice NOT-OD-17-022
Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The Interim RPPR link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the Process Final RPPR link only appears on the Closeout Status screen.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR.

Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

15.6.1 Note about Interim RPPR and Final RPPR

- The Interim RPPR (IRPPR) is used when you are submitting a Competing Renewal application (Type 2). If you opt NOT to apply for a Competing Renewal, complete the Final RPPR as you normally would within 120 days of the project end date. If you are going to complete a Competing Renewal application (or have already submitted such an application), you will submit an Interim RPPR. This must be submitted within 120 days of the project end date.

- If you are awarded the renewal, the Interim RPPR will be treated as your annual RPPR and no other progress reporting will be needed for that segment of the study. If the application is NOT awarded, then the Interim RPPR will be accepted as the Final RPPR.

15.6.2 To submit your Final RPPR:

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

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

2. From Closeout Status, click the Process Final RPPR link.

   Clicking the Process Final RPPR link opens the Final RPPR Menu screen:
3. Click the Initiate button to create the Final RPPR.

The Final RPPR Menu will then change, providing the user with the option to Edit the Final RPPR:
4. Clicking **Edit** opens the navigation to the various sections of the Final RPPR:

![A. Cover Page](image)

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return **Final RPPR Menu** screen.

In the **Final RPPR Menu** screen, there are several action buttons at the bottom that you can use to complete the Final RPPR:
For more information on these options, see:

Final Progress Report Additional Materials (FRAM)
Interim RPPR Overview
Editing the RPPR Forms
Checking for Errors and Warnings
Viewing the RPPR
Routing the RPPR
Recalling the RPPR
Submitting RPPR to Agency

The **Cancel** button closes the *Final RPPR Menu* screen.

**15.7 Manage RPPR Screen**

The *Manage RPPR* screen is the portal into all RPPR functionality. The screen displays when you select the **RPPR** tab from the Commons menu.

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.

Click here for sample image:
15.8 **RPPR Menu**

The *RPPR Menu* screen provides access to various functions used to complete and process your RPPR. You access these features using the buttons found on this screen.

The following buttons are found on the *RPPR Menu* screen:

- Initiate
- Edit
- Check for Errors
- View
- View Routing History
- Route
- Recall
- Submit

Click here for a sample image.

Not all buttons will be enabled. Depending on your Commons role and/or the status of the report, some buttons may be disabled.

Individual help topics exist for each of the features. Please refer to the specific help topics linked below.

15.9 **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)

Users can work on various sections in any order, however, it is important to click the Save button in the navigation bar before leaving a screen in order to retain data entered on that screen. Upon submission to the awarding agency, the system will generate a PDF of the progress report, which may be viewed from the RPPR Menu screen using the View button.

Once submitted, the Final RPPR, in PDF format, is accessible in Commons via the Status Information screen. Refer to the section of this document titled Viewing the RPPR in Commons on Page 377


NOTE: PDF uploads for the D.2.b New Senior/Key Personnel and D.2.c Changes in Other Support 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. ".

15.10 How Do I Fill Out the RPPR Forms?


Please refer to the following sections of the instruction guide when completing your report:

- **Cover Page** - Section A (PDF section 6.1, pg. 69)
- **Accomplishments** - Section B (PDF section 6.2, pg 70)
- **Products** - Section C (PDF section 6.3, pg. 75)
- **Participants** - Section D (PDF section 6.4, pg. 82)
• **Impact** - Section E *(PDF section 6.5, pg. 88)*
• **Changes** - Section F *(PDF section 6.6, pg. 89)*
• **Special Reporting Requirements** - Section G *(PDF section 6.7, pg. 91)*
• **Budget** - Section H *(PDF section 6.8, pg. 102)*
• **Outcomes** - Section I *(PDF section 6.9, pg. 104)*

**NOTE:** Question B.4 of the Accomplishments section of the RPPR has a link to generate the automated Trainee Diversity Report for certain research training, career development, and research education grant types (if trainee data has been entered into xTrain). If you see the following link in the RPPR Accomplishments section, see [Generate the Trainee Diversity Report](#) for online help on the diversity report. Also see the [NIH Guide Notice NOT-OD-20-178](#) and the [Electronic Trainee Diversity Report](#) video tutorial.

<table>
<thead>
<tr>
<th>Generate the Trainee Diversity Report</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Generate the Trainee Diversity Report" /></td>
</tr>
</tbody>
</table>

Is the **Save** button in RPPR not working as expected? Please note that on some sections, you must click the **Add/New** button before clicking the **Save** button. For example, in section D, if you make a change to, or add to, "D.1 What individuals have worked on the project," you must click the **Add/New** button before saving.

**NOTE:** PDF uploads for the **D.2.b New Senior/Key Personnel** and **D.2.c Changes in Other Support** 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 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. ".

## 15.11 Editing the RPPR

Once an RPPR is initiated, its status becomes **PD/PI Work in Progress** and it becomes available for editing. The PD/PI or delegate uses the **Edit** option for viewing and completing the report. Additionally, this option is available to the SO or AO when that user is the current reviewer of the report.

For RPPRs with multiple PD/PIs (MPI awards), only the Contact PD/PI has access to the **Edit** feature unless the Contact PD/PI has granted progress report authority to other PD/PIs. Without this authority, MPIs can only view the RPPR PDF and its routing history.

There are two means of accessing the progress report for editing. These are similar methods used for initiating the report and are as follows:
1. Access RPPR from 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 module in eRA Commons.
   b. Select the specific grant by clicking the link in the Grant 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.
15.11.1 Access Human Subjects System (HSS)

The Human Subjects System can be accessed by Principal Investigators (PIs) or Signing Officials (SOs) through either the RPPR or through the Status screen in eRA Commons.

15.11.1.1 Human subjects information may need to be updated in the following scenarios:

- Post-award for updates to the Research Performance Progress Report (RPPR)
- Pre-award (post review) for just-in-time information or correction of human subjects data
- Off-cycle updates as required in the Funding Opportunity Announcement or terms and conditions of award
- Corrections to human subject data

15.11.1.2 To edit an existing study, log into eRA Commons and access the Human Subjects link via the RPPR or Status tabs.
The Application Information screen is displayed, showing a summary of your grant. Click the HSCT 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.
- 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.

![Application Information](image)

<table>
<thead>
<tr>
<th>Study ID</th>
<th>Study Title</th>
<th>Clinical Trial?</th>
<th>Study Status</th>
<th>Last Submission Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>123123</td>
<td>Research Consortium of HPV-related Cervical Cancer</td>
<td>Yes</td>
<td>Work In Progress</td>
<td>03/29/2018</td>
<td>View</td>
</tr>
</tbody>
</table>
- 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)

<table>
<thead>
<tr>
<th>Racial Categories</th>
<th>Ethnic: Categories</th>
<th>Not Hispanic or Latino</th>
<th>Hispanic or Latino</th>
<th>Unknown/Not Reported</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td></td>
</tr>
<tr>
<td>American Indian/Alaska Native</td>
<td>42</td>
<td>31</td>
<td>7</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>Asian</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Native Hawaiian or Other Pacific Islander</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Black or African American</td>
<td>676</td>
<td>510</td>
<td>15</td>
<td>20</td>
<td>1221</td>
</tr>
<tr>
<td>White</td>
<td>3526</td>
<td>2663</td>
<td>300</td>
<td>214</td>
<td>0</td>
</tr>
<tr>
<td>More than One Race</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Unknown or Not Reported</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Total</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>240</td>
</tr>
</tbody>
</table>

### Notes:

- If you plan to upload the data, you must use the template by selecting the **Download Participant Level Data Template**. This will be a CSV file that can be updated with new totals.
- Once the new totals have been entered into the template and the file has been saved, use the **Upload Participant Level Data Attachment** button to upload the file which will update the Cumulative counts.
- Individual-level participant data on sex/gender, race, ethnicity and age at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116). Since NIH will be piloting providing individual level data.
starting in June, we encourage you to get familiar with the template as we believe it will cut down on duplicate entry and save you time.

- For the Planned counts, the cells must be updated online in the report itself.

<table>
<thead>
<tr>
<th>Planned</th>
<th>Ethnic Categories</th>
<th>Not Hispanic or Latino</th>
<th>Hispanic or Latino</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Racial Categories</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>American Indian/Alaska Native</td>
<td></td>
<td>42</td>
<td>31</td>
<td>7</td>
</tr>
<tr>
<td>Asian</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Native Hawaiian or Other Pacific Islander</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Black or African American</td>
<td></td>
<td>676</td>
<td>510</td>
<td>15</td>
</tr>
<tr>
<td>White</td>
<td></td>
<td>3526</td>
<td>2663</td>
<td>300</td>
</tr>
<tr>
<td>More than One Race</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

- 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.

**15.11.2 Accessing Single-Project RPPR for Editing**

For single-project awards, the *RPPR Menu* screen displays the following available buttons:

Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in other topics.

Select the **Edit** button to open the RPPR for editing.

Refer to the section of this document titled *Editing the RPPR Forms on Page 349* for more information on editing the forms.

**15.11.3 Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing**

A *multi-project RPPR* is a progress report submitted for a funded program (activity code) which has multiple, interrelated components sharing a common focus or objective.

A *component* (for the purposes of applications and progress reports) is a distinct, reviewable part of the multi-project application or progress report for which there is a business need to gather detailed information identified in the funding opportunity announcement (FOA).
Components typically include general information (component organization, project periods, project title, etc.), performance sites, personnel, and budget. The FOA defines the construction and naming convention for the application; the funded application defines the construction and naming convention for the progress report.

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 available buttons on the Application Information section of the screen:

- View
- View Routing History
- Route
- Cancel

Once an RPPR has been routed for review, the Recall and Submit buttons are enabled. These functions are covered in other topics.

Overall Component
Below the **Application Information** is a table of information for the Overall component, showing the **ID**, **Actions**, **Project Title**, and **Program Director/Principal Investigator (PD/PI) Name**.

The **RPPR Menu** for a multi-project RPPR without components does not include the component table. Additionally, the **No** radio button on the **Does the project have components?** field is selected and disabled.

To edit the RPPR for the Overall component, click the three-dot ellipsis menu in the **Actions** column, and select **Edit**.

### 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 **Does the project have components?**

Any individual components previously added will already be displayed in a table beneath this feature. In this scenario, the **Does this project have components?** option is disabled. This includes components which were part of a previously submitted progress report for the grant.

There are two ways to add a component for multi-component grants: you can select components from a list, or add components 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, use the left method shown at the bottom of the screen:

1. Click the **Select from existing App Components** button.

   The **Existing App Components** window appears.
2. Select the component you want to add and click the **Add Component** button. Components you add appear in the **Added Components** table.

3. To edit the RPPR of the component you added, click its three-dot ellipsis menu and select **Edit**.

To add an individual component manually, use the correct method shown at the bottom right of the screen:

1. Enter the **New Component Project Title**.
2. Select the correct option from the **Select New Component Type** drop-down list.
3. Click the **Add Component** button. Components you add appear in the **Added Components** table.
4. To edit the RPPR of the component you added, click its three-dot ellipsis menu and select **Edit**.

Refer to the section of this document titled *Editing the RPPR Forms on Page 349* for more information on editing the RPPR forms.

To remove a component from the Added Components under the Overall RPPR component:

1. For the component you want to remove, click its three-dot ellipsis menu and select **Delete**.
2. Click OK in the confirmation message.

You can delete added components, but you cannot delete the Overall component.

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, select **Check for Errors**. Errors will be displayed at the top of the screen.

15.11.4 Editing the RPPR Forms

After selecting the appropriate editing option, the RPPR section *A. Cover Page* displays. The *Cover Page* includes information about the grant, PD/PI, signing and administrative officials, organization, and project/reporting/budget periods. Some of this information may be auto-populated. For more information on the *Cover Page*, refer to the [NIH Research Performance Progress Report (RPPR) Instruction Guide](#).

**NOTE:** PDF uploads for the **D.2.b New Senior/Key Personnel** and **D.2.c Changes in Other Support** 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. ...".

To edit the RPPR:

1. Update the information as necessary and click the **Save** button.

   The *Cover Page* includes tabs at the top and links at the bottom of the page for navigating to the other sections (e.g., *Accomplishments*, *Participants*), which may be completed in any order. Before navigating to and from any of these sections, it is always necessary to click the **Save** button to save all changes on the current page. 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 appropriate link from the top or bottom of the page. The same navigational links appear on each section of the RPPR.

3. Complete the appropriate fields of the report.

Details for completing each section are discussed in the Instruction Guide (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). Many of the fields on these pages, however, behave in a similar manner.

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 the section of this document titled *Routing the RPPR on Page 316*

**NOTE:** Question B.4 of the Accomplishments section of the RPPR has a link to generate the automated Trainee Diversity Report for certain research training, career development, and research education grant types (if trainee data has been entered into xTrain). If you see the following link in the RPPR Accomplishments section, see [Generate the Trainee Diversity Report](https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for online help on the diversity report. Also see the [NIH Guide Notice NOT-OD-20-178](https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) and the [Electronic Trainee Diversity Report](https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) video tutorial.

### 15.11.4.1 Types of UI Elements

**Add New**

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.

![Text Box Image]

**Changing Saved Responses**

While in WIP status, answers may be changed. A warning message displays as follows:

*The entered/uploaded response will be deleted. Do you wish to continue?*

The user editing the information can choose to Continue or Cancel the action. Choosing Continue deletes the previous response, removes any attachments, and disables the relevant fields associated with the question. Choosing Cancel cancels the change.

### 15.11.5 Editing the RPPR Budget Forms

#### 15.11.5.1 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 link in the Action column to 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
Budget types can be deleted by clicking the **Delete** link from the **Action** column for the specific budget.

### 15.11.5.2 Subaward Budget Form (H.2)

To add a subaward budget, choose an option from the drop-down list and click the **Add Subaward** button. The added budget type appears in the second table. Click the **Edit** link in the **Action** column 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

Subaward budget types can be deleted by clicking the **Delete** link from the **Action** column for the specific subaward.

Click here to display an image of the RPPR *H.Budget* screen.
Remember to save the information before exiting the form by clicking one of the Save buttons located at the top and bottom of the form.

- 15.11.5.3 DUNS Number

For single-project RPPRs, the DUNS number will automatically populate the DUNS number of the grantee organization on the budget form.

For multi-component RPPRs the grantee must enter the DUNS and Organization Name fields, as the DUNS number will not automatically populate the DUNS number.

To add the DUNS number:

Enter the DUNS number into the Organizational DUNS field or click the magnifying glass icon to search for and select the DUNS number. You can search using a secondary DUNS number, however, the form will reflect the primary DUNS after you select the organization.

The Organizational DUNS field updates with the information and the Enter Name of Organization field updates to reflect the new DUNS.

To add the organization name:

Enter the organization name into the Organization Name field or click the magnifying glass icon to search for and select the new organization name.

The Organization Name field updates with the information and the Organizational DUNS field updates to reflect the new organization.

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.
15.11.5.4 SF 424 Research and Related Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.300-r&r-budget-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.300-r&r-budget-form.htm)

15.11.5.5 SF 424 Research and Related Sub Award Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.310-r&r-subaward-budget-attachment(s)-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.310-r&r-subaward-budget-attachment(s)-form.htm)

15.11.5.6 PHS 398 Training Budget

For assistance with the information required on the forms, please refer to the Application Guide.


15.11.5.7 PHS 398 Training Sub Award

For assistance with the information required on the forms, please refer to the Application Guide.

### 15.12 Editing Inclusion Enrollment Data

This topic discusses inclusion data in the Human Subjects System (HSS) as accessed and processed via your RPPR. For more information on HHS or accessing HSS via Commons, please refer to the HSS Online Help.

To update inclusion enrollment data, 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 [Chapter 6.7 Section G–Special Reporting Requirements of the NIH and Other PHS Agency Research Performance Progress Report (RRPR) Instruction Guide](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.340-phs-398-training-subaward-budget-attachment(s)-form.htm).

**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 this link is clicked 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?*

Clicking **Cancel** will abort the action and HSS will not be opened. Continuing will result in inclusion data being blocked for editing when accessed via Commons Status (**View** action only). In this event, you will see the following message when accessing via Status: **RPPR has been initiated. Currently, the data is editable accessing via RPPR only.**

The ability to edit IERs via the Commons Status module will be restored after the successful submission of the RPPR and until the award of the current year.
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.
Application Information

Grant Number: R01HG123456
Application Identifier: 99999 (Post Award Action)
Application Project Title: Design and analysis of human gene mapping studies
FD/PI Name: Humperdink, Budge
Organization: UNIVERSAL UNIVERSITY
Project Period: 04/01/2018 - 03/31/2023
Status: Work in Progress
Status Date: 2018-05-21 12:23:24.000 PM EDT
Click the View button to bring up a study.

Now you will 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.

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.
15.12.1 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.
Planned and Cumulative enrollment data collection has been separated into separate tables.
15.12.2 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.

![Participant Level Data Table]

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 sex/gender, race, ethnicity and age at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116).
For the Planned counts, the cells must be updated online in the report itself.

<table>
<thead>
<tr>
<th>Ethnic Categories</th>
<th>Not Hispanic or Latino</th>
<th>Hispanic or Latino</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Racial Categories</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>American Indian/Alaska Native</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Native Hawaiian or Other Pacific Islander</td>
<td></td>
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</tr>
<tr>
<td>Black or African American</td>
<td>676</td>
<td>510</td>
<td>15</td>
</tr>
<tr>
<td>White</td>
<td>3526</td>
<td>2563</td>
<td>300</td>
</tr>
<tr>
<td>More than One Race</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

The entire study can be previewed before submission by clicking the Preview Study button on the left navigational column under Actions.

15.12.3 PI and SO Actions

15.12.3.1 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.
15.12.3.2 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.

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://era.nih.gov/erahelp/ASSIST/default.htm#ASSIST_Help_Topics/5_Preview_Print_Submit/Revise_Application.htm?Highlight=status

15.12.4 Changes to Planned Enrollment

If there are changes from the planned enrollment originally approved for funding, contact the program officer to discuss updating/revising the planned enrollment. Please refer to Chapter 6.7 Section G–Special Reporting Requirements of the *NIH and Other PHS Agency Research Performance Progress Report (RRPR) Instruction Guide* for more information.

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 View button for the report you wish to update.
When the report opens, click the **Edit** button.

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.

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://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.

### 15.12.5 No Inclusion Enrollment Records Provided

When inclusion monitoring is required and no 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."

### 15.12.6 Submit New Planned Inclusion Record

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).

15.12.7 Inclusion Enrollment Record (IER) Statuses

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; 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 Agency as part of the Research Performance Progress Report (RPPR)

15.12.8 When Should I Access HSS via the Status Module?

HSS is used to view and maintain inclusion data associated with your grant(s) and can be accessed in one of two ways, both through the eRA Commons system: via the **Status** module –or– via the RPPR **Section G. Special Reporting Requirements**.
15.12.8.1 When to Use the Status Module Instead of RPPR

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

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

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

For details on using the Status module for accessing HSS, please refer to Access HSS. You can also access the HSS Online Help by selecting the help icons (❓) on any of the HSS screens.

15.13 Checking for Errors and Warnings

At any time before an RPPR is submitted to agency, an error check can be performed to verify that the report passes the business rules and system validations in place. Any user who has access to the RPPR may perform the error check.

Refer to the section of this document titled Checking for Errors on Single-Project RPPRs on Page 373 for more information on error checking single-project RPPRs.

Refer to the section of this document titled Checking for Errors on a Multi-Project RPPR on Page 374 for 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?"

15.13.1 Checking for Errors on Single-Project RPPRs

To perform an error check on the RPPR for single-project RPPRs, click the Check for Errors button from the RPPR Menu screen.
If errors or a warning exist, the appropriate error or warning message displays for each failed occurrence. **All errors must be corrected prior to submission**; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.

If all validations pass, a message displays indicating: **No errors found on validation.**

### 15.13.2 Checking for Errors on a Multi-Project RPPR

To perform an error check on the Overall or individual component of a multi-project RPPRs, click the **Check for Errors** link from the **Actions** column of the *RPPR Menu* screen for the Overall or individual component being validated.

Refer to the section of this document titled **Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing on Page 345** 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. Click the **Check for Errors** button of the other components to perform a check against them.

**All errors must be corrected prior to submission**; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.
If all validations pass, a message displays indicating: *No errors found on validation.*

### 15.14 Recalling the RPPR

RPPRs that have been routed to a reviewer can be recalled by the person who performed the routing action. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, signing officials at the institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress.*

**NOTE:** A person who has been delegated the PD/PI role does not have the ability to recall the RPPR.

To recall an RPPR, click the **Recall** button from the *RPPR Menu* screen.
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** and **Route** buttons are enabled, providing the new reviewer with the ability to continue editing the RPPR or to route it to another reviewer.

### 15.15 Viewing the RPPR

Grantees are **strongly** encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. Refer to the section of this document titled *Submitting RPPR to Agency* on Page 318.

PD/PIs, PD/PI delegates, and reviewers can view a PDF version of an RPPR in *Work in Progress (WIP)* or *Submitted to Agency* status to see how it will be seen by the Agency. Until the RPPR is submitted to agency, the PDF report shows a status of *Draft* and a blank submission date.

To view the RPPR form, click the **View** button from the *RPPR Menu* screen.

![RPPR Menu](image)

### 15.16 Viewing the RPPR in Commons

The RPPR, in PDF format, is accessible in Commons within the *Status Information* screen. To view the RPPR, perform the following steps:
1. 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 **Research Performance Progress Report** section. Links will appear as follows: **RPPR Year <X> <MM/DD/YYYY>**.

The PDF version of the RPPR opens in a separate window.

The submitted RPPR can also be accessed from the **RPPR Menu** screen. The **View** button opens the PDF version of the RPPR.

**15.17 PD/PI Assurance Report**

The **PD/PI Assurance Report** displays instances when PI users agreed to the PD/PI Assurance message upon routing or submitting a Research Performance Progress Reports (RPPR).

If you hold an SO role, you have access to this information. To view this information:

1. **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 Link on Manage RPPR

3. The **PD/PI Assurance Report** screen opens. You can perform a search for a specific PI or by a range of dates for all PIs in the organization. You can search by PD/PI Name, a range of dates, or both. A search with no specified PI will return the records for all PIs in the organization.

4. Enter your search criteria and click the **Search** button.

   The search results display at the bottom of the screen.
15.18 Public Access PRAM

The Public Access Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, and submit information in response to the automated notification sent when an NIH grantee organization submits an RPPR with non-compliant publications. The system sends the automated email to the PD/PI requesting verification that all publications are in compliance with the NIH Public Access Policy. The SO and AO assigned to the RPPR on the cover page will receive a copy (cc:) of the email. While an email response to the GMS and PO is acceptable at this time, the grantee is encouraged respond using the Public Access PRAM feature in eRA Commons. AHRQ does not currently use the PRAM feature for public access compliance notifications.

Using the PRAM feature, grantees can upload and submit a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Compliant papers have a status of Complete, N/A (not applicable), PMC Journal in Process, or In process at NIHMS. Please see http://publicaccess.nih.gov/include-pmcid-citations.htm for additional information. If unable to provide the verification of compliance, grantees can upload and submit justification for why specific publications cannot be brought into compliance.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the Public Access PRAM, but can only submit it if the PD/PI is delegated with Submit Progress Report authority. Otherwise, only the SO can submit the PRAM to Agency.

15.18.1 Initiating Public Access PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Public Access PRAM by following the steps below:
1. Access the **Status Result – List of Applications/Grants** screen.
2. Click the **Public Access PRAM** link from the **Action** column of the appropriate grant.

   ![Status Result - List of Applications/Grants](image)

   The **Progress Report Additional Materials (PRAM)** screen displays **Grant Information** including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer displays at the top of the screen. The **Public Access Compliance** section at the bottom contains guidance for responding to the automated email requesting evidence of compliance with a field and buttons for uploading and maintaining attachments.

3. Click the **Add Attachment** button to browse and select the My NCBI PDF or another PDF document providing justification. Note that clicking the **Cancel** button closes the screen instead.
4. Enter a response in the text box in 2,000 characters or less and click the **Route** button at the bottom of the screen.

   ![Progress Report Additional Materials (PRAM)](image)
The buttons for **Delete Attachment** and **View Attachment** display once an attachment has been uploaded. **Save, View, and Route History** may be selected at this time. Clicking **Cancel** closes the screen without saving or routing the PRAM information.

5. *Optional:* Click the **View Attachment** button to view the document. Click the **Delete Attachment** button to remove the document.

   When you click the **Route** button, the **Route PRAM to Next Reviewer** screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

6. Select an SO from the **Next Reviewer** drop-down list.
7. Enter text into the **Comments** field as necessary. This is not a mandatory field.
8. Click the **Submit** button to continue.

![Route PRAM to Next Reviewer](image1)

The **Route PRAM to Next Reviewer** screen displays the PD/PI Assurance statement.

9. Read the assurance statement and click the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.

![Route PRAM to Next Reviewer](image2)

The **Progress Report Additional Materials (PRAM)** screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as **Reviewer Work in Progress**. At this point, the PD/PI can only view the PRAM and may not edit it. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.
15.18.2 Recalling Public Access PRAM

Public Access PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action until the PRAM has been submitted to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of **Reviewer Work in Progress**.

A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Public Access PRAM, click the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.
A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email about the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and the **Route** button is enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

### 15.18.3 Submitting Public Access PRAM

When the Public Access PRAM is in *Reviewer Work in Progress* status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the Public Access PRAM:

1. Access the **Status screen**.
2. Enter the appropriate query parameters to locate the grant and click the **Search** button.

   The **Status Result – General Search** screen displays with the matching information.
3. From the **Action** column, click the link for **PRAM**.

The *Progress Report Additional Materials (PRAM)* screen displays. The screen displays **Grant Information** on top and the PD/PI comments in the text box at the bottom of the screen. In addition to submitting the PRAM, from this screen, the SO can also **View** the PRAM as a PDF, **Route** it to another reviewer (or back to the PD/PI), and view the **Route History**. Click any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

4. Click the **Submit** button.

The *Submit PRAM to Agency* screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.
5. Read certification agreement. Click the I Agree button to continue submitting the information. (Clicking the Cancel button closes the screen and returns the Progress Report Additional Materials screen without submitting the material.)

The Progress Report Additional Materials (PRAM) screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to the awarding agency, the PRAM status is updated to Submitted to Agency, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.

When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR and the Public Access PRAM link will no longer be available.

To view the submitted PRAM, click the View button on the Progress Report Additional Materials (PRAM) screen. This option opens the PRAM PDF in a separate window. The Public
Access PRAM will appear as the final page of the PDF document. See below for display of IC Requested PRAM.

**15.18.4 View Public Access PRAM for Multi-Year Funded Awards**

After submitting Public Access PRAM for multi-year funded awards, users with access to the grant information can view the PRAM via the Status Information screen. Access the Status Information screen by clicking the Application ID link from the Status Result – General Search (SOs) and Status Result – List of Applications/Grants (PIs) screens.

On the Status Information screen, under Relevant Documents, click the link in the area marked Progress Report Additional Material (PRAM). The PRAM links for multi-year funded awards display as PRAM Year <X> <date submitted>.

**15.19 IC (Agency) Requested PRAM**

The Agency Requested Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the program official (PO) at the IC (or AHRQ, if applicable) for additional information following the submission of an RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the PRAM, but can only submit it if the PD/PI is delegated with Submit Progress Report authority. Otherwise, only the SO can submit the PRAM to Agency.

Agency requested PRAM is not available for multi-year funded awards at this time.

**15.19.1 Initiating Agency Requested PRAM**

The PD/PI (Contact PI) or PD/PI Delegate can initiate Agency Requested PRAM by following the steps below:
2. Click the Agency Requested PRAM link from the Action column of the appropriate grant.

The Progress Report Additional Materials (PRAM) screen displays. Grant Information, including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer, displays at the top of the screen. The Additional Materials Requested by Agency section at the bottom provides a means for adding the requested materials. Up to 100 attachments can be submitted, but all attachments must be in the form of PDF files.

3. Click the Add Attachment button in the Additional Materials Requested by Agency section of the screen.

4. Use the Upload Attachment popup Browse and Upload buttons to search for and attach the appropriate file. Repeat for all necessary attachments.
The Additional Materials Requested by Agency section updates to show a table of all attachments. The table displays the Document Name and Action links of View and Delete for each attachment.

5. Optional: Click the document’s View link in the Action column to view the attachment.

6. Optional: Click the document’s Delete link in the Action column to remove the attachment.

The options for View and Route History can be selected at this time. Clicking Cancel closes the screen without saving or routing the PRAM information.

7. Click the Route button to send the PRAM for review.

When you click the Route button, the Route PRAM to Next Reviewer screen displays. A list of all available reviewers exists in the drop-down for Next Reviewer.

8. Select a name from the Next Reviewer drop-down list.

9. Enter text into the Comments field as necessary. This is not a mandatory field.
10. Click the **Submit** button to continue.

![Route PRAM to Next Reviewer](image)

The *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement.

11. Read the assurance statement and click the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.

![Route PRAM to Next Reviewer](image)

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM, the attachments, and the Route History; the PD/PI may not edit the PRAM. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using routing steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.

![Progress Report Additional Materials (PRAM)](image)
15.19.2 Recalling Agency Requested PRAM

Agency Requested PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action up until the submission of the current PRAM attachment(s) to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of Reviewer Work in Progress.

A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Agency Requested PRAM, click the Recall button from the Progress Report Additional Materials (PRAM) screen.

A message displays on the screen indicating: The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.

Only items which have not already been submitted can be recalled. If prior Agency Requested PRAM submissions to the Agency exist, these attachments are not included in the recall.

The status of the PRAM is updated to PD/PI Work in Progress if recalled by the PI or Reviewer Work in Progress if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email about the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and Add Attachment and Route buttons are enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.
15.19.3 Submitting Agency Requested PRAM

When the Agency Requested Progress Report Additional Materials (PRAM) is in Reviewer Work in Progress status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated Submit Progress Report authority by the SO.

To submit the PRAM:

1. Access the Status module.
2. Enter the appropriate query parameters to locate the grant and select the Search button.

   The Status Result – General Search screen displays with the matching information.

3. From the Action column, select the link for Agency Requested PRAM.

   ![Status Result - General Search](image)

   The Progress Report Additional Materials (PRAM) screen displays. The screen displays Grant Information on top and the files attached by the PD/PI in the Additional Materials Requested by Agency portion at the bottom. The attached files may be viewed or removed and additional PDF files may be added if necessary.

4. Optional: Select the document’s View link in the Action column to view the attachment.

5. Optional: Select the document’s Delete link in the Action column to remove the attachment.

6. Optional: Select the Add Attachment button to attach additional files. Up to 100 PDF files may be attached.

   Before submitting, the SO also may View the PRAM as a PDF, Route it to another reviewer (or back to the PD/PI), and view the Route History. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.
7. Select the **Submit** button.

The *Submit PRAM to Agency* screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.

8. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to NIH, the PRAM status is updated to Submitted to Agency, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.
When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR.

Once the IC Requested PRAM is submitted, the View button remains on the PRAM screen to provide a preview of the latest PRAM submission; however, the ability to view or delete the individual attachments is removed. The ability to upload and submit additional attachments remains until the grant is awarded. Follow the steps provided in the Initiating Agency Requested PRAM section to add additional attachments (starting with Step 3).

If multiple PRAM submissions were completed, selecting the View button only provides a preview of the latest PRAM submission. To view all submissions as one document, access the Status Information screen for the grant and select the PRAM link. Refer to the section of this document titled View Agency Requested PRAM from Status Information on Page 396 for more information.

15.19.4 View Agency Requested PRAM from Status Information

After submitting Agency Requested PRAM, Commons users with access to the grant information can view the PRAM via the Status Information screen.

The Status Information is accessed by any of the following methods:

Click the Grant Number link from the Progress Report Additional Materials (PRAM) screen
Click the **Application ID** link from **Status Result – List of Applications/Grants (PIs)**

Click the **Application ID** link from **Status Result – General Search (SOs)**, which opens the **Status Information** screen.

From the **Status Information** screen, in the **Other Relevant Documents** section, click the link in the area marked **Progress Report Additional Material (PRAM)**.

The Progress Report Additional Materials file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of Agency Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order.
order. Information in the document can be navigated using the provided bookmarks on the left.
16 Internet Assisted Review (IAR)

Internet Assisted Review (IAR) is an Electronic Research Administration (eRA) module used in tandem with the Peer Review module to help expedite the scientific review of grant applications by providing a standard process for Reviewers to submit their critiques, preliminary scores, and final scores and to view grant applications and related meeting materials via Commons. IAR also has the ability to enable reviewers to view the critiques of others before the actual meeting (unless conflicts of interest exist). As a result, review meetings can contain more informed discussions.

If you hold the IAR role - and you are enabled for review meeting(s) - you can access the features included in the module.

IAR has its own online help system for reviewers. If you hold an IAR role, you can access the IAR online help system for reviewers by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link: http://era.nih.gov/erahelp/IAR_Rev.
17 xTrain

The xTrain module provides external and internal users with online capabilities for working with trainee appointments and the termination notices of trainees and fellows.

If you hold one of the following roles, you can access xTrain and its features:

- TRAINEE
- PI
- SO
- BO
- SPONSOR
- ASST (when delegated by SPONSOR or PI)

xTrain has its own online help system. You can access the xTrain online help by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link [http://era.nih.gov/erahelp/xTrain](http://era.nih.gov/erahelp/xTrain).

**Policy:** [Ruth L Kirschstein National Research Service Awards](http://era.nih.gov/erahelp/xTrain)

**Policy:** [Reporting and Assurance Requirements for Institutions Receiving Awards for Training of Graduate Students for Doctoral Degrees](http://era.nih.gov/erahelp/xTrain)
18 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 RPPR 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.

18.1 View Admin Supplements Via the Status Module

Administrative supplement requests are accessible through the Status module. For grants having administrative supplement requests initiated against them, the Action column of the Status Result – List of Applications/Grants screen contains the Admin Supplements link. Selecting this link opens the Administrative Supplement Status screen for the specific grant.

Click Admin Supplements in the Action column to be taken to the list of administrative supplement applications. From there, you can use the Action column to click View to view a PDF of the application or you can click View Routing History to view the routing history of the application.
### Administrative Supplement Routing History

<table>
<thead>
<tr>
<th>Reviewer Name</th>
<th>Action</th>
<th>Date of Action</th>
<th>Next Reviewer Name</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>LAU ANNA</td>
<td>Created</td>
<td>2015-03-21</td>
<td>LAU ANNA</td>
<td></td>
</tr>
</tbody>
</table>

[Cancel]
19 Change of Institution Overview

The Commons Change of Institution process allows the extramural grantees to submit an electronic version of a relinquishing statement (RS) to the Grants Management community for processing and allows the other grantee institution that is proposed to take over the relinquished grant to access the submitted relinquishing statement.

The institution holding the grant must complete a relinquishing statement through eRA Commons that states it is giving up the grant and identifies the receiving institution. The receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed at [https://grants.nih.gov/grants/guide/parent_announcements.htm](https://grants.nih.gov/grants/guide/parent_announcements.htm). Please look for an NIH Guide Notice.

This functionality only applies to NIH grants.

19.1 Features

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

19.2 Users

The following users are involved in the Change of Institution process.

1. Signing Official (SO)
   a. The original institution’s SO can perform the following relinquishing statement functions: Start a new one, View, Edit, Save, Route, Cancel, Delete, and Submit RS to Agency.
   b. The receiving institution’s SO can perform the following functions: View RS

2. Project Director/Principal Investigator (PD/PI)
   a. The original institution’s PD/PI can perform the following relinquishing statement functions: View, Edit, Save, Cancel changes, and Route the RS to the SO for submitting to the Agency.

3. NIH Internal User
   a. The internal user can perform the following relinquishing statement functions: View, Save, Cancel changes, and Link the RS.

4. Grants Management Official (GMO) or Grants Management Specialist (GMS)
   a. The GMO or GMS can perform the following relinquishing statement functions: View, Receive, and Return the RS.
19.3 Business Rules

19.3.1 Eligible Grants

All awarded and active grants are eligible to be relinquished except for the ones with the following statuses:

- 02 – Withdrawn
- 21 – Ineligible organization - application withdrawn
- 30 – Withdrawn by Institute/Center (IC)
- 34 – Administratively withdrawn by IC prior to review or council

Subprojects, Institutional Allowances, and Supplements are excluded from being eligible.

Relinquishing statements can be submitted for any activity code.

19.3.2 Access to Relinquishing Statements

Only users with the SO authority at the grantee institution can access the Change of Institution option on the Commons Status screen.

The relinquishing statement can be accessed only by the SO for grant applications from their grantee institution eligible for transfer.

Only the SO for the grantee institution has the authority to submit the relinquishing statement to the Agency.

The relinquishing statement can be accessed by the PD/PI for grantee applications where the PD/PI role is the current reviewer of the relinquishing statement.

The internal user is able to access the relinquishing statement in Submitted or Accepted for Consideration status and is able to update the New Institution Name, IPF code and UEI number of the new institution to which a grant is relinquished.

19.3.3 Relinquishing Statement Reviewers

If the SO initiated the relinquishing statement and routed it to the PD/PI, then the PD/PI can review, edit specific fields, save and route the relinquishing statement back to the SO.

Any SO at the grantee institution is able to create, review, edit, save, route, and submit the relinquishing statement.

19.3.4 Relinquishing Statement Routing Order

The next reviewer in the list of valid next reviewers is always the contact PD/PI on the application. The current user is not shown in the list of valid next reviewers on the relinquishing statement. If SO is the current reviewer, then the contact PD/PI is the next reviewer by default.

If the PD/PI is the current reviewer, the SO who initiated the relinquishing statement is the first and default entry in the list on the relinquishing statement. All other users with the SO role appear alphabetically by last name after the first entry. The information displayed for each valid next reviewer is as follows: Name (LAST, FIRST).
If the SO routes the relinquishing statement to the PD/PI, the Route to Next Reviewer screen is named: Route to PD/PI.

If the PD/PI routes the relinquishing statement to the SO, the Route to Next Reviewer screen is named: Route to SO.

The relinquishing statement can be routed back and forth between the SO and the PD/PI for an unlimited number of times.

### 19.3.5 Validation

PD/PI verification is not required. The SO is able to submit the relinquishing statement without routing it to the PD/PI.

The PD/PI has edit capability only for the New Institution Name information and Contact information in the new Institution Section of the relinquishing statement.

Saving the relinquishing statement does not execute any validations. The relinquishing statement is validated upon submitting it to the Agency. The exception is that new Institution data is validated upon routing the relinquishing statement by the PD/PI to the SO.

The relinquishing statement cannot be submitted to the Agency with validation errors, but the relinquishing statement can be submitted to Agency with validation warnings.

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.

### 19.3.6 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 acknowledged (Accepted for Consideration or Refused status) by the Grants Management Specialist (GMS) user.

The relinquishing statement can be deleted by the SO from the relinquishing institution if it is in the SO Work In Progress (WIP) state and has never been submitted to the Agency.

All submitted and accepted versions of the 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.

### 19.4 Relinquishing SO Responsibilities

#### 19.4.1 Start or Edit a Relinquishing Statement

The Change of Institution process is initiated by the Signing Official for the original grantee institution that has agreed to relinquish responsibility for an active grant. This must occur before the expiration of the approved project period.
1. On the Commons Status screen, click the Change of Institution link.

The system displays the Status – Change of Institution search options.

2. To find the grant to relinquish, complete at minimum the required fields: Institution Code and Serial Num.

   The required fields are noted by an asterisk.

3. Click the Search button.
The system displays the search results on the *Status Result – Change of Institution* screen.

The RS functionality is not available from other Status search result’s screens.

4. After the grant to be relinquished is found, click the **Manage Relinquishing Statement** link on the *Status Result – Change of Institution* screen.

   ![Status Result - Change of Institution](image)

   The system displays the **Manage Relinquishing Statement** screen.

   If the award is in a no cost extension or within three months of the project period end date, the following informational pop-up message appears:

   "You have selected an award in a no-cost extension/within three months of the project period end date. NIH Institutes & Centers (ICs) policies may limit change of grantee organization requests based on the amount of time remaining on the award. Please contact the awarding IC to determine IC policy."

   If this pop-up message screen appears, click the **OK** button to proceed to the **Manage Relinquishing Statement** screen.

5. **To start a new RS:** Click the **Start a new RS** button.

   If an RS has already been submitted, a new RS cannot be submitted unless the prior RS (s) shows a status of **Accepted for Consideration or Refused**.
6. **To edit a RS that is in progress:** Click the **Edit** link.

   To edit an RS, the RS’s status must be SO Work in Progress (WIP) or Returned.

   ![Manage Relinquishing Statement](image)

   When either the **Start a new RS** button or **Edit** link is selected, the system displays the **Relinquishing Statement** screen.
7. Complete or edit the RS Form as follows:

The required fields are noted by an asterisk. The following fields are required: **New Institution Name, Contact Email at the Institution, Requested Termination Date (MMDDYYYY), and Direct Cost $**.

   a. Click the **Search** button in the **New Institution Name** section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the topic titled **Search for Institution on Page 409**.
   
   b. Complete the remaining fields: **Contact Email at the Institution, Requested Termination Date (MMDDYYYY), Direct Cost $**, and **Indirect Cost $**.
   
   c. Type, **NONE**, in the **Equipment Transferring with the Project** section if there is no equipment to be transferred.

8. To save the RS, click the **Save** button.

The system displays the RS Form on the **Relinquishing Statement** screen and sets its status to **SO Work in Progress**.

**19.4.2 Search for Institution**

When you click the **Search** button for the **New Institution Name** field on the **Manage Relinquishing Statement** screen, the system displays the **New Institution – Search** screen.
To search for an institution:

1. Type in the receiving institution’s name or IPF number and click the **Search** button.

2. If the receiving institution is found, click on the receiving institution’s **IPF Code**.

The system inserts the receiving institution’s name, UEI number and IPF Code in the appropriate text boxes on the *Relinquishing Statement* screen.

If a new institution is registered with the eRA Commons, it is highly recommended to choose it from the search results. The UEI Number and IPF code are pre-populated from
the institutional profile file.
The IPF Code is used to link the submitted RS to the receiving institution and to make it viewable for SO at the receiving institution.

3. If the receiving institution is not found, type the receiving institution’s name in the New Institution Name text box and click the Insert button.

The system inserts the new receiving institution’s name in the appropriate text box on the Manage Relinquishing Statement screen.

If the receiving institution is not registered in the NIH eRA Commons (IPF Code is not provided), it may not be able to view the relinquishing statement until it is registered in the eRA Commons. The New Institution needs to register in the eRA Commons and contact the eRA Service Desk for assistance in linking the relinquishing statement to the new institution account.

19.4.3 Delete a Relinquishing Statement

The relinquishing statement can be deleted if it is in SO Work in Progress state and has never been submitted to the Agency.

1. To delete an relinquishing statement, click the Delete link on the Manage Relinquishing Statement screen.
The system displays the relinquishing statement in a non-editable form and the following message appears on the Delete Relinquishing Statement screen:

*Please confirm that you would like to delete the following relinquishing statement.*

If you no longer wish to delete the relinquishing statement, you can stop the action by selecting the **Cancel** button.

2. Click the Delete button on the Delete Relinquishing Statement screen to delete the RS.

If the **Delete** button is clicked, the system deletes all data associated with the relinquishing statement and returns to the Manage Relinquishing Statement screen.
19.4.4 Route and Submit a Relinquishing Statement

19.4.4.1 Route to PD/PI

SOs can route the relinquishing statement to the PD/PI for if necessary.

To route the Relinquishing Statement to the appropriate PD/PI:

1. Click the **Route to PI** button on the bottom of the *Relinquishing Statement* screen.

   The *Route Relinquishing Statement* screen appears. The **Next Reviewer** field displays the contact PD/PI.

2. *Optional:* Enter comments as necessary.

3. Select the **Route to PI** button.

   The system displays *Route Relinquishing Statement* screen with the confirmation message and sends an email notification to the PD/PI regarding the Relinquishing Statement. For more information please refer to the section titled *eMail Notifications*.

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

   The system returns to the *Manage Relinquishing Statement* screen.
The **Status of RS** field displays *PD/PI Work in Progress*. If the routing process was canceled (**Cancel** button) before completion, the **Status of RS** field displays *SO Work in Progress*.

### 19.4.5 Submit a Relinquishing Statement

Only an institution’s Signing Official can submit a Relinquishing Statement to the Agency.

To submit the Relinquishing Statement:

1. Click the **Submit** button on the *Relinquishing Statement* screen.
The institution name and contact information are required at the time of submission to the Agency.

The system displays the *Submit Relinquishing Statement to NIH* screen. The Certification Acceptance Statement is displayed and reads as follows:

**APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:**

*In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of [Requested Termination Date] and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.*

*That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited.*

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

2. Click the **I Agree** button to submit the Relinquishing Statement or click the **Cancel** button to exit the screen.

If you click the **Cancel** button, the following screen message appears:

*This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.*

If you click the **Cancel** button, the following screen message appears:
This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.

When you click the **I Agree** button, the system displays the *Manage Relinquishing Statement* screen with the following message:

*The Relinquishing Statement has been submitted to NIH.*

The system also creates the Relinquishing Statement PDF file. If the system takes from thirty seconds to two minutes to generate the Relinquishing Statement, then the system displays an informational message.

*The next reviewer is internal NIH user.*

The system returns to the *Manage Relinquishing Statement* screen. The **Status of RS** field displays *Submitted to Agency*.

For post-awarded and post-review applications, email notifications are sent to; the centralized IC mailbox; the currently assigned GMS; and the PO. For pre-review applications, email notifications are sent to; the Division of Receipt and Referral (DRR); the SRO, if assigned; and the receiving institution contact email provided on the Relinquishing Statement electronic form. For more information please refer to the section titled **eMail Notifications**.

3. To **View** the Relinquishing Statement or **View Routing History**, click the appropriate link. Please refer to the topics titled *Signing Official Search/View Relinquishing Statement* on Page 421 or *PD/PI Search/View Relinquishing Statement* on Page 426 for more information.

**19.5 Program Director/Principal Investigator Responsibilities**

If the Relinquishing Statement is routed to a PD/PI, the RS can be edited and routed back to the SO at the relinquishing institution. The PD/PI can edit only the institution information and
contact email address.

19.5.1 Edit Relinquishing Statement

Perform the following steps to find and edit a Relinquishing Statement:

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

![Status Result - List of Applications/Grants](image)

If there are multiple PIs for a grant, the letters MPI appear to the right of the Application ID.

The system displays the Relinquishing Statement screen.

2. If necessary: To add or change the institution information on the Relinquishing Statement form, click the Search button in the New Institution Name section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the Search for Institution topic.

The system inserts the new receiving institution’s name in the appropriate text box on the Manage Relinquishing Statement screen.
4. *If necessary*: Complete the **Contact Email at the Institution** address.

The email address should be in the following format: `user_name@domain_name.com`. 
If the email address is not entered, an error message is produced. For more information please refer to the section titled Error Messages.

5. Perform one of the following on the Relinquishing Statement screen:
   a. To save the edits to the Relinquishing Statement, click the Save button.
   b. To cancel editing the Relinquishing Statement, click the Cancel button.

19.5.2 Route Relinquishing Statement to SO

After the appropriate edits have been made to the RS, the RS is routed back to the SO for submission to the Agency. To route the RS back to the SO:

1. Select the Route to SO button on the Relinquishing Statement screen.

   If the new institution name has not been provided, then the following warning message is displayed:

   The New Institution Name has not been provided. This information will be required at time of submission to agency.

   If the new institution’s name is not blank, the new institution’s IPF number has to be provided. If the IPF number is not provided, then the following warning message is displayed:
You have selected an institution not registered in the NIH eRA Commons. Please verify the institution information. The new institution may not receive notification and will not be able to view the relinquishing statement until it is registered in the NIH Commons. The New Institution will need to register in the eRA Commons and contact the eRA Service Desk to access the relinquishing statement.

The system displays the Route Relinquishing Statement screen. The Next Reviewer is the relinquishing SO. If there is multiple SOs at the relinquishing institution, the Next Reviewer drop down menu can be used to select the appropriate SO to route the RS to that person. The names are displayed as last name, first name.

2. Click the Route to SO button to route the RS to the SO.

If you wish to abort the action, selecting the Cancel button to return to the Relinquishing Statement screen.

If the Route to SO button is clicked, the system displays the Route Relinquishing Statement screen with an OK button. The following message is displayed: The relinquishing statement was routed to <next reviewer commons user id>.

3. Click the OK button to complete the routing to the relinquishing SO.

An email notification is sent to the selected SO notifying that the RS has been routed back. For more information please refer to the section titled eMail Notifications.
19.5.3 Signing Official Search/View Relinquishing Statement

Perform the following steps to search for a grant to relinquish or to view an relinquishing statement:

1. Click the **Change of Institution** link on the Status screen.

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

19.5.3.1 Search for a Grant to Relinquish or to View Relinquishing Statement

This search is designed for the SOs at the original (relinquishing) institution. For steps on performing a search as a PD/PI, refer to the topic titled *PD/PI Search/View Relinquishing Statement on Page 426.*
1. Enter the appropriate search criteria in the **Search for Grants** section on the *Status – Change of Institution* screen. At minimum the required fields must be populated: **Institution Code** and **Serial Num**.

2. Select the **Search** button.

![Search for Grants Section on Status Results – Change of Institution Screen](image)

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

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

![Manage Relinquishing Statement Screen](image)

The system displays the **Manage Relinquishing Statement** screen.

If the relinquishing statement has been routed to the PD/PI by the SO or the relinquishing statement has been submitted to the Agency, then the **View** and **View Routing History** links appear.
If the relinquishing statement has been submitted to the Agency and returned from NIH for corrections or the relinquishing statement’s status is *SO Work in Progress*, then the **Edit** and **View Routing History** links appear.

For editing the relinquishing statement, refer to the section titled [Manage Relinquishing Statement](#).

3. To view the relinquishing statement, click the **View** link.

If the relinquishing statement has not been submitted to NIH, then the system displays the non-editable *Relinquishing Statement* screen. You can select the **Cancel** button on the *Relinquishing Statement* screen to return to the *Manage Relinquishing Statement* screen.

If the relinquishing statement has been submitted to NIH, then the system displays the relinquishing statement in PDF format in a separate window.
4. **Optional:** To view the relinquishing statement routing history, click the **View Routing History** link.
The system displays the View Routing History screen. You might see the following statuses depending on where the relinquishing statement is in the process: SO Work in Progress, PD/PI Work in Progress, Submitted to Agency, Returned, Accepted for Consideration, Submitted to Agency and Linked, or Accepted for Consideration and Linked.

![View Routing History Screen]

5. Click the **Back** button to return to the Manage Relinquishing Statement screen.

### 19.5.3.2 Search for Relinquishing Statements Submitted by Former Institution

SOs have the ability to search for Relinquishing Statements submitted by the former institution. This search is performed using the **Search for Relinquishing Statements** section on the Status – Change of Institution screen.

To search for relinquishing statement submitted by the former institution:

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

   ![Search for Relinquishing Statements]

   **Institution** Searching for Relinquishing Statements Submitted by the Former

   If no search parameters are entered, the search returns all the relinquishing statements linked to the current institution by Institutional Profile File (IPF).

   If the current institution has not been registered with Commons before the relinquishing statement is submitted, the search does not return any results until the relinquishing statement is updated with the IPF and/or the UEI number.

   If the system determines that no relinquishing statements have been linked to the receiving institution, then the following warning message appears:

   *No relinquishing statements have been associated with your institution. Please contact eRA Service Desk.*
The system displays the Status Results – Search for Relinquishing Statements screen.

2. Click the **View Relinquishing Statement** link.

The system displays the View Relinquishing Statement screen. Relinquishing Statements with a status of Accepted for Consideration or Submitted to Agency are displayed.

3. Click the **View** link for the appropriate relinquishing statement.

The system displays the relinquishing statement in PDF format in a separate window. If the PDF file does not exist, the system displays the following message: *Document Not Found*.

4. Click the **Cancel** button to return to the Status Result – Search for Relinquishing Statements screen.


### 19.5.4 PD/PI Search/View Relinquishing Statement

Once a Relinquishing Statement has been submitted to the Agency, it is viewable within the Commons Status Information screen.

Perform the following steps to view the submitted form.
1. On the Status Result – List of Applications/Grants screen, click the appropriate grant number link in the Application ID column.

The system displays the Status Information screen.

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

Hyperlink  Status Information Screen Displaying the Relinquishing Statement

The system displays the Relinquishing Statements screen.
3. Click the **Relinquishing Statement** link to view the Relinquishing Statement PDF.

### 19.6 eMail Notifications

#### 19.6.1 eMail to the New Institution Contact eMail Provided on the RS Electronic Form

**Subject:** eRA Commons: Relinquishing Statement for Grant <Grant Number> Submitted

*To: New institution contact email provided on the RS electronic form*

*eMail Content: <Do not reply warning>*

A relinquishing statement for NIH Grant Number <Grant Number> has been submitted electronically through eRA Commons identifying this email address as a contact for the new institution.

You may view this relinquishing statement by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). The proposed new grantee must submit a change of institution application. See the NIH Grants Policy Statement for policies regarding change of institution requests.

If your institution is not registered in the NIH eRA Commons, you will need to register in the eRA Commons and contact the eRA Help Desk for assistance in linking the relinquishing statement to your new institution account.

If you have any questions about this email, please contact the eRA Help Desk via the web at [http://ithelpdesk.nih.gov/eRA/](http://ithelpdesk.nih.gov/eRA/), by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov ([mailto:commons@od.nih.gov](mailto:commons@od.nih.gov)) or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).
19.6.2 Confirmation eMail to PD/PI & SO from Former Institution
Acknowledging NIH Receipt of RS

TO: PD/PI, SO (who actually submitted the RS)

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> Submitted

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was electronically submitted to NIH and may now be viewed in the eRA Commons on the Status Information screen.

If you logged in as PD/PI, go to Status - List of Applications/Grants and select the link associated with the Grant Number.

If you logged in as SO, you can access the Status Information page by going to Status, executing a query for the grant, and selecting the link associated with the Grant Number. Also, you can view the submitted relinquishing statement through the Manage Relinquishing Statement page.

NIH must review and acknowledge the receipt of the relinquishing statement before a change of institution can be processed.

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

19.6.3 The Relinquishing Statement Routed eMail Notification

Subject: eRA Commons: Request That You Review Relinquishing Statement for Grant <Grant Number>

To: PD/PI, SO - Individual selected by the current user as the next reviewer using the Route button

<User Last Name>, <User First Name> has completed processing the Relinquishing Statement for Grant <Grant Number>, and has forwarded it to you.

Please review the Relinquishing Statement in the NIH eRA Commons system and take the appropriate action for its eventual submission to the NIH. Please be aware that the correct new institution name and the contact email address provided on the relinquishing statement are necessary for the appropriate interactions between the awarding IC and grantee institutions involved in the process of the grant transfer.

Please use the link provided below to access the eRA Commons login screen.

The previous reviewer comments on why this action was taken are as follows: [Comments].
19.6.4 The Relinquishing Statement Returned eMail Notification

**Subject:** eRA Commons: Relinquishing Statement for Grant <Grant Number> has been Returned by NIH

To: SO (who submitted RS to the agency), Centralized institution mailbox.

Relinquishing Statement for grant <Grant Number> has been reviewed by NIH and routed back to you with the following comments: [Comments]

Footer:

If you have any questions about this email, please contact Grants Management Specialist <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/ERA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Please access the NIH Commons at [URL to Commons Home Page]

<initiator_email_addr> is the Employment address.

19.6.5 The Relinquishing Statement Acknowledged by NIH eMail Notification

**Subject:** NIH Automated Email: Relinquishing Statement for Grant <Grant Number> Received

To: SO (who submitted RS to agency), Centralized institution mailbox, PD/PI

NIH has acknowledged the receipt of the Relinquishing Statement for grant <Grant Number>.

Footer:
19.6.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User

TO: PD/PI assigned to the grant, SO who submitted the RS from the former institution, new institution contact email provided on the RS electronic form

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> is visible to the New Institution

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was linked to the new institution by NIH and may now be viewed in the eRA Commons by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

Footer:

If you have any questions about this email, please contact the eRA Help Desk via the web at https://www.era.nih.gov/need-help, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

19.6.7 Change of Institution Time Based Reminders

19.6.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date)

Recipients: New institution contact email provided on the RS form

From: eRANotifications@mail.nih.gov

Subject: NIH Automated Email: Relinquishing Statement has been submitted XX days ago

eMail Content: <Do not reply warning>
The relinquishing statement for NIH Grant Number [GrantNumber] has been submitted electronically through eRA Commons <XX> days ago.

As the proposed new grantee, you must provide the GMO with a change of institution application prior to the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing.

If you have already submitted a paper change of institution application, you may disregard this notice.

If you do not intend to submit a change of institution application, please contact the grants management officer or the grants management specialist at the awarding IC to inform them.

If you have any questions about the change of institution request process at NIH, please contact the grants management officer or the grants management specialist at the awarding IC.

If you have any questions about this email, please contact the eRA Help Desk via the web at https://www.era.nih.gov/need-help, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Thank you.

19.6.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date)

Recipients: Any SO at the Former Institution (of the Parent Grant), Former Institution centralized mailbox, PD/PI on the application

From: eRANotifications@mail.nih.gov

Subject: NIH Automated Email: Change of Institution Electronic Request has been submitted XX days ago

eMail Content: <Do not reply warning>

The Change of Institution request for NIH Grant Number [Parent Grant Number] has been submitted electronically through Grants.gov <XX> days ago.

The request to change the grantee institution indicates that there may be a change in status of the PD/PI which requires prior approval from the NIH. Please contact the grants management officer or the grants management specialist at the awarding IC to discuss the status of the award.

If you have already submitted a relinquishing statement on paper, you may disregard this notice.

If you have any questions about this email, please contact the eRA Help Desk via the web at https://www.era.nih.gov/need-help, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Thank you.
19.7 Error Messages

If the system determines that an unexpected error occurred, then the following error message appears.

An unexpected error occurred. Please contact eRA Service Desk.

If the system determines that the required field information was not entered on the search screen, then the following error message is produced:

You must enter the following required fields to proceed.<field>.

If the system determines that the grant being searched for is not found, then the following error message is produced:

No grants to relinquish have been found.

If the system determines that the new institution name has not been entered on the RS, then the following error message is produced:

New Institution Name is a required field.

If the system determines that the new institution’s Email Address has not been completed on the RS, then the following error message is produced:

Please enter data in the Email Address field (e.g. user_name@domain_name.com) (ID: 30102).

If the system determines that the Termination Date has not been completed on the RS, then the following error message is produced:

Termination Date is a required field. (ID: 200241)

If the system determines that the Termination Date is not within the current budget period on the RS, then the following error message is produced:

The requested Termination Date must be within the current budget period.

If the system determines that the Direct Cost field has not been completed on the RS, then the following error message is produced:

Direct Cost is a required field.

If the system determines that the Direct Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The direct costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.

If the system determines that the Indirect Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The indirect costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.
If the system determines that the total unexpended balance on the RS exceeds the amount awarded for the current budget period, then the following error message is produced:

The total costs being relinquished must not exceed the costs for the current budget period for transfers of active awards.

If the system determines that the Direct Cost, or the Indirect Cost or the Total Cost exceeds 999,999,999, then the appropriate error messages are displayed:

- Direct Cost amount cannot exceed 999,999,999.
- Indirect Cost amount cannot exceed 999,999,999.
- Total Cost amount cannot exceed 999,999,999.
20 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-21-046 - Additional Implementation details

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.

20.1 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.

20.1.0.1 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

<table>
<thead>
<tr>
<th>Reporting Period/Budget Period Ends in:</th>
<th>FFR Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>January, February, March</td>
<td>June 30</td>
</tr>
<tr>
<td>April, May, June</td>
<td>September 30</td>
</tr>
<tr>
<td>July, August, September</td>
<td>December 21</td>
</tr>
<tr>
<td>October, November, December</td>
<td>March 31</td>
</tr>
</tbody>
</table>

#### 20.1.0.2 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

#### 20.2 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.

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.

#### 20.3 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

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.

20.4 Accessing FFR

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

2. Log into Commons.
3. Select the FFR module from Commons navigation.

20.5 Search for FFRs

20.5.1 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.

20.5.2 Perform a Search

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

### 20.5.2.1 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://era.nih.gov/files/Deciphering-NIH-Application.pdf](https://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.

---

### 20.5.2.2 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:

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.

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.

### 20.5.3 Search Results

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

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.

### 20.5.4 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.
### Table 2: FFR Actions

<table>
<thead>
<tr>
<th>Action Option</th>
<th>Available to FFRs in Status...</th>
<th>Result of the Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage FFR</td>
<td>• Pending&lt;br&gt;• Due&lt;br&gt;• Late&lt;br&gt;• Received&lt;br&gt;• Accepted&lt;br&gt;• Rejected&lt;br&gt;• Revision Pending</td>
<td>Redirects to PMS, where (after you login) it opens the FFR long form for editing and submission.</td>
</tr>
<tr>
<td>History</td>
<td>• Received&lt;br&gt;• Accepted&lt;br&gt;• Rejected&lt;br&gt;• Revision Pending</td>
<td>Displays a history of actions performed against the FFR record.</td>
</tr>
<tr>
<td>PDF</td>
<td>• Accepted&lt;br&gt;• In Review&lt;br&gt;• Received&lt;br&gt;• Rejected&lt;br&gt;• Revision Pending</td>
<td>Opens the current version of the report in PDF format.</td>
</tr>
</tbody>
</table>

#### 20.5.4.1 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.

#### 20.5.4.2 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**.

#### 20.5.4.3 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
20.6 **Federal Financial Report (FFR) Long Form**


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

### 20.6.1 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](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](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, Predetermined, 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.
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.

20.6.2 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.
21 Financial Conflict of Interest (FCOI) Module Overview

The Electronic Research Administration (eRA) Commons is a Web-based system for applicants and institutions to participate in the electronic grant administration process. Commons provides a modular framework and infrastructure that allows National Institutes of Health (NIH) extramural grantee organizations, Operating Divisions (OPDIVs), grantees, and the public to conduct grant-related business with NIH.

The Financial Conflict of Interest User Guide 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.

22 Non-Research Amendments, Supplements, and Continuations (for Non-Research Agencies)

The Non-Research module lets you manage the process to submit post-award amendment applications for funding, as well as supplements and continuations. After logging into eRA Commons, you can access the Non-Research main screen in two ways:

1. Navigate to Non Research via the Apps menu - OR -

2. Select one of the options in the SAMHSA pane on the eRA Commons landing screen.

Navigating to Non-Research via the Apps menu brings you to the Manage Post Award Amendments search screen under Non-Research. Choosing an option in the SAMHSA pane brings you to the screen in Non-Research that matches the dropdown option you chose.

For help on each screen, see:

Initiate Amendment by PI
Initiate Amendment by SO
Manage Non Research Continuations
Manage Non Research Supplements
View Amendments

Request for Additional Materials - RAM

22.1 Initiate Amendment by PI

When a user with a PI role navigates to Non-Research and then to the Manage Post Award Amendments screen, the system present them with a blank search screen. Clicking search shows the list of grants eligible for amendments. This list will only display those grants on which the user is a PI.

A checkbox is available to show expired grants as well and these may also be amended.

The screen will show buttons in the Action column for initiating a new amendment application or to view a previous amendment application if that grant has had one previously.

The View button option will display any amendment applications associated with that grant. Please see the View section for more detail.

Clicking the Initiate button will open a menu showing the following types of amendment options:

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organization Change
Clicking one of the menu options will open up the ASSIST module and open the forms required for the type of amendment selected. (click for an example)

The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.
It is important to check the SAM registration to be sure that the expiration date is after the submission date.

### 22.2 Initiate Amendment by SO

SAMHSA users who are Business Officials will be given the Signing Official role in eRA Commons.

Business Officials with the SO (Signing Official) role in eRA Commons are able to search for all grants that are eligible to be amended within their institution.

Open Search by navigating to the Non Research module in eRA Commons, and then click Manage Post Award Amendments.

The resulting Search screen provides fields to search by several criteria. If the search criteria fields are left blank and then you click the Search button, a list of all eligible grants for the institution are displayed.

The SO can then use the Filter tool to find specific grants or grants with specific criteria (specific PD/PI, for example).

The resulting list contains an Initiate button and, if there are already amendments for that grant, a View button.

The View button displays any amendment applications associated with that grant. Please see the View section for more detail.

Once the grant to be amended is located, click the Initiate button in the Action column on the row for that grant to see a dropdown menu listing the following amendment options:
- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organizational Change

Select the most appropriate type. You are then taken to the ASSIST tool to begin the post-amendment application with the amendment-specific forms.
The application includes the main SF424 form as well as other forms that are required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

It is important to check the SAM registration to be sure that the expiration date is after the submission date.
22.3 View Amendments

To view amendments, log into eRA Commons with the PI or SO role. Navigate to the Non-Research module in Commons, and then select Manage Post Award Amendments.

The Manage Post Award Amendments: Search screen opens.

PIs see a list of grants for that PI, which are eligible to be amended.

The list can be resorted by clicking the heading title for any column except for Action.

By default, expired grants are excluded but you can select the Include Related Grants checkbox to include those grants in the search results.

SOs initially see search fields above an empty hitlist.
The SO can then search via any combination of; Activity, IC, Serial #, or PD/PI Last Name. The Include Expired Grants checkbox allows the option to include expired grants in the search results.

If all fields are left blank, the search results include all eligible grants within the institution.

Use the Filter field for additional specification.
For both the PI and SO Search results;

Grants that have had amendments submitted have a View button as well as the Initiate button in the Action column of the table.

Clicking the View button opens the View screen and displays the amendments related to that specific grant as well as their statuses.

The Back to Search button at the top of the page returns the user to the previous page.

The Initiate button at the top of the page gives options to begin another amendment application.

The Action(s) button in the Action column provide a menu giving the options to either view a consolidated PDF of all related Requests for Additional Material (View Prior RAM) or to open up the RAM screen in order to upload materials (Edit RAM). The Edit RAM option does not show for awarded applications. See the section on RAM for more detail.

Please see these topics for more detail:

- PI Initiate
- SO Initiate
22.4 Request for Additional Materials - RAM

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).

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 for specific instructions for OTA awards.

From the View Amendments screen, any applications that require additional materials or actions will display an Action(s) button in the Action column.

Clicking on Action(s) opens a menu to select from Edit RAM or View Prior RAM.

View Prior RAM provides a PDF file of all RAM submissions that have been made for that Amendment application.

Selecting Edit RAM opens the RAM screen.
This screen contains:

- Application Information - A summary of the related application for which the RAM is being requested.
- An option to upload required documents requested. Up to 10 documents may be uploaded. Individual documents may not exceed 6MB in size.
- An area used for the justification which is a free-form text box and is a required field.
- **Cancel, Preview, Save, and Submit** buttons.
  - **Cancel** - Takes the user back to the Amendment View
  - **Preview** - Creates a PDF of all submitted RAMs
  - **Save** - Saved the current in-progress RAM
  - **Submit** - Sends the RAM to the agency. Once submitted, no more changes to this specific RAM can be made and the justification and uploaded files will be appended to the final summary PDF.

**Things to note:**

- There can only be one active (i.e. non-submitted) RAM at a time to which changes can be made by any authorized user. Once submitted, a new RAM is required for additional changes.
- There is no limit to the number of RAMs that the user can submit.
- Both PI and SO can edit the RAM as it allows for a partial save.
- The system provides an audit trail of who uploaded the documents.
- The user can see a consolidated list of all documents uploaded for RAM submission, with the latest on top. It is presented to the agency as one PDF with all documents combined.
Check all documents after uploading to ensure the right ones have been submitted.

When the RAM is submitted, an email notification is sent to the Government Project Officer (GPO), Grant Technical Assistant (GTA) and Grants Management Specialist (GMS). The system provides an audit trail of who uploaded the documents.
23 xTRACT

Extramural Trainee Reporting and Career Tracking (xTRACT) is a module within eRA Commons used by applicants, grantees, and assistants to create research training tables for inclusion in progress reports and institutional training grant applications.

Because xTRACT is integrated with Commons it is able to pre-populate some training data for training tables and reports by using xTrain appointment and related data. This includes trainee names, selected characteristics, institutions, grant numbers, and subsequent NIH and other HHS awards. xTRACT also allows the manual entry of data, for information not found in Commons or xTrain. This manually entered information is stored in xTRAIN and can be re-used when preparing subsequent training table submissions.

If you are a Signing Official (SO), Principal Investigator (PI), or assistant (ASST) in Commons, you have access to the xTRACT module.

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:

- xTRACT Online Help: https://era.nih.gov/erahelp/xtract
24 Submitting Reference Letters

If you are submitting a reference letter for an LRP applicant, see https://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 Funding Opportunity Announcement (FOA) is posted and no later than the submission deadline. Reference letters cannot be accepted through any means other than eRA Commons.

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.

24.1 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
- Funding Opportunity Announcement (FOA) number
- Deadline for submitting (between the FOA open 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.

24.2 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 https://era.nih.gov/faqs.htm#i6 for instructions)

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.

24.3 Submitting the Letter

To submit a reference letter, follow the steps below:
1. Use your internet browser to access the Commons login page at https://public.era.nih.gov/commons/public/login.do
2. Click the Submit a Reference Letter link.

The Submit Reference Letter screen displays.
3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*). *Referee* refers to the person who is providing a reference letter by filling out this form.

**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 letter for the letter you previously submitted here. See *Replacing an Already-Submitted Reference Letter* 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. Click the **Choose File** button, select a PDF file, and then click the **Submit** button. After you choose a file, you can click the **View** button to see its contents.

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*.

**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*. 
24 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:

![Example email with confirmation letter](image)

Thank you for submitting a letter of reference in support of SHERIN LARK’s application for AG21-022.

Your confirmation number is 445967. PLEASE RETAIN THIS NUMBER FOR YOUR RECORDS. Revised letters may be submitted prior to the submission deadline at https://public.dev.era.nih.gov/commonsplus/public/reference/submitReferenceLetter.era?mode=new. Complete the required fields on the submission form -- the information must match exactly the information entered for the original letter submission. Additionally, enter the Confirmation Number where indicated on the form.

If you have any questions about this email, please contact the eRA Service Desk via Web Support at http://grants.nih.gov/support/.

For letter requirements, see Requirements for Letters.

To submit an updated letter, which will replace the previous letter, follow the steps in Submitting Reference Letters, making sure you enter all the same information for the applicant (last name, Commons ID, FOA) 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.
25 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

<table>
<thead>
<tr>
<th>Application Type</th>
<th>Activity Code</th>
<th>Institute/Center (IC)</th>
<th>Serial Number</th>
<th>Support Year</th>
<th>Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>R01</td>
<td>CA</td>
<td>123456</td>
<td>01</td>
<td>A1</td>
</tr>
</tbody>
</table>

The grant number is comprised of the following parts:

**Application Type**: Indicates the type of application (e.g., new, renewal, non-competing, etc.)

**Activity Code**: Represents the specific category of support (e.g., research projects, fellowships, etc.)

**Institute/Center Code**: The code for the NIH Institute/Center (IC) associated with the grant

**Serial Number**: The unique number - assigned by the NIH Center for Scientific Research (CSR)- identifying the specific application

**Support Year**: Indicates the current year of support (e.g., an 01 support year is a new grant)

**Suffix Code**: An optional code used for supplements, amendments, or fellowship institutional allowances

- '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.

For more complete information on deciphering the grant number, see: [https://era.nih.gov/files/Deciphering-NIH-Application.pdf](https://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](https://grants.nih.gov/grants/funding/funding_program.htm).
25 The ORCID ID

The Open Researcher and Contributor ID (ORCID) ID is used within NIH and Grants.gov to relate publications to grants. You can associate your ORCID ID from the Commons Personal Profile module.

If no ORCID ID is connected to your profile, a link will be provided to start the process.

Click the Create or Connect your ORCID ID link and the ORCID site opens, letting you log in and connect your ID to your Commons profile or to set up an ORCID ID which can then be connected to your Commons profile. If you hover over the question mark icons for a field, a window will open with an explanation for that field.

**NOTE:** If you get an error from eRA Commons when attempting to link your ORCID ID, contact the eRA Service Desk. One common reason why this might not work is that you have two eRA Commons accounts, and the other account is already linked to the ORCID ID. The ORCID ID can be linked to only one Commons account. Also, to remove an ORCID, you must also contact the eRA Service Desk.
Once your ORCID ID has been created, click the *Create or Connect your ORCID ID* link in your Commons Personal Profile and log into ORCID. You will then be prompted to authorize NIH to access your personal ORCID profile (public information only).
The ORCID ID is an important identifier to enable transparent and trustworthy connections between individuals engaged in research, scholarship, and innovation activities and is tied to an individual researcher’s or contributor's name. More than six million ORCID IDs have been established worldwide to connect individuals to their professional information (such as publications, awards, affiliations, etc.) for references and citations. You are encouraged to complete your ORCID profile and connect the resulting ID to your Commons account.

For more information regarding ORCID IDs please visit https://orcid.org.

Once you have successfully linked your ORCID ID to your Commons account, it will be shown on your Personal Profile and be available in IMPACII.
25.1 Additional Instructions for Fellowship:

For NIH fellowship applications submitted to due dates on or after January 25, 2020, the personal profile associated with the eRA Commons username entered in the Credential field for the PD/PI (fellowship applicant) must include an ORCID ID (e.g., orcid.org/0000-0001-2345-6789) in order to pass NIH validation requirements. For more information on linking an ORCID ID to an eRA Commons personal profile see: Commons Personal Profile Summary

25.2 Additional Instructions for Career Development:

For NIH Individual career development award applications submitted to due dates on or after January 25, 2020, the personal profile associated with the eRA Commons username entered in the Credential field for the PD/PI (candidate) must include an ORCID ID (e.g., orcid.org/0000-0001-2345-6789) in order to pass NIH validation requirements. For more information on linking an ORCID ID to an eRA Commons personal profile see: Commons Personal Profile Summary