eRA Commons User Guide

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September 7, 2018
CONTACT US

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*Note: [Submitting Final RPPR](#) is a link to the relevant section of the eRA Communications User Guide.*
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The most current version of this document will be available on the eRA website: [http://era.nih.gov](http://era.nih.gov).

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

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1 About eRA Commons

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

NIH extramural grantee organizations, Operating Divisions (OpDivs), grantees, and the public are the primary users of Commons, and each type of user is assigned a specific role (or roles). Depending on your role, you may perform a variety of functions in Commons, including:

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

**NOTE:** All attachments should be submitted in PDF format with a maximum size of 6MB.
1 Start Latest Updates

1.0.1 September 6, 2018

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

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

1.0.2 August 22, 2018

Correction made to Delegations topic and table.

1.0.3 August 10, 2018

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

1.0.4 July 24, 2018

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

1.0.5 June 11, 2018

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

Go to the HSS online help for more information.

1.0.6 January 4, 2018

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

1.0.7 December 28, 2017

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

1.0.8 November 8, 2017

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

Project Outcomes will begin to be made public via RePORTER for the purpose of transparency to the public.
1.0.9  September 20, 2017
Awarding agencies will be able to request additional materials for an Interim RPPR from the principal investigator (PI) and signing official (SO) via eRA Commons. In turn, the SO will be able to submit the additional materials via eRA Commons, in a process that is similar to the Final Progress Report Additional Materials (FRAM) process.

See the section on Interim Report Additional Materials.

1.0.10 August 22, 2017

Personal Profile Module - Education

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

1.0.11 June 8, 2017

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

1.0.12 June 1, 2017

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

1.0.13 April 10, 2017

Security and validation updates.

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

1.0.14 February 23, 2017

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

1.0.15 February 21, 2017

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

1.0.16 February 1, 2017

1.0.17 January 19, 2017

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

1.0.18 January 17, 2017

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

1.0.19 January 1, 2017

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

1.0.20 December 2016

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

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

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

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

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

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

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

Access Commons by entering the following address into your web browser:
https://commons.era.nih.gov/commons/

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

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

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

- **System Notification Message**
  
Read the messages displayed here to find out if system outages exist or to access the eRA Scheduled Maintenance Calendar.

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

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

- **Register Grantee Organization**
  
Click this link to register your organization. Refer to the section of this document titled Registering Institutions and Organizations on Page 39.

- **About the Commons**
  
Check this area for links to Commons Frequently Asked Questions, training, the latest Release Notes, etc.
• **Additional Links**

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

---

2.1 **Logging into Commons**

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

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

Accessing Commons with a Commons User ID
2.1.1 Accessing Commons with a Commons User ID

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

To log into Commons:

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

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

A successful login will show the username, institution, and your user roles in the Welcome section of the screen as well as in the upper right corner of every Commons screen.
IMPORTANT: Are you affiliated with multiple institutions? Make sure that the correct institution is displayed after you log in. This will affect the information you can access in Commons. Refer to the topic called Changing the Displayed Affiliated Institution on Page 13 for more information.

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

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

Accessing Commons with a Network ID (NIH or Agency)

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

NOTE: Your Network ID is not your IMPAC II User Name.
IMPORTANT: Some examples of federal users who may need to access Commons include Office of Financial Management (OFM) staff who review grantees' Federal Financial Reports (FFRs); administrators who manage/review appointments in xTRAIN; and Scientific Review Officers (SROs).

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

To log into Commons using your Network ID:

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

The network login screen displays. If this is the first time accessing the system using the network log in, you are directed to synchronize your network account with your IMPAC II account. For
more information on synchronizing accounts, please refer to the instructions located at http://inside.era.nih.gov/single_network/single_login.cfm.

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

–OR–

Enter your Network User Name and Password fields and press the Log in button. Alternatively, you may select Login. Do not enter your IMPAC II credentials on this screen.

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

A successful login will show the username, institution, and your user roles in the Welcome section of the screen as well as in the upper right corner of every Commons screen.
After you have signed into Commons, you may access the various tabs, links, and help screens, as well as other available links.

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

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### 2.1.2 Session Expiration

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

### 2.2 Switching Institutions

Are you a PI who has switched institutions?

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

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

Follow these steps if you switch institutions:

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

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

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

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

3. Contact the eRA Service Desk if you realize that you have more than one Commons account. They can help you merge the accounts together.

4. Keep your Commons Personal Profile updated. This includes the address fields and the end dates of your employment.

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

### 2.3 Changing the Displayed Affiliated Institution

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

To select a specific institution to work with in Commons:

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

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

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

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

The Commons home page displays, with the Institution fields updated to the selected affiliated institution.
The grant and institution information displayed on the Commons screens is for the selected institution only. To switch to another institution, repeat the steps above.

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

### 2.4 Logging out of Commons

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

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

This topic provides information on the following:

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

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

3.1 Accessing Commons with Your Organization Credentials

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

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

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

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

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

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

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

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

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

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

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

### 3.2 Why Can't I Link My Commons Account?

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

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

To do so, navigate to the Commons home page. Use the Commons Login fields to log into Commons with your Commons ID and temporary password. You should be prompted to change the password.
After successfully changing your password, log back in following the steps described in *Federated Institutions/Organizations Sign In on Page 16*.

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

After successfully changing your password, log back in following the steps described in *Federated Institutions/Organizations Sign In on Page 16*.

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

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

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

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


4.1 First-Time Login

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

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

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

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

The following list highlights the password requirements for eRA users:

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

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

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

Read more information on the eRA Password Policy.


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

4.3 Reset Password

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

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

To reset your password:

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

   ![Commons Login](image1.png)

   ![Reset Password](image2.png)

   2. Enter your **User ID** and **Email** address in the required fields of the *Reset Password* screen.
3. Click the **Submit** button. The system returns to the Commons home page. Commons generates a new, temporary password and sends it to the email address contained within the user profile.

4. Log into Commons using the temporary password provided in the email.

5. After logging into Commons with the temporary password, create and enter a new password as prompted by Commons.

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

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

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

### 4.4 Changing Your Password

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

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

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

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

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

4. Select the **Submit** button.
The password change takes effect immediately and must be used when logging into Commons again.

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

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

### 4.5 Reset Your Expired Password

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

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

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

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

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

### 4.6 Resetting a Locked Account

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

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

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

[Reactivating/Unlocking an Account](#)
Resetting a Password

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

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

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

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

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

### 5.1 Account Administrator (AA)

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

If you hold an AA role, you have privileges to perform the following tasks:
• Create accounts and modify all Commons roles except IAR and FCOI roles
• Create affiliation between an existing PI or IAR Commons account and the institution

5.2 Administrative Official (AO)

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

SO and AO authorities should not be combined.

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

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

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

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

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

NOTE: An AO cannot modify the Institution Profile.

5.3 Assistant (ASST)

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

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

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

5.4 Business Official (BO)

A BO has signature or other authority related to administering grantee institution training grants. Users with the BO role perform their tasks in the xTrain module of Commons.
If you hold a BO role, you have privileges to perform the following tasks:

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

### 5.5 Financial Conflict of Interest (FCOI)

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

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

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

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

#### 5.5.1 FCOI Assistant (FCOI_ASST) Role

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

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

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

5.5.2 FCOI Read-Only (FCOI_View) Role

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

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

- Search FCOI
- View FCOI

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

5.6 Federal Financial Report (FSR Role)

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

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

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

5.7 Internet Assisted Review (IAR)

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

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

- Edit your own personal profile (PPF) and Reviewer address data
- Use the IAR module to submit critiques and preliminary scores for applications to be reviewed at a meeting for which you are enabled
NOTE: If affiliated with an institution, you can take advantage of other Commons features with the IAR role.

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

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

5.8 Program Director/Principal Investigator (PI)

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

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

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

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

NOTE: PI users cannot delegate authority to submit appointments to the Agency.
• View the following Training Grant related items using xTrain:
  • Trainee Roster
  • List of Grants
  • Grant Summary
  • Routing History
  • PDF-formatted Appointments/Amendments/Terminations

• Initiate, update, route, and submit Appointments, Re-Appointments, and Amendments in xTrain
• Initiate, update, and route Termination Notices in xTrain
• Initiate a progress report
• Delegate progress report authority
• Submit a progress report when given the authority by an SO
• Delegate Status authority to others within the institution so that they can see PI grant information (except Review outcome information and Summary Statement)

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

### 5.9 Signing Official (SO)

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

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

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

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

• Create affiliation between an existing Program Director/Principal Investigator (PD/PI) and/or IAR Commons account and the institution
• Submit electronic grant application(s) on behalf of the institution via Grants.gov (outside of eRA Commons), if also registered with Grants.gov as the Authorized Organization Representative (AOR)
• View status of all grant applications originating from their institution and any errors or warnings that may have been triggered
• View assembled image of submitted grant applications before they move on for further processing
• Reject grant applications to address submission warnings
• View award information for all grants awarded to the institution

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

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

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

5.10 Sponsor (SPONSOR)

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

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

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

5.11 Trainee (TRAINEE)

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

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

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

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

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

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

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

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

7.1 Accessing Commons Demonstration Facility

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

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

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

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

To create a new demo account:

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

The Create a New Demo Account screen displays.

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

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

3. Select the Submit button.

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

![Create a New Demo Account](image)

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

5. Select the **Continue** link.

![Create a New Demo Account](image)

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


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

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

### 8.1 Institution Registration Request

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

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

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

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

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

[http://fedgov.dnb.com/webform](http://fedgov.dnb.com/webform)

To register an institution within eRA Commons:
1. On the Commons home page, select the Register Grantee Organization link.

2. The Online Registration screen displays. Read the instructional steps and click the Register Now button.
3. The Register Institution screen displays. (view below)

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

- All fields followed by a red asterisk (*) are required
- You will see three new checkboxes to indicate for which opportunity you plan to apply:
  - NIH Grants/Contracts - This is the most common type of registration and is required for any application that is funded by NIH.
  - Non-NIH Grants/Contracts - This type of registration will allow you to submit applications for other agencies that use NIH eRA systems (i.e. SAMHSA).
  - Other Transaction Authority (OTA) opportunities - This type of opportunity is for a type of funding that is neither grants nor contracts and is being used across NIH.

- You can check more than one box. If your organization is applying only for OTA, check that box and enter nine zeros (000000000) as your DUNS number, if your organization does not have a DUNS number at the time of registration. You must still click the ‘Verify DUNS’ link even if you entered nine zeroes.

- If registering as both an NIH and OTA applicant, you must enter a valid DUNS number. If you do not provide a valid DUNS number and enter nine zeros, you will only be allowed to apply for OTA opportunities and you will not be able to apply for NIH grants/contracts.

- A minimum of one address line (Street 1) is required
- The Institution Name may contain a maximum of 100 characters
- An Official’s Title may contain a maximum of 240 characters
- The User Name must have a minimum of six (6) characters (numbers and letters can be combined but no spaces can be used). Usernames may not exceed the maximum of twenty (20) characters.

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

- The AA position and information is optional. When completing information for the AA, fill in the required account information fields and submit.
- The DUNS Number is a unique nine-digit identification for single business entities. After entering the DUNS number, click on the Verify DUNS button. This will
validate the number and, if already in the system, will pre-populate some of the remaining fields.

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

![Register Institution](image)

4. Verify that all entered information is correct before selecting **Save**. The *Online Registration* screen displays.

NIH displays a notice stating the submission was successful.
5. Click **Return Home**

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

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

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

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

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

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

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

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

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

Once the SO has re-logged in to Commons and changed the password, the Registration
Information screen is displayed.

9. Click **Accept**.

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

Your Organization is now successfully registered in Commons.
9 Admin Module

The Admin module houses the features used to perform:

- Account Management
- Delegations

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

9.1 Accounts

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

- Manage Accounts
- Advanced Search
- Change Password

To access Accounts:

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

Refer to the topic Advanced Search on Page 46 for help with this feature.

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

9.1.1 Advanced Search

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

To perform an advanced search:

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

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

4. Select the **Search** button.

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

![Account List](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. Select this link to open the **Continuous Submission Eligibility** screen for that PI.

The **Continuous Submission Eligibility for <PI Name>** displays the same information the PI can view from the Personal Profile. For more information on this screen, refer to the Personal Profile **Reviewer Information** topic, specifically **Continuous Submission Eligibility Status**.
9.1.2 Create a New Commons Account for an Individual (e.g., PD/PI)

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

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

To create a new account:

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

![Search Accounts Screen](image)

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

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

The 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, enter the Personal Information fields. Note that all fields except Middle Name are required.

- **User Type**: Select Commons from the drop-down list if it is not already displayed.
- **User ID**: Enter a unique name as the system username.
- **Organization**: This field defaults to your organization and cannot be changed. If an individual needs to be affiliated with your organization and already has a non-administrative account with another institution (primarily Primary Investigators - PI), search for them outside of your organization and affiliate their existing account with your institution.
- **First Name**
- **Middle Name**
- **Last Name**
- **E-mail**
- **Confirm e-mail**
6. After entering **Personal Information**, you can assign a role to the account. Click on the **Add Roles** button to open the *AMS | Add Roles* tool. A separate window will open. The organization will default to the current user's institution and cannot be changed. Below the *Organization* field is the list of roles available to the type of user selected.

![AMS | Add Roles](image)

7. Select the role or roles required for the new account. You may use multi-select in order to choose multiple roles to add at one time.

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

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

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

**9.1.2.1 Additional information:**

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

**9.2 Delegations**

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

Commons users may delegate specific authorities to other Commons users for their own accounts such as when a PI delegates the Progress Report authority to another PI or a Sponsor delegates to an assistant. Additionally, administrative users such as SO may delegate certain authorities on behalf of another Commons user. For example, an SO may grant an ASST user the Sponsor authority on behalf of a Commons Sponsor user.
Listed below is a table of the types of delegation authorities in Commons, along with who may grant that authority and whom may receive it.

**Table 1: Delegation Authorities**

<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, AO (on behalf of PI)</td>
<td>PI</td>
<td>Enables the PI to work on progress reports for another PI - Includes Interim and Final RPPR</td>
</tr>
<tr>
<td>Progress Report</td>
<td>PI</td>
<td>Active user within the Institution</td>
<td>Enables the authorized user to work on progress reports for the PI - Includes Interim and Final RPPR</td>
</tr>
<tr>
<td>Sponsor</td>
<td>SO, AA (on behalf of SPONSOR)</td>
<td>ASST</td>
<td>Allows the ASST to access the xTrain module</td>
</tr>
<tr>
<td>Status</td>
<td>PI</td>
<td>ASST</td>
<td>Allows the ASST to work with the Status module</td>
</tr>
<tr>
<td>PPF</td>
<td>All users</td>
<td>Active user within the Institution</td>
<td>Enables another user in the same institution to edit someone else's personal profile</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, SPONSOR</td>
<td>ASST</td>
<td>Enables the ASST to work with the xTrain module</td>
</tr>
</tbody>
</table>

**NOTE:** Delegations are not permanent and can be revoked at any time.
9.2.1 Delegate on Behalf of Another User

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

9.2.1.1 Delegating Progress Report Authority on Behalf of Another User

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

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

To delegate Progress Report authority on behalf of a PI:

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

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

3. Select the link called Delegate Progress Report.

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

The search parameter fields can be used with the percent sign (%) wild card.
4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.

![Delegate Progress Report](image1.png)

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

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

![Delegate Progress Report](image2.png)

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

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

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

The matching records display in the **Search Results** table.
8. Click the link called **Select** to select the appropriate person from the list.

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

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

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

The *Search Results* area updates to show the **Progress Report** authority marked with a check. Commons grants the Progress Report authority for the delegated user, who receives an email informing of the change. The delegated PI is now able to submit progress reports for the selected PI.
The PI, on whose behalf delegation was granted, can see the delegated user by accessing the My Current Delegations information.

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

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

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

To delegate Sponsor authority on behalf of a Sponsor:

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

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

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

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

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

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

6. Choose the Select link to indicate the Sponsor on whose behalf you are designating authority.
A message displays at the top of the screen as follows: *You have selected to delegate Sponsor Authority on behalf of: <Name>*.

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

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

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

8. Click the link called **Select** to select the appropriate person from the list.
The *Delegate Sponsor* screen shows the selected ASST user’s name with the Sponsor authority and checkbox.

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

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

The **Search Results** area updates to show the Sponsor authority marked with a check. Commons grants the Sponsor authority for the delegated user, who receives an email informing of the change. The delegated ASST user is now able to perform xTrain functions for the selected Sponsor.
The Sponsor, on whose behalf delegation was granted, can see the delegated user by accessing the **My Current Delegations** information.

### 9.2.1.3 Revoke Authority on Behalf of Another User

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

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

To revoke authority on behalf of another user:

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

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

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

   – OR –

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

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

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

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

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

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

Search parameters display for searching and selecting the user for whom to revoke the authority.
7. Enter the search parameters necessary for locating the appropriate user and select the **Search** button.

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

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

![](image)

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

9. Unmark the checkbox for the authority being revoked.

10. Select the **Save** button.

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

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

9.2.2 Institutional Delegation

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

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

9.2.2.1 Delegating Institutional Submit Progress Report Authority

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

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

The My Delegates screen opens.

3. Select the link called Institution Delegation.

The Institution Delegations screen displays. This screen shows Current Submit Progress Report Delegations in a table at the top and Candidates for Submit Progress Report Delegation in a table at the bottom.
The **Candidates for Submit Progress Report Delegation** table is used for delegating the authority while the **Current Submit Progress Report Delegations** is used for viewing or revoking the authority of those who already possess it.

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

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

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

The **Return to My Current Delegates** link exists at the bottom of the screen for cancelling any action and returning to the previous Commons screen.
4. From the **Candidates for Submit Progress Report Delegation** table, mark the individual **Submit Progress Report** checkbox(es) to indicate the appropriate user(s) for Submit Progress Report delegation.

–OR–

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

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

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

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

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

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

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

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

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

   The My Delegates screen opens.

3. Select the link called Institution Delegation.

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

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

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

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

NOTE: Each table has its own set of buttons to control either granting or revoking the delegation.
The **Return to My Current Delegates** link exists at the bottom of the screen for cancelling any action and returning to the previous Commons screen.

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

   –OR–

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

5. With the appropriate names checked, select the **Revoke Delegation(s)** button.
The *Institution Delegations* screen displays a confirmation message. The screen prompts for confirmation that the selected users should have their authority revoked. The screen lists the **Name**, **Title**, and **Address** information (if available) for each selected user from the previous screen.

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

**NOTE:** The **Cancel** button cancels the action and returns the Institution Delegations screen without saving the changes.
Commons revokes the Submit Progress Report authority for the selected users, who receive an email informing them of the change. The Institution Delegations screen displays the selected names in the Candidates for Submit Progress Report Delegation table at the bottom of the screen. These names no longer appear in the Current Submit Progress Report Delegations table.

9.2.3 Direct Delegations

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

- **Delegate Progress Report authority**

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

- **Delegate Status authority**

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

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

Delegate xTrain authority

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

9.2.3.1 Delegate Authority to Someone

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

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

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

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

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

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

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

5. Select the **Search** button.

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

![Search for Delegates](image)

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

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

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

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

6. Find the appropriate user to whom to delegate authority. Click the **Select** link for that user.
The Delegate Authority (Authorities) screen displays with a confirmation as follows: You have selected to delegate access to: [Name, Commons ID, Role].

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

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

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

8. Select the Save button.

Commons grants the specified authority for the selected users, who receive an email informing them of the change. The Search Results area updates with the assigned authorities marked.
9. **Optional**: Repeat the steps as necessary to delegate other users.

10. Select the **Return to My Current Delegations** link to return the *My Delegates* screen.

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

---

### 9.2.3.2 Search Delegations

To search for users to view their delegations:

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

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

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

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

5. Select the **Search** button.

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

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

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

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

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

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

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

The Delegate Authority (Authorities) screen shows the selected user and the authorities available for delegation to that user. Marked checkbox(es) next to authority indicate that the authority has been granted.
4. Edit the user’s delegations by marking or unmarking the checkboxes. Authorities can be marked to add or unmarked to revoke.
5. Select the Save button to save the changes.

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

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

9.2.3.4 Remove Delegations

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

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

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

3. Click the Select link associated with the user whose delegations are being revoked.
The Delegate Authority (Authorities) screen shows the selected user and the associated authorities. A marked checkbox next to an authority indicates that the authority has been granted.

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

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

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

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

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

The IPF includes information such as:

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

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

### 10.1 Navigating the Institution Profile

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

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

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

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

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

**Institution Profile Information:**

- Name of the institution
- IPF Code

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

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

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

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

**General Information:**

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

**eRA Service Desk Information**

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

**10.1.2 Main Sections**

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

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

**10.1.3 Institution Profile Online Help Topics**

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

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

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

#### 10.2.1 Viewing the Information in the Institution Profile

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

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

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

If you hold the SO role, you can edit any available component of your institution's profile by selecting the **Edit** button on the section’s header. This expands the tile and displays the fields for editing. You can then update the information as necessary.
Keep in mind that when you select the **Edit** button for a component within the **Basic Information** section, it places you in edit mode for all components, although it may only open the specific component you selected. While in edit mode, you can continue updating the other components of the **Basic Information** by selecting the **View** button for each one.

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

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

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

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

### 10.3 Institution Basic Information

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

Each component contains certain required information. If any of this information is missing from a section, a message displays across the top of the screen, the **Basic Information** link in the dashboard displays in red font, and the header of the component in error displays in red.
Additionally, within the component itself, another error message (red text) displays the error at the field level.

You can expand the component tiles partially for viewing (read-only) or entirely for editing. Tiles can be expanded:
By clicking on the heading of an individual component
By selecting the View All button to expand all components
By selecting the View button in a specific header to expand that individual component
By selecting the Edit button to update the component (SO role only)

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

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

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

### 10.3.1 Institution Name

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

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

#### 10.3.1.1 Viewing Institution Name

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

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

The information displays as read-only:
- Profile Name
- Commons Preferred Name (if existing)

10.3.1.2 Editing Institution Name

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

Select the Edit button on the Institution Name panel header to display the Commons Preferred Name field for editing and as necessary. The Preferred Name is not a required field.
When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

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

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

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

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

### 10.3.2 Institution Contact Information

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

#### 10.3.2.1 Viewing Institution Contact Information

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

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

The information displays as read-only:

- **Notice of Award Email**
- **Announcements and Notifications Email**
- **Closeout Correspondence EMail**
- **Contact Name**
- **Contact Phone**
- **Contact Email**
10.3.2.2 Editing Institution Contact Information

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

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

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

10.3.3.1 Viewing About the Institution Information

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

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

The information displays as read-only:

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

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

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

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

10.3.3.2 Editing About the Institution Information

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

**Secondary DUNS**

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

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

To remove a secondary DUNS, select the **Remove** button next to the appropriate DUNS number. At the confirmation, select **Yes** to complete the action.
Opportunity Type Eligibility

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

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

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

**Federal-Wide Assurance Numbers**

The Federal-Wide Assurance (FWA) is the only type of new assurance of compliance accepted and approved by the Office of Human Research Protections (OHRP) for institutions engaged in non-exempt human subjects research conducted or supported by HHS.
The **Federal-Wide Assurance Numbers** field allows SOs to edit, add, and remove FWA numbers for the institution as necessary.

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

- To edit an FWA number, simply update the value in the editable text fields.

- To remove an FWA number, select the **Remove** button next to the appropriate number. At the confirmation, select **Yes** to complete the action.
Animal Welfare Assurance Number

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

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

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

When you are done, select the Save All button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the View buttons of those components. The Save All button will save the changes made in all components.
If you do not wish to save your changes, select the **Discard Changes** button instead.

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

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

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

### 10.3.4 Indirect Cost Negotiations

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

#### 10.3.4.1 Viewing Indirect Cost Negotiations

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

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

The information displays as read-only:

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

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

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

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

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

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

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

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

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

### 10.3.5 Signing Officials and TTO Administrators

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

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

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

The information for each person displays as read-only.

- **Name**
- **Phone Number**
• Email Address

10.3.6 Institution Address

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

10.3.6.1 Viewing Institution Address

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

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

The information displays as read-only:

- **Address**
- **Phone**
10.3.6.2 Editing Institution Address

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

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

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

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

- **State**
  
  Select a country value from the drop-down box. This is a required field.
- **Zip Code**
  
  Enter the zip code for the address. This is a required field.

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

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

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

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

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

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

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

### 10.3.7 Extramural Technology Transfer Administration

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

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

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

#### 10.3.7.1 Viewing Extramural Technology Transfer Administration

You can view the information in the **Extramural Technology Transfer Administrations** component of the profile by:
- Clicking the component tile header
- Selecting the View button from the Extramural Technology Transfer Administrations component tile header

The information displays as read-only:

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

10.3.7.2 Editing Extramural Technology Transfer Administration

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

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

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

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

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

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

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

### 10.4 Institutional Assurances and Certifications

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

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

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

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

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

### Assurances and Certifications

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

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

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

#### 10.4.0.1 Editing the Assurances and Certifications

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

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

![Edit Assurances and Certifications Button](image)

The assurance and certification indicators display over several categories.

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

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

This institution complies with all laws and regulations regarding:

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

Research at this institution meets all requirements for:

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

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

When you are done, select the Save All button at the top or bottom of the profile to save the changes. If you do not wish to save your changes, select the Discard Changes button instead.
**IMPORTANT:** Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

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

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

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

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

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

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

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

The Status screens allow PD/PIs, their delegates, and SOs to perform the following tasks securely:

- Track the status of a grant applications through the submission process
- View all their applications as well as NoAs and other key documents
- Complete several post-submission and post-award transactions
- Access and update Human Subjects information through the Human Subjects System (HSS).

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

Refer to the section of this document titled Steps for AOR/SO to Check Submission Status on Page 117 if you have an SO or AO role.

Refer to the section of this document titled Status for Program Directors/Principal Investigators (PI Role) on Page 131 if you have a PI role.

12.1 Steps for AOR/SO to Check Submission Status

Utilizing eRA Commons, all Signing Officials are able to check the status of the applications that have been submitted for their organization.

Steps:

1. **Login to eRA Commons** with your Signing Official (SO) account username and password.
2. **Click the “Status” tab and select the "Recent/Pending eSubmissions" search option** in the left hand navigation.
3. **Enter desired search criteria** and hit the "Search" button. The search criteria options are:
   - Accession Number
   - Grants.gov Tracking #
   - eSubmission Status (Select from drop-down)
     - All
     - Pending Verification
     - Rejected
   - Received Date
     - You can enter a range of dates for the received date using the “From” and “To” fields. Either enter the date(s) manually in the MM/DD/YYYY format or by
selecting the calendar icon to search and select a date from the calendar. Click to view the search screen...

4. The corresponding search results include all appropriate links for the applications. These are the same links that appear in the Status Result - General Search results. Refer to the help topic titled Status Result - General Search for information on search results.

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

- Check the “eSubmission Status” column to determine if your application status is “eSubmission Error” or “Pending Verification”.
- If the status is "eSubmission Error”, you have two options to view the errors or warnings.
  - select the Show Prior Errors link from the Show All Prior Errors
  - Select the Application ID displayed as link to open Status Information. Any existing submission errors or warnings display at the top of Status Information. Refer to the section of this document titled Status Information on Page 142 for more information on this screen.
- Select Reject eApplication to reject the eSubmission of an application. Refer to the help topic titled Rejecting the eApplication.

12.2 How does an SO track submission status?

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

Steps:

1. Log in to eRA Commons with your Signing Official (SO) account username and password.
   a. Click the “Status” tab and select the "Recent/Pending eSubmissions" search option in the left hand navigation menu. (image)
b. On the next screen, enter desired search criteria and click the "Search" button. Search criteria options;

- **Accession Number**: *A unique value assigned to applications before an NIH grant number is assigned.*

- **Grants.gov Tracking #**: *A value is assigned by Grants.gov when the application is electronically submitted.*

- **eSubmission Status** *(All, Pending Verification, or Rejected)*

- **Received Date** Enter a range of dates for the received date using the “From” and “To” fields.

  Either enter the date(s) manually in the MM/DD/YYYY format or by selecting the calendar icon
NOTE: The corresponding search results include all appropriate links for the applications. These are the same links that appear in the Status Results - General Search results.

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

1. Check the eSubmission Status column to determine if your application status is “eSubmission Error” or “Pending Verification”.
2. Use one of the two following methods to view the error messages and warnings. (view example).

NOTE: Errors will stop the submission process and need to be addressed via a change/corrected application. Warnings will not stop the process but it is still critical to check the warning messages to ensure that any referenced issue does not apply to your application.

- **Method 1**: Select the Show Prior Errors and Warnings link from the Show All Prior Errors column.
· **Method 2:** If the status is "Pending Verification", select the Accession Number (AN:#####) displayed in the **Application ID** column to open the **Status Information**. Submission errors or warnings are displayed at the top of the **Status Information** page during the two day review period before the submission deadline. Refer to the section of this document titled **Status Information on Page 142** for more information on this screen.

3. If warranted, select **Reject eApplication** in the **Action** column to reject the eSubmission of the application. Refer to the help topic titled **Rejecting the eApplication**.

**12.3 How Does an SO Reject the eApplication?**

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

**To reject an eApplication:**

1. Log in to **eRA Commons** with your Signing Official (SO) user ID and password.
2. Select **Status** from the menu bar and then select the **Recent/Pending eSubmissions** (or General Search) option to locate the application being rejected.
3. From the search result screen, select the **Reject eApplication** link in the **Action** column.

![Reject eApplication](image)

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. Select the **Reject** button (select **Cancel** if you need to cancel the action). The contact PI will receive an email notification that the SO has rejected the application.

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

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

**NOTE:** This functionality is only available to Signing Officials from grantee organizations that are classified as *Institutions of Higher Education*. This tool cannot be used to create new departments or components.

To re-assign one or more grants, log into eRA Commons with an account that has the SO (Signing Official) role and select the **Status** option from the menu bar.
This will display the Status menu on the left. Select the "Re-assign Grant" option from the list.

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

Once you have made your selections, click on Next.

**NOTE:** You can move all of the grants visible on a page at one time however you will not be able to combine results on other pages into the current re-assignment step. Another reassignment procedure will need to be performed in order to move grants on other pages.

- **STEP 2:** The next step is to select the School and Department to which the selected grants should be moved. Use the drop-down menus to make the selections (only existing schools and departments will be shown) and then click on **Next**.
STEP 3: The summary is shown next. This will indicate the number of grants being moved and to which destination. If the information is correct, click on Submit.

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

### 12.5 Status Results for SOs

Status Result - General Search

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

**NOTE:** The **Status Result - General Search** screen differs from the results displayed for PI users. Refer to the section of this document titled *Status for Program Directors/Principal Investigators (PI Role)* on Page 131 for more information.

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

*The figure below represents a sample of various action links that could be displayed and may not reflect realistic search results.*
The results include the following information:

- **Application ID**

  The application ID is provided as a link, which when selected opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. Refer to the section of this document titled *Status Information* on Page 142 for more information.

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

- **Grants.gov Tracking #**

  This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

- **Proposal Title**

  The project name submitted on the application is displayed in this column.

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

- **PD/PI Name**

  This is the Contact PI on the application.

- **Application Status**

  This column displays the status of the application. Status values include:
### Status Module

- **Awarded**
- **Pending**
- **Withdrawn**
- **Terminated**
- **Not Funded**
- **Returned**
- **Received**
- **eSubmission Error**

### Budget Start Date

#### FFATA

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

### Show All Prior Errors

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

### Action (links)

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

- **RPPR**

  Opens the *RPPR Menu* screen for editing or submitting an Research Performance Progress Report (RPPR). *Refer to the section of this document titled Research Performance Progress Report (RPPR) Module on Page 245.*

- **Public Access PRAM**

  Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. *Refer to the section of this document titled Research Performance Progress Report (RPPR) Module on Page 245*
IC Requested PRAM

Opens the Progress Report Additional Materials (PRAM) screen for submitting IC Requested PRAM. Refer to the section of this document titled Research Performance Progress Report (RPPR) Module on Page 245.

Fellowship Face Page

Displays for Fellowship Awards only

Progress Report Face Page

Only for paper grants not SNAP eligible

JIT

This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the Just In Time screen. Refer to the section of this document titled Status Result - Just In Time Just in Time (JIT) on Page 191.

Extension

This link opens the No-Cost Extension (NCE) feature. Refer to the section of this document titled No-Cost Extension (NCE) on Page 199.

Closed

This link opens the Closeout Status screen, which provides information on a closed grant. Refer to the section of this document titled Status Result - Closeout Closeout Status on Page 164.

Requires Closeout

This link opens the Closeout Status screen, which provides a means for uploading the required documents for closeout. Refer to the section of this document titled Status Result - Closeout Closeout Status on Page 164.

Reject eApplication

Available only to SO users, select this link to reject an electronically submitted application. If rejected, the status of the application is updated to Refused. Refer to the help topic titled Rejecting the eApplication.
- **Transmittal Sheet**
  Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

- **Administrative Supplement**
  For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

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

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

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

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

**IMPORTANT:** To submit inclusion enrollment data with a progress report, HSS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather than through the *Human Subjects* link in the Status module. Refer to the [NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide](#) for more information.
12.6 Status for Program Directors/Principal Investigators (PI Role)

The Status module allows those with a PI role to review basic aspects of the status of applications sent to the NIH, including pending review, review outcome, pending Advisory Council action, and award status.

Refer to the section of this document titled Steps for AOR/SO to Check Submission Status on Page 117 if you hold an SO role.

Upon entering the Status module, a PI is taken to a landing page with three options:

- **Recent/Pending eSubmissions**: Select this option to view a list of recent or pending electronic submissions of grant applications.
- **List of Applications/Grants**: Select this option to view a list of applications/grants on which the PI user is the contact PI or one of multiple PIs (MPI)
- **Search by Grants.gov Tracking Num**: Use this field and the Search button to display information for a specific grant application by tracking number.

![Status: PI Search](image)

NOTE: A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the Action column. Refer to the section of this document titled Direct Delegations on Page 72 for information on delegating Status.

12.6.1 Viewing Recent/Pending eSubmissions

Select the Recent/Pending eSubmissions option to display search results meeting the following
criteria:

- Applications that require action prior to submission
- Applications available for viewing prior to submission (2 business day correction window)
- Applications that have been refused by the SO

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 selected opens the Status Information screen. Status Information includes grant/application information such as status history, study section, contacts, etc. Refer to the section of this document titled Status Information on Page 142 for more information.

eSubmission Status

This column shows the status of approval for the application.

Proposal Title

The project name submitted on the application is displayed in this column.

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

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

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

Tip: Use the Export buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the Return to PI Search link at the top of the page.

12.6.2 Viewing the List of Applications/Grants

The Status Result - List of Applications/Grants screen provides a collected source of information pertaining to a PI's grants/applications. The screen allows PIs to view basic information for their grants; to review detailed information for their grants, including assignments, summary statements, notices of award; and to access other modules in Commons for completing tasks such as progress report, financial statement, etc.

To access the Status Result - List of Applications/Grants screen, click the List of Applications/Grants section of the screen.
The initial results display the applications collapsed into groups of grant families. From the initial display, you can see the application number (or Application ID Not Yet Assigned where applicable); the number of applications/grants within the family; the contact PD/PI; and the title.

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

To expand the field and display all grants/applications associated with a family, select the plus sign (+) for that particular grant family.
Once expanded, the following information is displayed:

**Application ID**

The application ID is provided as a link, which when selected opens the *Status Information* screen.
Status Information includes grant/application information such as status history, study section, contacts, etc. Refer to the section of this document titled Status Information on Page 142 for more information.

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

Grants.gov Tracking #
This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

Proposal Title
The project name submitted on the application is displayed in this column.

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

eSubmission Status
The submission status of the application.

Current Application Status
This column displays the status of the application.

Status Date
The date on which the current status was set.

Available Actions (buttons)
Use the buttons in this column to access other modules or features within Commons. Available actions vary depending on the application. Possible actions include:

RPPR
Opens the RPPR Menu screen for editing or submitting an Research Performance Progress Report (RPPR). Refer to the section of this document titled Research Performance Progress Report (RPPR) Module on Page 245.

Public Access PRAM

IC Requested PRAM
Opens the Progress Report Additional Materials (PRAM) screen for submitting IC Requested
PRAM. Refer to the section of this document titled *Research Performance Progress Report (RPPR) Module* on Page 245.

Fellowship Face Page
Displays for Fellowship Awards only

Progress Report Face Page
Only for paper grants not SNAP eligible

JIT
This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. Refer to the section of this document titled *Status Result - Just In Time Just in Time (JIT)* on Page 191.

Extension
This link opens the No-Cost Extension (NCE) feature. Refer to the section of this document titled *No-Cost Extension (NCE)* on Page 199.

Closed
This link opens the *Closeout Status* screen, which provides information on a closed grant. Refer to the section of this document titled *Status Result - Closeout Closeout Status* on Page 164.

Requires Closeout
This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. Refer to the section of this document titled *Status Result - Closeout Closeout Status* on Page 164.

Transmittal Sheet
Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

Administrative Supplement
For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

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

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

Inclusion

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

**IMPORTANT:** To submit inclusion enrollment data with a progress report, HSS must be accessed via the RPPR Section G. Special Reporting Requirements rather than through the Inclusion link in the Status module. Refer to the NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide for more information.

**Tip:** Use the Export buttons – located at the top and bottom of the screen – to view the information in an Excel spreadsheet.

To return to the search screen, select the Return to PI Search link at the top of the page.

### 12.6.3 Searching by Grants.gov Tracking Number

To search for an application by its Grants.gov tracking number, enter the tracking number into the Tracking Number field of the Search by Grants.gov Tracking Num section and select the Search button.
The Status Result - Recent/Pending eSubmissions screen returns only the application matching the entered tracking number. You can view Errors/Warnings for Prior Failed Submissions by selecting the Show Prior Errors and Warnings button.

To return to the search screen, select the Return to PI Search link at the top of the page.

![Status Result - List of Applications/Grants](image)

### 12.7 How does a PI track submission status?

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

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

**NOTE:** A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the Action column. Refer to the section of this document titled Direct Delegations on Page 72 for information on delegating Status.

**Steps to access status information:**

1. Log in to eRA Commons with your Principal Investigator (PI) account username and password.
2. Click the “Status” tab and then select the "Recent/Pending eSubmissions" search option in the sub-menu bar or in the body of the page. (view screenshot)
3. The next screen will display the results.

**Tip:** Use the **Export** buttons—located at the top and bottom of the screen—to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

**The following information is included in the table:**

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

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

- **eSubmission Status**
  
  *This shows the status of approval for the application.*

- **Proposal Title**
  
  *This is the project name submitted on the application.*
NOTE: In the Proposal Title field, the designation of NFP (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

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

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

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

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

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

- **Method 1:** Select the Show Prior Errors and Warnings link from the Show All Prior Errors column to the right.
- **Method 2:** If "Pending Verification", select the Accession Number (AN:#######) displayed in the Application ID column to open the Status Information page.
Submission errors or warnings are displayed at the top of the *Status Information* page during the two day review period before the submission deadline. Refer to the section of this document titled *Status Information on Page 142* for more information on this screen.

### 12.8 Status Information

*Status Information* is a collection of grant information and links to grant-related documents stored in one place. *Status Information* is accessed by selecting the *Application Number* (hyperlink) from any result screen in the Status module.
12.8.0.1 The screen displays the following sections of information:

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

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

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

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

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

  **NOTE:** Individual sections may be expanded or collapsed individually.

- **Print** initiates a print of all of the content of the screen in a print-friendly format. The content in collapsible sections will print regardless of whether or not the sections are expanded or collapsed.

Application Information: At the top of the screen, under the screen tools, is a section which contains the following application information:
- Application number
- Status
- Project Title
- PI Name
- NIH Appl. ID
- Application ID

**Status:** Includes basic information describing the current disposition of the application using the following data points:

- Current Status of the Application
- Last Status Update Date
- PI Name
- Institution Name
- NIH Appl. ID
- School Name
- School Category
- Division Name
- Department Name
- Proposal Receipt Date
- Proposal Title
- Project Period Begin Date
- Project Period End Date
- Current Award Notice Date
- Application Source
- eApplication Status
- FOA
NOTE: In the Proposal Title field, NFP (no further processing) is added to the application title to indicate that the application will not be referred for review.

Other Relevant Documents: Includes links to grant-related documents.

The following links may be available within Other Relevant Documents depending on the application/grant:

- Abstract
- Administrative Supplement(s)
- Appendix 1 – 10 Submitted File Name
- Closeout Final Report Additional Material Request (FRAM)
- Component Appendices
- e-Application
- Final Invention Statement
- Final Research Performance Progress Report (Final RPPR)
- Fellowship Proposal Face Page
- FRAM Submission
- Institute/Center Progress Report Additional Material Request
- Just in Time
- FFR/FSR
- Notices of Grant Award
- Multi Year Progress Report(s)
- Notices of Grant Award (PDF)
- Progress Report Face Page
- Progress Report Additional Material (PRAM)
- Relinquishing Statement(s)
- Research Performance Progress Report
- Summary Statement
- Unfunded Progress Report
- xTrain Training Appointment(s)
- xTrain Termination Notice(s)

**Other Relevant Documents**

<table>
<thead>
<tr>
<th>e-Application</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summary Statement</td>
</tr>
<tr>
<td>Latest NGA</td>
</tr>
<tr>
<td>Notice(s) of Grant Award (PDF)</td>
</tr>
<tr>
<td>Abstract (Awarded Grant)</td>
</tr>
<tr>
<td>Just In Time</td>
</tr>
<tr>
<td>eSubmission Cover Letter</td>
</tr>
</tbody>
</table>

**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

![Review](image-url)
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**

### Status History

<table>
<thead>
<tr>
<th>Effect Date</th>
<th>Status Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>06/18/2014</td>
<td>Award prepared: refer questions to Grants Management Specialist.</td>
</tr>
<tr>
<td>06/12/2014</td>
<td>Pending administrative review. Refer any questions to Program Official or Grants Management Specialist</td>
</tr>
<tr>
<td>04/07/2014</td>
<td>Council review completed.</td>
</tr>
<tr>
<td>02/27/2014</td>
<td>Scientific Review Group review completed; Council review pending. Refer any questions to Program Official</td>
</tr>
<tr>
<td>10/24/2013</td>
<td>Application entered into system</td>
</tr>
</tbody>
</table>

**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.

- Referee Name
- Organization Affiliation
- Department
- Email
- Submitted

PIs can also view reference letter information in the Reference Letter section of their Personal Profile. Refer to the Reference Letters topic of the Commons online help system for more information.

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

12.8.1 Additions for Review

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

Selecting the Additions for Review link from the Other Relevant Documents section of Status Information opens the Additions for Review screen. This screen provides links to the additional material along with other associated information.
The top of the screen displays general grant information including:

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

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

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

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

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

- **Date**

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

12.8.2 Administrative Supplements

Selecting the Administrative Supplement(s) link from the Other Relevant Documents section of Status Information opens the Administrative Supplements screen. This screen provides read-only access to administrative supplements created for the particular grant.

Administrative Supplements are requests for (or the award of) additional funds during a current project period to provide for an increase in costs due to unforeseen circumstances.

The top of the screen displays general grant information including:

- Grant Number
- PI Name(s)

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

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

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

- Show Current Support Year Admin Supplements
- Show All Support Years Admin Supplements
The table includes the following columns of information:

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

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

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

### 12.8.3 Institute/Center PRAM Requests

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

![Institute/Center PRAM Requests](image)

The top of the screen displays general grant information including:

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

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

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**
Below this section, you can find information specific to the submitted PRAM.

- **Identifying Information**

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

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

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

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

### 12.8.4 Relinquishing Statements

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

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

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

Below this section, you can find information specific to the relinquishing statement(s) for the grant.

- **Document Name**
  
  The relinquishing statement name is displayed as a link, which opens a read-only version of the form.
- **Status**
  
  The status of the submitted form.
- **Submitted Date**
  
  The date on which the organization's SO submitted the form.
- **Comments for the Grantee**
  
  Where applicable, displays comments entered by Agency staff directed to the grantee.
12.8.5 Closeout FRAM Requests

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

The top of the screen displays general grant information including:

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

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

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

- **Requested Date**
- **Number of Reminders Sent**
- **Last Reminder Sent Date**
12.9 How Does a PI See the Review Outcome?

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

Policy: Scoring System and Procedure

As a PI, you can view your application's Summary Statement using the Status Information screen once it has been released by the SRO following the review meeting.

12.9.1 To view your Summary Statement:

1. Log into Commons.
2. Select the Status tab from the Commons menu.
3. Click on the List of Applications/Grants section.

---

12.9.1 To view your Summary Statement:

1. Log into Commons.
2. Select the Status tab from the Commons menu.
3. Click on the List of Applications/Grants section.
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.

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 Summary Information screen. Expand this section to see the following:

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

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

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

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

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### 12.10 Viewing the Notice of Award (NOA)

**Policy:** [Notice of Award Policy](#)

Notices of Grant Awards (NOA) are sent to the email address specified in the Institutional Profile. The SO can update the NOA address through the institutional profile update function.

NOAs are also available for viewing within the *Status Information* screen.

To view the NOA:

1. Log into Commons.
2. Select **Status** from the Commons menu.
3. Select the **List of Applications/Awards** section.

The results display in Grouped or Flat view. The application ID within this table is provided as a link, which when selected, opens the **Status Information** screen.
4. Select the application ID link for the specific application.

The Status Information screen displays. The top of Status Information includes a section called Other Relevant Documents. This section houses links to various application-related documents, including the NOA. The NOA link is displayed as a date next to the field titled Notice(s) of Grant Award (PDF).

5. Select the NOA link. It will open in a separate window.
12.11  **Status Result - Closeout**

**Closeout Status**

**Policy:** [Closeout policy information](#)

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

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

12.11.1 Note about Interim RPPR and Final RPPR

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

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

The links you may see on your results screen include:

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

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

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

At the top of the Closeout Status screen, the following Application Information displays:

- Grant Number
- PI Name
- Closeout Contact Name
- Closeout Contact Email
- Closeout Contact Phone
- Project Period
- Proposal Title

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

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

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

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

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

#### Application Information

- **Grant Number:** 5R01DK123456-13
- **PD/PI Name:** FATHERS, SAM
- **Closeout Contact Name:** MCCASLIN, ISAAC
- **Closeout Contact Email:** eRAtest@mail.nih.gov
- **Closeout Contact Phone:** (301) 555-5555

#### Closeout Submission Requirement

<table>
<thead>
<tr>
<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>Not Started</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final RPPR</td>
<td>Not Received</td>
<td></td>
<td></td>
<td>[Process Final RPPR]</td>
</tr>
<tr>
<td>Final Invention Statement</td>
<td>Not Received</td>
<td></td>
<td></td>
<td>[Process Final Invention Statement]</td>
</tr>
</tbody>
</table>
12.11.2 Federal Financial Report (FFR) Module

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

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

- Create a new FFR
- View an FFR
- Submit an FFR
- Revise an FFR

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

The Commons Online Help System contains detailed information on the FFR module. You can access the FFR topics at the following site: [http://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm](http://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm). If you prefer a PDF format

12.11.3 Submitting Your Final Invention Statement (FIS)

You must submit a Final Invention Statement within 90 days following the termination of a grant award. The statement should include all inventions that were conceived or first reduced to practice during the course of work under the grant or award, from the original effective date of support through the date of completion or termination.

Policy: Refer to the Procedure for Submission of Final Invention Statement and Certification for more policy related information.

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

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

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

12.11.3.1 Reporting Inventions on Your FIS

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

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

To add inventions to the FIS:

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

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

The **Submit Final Invention Statement** screen displays. From this screen you can:

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

Refer to the section of this document titled **Claiming No Inventions on Your FIS** on Page 174 for information on submitting an FIS with no inventions.

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

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

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

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

5. Repeat the steps above to add all of your project's inventions.
6. **Optional**: If you need to remove an invention, you can do so by selecting the **Remove** link in the **Action** column under the **Saved Invention** section.
7. Select the **Save** button.

In a separate window, a certification statement displays.

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

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

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

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

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

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

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

The SO must verify and submit the FIS. Refer to the section of this document titled *Submitting Your FIS on Page 177* for more information.
12.11.3.2 Claiming No Inventions on Your FIS

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

If you hold an SO or PI role, you can create a Final Invention Report indicating no inventions.

To create a Final Invention Statement certifying that no inventions exist:

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

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

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

3. Select the **No** button.
In a separate window, a certification statement displays.

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

4. Select the **OK** button to confirm.

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

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

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

The SO must verify and submit the FIS. Refer to the section of this document titled *Submitting Your FIS* on Page 177 for more information.

### 12.11.3.3 Updating Your Saved FIS

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

To change your FIS:

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

5. To change your FIS, select the **Change** button.

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

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

The **Add Invention** screen displays. From here, you can add another invention or remove saved inventions. Refer to the section of this document titled **Reporting Inventions on Your FIS** on Page 169.

**12.11.3.4 Submitting Your FIS**

If you hold an SO role, you may submit a Final Invention Statement.
To submit the FIS:

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

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

- **View Invention Statement** (&lt;inventions reported&gt; -or- &lt;no inventions reported&gt;)
- **Submit** (available only to SO role)
- **Change**
- **Cancel**

2. Select the **View Invention Statement** link to look the FIS over and verify its accuracy. The report will open in a separate window as a PDF document.

3. Select the **Submit** button.

In a separate window, a certification statement displays.

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

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

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

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

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

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

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports (Final RPPR)](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-022.html) — 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](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-037.html) (Guide Notice NOT-OD-17-037).
Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The Interim RPPR link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

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

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

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

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

12.11.4.1 Note about Interim RPPR and Final RPPR

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

12.11.4.2 To submit your Final RPPR:

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

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

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

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

![Final RPPR Menu](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.

12.11.4.3 Final Progress Report Additional Materials (FRAM)

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

NOTE: Refer to the topic titled Submitting Your Final Research Performance Progress Report on Page 265 for information related to the Final RPPR.

The Final Progress Report Additional Materials (FRAM) feature provides a means for grantees to enter, review, route, and submit information in response to specific request(s) by the Program Official (PO) for additional information related to the Final RPPR.
While reviewing a submitted Final RPPR, the PO may determine that additional materials related to the submitted report are required. In this case, the PO will submit a request for this information referred to as a FRAM request. When a FRAM request is made, the PI is notified via email; Final RPPR status on Closeout Status is updated to FRAM Requested; and a FRAM Update link appears in the Closeout Status screen. The link is located as an action on the Final RPPR Report line for Closeout Submission Requirement.

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

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

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

For NIH awards the length of the Outcome statement should not exceed half a page. In addition, the summary of outcomes or findings of the award must be written in the following format:

*** Is written for the general public in clear, concise, and comprehensible language
*** Is suitable for dissemination to the general public, as the information may be available electronically
*** Does not include proprietary, confidential information or trade secrets

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

Uploading Final Report Additional Materials

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

To upload FRAM:

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

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

![Closeout Status Table](image)

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

**Tip**: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials Request (FRAM)** link located in the **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.

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

Submitting FRAM

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

To submit FRAM:

1. Navigate to the Closeout Status screen for the specific grant.
2. Locate the Final Research Performance Progress Report line item under the Closeout Submission Requirement column.
   If the PI has uploaded the additional material successfully, the Result of Action column will show FRAM Updated By <PI Name>. The FRAM Update link will appear in the Action column of this line item.
3. Select the FRAM Update link.
The Final Progress Report Additional Materials (FRAM) screen appears with the Submit button enabled.

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

5. To submit the FRAM, select the Submit button.
6. Before the submission is completed, a certification message will appear on the screen. Select the **I Agree** button to confirm this certification and to complete the process.

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.
NOTE: The PO may rescind the approval of the Final RPPR submission at any time. If this event occurs, the **FRAM Update** link will be made available for submitting FRAM.

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

### 12.12 **Status Result - Just In Time** *Just in Time (JIT)*

The JIT feature of the eRA Commons allows the electronic submittal of additional grant application information after the completion of the peer review, and prior to funding. The PD/PI and the SO work together to complete and submit Other Support, Budget, IACUC, IRB, and/or Human Subject Assurances information directly to the NIH when that information is requested.

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

The JIT feature is available for applications meeting established business criteria. In general this feature becomes available for applications that fall within a certain percentile or priority score range; however, applicants should not submit any JIT information until specifically requested by the agency. These requests can be eRA-system generated e-mails or contacts directly from the specific awarding agency via email and/or phone.

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

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

In Commons, the *Just In Time* screen is accessible from each of the following:

- **JIT** link on **Status Result - Just In Time** (SO)
- **JIT** link on **Status Result - General Search** (SO)
- **JIT** link on **Status Result - List of Applications/Grants** (PI)

**IMPORTANT:** The JIT screen for PIs and PI delegates has recently been updated to reflect eRA’s new standards. eRA plans to update the SO's screen in a future release. Please refer to the appropriate steps below, based on your Commons role.
12.12.1 Uploading JIT Information as a PI

As a PI, you have the ability to upload and save JIT information.

To upload JIT files:

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

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

The Just in Time screen displays. The Application Information section can be used to verify that information for the correct application is being submitted.
2. Upload the appropriate file types.
   - Other Support File
   - Budget Upload
   - Other Upload
   - Human Subject Education
   - Genome Data Sharing Certification
Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this Just-in-Time screen.

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

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

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

a. Select the *Upload* button for the appropriate type of file to open the corresponding upload file screen.

-OR-

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

The panel shows an Upload Complete message. The panel also displays the name of the file and the date it was uploaded.
3. Enter IRB information as appropriate:
   - IRB Date
   - Assurance Number
4. Select the Save button.

After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information. Only an SO can submit JIT.

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

### 12.12.2 Uploading Saving JIT as an SO

SO users have the ability to upload and save JIT information.

To upload JIT files:

1. Access the *Just in Time* screen through the appropriate **JIT** link on the Status result screen(s) **Action** column.
   - **Status Result - Just In Time** (SO)
   - **Status Result - General Search** (SO)

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

The *Just in Time* screen displays. The **Application Information** section can be used to verify that information for the correct application is being submitted.
2. Upload the appropriate file types:
   - **Budget Upload**
   - **Other Upload**
   - **Human Subject Education**
   - **Genome Data Sharing Certification**
   - **Other Support File**
Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this *Just-in-Time* screen.

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

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

a. Select the **Upload** button for the appropriate type of file to open the corresponding upload file screen.

b. From the upload screens, select the **Choose File** button to search for and select the file to upload.

c. Select the **Upload File** button.

The uploaded file displays under the **File Name** column with a status of **Completed**.
3. Enter IRB information as appropriate:
   - IRB Date
   - Assurance Number
4. Select the Save button.

After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information.

If you are an SO, the Submit button is enabled at this time, and you can submit the information to NIH.

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

### 12.12.3 Submitting JIT Information To Agency

If you hold the SO role, you have the ability to submit the JIT report. Only SO users can submit JIT.

To submit JIT:

1. Access the Just In Time screen for the appropriate application.
2. Optional: If not already uploaded, upload the appropriate JIT information.
3. Optional: Select the View Just In Time Report button if you wish to review the report before submitting it.
4. Select the Submit button.

The Applicant and Organization Certification and Acceptance message displays as a pop-up.

5. Select the OK button to continue.

**NOTE:** Commons performs validations upon submission. If required information is missing, error messages will appear on the screen to guide you.

Once submitted, the report is available for viewing from within Status Information. Status Information is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. Refer to the section of this document titled Status Information on Page 142.

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

12.12.4 Viewing the Just In Time Report

If you are an SO or a PI you can view the Just In Time report from the JIT screen.

To view the report, select the View Just In Time Report button (SOs) or the View Report button (PIs) at the bottom of the screen.

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

Status Information is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. Refer to the section of this document titled Status Information on Page 142.

12.13 No-Cost Extension (NCE)

NIH Standard Terms of Award include the provision for grantees to extend the final budget period of a previously approved project period one time for a period of up to 12 months, without additional NIH funds. This action must be taken before the project period ends, and grantees are required to notify NIH when they have exercised this authority.
**Policy: Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds**

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

- If no additional funds are required by the NIH awarding office
- If there will be no change in the project’s originally approved scope

In order to mandate an extension, one of the following criteria must be applicable:

- Additional time beyond the established expiration date is required to ensure adequate completion of the originally approved project
- Continuity of NIH grant support is required while a competing continuation application is under review
- The extension is necessary to permit an orderly phase-out of a project that will not receive continued support

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

To facilitate this process, the No-Cost Extension (NCE) feature exists in Commons, allowing SO users to request NCE in one month increments up to 12 months. Accessible through Status results, the link for accessing the feature is available 90 days before the project end date and is removed at midnight on the project end date.

**IMPORTANT:** NIH requires grantees to use the No-Cost Extension feature and will not accept notification via any other channels.

**NOTE:** If you are not eligible for an automatic no cost extension, you can request prior approval from NIH for a no cost extension when the grant meets certain conditions. Please see **Prior Approval: Requesting a No Cost Extension** for details.

To submit a No-Cost Extension:

1. Search for a particular grant using the **Status - General Search** screen.
2. Select the **Extension** link from **Action** column of the appropriate grant on the **Status Result - General Search** screen.

   The **Extension** screen opens.

3. Select the number of months by which to extend the grant by selecting an option from the **Extend** drop-down list. Selecting an option updates the date in the **This will extend the project to** text box.
In extending the final budget period of the project period, the grantee agrees to update all required certifications, including human subjects and animal welfare, in accordance with applicable regulations and policies.

Grantees may not extend project periods previously extended by the NIH awarding office. Any additional project period extension beyond the one-time extension of up to 12 months requires prior NIH approval.

4. Select the **Extend Project Date** button.

A confirmation screen displays a message *You selected to extend the project period for this grant for <#> months.*

5. Select the **Confirm** button to continue.

Upon notification, the NIH awarding office will revise the project period ending date and provide an acknowledgment to the grantee.

**NOTE:** When an extension without cost is submitted but cannot be processed due to an internal business error, the link displays in Status Result as Extension Error. This link will continue to display until the error has been corrected. Instruction will be given on whom to contact if you need to have the error corrected before resubmitting. Once the error has been corrected, the No Cost Extension will be processed, and the appropriate eNotifications sent.
12.14 Change of Institution

The Change of Institution process in eRA Commons allows extramural grantee institutions to submit Relinquishing Statements electronically via Commons. Relinquishing Statements (RS) are the official documents relinquishing interests and rights to Public Health Service (PHS) research grants and typically accompany a change of institution or successor in interest request.

The Manage Relinquishing Statement and Relinquishing Statement screens are accessible via the Status module.

For more information, refer to the collection of topics within the Commons Online Help for Change of Institution (http://era.nih.gov/erahelp/commons/default.htm#ChgInst_Overview.htm) or the Commons Change of Institution User Guide (http://era.nih.gov/files/ccoi_userguide.pdf).
12 Prior Approval Module

Policy: See section 2.3.7.2 under "Policies Affecting Applications"

NIH Policy allows grantees a level of discretion when making changes to budgeting or grant-related activities. However, some changes require written prior approval. Users can access the eRA Commons Prior Approval module at: https://public.era.nih.gov/priorapproval/landing.jsp.

The Prior Approval module allows Principal Investigators (PIs) and Signing Officials (SOs) to respond to prior approval invitations from the granting agency (see note below) or to withdraw from successfully submitted grant application that has not yet been awarded.

In addition, SOs may also request a change of the PD/PI on a grant and request No Cost Extensions when the grant meets specific conditions.

NOTE: To initiate a $500K request, please contact your Program Official. (see the 500K section for more detail)

To access the Prior Approval Landing screen:

1. Log in to eRA Commons
2. Select the Prior Approval tab on the Commons Home screen.

   a. PIs will see the option to initiate a Withdrawal Request, respond to a 500K invitation, or to List My Requests on the Prior Approval landing screens.
b. **SOs** will see options to initiate a *Withdrawal Request, Change of PD/PI, No Cost Extension, Carryover*, as well as options to list existing requests and to search for requests.

Please refer to the specific sections for full instructions on the various request options, and general request management.

### 12.15 List My Requests

Users can utilize **List My Requests** on the *Prior Approval* landing screen to view existing Prior Approval Requests.

**List My Requests** is available to both PIs and SOs.

The **PI view** of **List My Request** displays all Prior Approval Requests for applications on which the PI is the Contact PI.

The **SO view** of **List My Request** displays all Prior Approval Requests in status *Pending SO* for the institution. If the SO would like to see a Prior Approval that is not in *Pending SO* status, they should use the **Search Prior Approval** feature.

1. To access the List My Request list, select **List My Requests** from the *Prior Approval Landing* screen.
The user is taken to the hitlist of Prior Approval requests.

2. Select the grant you wish to initiate the request for.
3. The system will initiate the request and redirect the user to the Modify Request screen.

**NOTE:** If the request was initiated in error, the user may choose to delete the request via the Delete button on the Modify Request page.

**NOTE:** If the request was routed to a reviewer and needs to be recalled, please follow those instructions in the Recall section.
12.16 Search for Existing Prior Approval Requests

Only SOs can access the Search for Requests option under the Existing Prior Approval Requests on the Prior Approval landing screen.

An SO must be affiliated with the institution that initiated the request.

NOTE: PIs use the List My Requests option to see a hitlist of requests where they are the current reviewer. See the List My Requests topic for more information.

To search for a request:

1. To search for existing requests, select Search For Requests.

2. The "Search Prior Approval Requests" screen will open. On this screen, use any of the available search fields to find requests for the institution.

3. Users may search on the following criteria:
   - Request ID
   - Request Type (select from "Withdrawal Request or "500K Request")
- Request Status (select from "Submitted to Agency", "In Progress SO", or "In Progress PI").
- PI Lookup (names of valid, matching PIs begin to appear as the user begins typing)
- Activity Code, IC, Serial
- Submission Date Range (From: and To:)

4. After entering search criteria, select the **Search** button to perform the search. Selecting **Clear Search** clears the search boxes in preparation for another search.
   - Once **Search** has been selected, the screen expands to display a hit list of all requests based on the search criteria.

![Request List](image)

5. Choose available View and Modify options from the Actions column.
   - **View PDF** Opens a read-only PDF version of the request
   - **View History** - to view the progress of the request
   - **Modify** opens the **Modify Request** screen to allow editing
   - **View** the request - opens the **View Request** screen that displays a read-only version of the request.

### 12.17 $500K Requests

Any applicant planning to submit a grant application with $500,000 or more in direct costs in any one budget year (excluding consortium F & A costs) is required to contact their Program Official (PO) and obtain agreement from the funding agency six (6) weeks prior to their application submission.

If the PO determines that they wish to receive the request through an electronic process, they will initiate an invitation to the PI which will open up a
request in the **Prior Approval** module. The PI and the Notice of Award email of the organization on the invitation will receive an email notifying them of the invitation.

**NOTE:** The option to submit a $500K request will not be visible in the **Prior Approval** module of eRA Commons until the PO has initiated the invitation.

Select the **Prior Approval** tab in eRA Commons to begin the process.

**Respond to $500K Request from PO**

1. On the **Prior Approval** landing page, under the **Existing Prior Approval Requests** section, click on the **List My Requests** button (PI), or **Search for Requests** button (SO).
NOTE: Signing Officials will be taken to a search screen and will have the option to search for requests in their institution using a variety of search criteria. If the request is in the status of "In Progress SO", the SO may proceed to modify the request. However, if the request is in another status, the SO will need to perform a recall in order to modify it.

2. For PIs, the next screen will show a hit list of Prior Approval requests that are available to modify. Select the "Modify" link in the Action column. The Request Type will be "500K" and the Prior Approval Status will be "In Progress PI".

For SOs to modify the request, they will need to be the current reviewer or they will need to perform a recall as noted above in order to become the current reviewer. Once the request is in the "In Progress SO" status, the SO will be able to modify the request.
1. The Prior Approval Request 500K - Modify Request screen displays.

![Prior Approval Request Screen]

The system will pre-populate these fields:

- Principal Investigator (PI)
- Organization
- IC (to which the application will be submitted)
- Program Official information (based on the invitation from the PO.)

2. The following required [*] fields must be populated in order to continue the process:

- Project Title
- FOA
- Anticipated Submission Date
- Justification
1. The Prior Approval Request 500K - Modify Request screen displays.

![Prior Approval Request 500K - Modify Request screen](image)

2. On the modify screen, the SO must provide the following information in order to continue the process:
   - **Project Title**
   - **FOA** (Funding Opportunity Announcement Number)
   - **Anticipated Submission Date** - The date the application is expected to be submitted. This date may not be in the past, or more than 120 days in the future.
   - Justification - This is a brief description of the justification to submit for over $500K. The character limit 500.

**NOTE:** If the $500K request is being submitted for a Renewal (Type 2) application, the user may also provide the Activity Code and Serial Number of the grant family.
3. When finished, click the appropriate button at the bottom of the $500K - Modify Request screen for the next action.

**Submitting the $500K Request**

All *required* (*) fields must be populated before submission.

- The PI may now submit the request.
- If the PI chooses to do so, they may route the request to an SO for review and final submission.
- Upon a successful submission, the system will send an email notification to the submitter, as well as to the associated PI, informing them that the request was submitted to the Agency.

1. Click **Submit**.

   The *Submit Confirmation* screen will appear.

   ![Submit Confirmation](image)

   2. Click **Yes** and a *Success* notification will appear at the top of the screen.

   ![Success: Your 500K request has been successfully submitted to agency.](image)

### 12.18 Withdraw a Grant Application

**NOTE:** Both PIs and SOs may initiate Withdrawal Requests but only an SO may submit them.

**Initiate a Withdrawal request:**

1. From the **Prior Approval** landing screen drop-down menu, select *Withdrawal Request* from **Request type:** and click **Go.**
The system displays a hitlist of all grant applications eligible for withdrawal in the Withdrawal - Available Grants screen. The type of information displayed is based on the users' role.

A PI will see grants that are eligible for withdrawal on which they are the contact PI.

An SO will see grants eligible for withdrawal at their institution. The SO also has the ability to search by entering; Grants.gov Tracking #; Application ID (Grant Number); or the PI name, and then selecting the Search button.

**NOTE:** When searching by PI, the hitlist will only show those grants on which that investigator is the contact PI. If the investigator is associated with a Multi-PI grant, *but is not the contact PI*, those grants will not be part of the search results.
Applications that have gone through council review and any with the following statuses will not display in the hit list.
  - Awarded
  - Withdrawn
  - Canceled

2. Select one grant application by clicking the radio button on the left.

3. Select the **Initiate Withdrawal Request** button to initiate the withdrawal request.
   - The user is redirected to the *Modify Request* screen, where they can add justifications and supporting documents for the request withdrawal (see *Modify Prior Approval Requests*).

**NOTE:** There are times that the agency may be taking action on the application that will prevent users from withdrawing their application through Prior Approval system. In these cases, the system will display the following error: *There is a pending agency action on Application, please submit your withdrawal request to Division of Receipt and Referral.*

Once the Withdrawal Request is ready to submit, an SO must perform that action. See [Submit a Withdrawal Request](#) for more information.

**Modify an Existing Prior Approval Request**

Once a Prior Approval Request is initiated, it is available for modification by the current reviewer.

Users are taken to the *Modify Request* screen when the user selects:
• The **Initiate** button from the *Available Grants* screen
• The **Modify** button from either the *List My Requests* hitlist, or the *Search Prior Approval Request* hitlist.

**To Modify the Request:**

The *Modify Request* screen contains a read-only heading section and request information.

Users may perform the following actions on the Modify Request screen:

1. Enter or modify Justification.
2. Upload PDF documents (not to exceed 5MB. Some limits on the number of documents may apply per FOA or PO direction). The user may also delete uploaded PDF documents.
3. Select the **View History** button to see the actions taken so far.
4. **Route** the request (from SO to PI or vice versa).
5. **Delete** the request.
6. Select the **Save** button to save any changes on the screen.
7. Select the **Cancel** button to return to the *Prior Approval* landing page.

**NOTE:** $500K requests cannot be deleted

**Submit a Withdrawal Request**

**NOTE:** Only a Signing Official (SO) can submit a withdrawal request and only
when the SO is the current reviewer of the report.

**Tip**: Grantees are strongly encouraged to review the Withdrawal Request prior to submission, to ensure all relevant information and attachments are provided.

**To submit the Withdrawal Request to agency:**

1. Select the **Modify** button from the **Action** column of the *List My Requests* screen. Users are automatically directed to the *Modify Request* screen.

2. Once the required justification has been entered, and all supporting documents have been uploaded, select the **Submit** button from the bottom of the *Modify Request* screen.

3. A confirmation box displays. Click **Yes**.

- A message displays on the screen indicating that the request has been successfully submitted.
A notification is sent to the submitting SO and PI(s) that the Withdrawal request has been submitted to Agency.

12.19 Requesting a No Cost Extension

Requests for No Cost Extensions (NCEs) may only be initiated by a Signing Official (SO).

A No Cost Extension may be requested in the following situations:

- If the Grant has previously had a No Cost Extension and less than 90 days remain before project period End Date.
- The Grant has previously had a No Cost Extension and the application is within 270 days after the end of the project period End Date has passed, but the grant has not been closed.
- The Grant does not have an expanded authority and less than 90 days remain before the project period end date.
- The Grant does not have an expanded authority and the application is within 270 days after the end of the project period end date has passed, but the grant has not been closed.

Users may modify these requests until they are submitted to the agency.

NCEs may not be submitted if they contain errors but they may be submitted with warnings.

NCE request may not be submitted for grants for which the closeout process has begun.

Initiate a No Cost Extension

Log into Commons and select the Prior Approval tab.

From the drop-down menu in the Initiate a Prior Approval Request section, select the option for a No Cost Extension and click the Go button.
The **No Cost Extension - Modify Request** screen will open. All fields and listed documents are required in order to submit the request.

Saving the request for later completion and submission (if needed)

If it is necessary to complete the request at a later time, click on the **Save** button. A confirmation
message will be displayed if all required fields have been completed.

Modifying a request

Between the time that a request has been initiated and before it is submitted to the agency, an SO may modify the request.

The SO may perform this action by clicking on either List My Requests (if the SO initiated it), or Search for Requests (if a different SO initiated the request) from the Prior Approval landing page.

From the resulting hitlist, select the Modify link in the Action column. This will take the user to the Modify Request screen.

On the Modify Request screen, update the information as appropriate. At this stage, all of the action buttons at the bottom are available. You may choose to,
- **Submit** - if all of the information is entered and accurate
- **Save** - if additional updates may still be required
- **View History** - to see the actions that have been taken so far and who performed the action
- **Cancel** - if the current actions should not be saved
- **Delete** - to remove the request entirely.
Canceling a request

When you click on the Cancel button your browser will leave the Modify Request page and go back to the previous page. You will be presented with a confirmation message to confirm your actions. Once Yes is clicked, you will be taken back to the previous page. If you have saved any information in the Modify Request page, it will still be available to update later.

Deleting a request

If you decide to delete the request while on the Modify Request page, simply click on the Delete button and any activity you have performed will be deleted and the screen will return to the prior page.

If you have saved information and are no longer on the Modify Request page, you may still look up the request from the Prior Approval landing page. Click on the List My Requests button to list requests that you have initiated, or click on the Search for Requests button and perform a search to find the request to be deleted.

From the resulting hitlist, for either method, click on the Modify link in the Action column for the desired request. This action will open the Modify Request page. At the bottom of the page, click on the Delete button. You will be presented with a confirmation page to confirm your actions. Once Yes is clicked, you will be taken back to the Prior Approval landing page.

Submitting the request to the agency

When all fields have been populated and all required files have been uploaded, click on Submit to send the request to the Agency. A confirmation message will be displayed asking for a second confirmation that you wish to submit. Click on the Yes button on that message to submit. Once the system validates that all required fields have been completed and all required documents uploaded, a message will be displayed indicating a successful submission.
If the grant has been closed, it will not be eligible for an NCE and an error message will display.

View the history of the request

Use either the List My Requests or the Search for Requests button to find the request.

In the resulting hitlist, select the Modify or View History link in the Actions column. The link will say Modify until the request has been submitted to the agency. After a successful submission, the link will change to View History.
Clicking on the *Modify* link will open up the same *Modify Request* screen used for the initial information. At the bottom of the screen, click on the *View History* button to see the history of the request.

Clicking on the *View History* link from the search results *Action* column or the *View History* button from the *Modify Request* screen will open up the *View History* screen that will show what actions have taken place on the request.
12.20 Requesting a Change of PD/PI on a Grant

When it is necessary to change the PD/PI(s) on a grant, an SO may use the Prior Approval module to create and submit the request to the agency.

PD/PIs will not see the option for a change of PD/PI(s) when they log in to Commons and access the Prior Approval module.

The following are the available functions and who may process them:

- **Initiate**: any SO
- **Modify/Save**: Current Reviewer
- **Delete**: Current Reviewer
- **Route**: Current Reviewer
- **Submit to Agency**: any SO
- **View**: actor who is not the current reviewer
  - Current Reviewer is determined by the role of user and the Change of PD/PI Status (for example, if an Change of PD/PI is SO Pending, any SO can work on the request.)

Initiate a Change of PD/PI Request

1. User selects Change of PD/PI Request from the Request type: drop-down menu.

2. System displays eligible grants as outlined below:

![Prior Approval Request](image-url)
3. • Grant year is the most recent awarded year in the segment
   • Grant family is not past the Project Period End Date
   • Grant is not a Fellowship
   • Grant is from an IC/Agency that supports Change of PD/PI
   • Administrative Supplements cannot have a Change of PD/PI initiated

4. SO selects a grant and initiates request:

   **NOTE:** If the grant selected already has a pending Change of PD/PI request already pending in the PA Module, the system will display an error message. This error message will contain the pending request number which is a link from which user can access the pending request.
If no pending request exists, the system assigns a Prior Approval ID number to the request.

- Request is set to: *In Progress SO*
- The user is taken to the *Change of PD/PI Modify Request* page.
## Prior Approval Request

### Change of PD/PI - Modify Request

**Application Information**

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<thead>
<tr>
<th>PD/PI User ID</th>
<th>Name of PD/PI</th>
<th>Grants Management Specialist</th>
<th>Program Official</th>
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<tbody>
<tr>
<td>CRYSTALMAX</td>
<td>Crystal, Billy</td>
<td>Max, Miracle</td>
<td>Montoya, Inigo</td>
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<td></td>
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<tr>
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<td>Efficacy of revitalization medicine coated in chocolate</td>
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<td>08/01/2016 - 07/31/2021</td>
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**Request Detail**

**Request ID:** 400

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<tbody>
<tr>
<td>PD/PI Name</td>
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<tr>
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</tbody>
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<th>PD/PI Name</th>
<th>PD/PI ID</th>
<th>Contact PD/PI</th>
<th>Level of Effort in Person Months</th>
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</thead>
<tbody>
<tr>
<td>Crystal, Billy</td>
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<td>Y</td>
<td>Calendar Academic Summer</td>
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</table>

<table>
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<tr>
<th>Effective Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>mm/dd/yyyy</td>
<td>Modify Delete</td>
</tr>
</tbody>
</table>

**Justification Document**

Drag up to 1 file(s) here to upload.

<table>
<thead>
<tr>
<th>File Name</th>
<th>Date Created</th>
<th>Action</th>
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<tbody>
<tr>
<td>No documents provided</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

[Cancel] [View History] [Save] [Delete] [Submit]
The Change of PD/PI Modify Request page consists of a read only header, OPERA-mandated questions (which may be optional), and IC specified document uploads.

The current reviewer may modify the following on a Change of PD/PI Modify Request:

- Add a PD/PI
- Remove PD/PI
- Mark PD/PI as Contact PD/PI
- Add Level of effort for PD/PI (calendar, or academic and/or summer)
- Effective Date
- Justification
- Leadership for Grants that will become MPI
- Upload Bio Sketch (for each PD/PI)
  - Limit one (1) PDF per PD/PI, and file may not exceed 6 MB.
- Human Subjects checkbox
- Other Support upload (for each PD/PI)
- Other Documents (up to 10, 6 MB size limit per file)
- IC specific upload

4. When information for a new PD/PI is entered, click on the Add/New button. A confirmation pop-up will open, click the Yes button to confirm the change.

5. The SO may Save the request at this time if the request is not ready to submit. When the Save button is clicked, a message should appear at the top of the page indicating that the request has been saved.
Submit the request to the agency

When all fields have been populated and all required files have been uploaded, click on Submit to send the request to the Agency. A confirmation message will be displayed asking for a second confirmation that you wish to submit. Click on the Yes button on that message to submit. Once the system validates that all required fields have been completed and all required documents uploaded, a message will be displayed indicating a successful submission.

Other actions that occur are:

- System generates a PDF of the request including uploaded documents
- System sends notifications (SO, GMS, PO)
- System Stores PDF in Grant Folder for internal and external users

Cancel a request

When you click on the Cancel button your browser will leave the Modify Request page and go back to the previous page. You will be presented with a confirmation message to confirm your actions. Once Yes is clicked, you will be taken back to the previous page. If you have saved any information in the Modify Request page, it will still be available to update later.

Delete a request

If you decide to delete the request while on the Modify Request page, simply click on the Delete
button and any activity you have performed will be deleted and the screen will return to the prior page.

If you have saved information and are no longer on the Modify Request page, you may still look up the request from the Prior Approval landing page. Click on the List My Requests button to list requests that you have initiated, or click on the Search for Requests button and perform a search to find the request to be deleted.

From the resulting hitlist, for either method, click on the Modify link in the Action column for the desired request. This action will open the Modify Request page. At the bottom of the page, click on the Delete button. You will be presented with a confirmation message to confirm your actions. Once Yes is clicked, you will be taken back to the Prior Approval landing page.

View the history of the request

Use either the List My Requests or the Search for Requests button to find the request.

In the resulting hitlist, select the Modify or View History link in the Actions column. The link will say Modify until the request has been submitted to the agency. After a successful submission, the link will change to View History.

Clicking on the Modify link will open up the same Modify Request screen used for the initial information. At the bottom of the screen, click on the View History button to see the history of the request.
Clicking on the View History link from the search results Action column or the View History button from the Modify Request screen will open up the View History screen that will show what actions have taken place on the request.

![View History Screen](image.png)

### 12.21 Carryover

#### 12.21.1 Overview

Carryover is a process through which unobligated funds remaining at the end of the budget period may be carried forward to the next budget period. The carryover of funds allows the Grantees to use the unused prior year funds in the current budget period. Grantees are allowed to carryover funds automatically if they have the expanded authority for their application for all others, Grantees need to submit a carryover request to their respective Grants Management Specialists and Program Officials who will review their request.

#### 12.21.2 Eligibility Criteria

To be eligible for a Carryover request through the Prior Approval module, the Grantees should have satisfied the following conditions:

- The grant is still active, meaning the project period has not ended, or a Prior Approval NCE request has been submitted by the institution requesting additional time and the grant has not gone into closeout or unilateral closeout.
- The grant does not have an Expanded authority (Expanded authority is based on the activity code of the application, or set by the IC in GM Module).
- The request date is within the current budget period date.
- The grant is not for a Fellowship application.

#### 12.21.3 Required Information and Documents

Grantees who satisfy the above conditions are allowed to submit their request through the Prior Approval module available in their Commons system. When submitting their request, enter the
amount of the funds to be carried over in the Request Details section. In the remaining sections, upload the following PDF documents.

- Explanation of unobligated balance
- Detailed Budget
- Scientific Justification

12.21.4 Validation on Submission

When the request is submitted, the NIH system will verify;

- That all required fields have been filled out.
- The system will display a warning message if:
  - There are any Prior year outstanding FFRs (Federal Financial Reports) that need to be submitted.

  Or

  - Any prior year FFR has been submitted and rejected by the agency and the grantee has resubmitted the FFR.

12.21.5 No Cost Extension and Carryover

If the grant is eligible for a No Cost Extension when the Carryover request is initiated, the system will provide the ability to initiate a No Cost Extension. A No Cost Extension request can be initiated if either of the following conditions are satisfied

- If Project period end date is with 90 days.

  Or

- The Project Period End Date has passed, and the grant is not in closeout or unilateral closeout.

12.22 Carryover Request Process

12.22.1 Initiate Carryover Request

To initiate a Carryover request, the SO will open the Prior Approval module in Commons and select Carryover from the Initiate a Prior Approval Request drop-down menu.
All grants eligible for Carryover will be displayed. From the displayed grants, select the one for which the request is to be initiated and then click the **Initiate Carryover** button.

The **Modify Request** screen for Carryover will open.
Each section of the Modify Request page is required. These sections include:

- **Application Information** - Pre-populated from system information. If the grant is a Multi-IC grant, the PO shown will be the one associated with the primary IC.
- **Request Detail** - The Request ID is system-generated. The amount of funds to carryover must be entered. This field only accepts numbers and period with values up to two decimals.

- **Explanation of Unobligated Balance** - Upload a single PDF document in this section detailing why funds were not spent.

- **Detailed Budget** - Upload single a PDF document in this section with a budget that incorporates how the carryover funds will be spent.

- **Scientific Justification** - Upload a single PDF document in this section that explains the need for the carryover funding from a scientific perspective.

- Click on **Save** to preserve any changes made. A message will be displayed to indicate a successful save and the system will remain on the page.

- Once all information has been entered and uploaded, click on **Submit**. This will validate the request to ensure all required items have been included and mark the application as "Submitted to the agency".

- Once either **Save** or **Submit** is selected, the **View History** button will be available to show the progression of changes made to the request.

- If changes made to the **Modify Request** screen should not be kept, click the **Cancel** button. This will take the user back to the page from which they entered the **Modify Request** page.

- If the Carryover request should be removed, select the **Delete** button. A pop-up message will appear to confirm the action. If "Yes" is selected, all information related to the request will be removed. If "No" is selected, the system will stay on the **Modify Request** page.

### 12.22.2 View Saved or Submitted Requests

- Once a Carryover request has been saved or submitted, it can be viewed again by selecting either the **List my Requests** or the **Search for Requests** button.
Choosing **List my Requests** will display a list of all prior approval requests. For institutions with several prior approval requests, it may be more efficient to use the **Search for Requests** option instead. This gives the option to search specifically for Carryover requests.

The resulting hitlist will display only Carryover requests. The options in the **Action** column will be determined by the status of the request.

- Those that are *In Progress SO* will have a **Modify** option.
- Those with a status of *Submitted to Agency* will have the options to **View History** and **View PDF**.
12.22.3 Modify Request

- As indicated above, use the options in the *Existing Prior Approval Requests* window to locate the request to be modified.
- Click on the *Modify* link in the *Actions* column.
- The Modify Request screen will open showing what the information that has been entered and uploaded.
Prior Approval Request - Carryover - Modify Request

Application Information

- PD/PI User ID: GADGETGUY
- Name of PD/PI: BROWN, JONATHAN
- Grants Management Specialist: Summer, Dee
  eratest@mail.nih.gov
  240-555-0000
- Program Official: Adams, Don
  eratst@mail.nih.gov
  301-555-0000
- Grant #: SUM1A123456711
- Application Title: ADVANCED FIELD DEVICES FOR BLOOD TESTS FOR HIV AND OTHER DISEASES
- Institution: GADGET UNIVERSITY at DUC
- Budget Period: 12/01/2016 - 11/30/2017
- Project Period: 01/01/2007 - 11/30/2020

Request Detail

- Request ID: 1234
- Amount of funds to be carried over: Unobligated Funds

Explanation of Unobligated Balance

- File Name: 20120728012430-2.pdf
- Date Created: 06/01/2017
- Action: View, Delete

Detailed Budget

- File Name: 20120728012430-2.pdf
- Date Created: 06/01/2017
- Action: View, Delete

Scientific Justification

- File Name: 20120728012430-2.pdf
- Date Created: 06/01/2017
- Action: View, Delete

No Cost Extension

- You have submitted No Cost Extension Request #1234 on 05/26/2017, you may view your request here 1234.
- You have submitted No Cost Extension Request #9999 on 05/11/2017, you may view your request here 9999.
- You have submitted No Cost Extension Request #0000 on 04/05/2017, you may view your request here 0000.
- Your project period ends on 05/01/2017, do you wish to initiate another No Cost Extension Request?
  - Yes
  - No

Options: Cancel, View History, Save, Delete, Submit
• In the Modify Request screen, the amount requested may be changed and any uploaded documents may be replaced by deleting the current document and uploading the new one. Click Save if more data will be added later or Submit if the request is complete.

• No Cost Extensions already submitted for the grant will be listed and the request number will be a hyperlink to view that request. An option will also be given to initiate another NCE. Either the "Yes" or "No" radio button must be selected to save or submit the request.

12.23 Route a Prior Approval Request

The routing feature is found towards the bottom of the Modify Request screen. If a request is In Progress PI, the PI can route it to the SO. If the request is In Progress SO, the SO can route it to the PI.

To route a Prior Approval Request to the next reviewer:

1. Select Route from the bottom of the Modify Request screen.
   • The Confirmation screen displays.

2. [Optional] Enter comments in the Comments box to provide information to the next reviewer.

3. Click the Route to [SO/PI] button. The system will notify the recipient of a request that is pending their action.
   • If the Routing is successful, a message displays on the Prior Approval Request screen.
NOTE: The person who routed the Prior Approval Request can no longer edit the report. The modifying feature is now only available to a new reviewer.

12.24 Recall a Prior Approval Request

Prior Approval Requests that have been routed to a reviewer can be recalled by the previous reviewer. An SO may recall a request even if they were not the last reviewer.

After the status of the request becomes, "Submitted to Agency", it can no longer be recalled.

To recall a request:

1. Select the Recall button from the View Request screen.
   - A message displays on the screen indicating that the request has been successfully recalled.

The request is now displayed in the Modify Request screen, and is available to be Modified, Saved, Routed, Deleted, Submitted, Canceled, or View History.

12.25 View History of a Request

The View History screen enables users to view the progress of requests.
View History is an option before the request is submitted. The button is displayed at the bottom of the Modify Request or View Request screens.

PIs and SOs access the Modify screen slightly differently.

Before Submission, PIs may access the link through the Action column in the My Requests hitlist and select Modify and then View History.

Before SubmissionSOs may access the link through the Action column of the Search Prior Approval hitlist and select Modify and then View History.
Post Submission
View a History of Requests - Post Submission for SO

1. Login to eRA Commons
2. Click Prior Approval tab
3. Click Search for Requests
4. Search for Requests with a status of Submitted to Agency

5. When the results return, click View History

6. The View History page will be presented.
View a History of Requests - Post Submission for PI

1. Login to eRA Commons
2. Click Prior Approval tab
3. Select List My Requests
4. Click View History
13 Research Performance Progress Report (RPPR) Module

The RPPR module allows extramural grantee institutions to electronically submit Research Performance Progress Reports (RPPR) to the Grants Management community.

RPPR module features include:

- Electronic initiation of an RPPR
- Electronic routing of an RPPR to authorizing officials at the applicant institution for review and approval prior to submission to the agency
- Viewing of RPPR routing history
- Error checking capabilities
- Electronic submission of an RPPR
- Creation of Interim RPPR
- Electronic submission of Interim RPPR
- Creation of Final RPPR
- Electronic submission of Final RPPR
- Ability for an SO to delegate authority to a PD/PI for submitting an RPPR
- PDF generated version stored in the electronic grant folder (Commons Status Information screen)


13.1 Initiating the RPPR

Only the PD/PI or the PD/PI delegate may initiate an RPPR. When there are multiple PIs (MPI), only the Contact PI or the PD/PI delegate of the Contact PI may initiate the report.

To initiate, the user can choose from one of two ways to access the RPPR functionality:

1. Access RPPR from Status.
   a. Select the Status tab from the Commons menu options.
   b. Select the List of Applications/Grants link from the Status screen or from the menu options.
a. From the Status Result - List of Applications/Grants screen, locate the grant and select the RPPR link from the Actions drop-down menu in the Available Actions column for the specific grant (use Flat View). The RPPR link for the current reporting period is available once the Notice of Award for the prior year has been issued. This link remains available until the RPPR for the current reporting year has been submitted. For multi-year funded awards, the link will display as RPPR Year <X>, the <X> representing the reporting year. The link for a multi-year funded award is available two months prior to the RPPR due date for the current reporting period and remains available until the RPPR is submitted. Note that AHRQ has not yet implemented the RPPR for multi-year funded awards.

**NOTE:** While RPPR Year <X> links for multiple years may appear at the same time in Status, you are prevented from initiating a reporting year's progress report until the progress report(s) of the previous year(s) has been submitted.
1. Access RPPR from RPPR tab.
   a. Select the RPPR tab from the Commons menu options.

   The Manage RPPR screen displays. Manage RPPR is used to view the progress reports to which the user has access and allows the user to select a progress report in order to perform various actions. PD/PIs or users delegated PD/PI updating authority uses the Manage RPPR screen to view their own progress reports. SOs and AOs use the screen to search for grants from their institutions and/or for grants routed to them for review.

   b. Select the specific grant by clicking the hyperlink in the Grant Number column on the Manage RPPR screen.
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 which will supersede these dates. Grantees should consult the NoA to determine when SNAP procedures apply.

**AHRQ**

All AHRQ progress reports due in FY 2015 (10/1/14 – 9/30/15) and beyond are due 3 months before the anniversary of the award. For example, for an FY2014 award issued with a start date of 2/1/14, the annual progress report is due 11/1/14 (i.e., three months before the FY2015 budget period start date (i.e. anniversary date) of 2/1/15). However, if the budget period start date is between 1/1/15 and 4/1/15, grantees will not be penalized if the progress report is received 2 months before the next budget period start date rather than 3 months. If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day.

**Current Reviewer**

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

**Status**

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

**Buttons**

The displayed and enabled buttons vary depending on the status of the RPPR and/or the limitations of the current user’s role.

**Initiate**: Begins the RPPR process. Available for grants with a status of Not Started. Access is granted to PD/PIs and PD/PI delegates. An RPPR can be initiated even if required information in the Personal Profile and Institution Profile sections is missing. If any of this
information is incorrect or missing, a prompt will appear to correct/complete the information after initiating the report. Processing may continue on the RPPR without making the corrections; however, the RPPR will not pass validations for submission to the agency until the errors are corrected.

**Edit:** Opens the RPPR for edits. Available for progress reports with a status of Work in Progress (WIP). Access is granted to PD/PIs or PD/PI delegates when the PD/PI is the current reviewer, AOs when the AO is the current reviewer, and SOs when the SO is the current reviewer. The Edit button allows the user to view and edit RPPR information.

**View:** Opens the RPPR report in PDF format, as it will be seen by the agency. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers. Until the RPPR is submitted to agency, the PDF report shows a status of Draft and a blank submission date.

**Check for Errors:** Checks the RPPR for any errors or warnings. Available for progress reports with a status of Work in Progress (WIP). Access is granted to any user with access to the grant. The RPPR can be validated at any time while in the status of WIP and can be validated multiple times.

**View Routing History:** Opens a page that displays a routing history table. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers.

**Route:** Routes the RPPR to the next reviewer for further review or corrections. Available for progress reports with a status of Work in Progress (WIP). Access is granted to the current reviewer. A PD/PI delegate cannot route an RPPR to the next reviewer.

**Recall:** Recalls RPPRs that have been forwarded to another reviewer and resets the user as the current reviewer. Available for reports with a status of Work in Progress (WIP). Access is granted to the last reviewer (who recalls the report from the current reviewer). Signing Officials and PD/PIs can recall an RPPR even if they are not the last reviewer whenever it has a status of Reviewer Work in Progress. This is useful in situations when a RPPR has been routed to the wrong person or to someone who is unavailable.

**Submit:** Submits the RPPR to the Agency. Available for reports with a status of Work in Progress (WIP). Access is granted to the SO when the SO is the current reviewer and to the PD/PI when the PD/PI has been delegated Progress Report authority.

**NOTE:** A PD/PI with Progress Report authority cannot submit a non-SNAP or F RPPR.

**Cancel:** Closes the RPPR Menu screen and returns the user to the previous screen.
2. Select the **Initiate** button to begin the RPPR.

Once initiated, Commons creates the report in a PD/PI Work in Progress status and sets the current reviewer. A message displays as follows:

*The RPPR has been successfully initiated.*

**NOTE:** If at any time initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, the editing process can begin. The RPPR is accessed for editing via the **RPPR Menu** screen. The editing feature for single-project RPPRs is different from those of multi-project RPPRs. The steps for accessing each type of RPPR are outlined in other topics. Refer to Accessing a Single-Project RPPR for Editing or Accessing a Multi-Project or Single-Project with Complicated Structure for Editing as appropriate.

### 13.2 Routing the RPPR

**IMPORTANT:** If you are looking for help routing PRAM, select this link: Routing PRAM

Progress reports in *Work in Progress (WIP)* status can be routed to others for review or corrections by the current reviewer of the report. The routing feature is found on the **RPPR Menu** screen.

**NOTE:** A PD/PI delegate cannot route an RPPR to the next reviewer.

To route an RPPR to the next reviewer:
1. Select the **Route** button from the *RPPR Menu*.

![RPPR Menu](image)

**NOTE:** The figure above shows a single-project RPPR's *RPPR Menu*, however, multi-project RPPRs have a similar **Route** button on their own *RPPR Menu* screen.

The *Route RPPR to Next Reviewer* screen displays. From this screen, the next reviewer can be chosen from a list of reviewers, and comments can be added.

2. Select a reviewer from the **Next Reviewer** drop-down list.
3. **Optional:** Enter comments in the **Comments** box to provide information to the next reviewer.
4. Select the **Submit** button.

![Route RPPR to Next Reviewer](image)

5. *When routed by the PD/PI only:* The PD/PI Assurance statement displays. Select 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.

13.3 RPPR Routing History

From initiation to submission to Agency, the routing of an RPPR is captured for auditing purposes. PD/PIs, PD/PI delegates, and reviewers can view the routing history for Work in Progress or Submitted to Agency RPPRs at any time, even when not they are not the current reviewer.

To view the routing history:

1. Select the View Routing History button from the RPPR Menu screen.
The **Routing History** screen displays showing the **Reviewer Name**, **Action**, **Notification Sent** (date and time), **Date of Action**, **Next Reviewer Name**, and **Comments** (when available).

2. To close the screen, select the **Back** button.

### 13.4 Submitting RPPR to Agency

Grantees are strongly encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. Refer to the section of this document titled *Viewing the RPPR* on Page 307.

Completed and validated RPPRs in a status of *Work in Progress* can be submitted to the Agency for acceptance. This act is performed by the Signing Official (SO) when the SO is the current reviewer of the report. For SNAP awards only, PD/PIs may also submit the report if they have been delegated submit authority by the SO.

**NOTE:** A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

To submit the RPPR to agency:

1. Select the **Submit** button from the **RPPR Menu** screen.

The Submit RPPR screen displays a certification statement.
In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies to the best of his/her knowledge that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

2. Select the **I Agree** button to sign off on certification.

The RPPR is validated for systemic and business rules. If there are any validation failures, they are indicated by error messages on the **RPPR Menu** screen. Errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the **RPPR Menu** screen. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

3. **If Warnings Exist**: To address issues associated with warnings, select the **Cancel** button, correct the issue, and resubmit the RPPR again. To continue with submission despite the warnings, select the **OK** button.

If all validations pass, the **RPPR Menu** screen displays the following message: The RPPR has been successfully submitted to PHS.

![RPPR Menu](image)

The current reviewer is updated to the awarding agency, the RPPR status is updated to Submitted to Agency, and the RPPR Submission date is recorded. The routing history is updated to reflect the submission to Agency.
Any citations associated with the RPPR in C.1. Publications are officially associated with the award in MyNCBI.

If inclusion enrollment data are reported in the RPPR, this information will be provided in a structured data form and updated into the eRA inclusion data system for NIH staff review and acceptance. The data then becomes the data of record for the particular grant year.

When an RPPR is submitted to Agency, email notification is sent to the PD/PI (Contact PI) on the grant and the SO and AO assigned to the RPPR.

13.4.1 Submission Errors & Warnings for Multi-Project RPPRs

Upon submission, multi-project RPPRs are validated for systemic and business rules just as are single-project RPPRs. However, for multi-projects, the errors and warnings are displayed differently. When errors and/or warnings are found on multi-project RPPRs, the RPPR Menu screen displays the Overall messages followed by the messages of the other components.

All errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the RPPR Menu screen under the errors. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

Click here to view a sample of possible error messages.

13.5 Overview of the Interim RPPR

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report
should be prepared in accordance with instructions provided by the awarding component. See NIH Implementation of Final Research Performance Progress Reports (Final RPPR) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, *if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required.* The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration (Guide Notice NOT-OD-17-037).

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

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

**NOTE:** If a system check by the Agency does not detect that there is a pending Type 5 renewal application associated with the award when the grant goes into a Closeout Module, any Interim RPPR that has been started will be converted to a Final RPPR and will be accessible through the Closeout link in the Status column.

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

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

Since a renewal application is competitive, there is no guarantee it will be funded. Therefore the following scenarios should be noted:

<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</td>
</tr>
</tbody>
</table>
### Competing Renewal Application Status

<table>
<thead>
<tr>
<th>Competing Renewal Application Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>120 days from the project period end date</td>
<td>Submit an Interim RPPR no later than 120 days from the project period end date</td>
</tr>
</tbody>
</table>

#### 13.5.1 Submitting Your Interim RPPR

**13.5.1.1 To submit your Interim RPPR:**

1. Select the *Interim RPPR* link for the grant from *Status* search results.

   The *Interim RPPR* link will appear for both the Principal Investigator (PI) and the Signing Official one day after the budget period end date and before the award moves to Closeout.

2. Clicking the *Interim RPPR* Link opens the *Interim RPPR Menu* screen:

<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>
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.

When done, click Cancel to return Interim RPPR Menu screen.

In the Final RPPR Menu screen, there are several action buttons at the bottom that you can use to complete the Interim RPPR:
For more information on these options, see:

- Final RPPR
- Editing the RPPR Forms
- Checking for Errors and Warnings
- Viewing the RPPR
- Routing the RPPR
- Recalling the RPPR
- Submitting RPPR to Agency

The Cancel button closes the Interim RPPR Menu screen.

### 13.5.2 Interim Report Additional Materials (IRAM)

The Agency may use Interim Report Additional Materials (IRAM) to provide a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the Program Official at the IC (or AHRQ, if applicable) for additional information following the submission of an Interim RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the IRAM. However, only the SO can submit the IRAM to the agency.

**IMPORTANT:** For Revised Project Outcomes, please review the following information:

To submit revised Project Outcomes, SOs should follow the IRAM process for outcomes for Interim RPPRs and the FRAM process for outcomes for Final RPPRs with the exception that a text box will be provided to enter the new Outcomes text and select **Upload** instead of an **Add Attachment** button as with other RAM requests.
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".
When the link is clicked, the IRAM screen will open and provide an **Upload** button. Click this button to select the PDF file that satisfies the agency request as well as any appropriate comments related to the request and/or file.

**NOTE:** For *Revised Outcomes*, the text box will be used to directly enter (or copy and paste) the Revised Outcomes text and then it may be uploaded as per the **IMPORTANT**: information box above. The text box caption will read, "*Please provide Revised Outcomes here. Note, text in this field will be publicly available in RePORTER.*"

The character limit for the comments is 2,000 characters.

After selecting the appropriate document, you will be returned to the IRAM screen where you may enter comments and then use the buttons at the bottom of the page to:

- **Cancel** - No changes will be made and you will be returned to the *Status Results* page
- **Preview** - This will open the submission to allow you to view the uploaded document and comments that will be sent to the Agency.
- **Save** - The selected document and comments (if any) will be saved for future submission.
- **Delete** - The selected document will be removed and a different document may be uploaded.
- **Submit** - Send the document and comments to the Agency.
13.6 Submitting Your Final Research Performance Progress Report

As of January 1, 2017, a Final Research Performance Progress Report (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See NIH
Implementation of Final Research Performance Progress Reports (Final RPPR) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration (Guide Notice NOT-OD-17-037).

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

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

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

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

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

13.6.1 Note about Interim RPPR and Final RPPR

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

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

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

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

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

   ![](image)

   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 Screen](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.

## 13.7 Manage RPPR Screen

The *Manage RPPR* screen is the portal into all RPPR functionality. The screen displays when you select the **RPPR** tab from the Commons menu and provides the following information related to your RPPR:
To process your RPPR, select the grant number displayed as a hyperlink within the **Grant Number** column. Selecting this link opens the *RPPR Menu* screen from which you can access all features including initiating, editing, routing, etc.

Click here for sample image:

![RPPR Menu Screen](image)

### 13.8 RPPR Menu

The *RPPR Menu* screen provides access to various functions used to complete and process your RPPR. You access these features using the buttons found on this screen.

The following buttons are found on the *RPPR Menu* screen:

- **Initiate**
- **Edit**
- **Check for Errors**
- **View**
- **View Routing History**
- **Route**
- **Recall**
- **Submit**

Click here for a sample image.
NOTE: Not all buttons will be enabled. Depending on your Commons role and/or the status of the report, some buttons may be disabled.

Individual help topics exist for each of the features. Please refer to the specific help topics linked below.

### 13.9 Navigation

The RPPR is completed using the eRA Commons system. The report in Commons consists of separate screens for each of the sections listed below:

- **A. Cover Page**
- **B. Accomplishments**
- **C. Products**
- **D. Participants** (only section D.1 for FRPPR)
- **E. Impact**
- **F. Changes** (not used for FRPPR)
- **G. Special Reporting Requirements**
- **H. Budget** (not used for FRPPR)
- **I. Outcomes** (only used for FRPPR)

Users may work on various sections in any order, however, it is important to click the **Save** button in the navigation bar before leaving a screen in order to retain data entered on that screen. Upon submission to the awarding agency, the system will generate a PDF of the progress report, which may be viewed from the RPPR Menu screen using the **View** button.

Once submitted, the Final RPPR, in PDF format, is accessible in Commons via the **Status Information** screen. Refer to the section of this document titled *Viewing the RPPR in Commons* on Page 307.

13.10 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)

13.11 Editing the RPPR

Once an RPPR is initiated, its status becomes *PD/PI Work in Progress* and it becomes available for editing. The PD/PI or delegate uses the **Edit** option for viewing and completing the report. Additionally, this option is available to the SO or AO when that user is the current reviewer of the report.

**NOTE:** For RPPRs with multiple PD/PIs (MPI awards), only the Contact PD/PI has access to the **Edit** feature unless the Contact PD/PI has granted progress report authority to other PD/PIs. Without this authority, MPIs can only view the RPPR PDF and its routing history.
There are two means of accessing the progress report for editing. These are similar methods used for initiating the report and are as follows:

1. Access RPPR from Status.
   
a. Select the **Status** tab from the Commons menu options.
   
b. Select the **List of Applications/Grants** link from the *Status* screen or from the menu options.

c. From the *Status Result - List of Applications/Grants* screen, locate the grant and select the **RPPR** link from the *Action* column for the specific grant. For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year.
1. Access RPPR from RPPR tab.
   a. Select the RPPR tab from the Commons menu options.
   b. Select the specific grant by clicking the hyperlink in the Grant Number column on the Manage RPPR screen. SOs/AOs must perform a query first.

   The appropriate RPPR Menu screen – either for single-project or multi-project RPPRs – displays with editing options.
### 13.11.1 Access Human Subjects System (HSS)

The *Human Subjects System* can be accessed by Principal Investigators (PIs) or Signing Officials (SOs) through either the RPPR or through the *Status* screen in eRA Commons.

#### 13.11.1.1 Human subjects information may need to be updated in the following scenarios:

- Post-award for updates to the Research Performance Progress Report (RPPR)
- Pre-award (post review) for just-in-time information or correction of human subjects data
- Off-cycle updates as required in the Funding Opportunity Announcement or terms and conditions of award
- Corrections to human subject data

#### 13.11.1.2 To edit an existing study, log into eRA Commons and access the Human Subjects link via the RPPR or Status tabs.
The Application Information screen is displayed, showing a summary of your grant. Click on the Human Subjects Post Submission tab. This will take you to a summary page Study Record(s) screen where all study records and delayed onset studies associated with your grant are displayed.
Click on the View button to bring up a study.

To update the human subjects information on that study, including inclusion enrollment data, click the Edit button at the top of the screen.
### Application Information

#### Clinical Trial Post Submission

- **Clinical Trial Post Submission v1.0**

### Study Record(s)

<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>WorkinProgress</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 on the ‘Download Participant Level Data Template’ button.
     - Fill the template out with data and then upload the spreadsheet by clicking on the ‘Upload Participant Level Data Attachment’ button. This uploaded data will populate the cells in the report.
You can click on the ‘Download Current Participant Level Data’ button to download the file containing the data for your own records.

### Cumulative (Actual)

<table>
<thead>
<tr>
<th>Ethnic Categories</th>
<th>Not Hispanic or Latino</th>
<th>Hispanic or Latino</th>
<th>Unknown/Not Reported</th>
</tr>
</thead>
<tbody>
<tr>
<td>Racial Categories</td>
<td>Female</td>
<td>Male</td>
<td>Unknown/Not Reported</td>
</tr>
<tr>
<td>American Indian/Alaska Native</td>
<td>42</td>
<td>31</td>
<td>0</td>
</tr>
<tr>
<td>Asian</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>
</tr>
<tr>
<td>Black or African American</td>
<td>676</td>
<td>510</td>
<td>0</td>
</tr>
<tr>
<td>White</td>
<td>3526</td>
<td>2563</td>
<td>0</td>
</tr>
<tr>
<td>More than One Race</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>
</tr>
<tr>
<td>Total</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Need Help

- Download Participant Level Data Template
- Upload Participant Level Data Attachment
- Download Current Participant Level Data
- Remove Current Participant Level Data
- Save and Keep Lock
- Save and Release Lock
- Save and Add
- Cancel and Release Lock
- Remove Report

### Notes:

- If you plan to upload the data, you must use the template by selecting the **Download Participant Level Data Template**. This will be a CSV file that can be updated with new totals.
- Once the new totals have been entered into the template and the file has been saved, use the **Upload Participant Level Data Attachment** button to upload the file which will update the Cumulative counts.
- Individual-level participant data on sex/gender, race, ethnicity and age at enrollment will be required in progress reports for competitive applications submitted for due dates on or after January 25, 2019 (See NIH Guide Notice NOT-OD-18-116). Since NIH will be piloting providing individual level data starting in June, we encourage you to get familiar with the template as we believe it will cut down on duplicate entry and save you time.
- For the Planned counts, the cells must be updated online in the report itself.

<table>
<thead>
<tr>
<th>Racial Categories</th>
<th>Not Hispanic or Latino</th>
<th>Hispanic or Latino</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></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>Female</td>
<td>42</td>
<td>31</td>
<td>7</td>
</tr>
<tr>
<td>Male</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
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<td>Native Hawaiian or Other Pacific Islander</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
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<td></td>
<td></td>
<td></td>
</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>2663</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 on the Preview Study button on the left navigational column under Actions.

If the PI is making changes:
- The PI can click the **Save and Release Lock** button to save the changes.
- The submission status changes to **Work in Progress**.
- PI changes status to **Ready for Submission**.
- Signing Official (SO) gets an email that the application is ready for submission.
- SO logs into ASSIST, finds the application and submits it.
If the SO is making changes:

- The SO can click the **Save and Keep Lock** button to save the changes.
- The submission status changes to *Work in Progress*.
- SO changes status to *Ready for Submission*.
- The *Submit* action becomes active on the Application Information page.
- SO clicks on the *Submit* button

Only the SO can submit the application to NIH. The submission sends all updated study records associated with the application to NIH at one time.

Program officials and grant specialists are notified automatically of study changes and can review those changes. Some changes may require prior approval.

### 13.11.2 Accessing Single-Project RPPR for Editing

For single-project awards, the *RPPR Menu* screen displays with buttons for the following available options:

- Edit
- Check for Errors
- View
- View Routing History
- Route
- Cancel

**NOTE:** Once an RPPR has been routed for review, the *Recall* and *Submit* buttons are enabled. These functions are covered in other topics.
Select the **Edit** button to open the RPPR for editing.

Refer to the section of this document titled *Editing the RPPR Forms on Page 286* for more information on editing the forms.

**13.11.3 Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing**

A multi-project RPPR is a progress report submitted for a funded program (activity code) which has multiple, interrelated components sharing a common focus or objective.

A *component* (for the purposes of applications and progress reports) is a distinct, reviewable part of the multi-project application or progress report for which there is a business need to gather detailed information identified in the funding opportunity announcement (FOA).

Components typically include general information (component organization, project periods, project title, etc.), performance sites, personnel, and budget. The FOA defines the construction and naming convention for the application; the funded application defines the construction and naming convention for the progress report.

For multi-project awards, the *RPPR Menu* screen displays with buttons for the following available options found within the **Application Information** section of the screen:

- View
- View Routing History
- Route
- Cancel

**NOTE:** Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in other topics.
Overall

Below the Application Information is a table showing the Overall ID, Project Title, Program Director/Principal Investigator (PD/PI) Name, and an Actions column with links.

The RPPR Menu for a multi-project RPPR without components does not include the component table. Additionally, the No radio button on the Does the project have components? field is selected.

Refer to the figure below for an example of a single-project with complicated structure RPPR.

To edit the RPPR for the Overall, select the Edit link from the Actions column.
Individual Components

If the award has individual components (e.g., a multi-project award), each component must be reported in the RPPR. To add components, select the Yes radio button next to the question Does the project have components? Selecting Yes displays the Add Component feature for the individual components.

NOTE: Any individual components previously added will already be displayed in a table beneath this feature. In this scenario, the Does this project have components? option is disabled. This includes components which were part of a previously submitted progress report for the grant.

To add an individual component:

1. Select the correct option from the Component Type drop-down list.
2. Enter the Component Project Title.
3. Select the Add Component button.
   Added individual components display in a table beneath the Overall, showing the Component ID, Component Type, Component Project Title, and available links in the Actions column.
4. Select the Edit Component link in the Actions column for the component to edit its RPPR.

Refer to the section of this document titled Editing the RPPR Forms on Page 286 for more information on editing the RPPR forms.

Click here to view a sample image.
Individual components can be removed from the RPPR by selecting the corresponding **Delete** link from the **Actions** column of the specific component, followed by the **OK** button on the confirmation pop-up message. *The delete option is not available for Overall.*

**IMPORTANT:** If you choose to delete a component, all data related to this component – including all budget data – will be lost. *This data cannot be recovered once it has been deleted.*

### 13.11.4 Editing the RPPR Forms

After selecting the appropriate editing option, the RPPR section *A. Cover Page* displays. The *Cover Page* includes information about the grant, PD/PI, signing and administrative officials, organization, and project/reporting/budget periods. Some of this information may be auto-populated. For more information on the *Cover Page*, refer to section 6.1 Section *A – Cover Page* located in the [NIH Research Performance Progress Report (RPPR) Instruction Guide](#).

1. Update the information as necessary and select the **Save** button.

   The *Cover Page* includes tabs at the top and links at the bottom of the page for navigating to the other sections (e.g., **Accomplishments, Participants**), which may be completed in any order. Before navigating to and from any of these sections, it is always necessary to select the **Save** button to save all changes on the current page. Navigating away from any page on the RPPR without selecting **Save** results in the loss of any information entered prior to the last save.
2. Sections can be completed in any order. To navigate and populate the other sections of the RPPR, select the appropriate link from the top or bottom of the page. The same navigational links appear on each section of the RPPR.

3. Complete the appropriate fields of the report.

Details for completing each section are discussed in the Instruction Guide (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). Many of the fields on these pages, however, behave in a similar manner.

Click here to display examples of common field types.

**Add New**

To use the Add/New feature, enter or select data into the appropriate fields. Select the Add/New button to add the data to the table. After being added, items can be edited or deleted from the table using the Action links.

![Add/New Example](image)

**Text Box**

All text boxes on the RPPR have character limits. The number of characters available is reflected beneath each text box as characters are entered.
Changing Saved Responses

While in WIP status, answers may be changed. A warning message displays as follows:

The entered/uploaded response will be deleted. Do you wish to continue?

The user editing the information can choose to Continue or Cancel the action. Choosing Continue deletes the previous response, removes any attachments, and disables the relevant fields associated with the question. Choosing Cancel cancels the change.

4. Select the Save button before navigating to the next page.
5. To return to the RPPR Menu, select the Cancel button.

When an RPPR is ready for review and submission, it is routed to the next reviewer. Refer to the section of this document titled Routing the RPPR on Page 251

13.11.5 Editing the RPPR Budget Forms

13.11.5.1 Budget Form (H.1)

To add a budget, choose an option from the drop-down list and select the Add Budget button. The added budget type appears in the first table. Use the Edit link in the Action column to open the form for editing. Select the Save button before exiting the form. Most awards now use the SF424 R&R budget form. However, training awards may use the SF424 and/or the PHS 398 training budget. The PHS Additional Indirect Costs budget form is available as an optional form for the Overall component of a multi-project award with multiple institutions/organizations. Please contact the Grants Management Specialist assigned to your grant if you have questions on the appropriate form to use.

Budget types include:

- SF 424 Research & Related Budget form
- PHS 398 Training Budget
• PHS Additional Indirect Costs form

NOTE: Budget types can be deleted by selecting the Delete link from the Action column for the specific budget. After deleting a form, be sure to save the RPPR before navigating away from the H.Budget tab. Save buttons are located at the top and bottom of the screen.

13.11.5.2 Subaward Budget Form (H.2)

To add a subaward budget, choose an option from the drop-down list and select the Add Subaward button. The added budget type appears in the second table. Use the Edit link in the Action column to open the form for editing. Select the Save button before exiting the form.

Subaward budget types include:

• SF 424 Research & Related Subaward Budget form
• PHS 398 Subaward Training Budget

NOTE: Subaward budget types can be deleted by selecting the Delete link from the Action column for the specific subaward.

Click here to display an image of the RPPR H.Budget screen.
NOTE: Remember to save the information before exiting the form by selecting one of the Save buttons located at the top and bottom of the form.
13.11.5.3 DUNS Number

For single-project RPPRs, the DUNS number will automatically populate the DUNS number of the grantee organization on the budget form.

For multi-component RPPRs the grantee must enter the DUNS and Organization Name fields, as the DUNS number will not automatically populate the DUNS number.

To add the DUNS number:

Enter the DUNS number into the Organizational DUNS field or select the magnifying glass icon to search for and select the DUNS number. You can search using a secondary DUNS number, however, the form will reflect the primary DUNS after you select the organization.

The Organizational DUNS field updates with the information and the Enter Name of Organization field updates to reflect the new DUNS.

To add the organization name:

Enter the organization name into the Organization Name field or select the magnifying glass icon to search for and select the new organization name.

The Organization Name field updates with the information and the Organizational DUNS field updates to reflect the new organization.

NOTE: If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget (click to view figure). Total consortium costs for the main budget MUST be computed and entered manually into budget line item F.5.
13.11.5.4 SF 424 Research and Related Budget

For assistance with the information required on the forms, please refer to the Application Guide.

**Policy:** [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.300-r&r-budget-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.300-r&r-budget-form.htm)

13.11.5.5 SF 424 Research and Related Sub Award Budget

For assistance with the information required on the forms, please refer to the Application Guide.

**Policy:** [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.310-r&r-subaward-budget-attachment(s)-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.310-r&r-subaward-budget-attachment(s)-form.htm)

13.11.5.6 PHS 398 Training Budget

For assistance with the information required on the forms, please refer to the Application Guide.


13.11.5.7 PHS 398 Training Sub Award

For assistance with the information required on the forms, please refer to the Application Guide.

13.12 Editing Inclusion Enrollment Data

This topic discusses inclusion data in the Human Subjects System (HSS) as accessed and processed via your RPPR. For more information on HHS or accessing HSS via Commons, please refer to the HSS Online Help.

To update inclusion enrollment data, select the Human Subjects link from question G.4.b of section G. Special Reporting Requirements. For additional information on inclusion procedures in the RPPR, please review Chapter 6.7 Section G–Special Reporting Requirements of the NIH and Other PHS Agency Research Performance Progress Report (RRPR) Instruction Guide.

**IMPORTANT:** Before selecting the Human Subjects link, select the Save button on the RPPR to save all your work in Section G. Failure to do so will result in a loss of data on your report.

**NOTE:** If this link is selected more than 60 days before the progress report due date, the following warning is displayed:

*Based on the due date of this RPPR, inclusion data is not yet needed. If you proceed, access to the inclusion data via Commons/Status will be blocked. You cannot undo this action. Are you sure you want to proceed?*

Selecting Cancel will abort the action and HSS will not be opened. Continuing will result in inclusion data being blocked for editing when accessed via Commons Status (View action only). In this event, you will see the following message when accessing via Status: *RPPR has been initiated. Currently, the data is editable accessing via RPPR only.*

The ability to edit IERs via the Commons Status module will be restored after the successful submission of the RPPR and until the award of the current year.

Click this link to display an image of the screen.
The **Inclusion–Manage Inclusion Enrollment Records (IERs)** screen displays showing the Inclusion Enrollment Records (IERs) with a status of *Requires Updates*. Once cumulative form updates have been made as required, the status of the IER(s) becomes *Inclusion Updated*. However, this only occurs when cumulative data is updated. It is possible to see multiple IERs in different statuses.

Click this link to display an image of the screen for a single project.

Click this link to display an image of the screen for a multi-year funded award.
For multi-year funded awards, only inclusion counts for the current IER fiscal year can be reported. Once an RPPR is considered late, you will not be able to update and submit inclusion data through the HSS. HSS will indicate this with a message as follows: *Because this RPPR is late, the Human Subjects System is unable to accept the data.*

RPPR for current sequential year of multi-year award will be considered late after corresponding anniversary of the budget/project period start date. For example, the RPPR for sequential year 1 is late after 1st anniversary of the budget/project period start date.

Select the **Edit Cumulative Enrollment** link in the **Action** column to access the *Edit Cumulative Inclusion Data* screen and perform the required updates.

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

**Header Fields**

- **Grant #**
- **PI Name**

  The name of the contact PI on the application record.

- **Inclusion Enrollment Record (IER) #**

  Displays the system-generated identification number of the Inclusion Enrollment Record.
IER Status

Shows the status of the record.

Study Title

The study title of the IER, pre-populated with the existing title and editable.

Cumulative Inclusion Enrollment Report Fields

- Study Title

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

- Comments

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

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

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

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

POLICY: For additional information on racial and ethnic categories or inclusion policy and procedures, refer to PHS Supplemental Instructions for Human Subjects or the OER inclusion web page.

Click this link to display an image of the screen.
HSS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

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

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

Select Proceed to continue or Cancel to abort the action.

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

  Planned Enrollment count must exist before entering Cumulative enrollment Data

- If an overall total value is less than the prior year total, you will receive a warning message before data can be saved:
Warning: Some (or all) enrollment counts are less than previous FY. Do you want to continue?

After updating the cumulative enrollment data, the status of the IER(s) status will change to Inclusion Updated and the links for editing the information remain available. This status only occurs when cumulative data is updated. Updating the planned data does not meet the requirement of the progress report. When only planned data is updated, the IER status remains at Requires Updates.

13.12.1 Changes to Planned Enrollment

If there are changes from the planned enrollment originally approved for funding, contact the program officer to discuss updating/revising the planned enrollment. Please refer to Chapter 6.7 Section G–Special Reporting Requirements of the NIH and Other PHS Agency Research Performance Progress Report (RRPR) Instruction Guide for more information.

Select the Edit Planned Enrollment link in the Action column of the Inclusion–Manage Inclusion Enrollment Records (IERs) screen to access the Edit Planned Inclusion Data screen.

The Edit Planned Inclusion Data screen contains the following information:

**Header Fields**

- Grant #
- PI Name
  
The name of the contact PI on the application record.

- Inclusion Enrollment Record (IER) #

  Displays the system-generated identification number of the Inclusion Enrollment Record.

  *This field is displayed only when editing existing IER*

- IER Status

  Shows the status of the record.

  *This field is displayed only when editing existing IER*

- Study Title

  The study title of the IER, pre-populated with the existing title and editable when editing an IER.

  *This field is displayed only when editing existing IER*
Click this link to display an image of the screen.

**Planned Inclusion Enrollment Report Fields**

- **Study Title**

  The study title of the IER, pre-populated with the existing title and editable when editing an IER.

  For a new IER, this field displays blank. Enter the new IER's study title into the field. This is required.

- **Foreign/Domestic**

  This field indicates whether the IER involves participants from a non-US site (i.e., foreign) or a US site (i.e., domestic). This field is pre-populated when editing an existing IER.

  When creating a new IER, select the value from the drop-down list. This is a required field.
• **Comments**

An optional text field for entering comments. This field is pre-populated when editing an existing IER and blank when creating a new IER. If editing existing Planned Enrollment, you should first discuss with the Program Officer and may want to consider adding a comment here to explain the change.

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

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

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

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

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

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

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

### 13.12.2 No Inclusion Enrollment Records Provided

When inclusion monitoring is required and no IERs exist, RPPR system will NOT allow the submission of the progress report without IER(s). For the current FY it will display an error message and require that you either submit a new enrollment record or provide an explanatory comment for the missing IERs.

Click this link for an image of the screen.
This is true for the current FY of a multi-year award as well. For the past FYs (when the progress report is late), a standard message is displayed in lieu of the error message as follows: *NIH policy requires inclusion to be monitored, but no Inclusion Enrollment Record(s) (IERs) have been provided.*

This standard message will appear on both the screen and the PDF version of the progress report.
To provide an explanation, enter your comments into the provided text box and select the Add to Progress Report button. For multi-year funded awards, the ability to provide an explanation is available only for the current year.

**NOTE:** Selecting any of the links or buttons other than Add to Progress Report will cancel the action of adding and saving your comments. Any entered comments will be lost unless you select the Add to Progress Report button.

The entered explanation is viewable on the RPPR PDF and on the Inclusion–Manage Inclusion Enrollment Records (IERs) screen when accessed via Commons Status. For information on access through Commons Status, refer to the IMS Online Help.

**NOTE:** Submitting a new IER after the submission of this explanation, but before submission of the RPPR to Agency, removes the explanation comment from the progress report. See the section below for information on submitting a new planned inclusion record.

### 13.12.3 Submit New Planned Inclusion Record

Select the Submit New Planned Inclusion Record link to access the Edit Planned Inclusion Data screen and submit planned enrollment and create a new IER. For multi-year funded awards, this link is available only for the current fiscal year. Upon a successful save of a new IER, attributes (Study Title, Foreign/domestic indicator/planned comments), Planned Inclusion Data (as entered), and Cumulative Inclusion Data (as zeroes) are also created; the new IER is assigned a unique IER #; and the IER status is set to Grantee Updates in Progress (when accessing through Status in Commons).

### 13.12.4 Inclusion Enrollment Record (IER) Statuses

A status will be maintained for each study version. There will be two primary values used:

**Received by Agency:** any new study version will have this status. Studies that initially come in on initial submission will have this status, and any post-submission of the study will have this status.

**Accepted:** when an award occurs, any studies for which the award is the primary project will have the latest version. The latest version will also be labeled with the relevant FY of the award.

### 13.12.5 When Should I Access HSS via the Status Module?

HSS is used to view and maintain inclusion data associated with your grant(s) and can be accessed in one of two ways, both through the eRA Commons system: via the Status module—or—via the RPPR Section G. Special Reporting Requirements.
13.12.5.1 When to Use the Status Module Instead of RPPR

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

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

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

For details on using the Status module for accessing HSS, please refer to Access HSS. You can also access the HSS Online Help by selecting the help icons (-question mark) on any of the HSS screens.

13.13 Checking for Errors and Warnings

At any time before an RPPR is submitted to agency, an error check can be performed to verify that the report passes the business rules and system validations in place. Any user who has access to the RPPR may perform the error check.

Refer to the section of this document titled Checking for Errors on Single-Project RPPRs on Page 303 for more information on error checking single-project RPPRs.

Refer to the section of this document titled Checking for Errors on a Multi-Project RPPR on Page 304 for more information on error checking multi-project RPPRs.

13.13.1 Checking for Errors on Single-Project RPPRs

To perform an error check on the RPPR for single-project RPPRs, select the Check for Errors button from the RPPR Menu screen.
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.*

### 13.13.2 Checking for Errors on a Multi-Project RPPR

To perform an error check on the Overall or individual component of a multi-project RPPRs, select the **Check for Errors** link from the **Actions** column of the **RPPR Menu** screen for the Overall or individual component being validated.

**NOTE:** Refer to the section of this document titled *Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing on Page 283* for information on adding individual components to the RPPR.
If errors or a warning exist for the chosen component, the appropriate error or warning message displays for each failed occurrence. Select the Check for Errors button of the other components to perform a check against them.

**All errors must be corrected prior to submission:** the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.

If all validations pass, a message displays indicating: *No errors found on validation.*
13.14 Recalling the RPPR

RPPRs that have been routed to a reviewer can be recalled by the person who performed the routing action. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of Reviewer Work in Progress.

NOTE: A PD/PI delegate does not have the ability to recall the RPPR.

To recall an RPPR, select the Recall button from the RPPR Menu screen.

A message displays on the screen indicating: The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.

The status of the RPPR is updated to PD/PI Work in Progress or Reviewer Work in Progress, the reviewer from whom the RPPR is recalled receives an email informing him of the action, and the RPPR routing audit history is updated to reflect the action.

Additionally, the Edit and Route buttons are enabled, providing the new reviewer with the ability to continue editing the RPPR or to route it to another reviewer.
13.15 Viewing the RPPR

Grantees are strongly encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. Refer to the section of this document titled Submitting RPPR to Agency on Page 254.

PD/PIs, PD/PI delegates, and reviewers can view a PDF version of an RPPR in Work in Progress (WIP) or Submitted to Agency status to see how it will be seen by the Agency. Until the RPPR is submitted to agency, the PDF report shows a status of Draft and a blank submission date.

To view the RPPR form, select the View button from the RPPR Menu screen.

13.16 Viewing the RPPR in Commons

The RPPR, in PDF format, is accessible in Commons within the Status Information screen. To view the RPPR, perform the following steps:
1. From Commons, select the **Status** menu option.
2. Select the link for **List of Applications/Grants**.

3. From the **Status Result – List of Applications/Grants** screen, select the hyperlink for the specific Application ID.
The Status Information screen displays with the Other Relevant Documents section in the top right corner.

4. The progress reports for incrementally-funded and multi-year funded awards are displayed differently in Other Relevant Documents.
   a. For an incrementally-funded RPPR: Select the e-Application link from the Other Relevant Documents section of the Status Information screen.
a. For multi-year funded awards: Select the appropriate year's link in the Research Performance Progress Report section. Links will appear as follows: RPPR Year <X> <MM/DD/YYYY>.

The PDF version of the RPPR opens in a separate window.

**NOTE:** The submitted RPPR can also be accessed from the RPPR Menu screen. The View button opens the PDF version of the RPPR.

### 13.17 PD/PI Assurance Report

The PD/PI Assurance Report displays instances when PI users agreed to the PD/PI Assurance message upon routing or submitting a Research Performance Progress Reports (RPPR).

If you hold an SO role, you have access to this information. To view this information:

1. Select the RPPR tab from the Commons menu.
2. From the Manage RPPR screen, select the PD/PI Assurance Report option.
1. The PD/PI Assurance Report screen opens. You can perform a search for a specific PI or by a range of dates for all PIs in the organization. You can search by PD/PI Name, a range of dates, or both. A search with no specified PI will return the records for all PIs in the organization.

2. Enter your search criteria and select the Search button.

   The search results display at the bottom of the screen.
13.18 Public Access PRAM

The Public Access Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, and submit information in response to the automated notification sent when an NIH grantees organization submits an RPPR with non-compliant publications. The system sends the automated email to the PD/PI requesting verification that all publications are in compliance with the NIH Public Access Policy. The SO and AO assigned to the RPPR on the cover page will receive a copy (cc:) of the email. While an email response to the GMS and PO is acceptable at this time, the grantee is encouraged respond using the Public Access PRAM feature in eRA Commons. AHRQ does not currently use the PRAM feature for public access compliance notifications.

Using the PRAM feature, grantees can upload and submit a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Compliant papers have a status of Complete, N/A (not applicable), PMC Journal in Process, or In process at NIHMS. Please see http://publicaccess.nih.gov/include-pmcid-citations.htm for additional information. If unable to provide the verification of compliance, grantees can upload and submit justification for why specific publications cannot be brought into compliance.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the Public Access PRAM, but can only submit it if the PD/PI is delegated with Submit Progress Report authority. Otherwise, only the SO can submit the PRAM to Agency.

13.18.1 Initiating Public Access PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Public Access PRAM by following the steps below:
1. Access the *Status Result – List of Applications/Grants* screen.

2. Select the **Public Access PRAM** link from the **Action** column of the appropriate grant.

   ![Status Result - List of Applications/Grants](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. Use the **Add Attachment** button to browse and select the My NCBI PDF or another PDF document providing justification. Note that selecting the **Cancel** button closes the screen instead.

4. Enter a response in the text box in 2,000 characters or less and select the **Route** button at the bottom of the screen.

   ![Progress Report Additional Materials (PRAM)](image)
NOTE: The options for Delete Attachment and View Attachment display once an attachment has been uploaded. Save, View, and Route History may be selected at this time. Selecting the option for Cancel closes the screen without saving or routing the PRAM information.

5. Optional: Select the View Attachment button to view the document. Select the Delete Attachment button to remove the document.

When the Route button is selected, the Route PRAM to Next Reviewer screen displays. A list of all available reviewers exists in the drop-down for Next Reviewer.

6. Select an SO from the Next Reviewer drop-down list.
7. Enter text into the Comments field as necessary. This is not a mandatory field.
8. Select the Submit button to continue.

The Route PRAM to Next Reviewer screen displays the PD/PI Assurance statement.

9. Read the assurance statement and select the Submit button to agree to the content and continue routing the PRAM to the next reviewer.

The Progress Report Additional Materials (PRAM) screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as Reviewer Work in Progress. At this point, the PD/PI can only view the PRAM and may not edit it. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.
13.18.2 Recalling Public Access PRAM

Public Access PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action until the PRAM has been submitted to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of Reviewer Work in Progress.

**NOTE:** A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Public Access PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.
A message displays on the screen indicating: The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.

The status of the PRAM is updated to PD/PI Work in Progress if recalled by the PI or Reviewer Work in Progress if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and the Route button is enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

13.18.3 Submitting Public Access PRAM

When the Public Access PRAM is in Reviewer Work in Progress status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated Submit Progress Report authority by the SO.

To submit the Public Access PRAM:

1. Access the Status screen.
2. Enter the appropriate query parameters to locate the grant and select the Search button.

   The Status Result – General Search screen displays with the matching information.
3. From the Action column, select the link for PRAM.

The Progress Report Additional Materials (PRAM) screen displays. The screen displays Grant Information on top and the PD/PI comments in the text box at the bottom of the screen. In addition to submitting the PRAM, from this screen, the SO also may View the PRAM as a PDF, Route it to another reviewer (or back to the PD/PI), and view the Route History. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

4. Select the Submit button.

The Submit PRAM to Agency screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.
5. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to the awarding agency, the PRAM status is updated to *Submitted to Agency*, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.

When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR and the **Public Access PRAM** link will no longer be available.

**NOTE:** To view the submitted PRAM, select the **View** button on the *Progress Report Additional Materials (PRAM)* screen. This option opens the PRAM PDF in a separate window. The Public
Access PRAM will appear as the final page of the PDF document. See below for display of IC Requested PRAM.

### 13.18.4 View Public Access PRAM for Multi-Year Funded Awards

After submitting Public Access PRAM for multi-year funded awards, users with access to the grant information may view the PRAM via the Status Information screen. Status Information is accessed by selecting the **Application ID** hyperlink from the Status Result – General Search (SOs) and Status Result – List of Applications/Grants (PIs) screens.

From the Status Information screen, select the hyperlink in the area marked **Progress Report Additional Material (PRAM)** in the Other Relevant Documents section. The PRAM links for multi-year funded awards display as **PRAM Year <X> <date submitted>**.
13.19 IC (Agency) Requested PRAM

The Agency Requested Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the program official (PO) at the IC (or AHRQ, if applicable) for additional information following the submission of an RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the PRAM, but can only submit it if the PD/PI is delegated with Submit Progress Report authority. Otherwise, only the SO can submit the PRAM to Agency.

NOTE: Agency requested PRAM is not available for multi-year funded awards at this time.

13.19.1 Initiating Agency Requested PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Agency Requested PRAM by following the steps below:

2. Select 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. Select the Add Attachment button in the Additional Materials Requested by Agency section of the screen.
4. Use the *Upload Attachment* pop-up *Browse* and *Upload* buttons to search for and attach the appropriate file. Repeat for all necessary attachments.

The **Additional Materials Requested by Agency** section updates to show a table of all attachments. The table displays the *Document Name* and *Action* links of *View* and *Delete* for each attachment.

5. *Optional*: Select the document’s *View* link in the *Action* column to view the attachment.

6. *Optional*: Select the document’s *Delete* link in the *Action* column to remove the attachment.

**NOTE**: The options for *View* and *Route History* may be selected at this time. Selecting the option for *Cancel* closes the screen without saving or routing the PRAM information.
7. Select the **Route** button to send the PRAM for review.

![Route PRAM to Next Reviewer screen](image)

When the **Route** button is selected, the **Route PRAM to Next Reviewer** screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

8. Select a name from the **Next Reviewer** drop-down list.
9. Enter text into the **Comments** field as necessary. This is not a mandatory field.
10. Select the **Submit** button to continue.

![Route PRAM to Next Reviewer screen](image)

The **Route PRAM to Next Reviewer** screen displays the PD/PI Assurance statement.

11. Read the assurance statement and select the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.
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.

13.19.2 Recalling Agency Requested PRAM

Agency Requested PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action up until the submission of the current PRAM attachment(s) to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of Reviewer Work in Progress.

NOTE: A PD/PI delegate does not have the ability to recall the PRAM.
To recall an Agency Requested PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.

A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

**NOTE:** Only items which have not already been submitted can be recalled. If prior Agency Requested PRAM submissions to the Agency exist, these attachments are not included in the recall.

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and **Add Attachment** and **Route** buttons are enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

**13.19.3 Submitting Agency Requested PRAM**

When the Agency Requested Progress Report Additional Materials (PRAM) is in *Reviewer Work in Progress* status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the PRAM:
1. Access the Status screen.
2. Enter the appropriate query parameters to locate the grant and select the Search button.

   The Status Result – General Search screen displays with the matching information.

3. From the Action column, select the link for Agency Requested PRAM.

   ![Status Result - General Search](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).

**NOTE:** If multiple PRAM submissions were completed, selecting the View button only provides a preview of the latest PRAM submission. To view all submissions as one document, access the Status Information screen for the grant and select the PRAM link. Refer to the section of this document titled View Agency Requested PRAM from Status Information on Page 327 for more information.

### 13.19.4 View Agency Requested PRAM from Status Information

After submitting Agency Requested PRAM, Commons users with access to the grant information may view the PRAM via the Status Information screen.

The Status Information is accessed by any of the following methods:

Select the Grant Number hyperlink from the Progress Report Additional Materials (PRAM) screen
Select the Application ID hyperlink from Status Result – List of Applications/Grants (PIs)

Select the Application ID hyperlink from Status Result – General Search (SOs)

From the Status Information screen, select the hyperlink in the area marked Progress Report Additional Material (PRAM) in the Other Relevant Documents section.
The Progress Report Additional Materials file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of Agency Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.
14 Internet Assisted Review (IAR)

Internet Assisted Review (IAR) is an Electronic Research Administration (eRA) module used in tandem with the Peer Review module to help expedite the scientific review of grant applications by providing a standard process for Reviewers to submit their critiques, preliminary scores, and final scores and to view grant applications and related meeting materials via Commons. IAR also has the ability to enable Reviewers to view the critiques of others before the actual meeting (unless conflicts of interest exist). As a result, review meetings can contain more informed discussions.

If you hold the IAR role - and you are enabled for review meeting(s) - you can access the features included in the module.

IAR has its own online help system for Reviewers. If you hold an IAR role, you can access the IAR online help system for Reviewers by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link: http://era.nih.gov/erahelp/IAR_Rev.

NOTE: Currently, the IAR online help is geared towards Reviewers and is only available from the screens accessible by users with IAR roles. An IAR online help system for SROs is planned for the future.
15 xTrain

The xTrain module provides external and internal users with online capabilities for working with trainee appointments and the termination notices of trainees and fellows.

If you hold one of the following roles, you can access xTrain and its features:

- TRAINEE
- PI
- SO
- BO
- SPONSOR
- ASST (when delegated by SPONSOR or PI)

xTrain has its own online help system. You can access the xTrain online help by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link http://era.nih.gov/erahelp/xTrain.

Policy: Ruth L Kirschstein National Research Service Awards

Policy: Reporting and Assurance Requirements for Institutions Receiving Awards for Training of Graduate Students for Doctoral Degrees
16 Administrative Supplement Request

The Administrative Supplements module in eRA Commons allows authorized staff at extramural grantee institutions to initiate and submit an electronic request for additional funds within the scope of the approved project.

The following features are available:

- Initiate, edit, delete and route an Administrative Supplement request
- View an Administrative Supplement request
- View routing history

For more information, refer to the Administrative Supplements topic of the Commons Online Help System (http://era.nih.gov/erahelp/commons/) or the eRA Commons Administrative Supplement Module User Guide (http://era.nih.gov/files/eRA_Commons_Admin-Supp_UG.pdf).
17 Change of Institution Overview

The Commons Change of Institution process allows the extramural grantee institution to submit an electronic version of a Relinquishing Statement (RS) to the Grants Management community for processing and allows the other grantee institution that is proposed to take over the relinquished grant to access the submitted RS.

The institution holding the grant must complete a Relinquishing Statement through eRA Commons that states it is giving up the grant and identifies the receiving institution. The receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed at https://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for an NIH Guide Notice.

NOTE: This functionality only applies to NIH grants. This is an open pilot. This means that either the electronic process documented here can be used or the traditional paper process can be used.

17.1 Features

The Commons system has the following features to accommodate a Change of Institution:

- Create, view, update, save, submit, and route the RS via the Commons Status screen
- Create RS in PDF format upon submitting the RS to the Agency
- Event generated and time sensitive eMail Notifications to appropriate users

17.2 Users

The following users are involved in the Change of Institution process.

1. Signing Official (SO)
   a. The original institution’s SO can perform the following RS functions: Start a new one, View, Edit, Save, Route, Cancel, Delete and Submit RS to Agency.
   b. The receiving institution’s SO can perform the following functions: View RS

2. Project Director/Principal Investigator (PD/PI)
   a. The original institution’s PD/PI can perform the following RS functions: View, Edit, Save, Cancel changes, and Route the RS to the SO for submitting to the Agency.

3. NIH Internal User
   a. The internal user can perform the following RS functions: View, Save, Cancel changes, and Link the RS.

4. Grants Management Official (GMO) or Grants Management Specialist (GMS)
   a. The GMO or GMS can perform the following RS functions: View, Receive, and Return the RS.
17.3 Business Rules

17.3.1 Eligible Grants

All awarded and active grants are eligible to be relinquished except for the ones with the following statuses:

- 02 – Withdrawn
- 21 – Ineligible organization - application withdrawn
- 30 – Withdrawn by Institute/Center (IC)
- 34 – Administratively withdrawn by IC prior to review or council

Subprojects, Institutional Allowances, and Supplements are excluded from being eligible.

RS(s) may be submitted for any activity code.

17.3.2 Access to Relinquishing Statements

Only users with the SO authority at the grantee institution can access the Change of Institution option on the Commons Status screen.

The RS can be accessed only by the SO for grant applications from their grantee institution eligible for transfer.

Only the SO for the grantee institution has the authority to submit the RS to the Agency.

The RS can be accessed by the PD/PI for grantee applications where the PD/PI role is the current reviewer of the RS.

The internal user is able to access the RS in Submitted or Accepted for Consideration status and is able to update the New Institution Name, IPF code and DUNS number of the new institution to which a grant is relinquished.

17.3.3 Relinquishing Statement Reviewers

If the SO initiated the RS and routed it to the PD/PI, then the PD/PI can review, edit specific fields, save and route the RS back to the SO.

Any SO at the grantee institution is able to create, review, edit, save, route, and submit the RS.

17.3.4 Relinquishing Statement Routing Order

The next reviewer in the list of valid next reviewers is always the contact PD/PI on the application. The current user is not shown in the list of valid next reviewers on the RS. If SO is the current reviewer, then the contact PD/PI is the next reviewer by default.

If the PD/PI is the current reviewer, the SO who initiated the RS is the first and default entry in the list on the RS. All other users with the SO role appear alphabetically by last name after the first
entry. The information displayed for each valid next reviewer is as follows: Name (LAST, FIRST).

If the SO routes the RS to the PD/PI, the Route to Next Reviewer screen is named: Route to PD/PI.

If the PD/PI routes the RS to the SO, the Route to Next Reviewer screen is named: Route to SO.

The RS can be routed back and forth between the SO and the PD/PI for an unlimited number of times.

17.3.5 Validation

PD/PI verification is not required. The SO is able to submit the RS without routing it to the PD/PI.

The PD/PI has edit capability only for the New Institution Name information and Contact information in the new Institution Section of the RS.

Saving the RS does not execute any validations. The RS is validated upon submitting it to the Agency. The exception is that new Institution data is validated upon routing the RS by the PD/PI to the SO.

The RS cannot be submitted to the Agency with validation errors, but the RS can be submitted to Agency with validation warnings.

RS(s) submitted for pre-award are not validated for the costs relinquished. They can be zero or the original application’s requested funds amounts.

17.3.6 Other Rules

The system allows multiple RS submissions. The SO is able to submit a new RS only if no RS has been submitted or if the existing RS(s) have been acknowledged (Accepted for Consideration or Refused status) by the Grants Management Specialist (GMS) user.

The RS can be deleted by the SO from the relinquishing institution if it is in the SO Work In Progress (WIP) state and has never been submitted to the Agency.

All submitted and accepted versions of the RS(s) are visible to the receiving institution.

Grant applications for the new institution should be submitted within thirty days after the Relinquishing Statement is submitted from the former institution.

The Relinquishing Statement should be submitted within thirty days of the grant application for the new institution.
17.4 Relinquishing SO Responsibilities

17.4.1 Start or Edit a Relinquishing Statement

The Change of Institution process is initiated by the Signing Official for the original grantee institution that has agreed to relinquish responsibility for an active grant. This must occur before the expiration of the approved project period.

1. On the Commons Status screen, click on the Change of Institution link.

The system displays the Status – Change of Institution search options.

2. To find the grant to relinquish, complete at minimum the required fields: Institution Code and Serial Num.

NOTE: The required fields are noted by an asterisk.
3. Click the **Search** button.

The system displays the search results on the **Status Result – Change of Institution** screen.

**NOTE:** The RS functionality is not available from other Status search result’s screens.

4. After the grant to be relinquished is found, click on the **Manage Relinquishing Statement** link on the **Status Result – Change of Institution** screen.

The system displays the **Manage Relinquishing Statement** screen.

If the award is in a no cost extension or within three months of the project period end date, the following informational pop-up message appears:

> You have selected an award in a no-cost extension/within three months of the project period end date. NIH Institutes & Centers (ICs) policies may limit change of grantee organization requests based on the amount of time
remaining on the award. Please contact the awarding IC to determine IC policy.

If this pop-up message screen appears, click the OK button to proceed to the Manage Relinquishing Statement screen.

5. **To start a new RS:** Click the **Start a new RS** button.

   **NOTE:** If an RS has already been submitted, a new RS cannot be submitted unless the prior RS(s) shows a status of Accepted for Consideration or Refused.

6. **To edit a RS that is in progress:** Click the **Edit** link.

   **NOTE:** To edit an RS, the RS’s status must be SO Work in Progress (WIP) or Returned.
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:
NOTE: The required fields are noted by an asterisk. The following fields are required: New Institution Name, Contact Email at the Institution, Requested Termination Date (MMDDYYYY), and Direct Cost $.

a. Click the Search button in the New Institution Name section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the topic titled Search for Institution on Page 340.
b. Complete the remaining fields: Contact Email at the Institution, Requested Termination Date (MMDDYYYY), Direct Cost $, and Indirect Cost $.
c. Type, NONE, in the Equipment Transferring with the Project section if there is no equipment to be transferred.

8. To save the RS, click the Save button.

The system displays the RS Form on the Relinquishing Statement screen and sets its status to SO Work in Progress.

17.4.2 Search for Institution

When the Search button is clicked for the New Institution Name: field on the Manage Relinquishing Statement screen, the system displays the New Institution – Search screen.

To search for an institution:
1. Type in the receiving institution’s name, IPF or DUNS number and click the **Search** button.

![New Institution - Search](image)

2. If the receiving institution is found, click on the receiving institution’s **IPF Code**.

![New Institution - Search](image)

The system inserts the receiving institution’s name, DUNS number and IPF Code in the appropriate text boxes on the *Relinquishing Statement* screen.

If a new institution is registered with the eRA Commons, it is highly recommended to choose it from the search results. DUNS Number and IPF code are pre-populated from the institutional profile file.

The IPF Code is used to link the submitted RS to the receiving institution and to make it viewable for SO at the receiving institution.

3. If the receiving institution is not found, type the receiving institution’s name in the **New Institution Name** text box and click the **Insert** button.
The system inserts the new receiving institution’s name in the appropriate text box on the Manage Relinquishing Statement screen.

**NOTE:** If the receiving institution is not registered in the NIH eRA Commons (IPF Code is not provided), it may not be able to view the relinquishing statement until it is registered in the eRA Commons. The New Institution needs to register in the eRA Commons and contact the eRA Service Desk for assistance in linking the relinquishing statement to the new institution account.

### 17.4.3 Delete a Relinquishing Statement

The RS may be deleted if the RS is in *SO Work in Progress* state and has *never* been submitted to the Agency.

1. To delete an RS, click the **Delete** link on the Manage Relinquishing Statement screen.
The system displays the RS in a non-editable form and the following message appears on the Delete Relinquishing Statement screen:

*Please confirm that you would like to delete the following relinquishing statement.*

If you no longer wish to delete the RS, you may abort the action by selecting the **Cancel** button.

2. Click the Delete button on the Delete Relinquishing Statement screen to delete the RS.

If the **Delete** button is clicked, the system deletes all data associated with the RS and returns to the Manage Relinquishing Statement screen.

### 17.4.4 Route to PD/PI

SOs can route the relinquishing statement to the PD/PI for if necessary.

To route the RS to the appropriate PD/PI:
1. Click the **Route to PI** button on the bottom of the *Relinquishing Statement* screen.

   The *Route Relinquishing Statement* screen appears. The **Next Reviewer** field displays the contact PD/PI.

2. *Optional:* Enter comments as necessary.

3. Select the **Route to PI** button.

   The system displays *Route Relinquishing Statement* screen with the confirmation message and sends an email notification to the PD/PI regarding the RS. For more information please refer to the section titled [eMail Notifications](#).

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*.

### 17.4.5 Submit a Relinquishing Statement

Only an institution's Signing Official can submit a Relinquishing Statement to the Agency.

To submit the Relinquishing Statement:
1. Click the **Submit** button on the *Relinquishing Statement* screen.

![Relinquishing Statement Screen](image)

**NOTE:** The institution name and contact information are required at the time of submission to the Agency.

The system displays the *Submit Relinquishing Statement to NIH* screen. The Certification Acceptance Statement is displayed and reads as follows:

**APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:**

*In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of [Requested Termination Date] and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.*

*That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited.*
I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief, and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

2. Click the **I Agree** button to submit the RS or click the **Cancel** button to exit the screen.

If the **Cancel** button is clicked, the following screen message appears:

*This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.*

If the **Cancel** button is clicked, the following screen message appears:

*This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.*

When the **I Agree** button is clicked, the system displays the *Manage Relinquishing Statement* screen with the following message:

*The Relinquishing Statement has been submitted to NIH.*
The system also creates the RS PDF file. If the system takes from thirty seconds to two minutes to generate the RS, then the system displays an informational message.

The next reviewer is internal NIH user.

The system returns to the Manage Relinquishing Statement screen. The Status of RS field displays Submitted to Agency.

For post-awarded and post-review applications, email notifications are sent to; the centralized IC mailbox; the currently assigned GMS; and the PO. For pre-review applications, email notifications are sent to; the Division of Receipt and Referral (DRR); the SRO, if assigned; and the receiving institution contact email provided on the RS electronic form. For more information please refer to the section titled eMail Notifications.

3. To View the RS or View Routing History, click the appropriate link. Please refer to the topics titled Signing Official Search/View Relinquishing Statement on Page 353 or PD/PI Search/View Relinquishing Statement on Page 360 for more information.

17.5 Program Director/Principal Investigator Responsibilities

If the Relinquishing Statement is routed to a PD/PI, the RS may be edited and routed back to the SO at the relinquishing institution. The PD/PI may edit only the institution information and contact email address.

17.5.1 Edit Relinquishing Statement

Perform the following steps to find and edit a Relinquishing Statement:

1. Find the appropriate grant on the Status Result – List of Applications screen and click the Relinquishing Statement link.
NOTE: If there are multiple PIs for a grant, the letters MPI appear to the right of the Application ID.

The system displays the Relinquishing Statement screen.

2. If necessary: To add or change the institution information on the RS form, click the Search button in the New Institution Name section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the Search for Institution topic.

The system inserts the new receiving institution’s name in the appropriate text box on the Manage Relinquishing Statement screen.
4. **If necessary:** Complete the **Contact Email at the Institution** address.

**NOTE:** The email address should be in the following format: user_name@domain_name.com.
If the email address is not entered, an error message is produced. For more information please refer to the section titled Error Messages.

5. Perform one of the following on the Relinquishing Statement screen:
   a. To save the edits to the RS, click the Save button.
   b. To cancel editing the RS, click the Cancel button.

17.5.2 Route Relinquishing Statement to SO

After the appropriate edits have been made to the RS, the RS is routed back to the SO for submission to the Agency. To route the RS back to the SO:

1. Select the Route to SO button on the Relinquishing Statement screen.

   If the new institution name has not been provided, then the following warning message is displayed:

   The New Institution Name has not been provided. This information will be required at time of submission to agency.
If the new institution’s name is not blank, the new institution’s IPF number has to be provided. If the IPF number is not provided, then the following warning message is displayed:

_You have selected an institution not registered in the NIH eRA Commons. Please verify the institution information. The new institution may not receive notification and will not be able to view the relinquishing statement until it is registered in the NIH Commons. The New Institution will need to register in the eRA Commons and contact the eRA Service Desk to access the relinquishing statement._

The system displays the _Route Relinquishing Statement_ screen. The _Next Reviewer_ is the relinquishing SO. If there is multiple SOs at the relinquishing institution, the _Next Reviewer_ drop down menu can be used to select the appropriate SO to route the RS to that person. The names are displayed as last name, first name.

2. Click on the _Route to SO_ button to route the RS to the SO.

If you wish to abort the action, selecting the _Cancel_ button to return to the _Relinquishing Statement_ screen.

If the _Route to SO_ button is clicked, the system displays the _Route Relinquishing Statement_ screen with an OK button. The following message is displayed: _The relinquishing statement was routed to <next reviewer commons user id>._
3. Click the **OK** button to complete the routing to the relinquishing SO.

An email notification is sent to the selected SO notifying that the RS has been routed back. For more information please refer to the section titled [eMail Notifications](#).

### 17.5.3 Signing Official Search/View Relinquishing Statement

Perform the following steps to search for a grant to relinquish or to view an RS:

1. Click the **Change of Institution** link on the **Status** screen.

The system displays the **Status – Change of Institution** screen.
17.5.3.1 Search for a Grant to Relinquish or to View RS

**NOTE:** This search is designed for the SOs at the original (relinquishing) institution. For steps on performing a search as a PD/PI, refer to the topic titled *PD/PI Search/View Relinquishing Statement on Page 360.*

1. Enter the appropriate search criteria in the **Search for Grants** section on the *Status – Change of Institution* screen. At minimum the required fields must be populated: **Institution Code** and **Serial Num**.
2. Select the **Search** button.

The system displays the *Status Results – Change of Institution* screen.
2. Click on the *Manage Relinquishing Statement* link.

![Manage Relinquishing Statement](image)

The system displays the *Manage Relinquishing Statement* screen.

If the RS has been routed to the PD/PI by the SO or the RS has been submitted to the Agency, then the **View** and **View Routing History** links appear.

![Manage Relinquishing Statement](image)

If the RS has been submitted to the Agency and returned from NIH for corrections or the RS’s status is *SO Work in Progress*, then the **Edit** and **View Routing History** links appear.

**NOTE:** For editing the RS, refer to the section titled *Manage Relinquishing Statement*.

3. To view the RS, click the **View** link.

![View Route](image)
If the RS has not been submitted to NIH, then the system displays the non-editable *Relinquishing Statement* screen. You can select the **Cancel** button on the *Relinquishing Statement* screen to return to the *Manage Relinquishing Statement* screen.

If the RS has been submitted to NIH, then the system displays the RS in PDF format in a separate window.
4. *Optional:* To view the RS routing history, click the **View Routing History** link.
The system displays the View Routing History screen. The following statuses may be seen depending on where the RS is in the process: SO Work in Progress, PD/PI Work in Progress, Submitted to Agency, Returned, Accepted for Consideration, Submitted to Agency and Linked, or Accepted for Consideration and Linked.

5. Click the Back button to return to the Manage Relinquishing Statement screen.

17.5.3.2 Search for Relinquishing Statements Submitted by Former Institution

SOs have the ability to search for Relinquishing Statements submitted by the former institution. This search is performed using the Search for Relinquishing Statements section on the Status – Change of Institution screen.

To search for RS submitted by the former institution:

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

If no search parameters are entered, the search returns all the RS(s) linked to the current institution by Institutional Profile File (IPF).

If the current institution has not been registered with Commons before the RS is submitted, the search does not return any results until the RS is updated with the IPF and/or the DUNS number.

If the system determines that no Relinquishing Statements have been linked to the receiving institution, then the following warning message appears:
No relinquishing statements have been associated with your institution. Please contact eRA Service Desk.

The system displays the Status Results – Search for Relinquishing Statements screen.

2. Click the **View Relinquishing Statement** link.

   ![View Relinquishing Statement](image1)

   The system displays the View Relinquishing Statement screen. Relinquishing Statements with a status of *Accepted for Consideration* or *Submitted to Agency* are displayed.

3. Click the **View** link for the appropriate RS.

   ![View Relinquishing Statement](image2)

   The system displays the RS in PDF format in a separate window. If the PDF file does not exist, the system displays the following message: *Document Not Found.*

4. Click the **Cancel** button to return to the Status Result – Search for Relinquishing Statements screen.

17.5.4 PD/PI Search/View Relinquishing Statement

Once a Relinquishing Statement has been submitted to the Agency, it is viewable within the Commons Status Information screen.

Perform the following steps to view the submitted form.

1. On the Status Result – List of Applications/Grants screen, click on the appropriate grant number link in the Application ID column.

The system displays the Status Information screen.

2. From the Status Information screen, click on the Relinquishing Statement link in the upper right hand corner.
The system displays the Relinquishing Statements screen.

3. Click the Relinquishing Statement hyperlink to view the Relinquishing Statement PDF.

### 17.6 eMail Notifications

#### 17.6.1 eMail to the New Institution Contact eMail Provided on the RS Electronic Form

**Subject: eRA Commons: Relinquishing Statement for Grant <Grant Number>Submitted**

To: New institution contact email provided on the RS electronic form

eMail Content: <Do not reply warning>

A relinquishing statement for NIH Grant Number <Grant Number> has been submitted electronically through eRA Commons identifying this email address as a contact for the new institution.
You may view this relinquishing statement by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). The proposed new grantee must submit a change of institution application. See the NIH Grants Policy Statement for policies regarding change of institution requests.

If your institution is not registered in the NIH eRA Commons, you will need to register in the eRA Commons and contact the eRA Help Desk for assistance in linking the relinquishing statement to your new institution account.

If you have any questions about this email, please contact the eRA Help Desk via the web at [URL] or e-mail commons@od.nih.gov or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.2 Confirmation eMail to PD/PI & SO from Former Institution Acknowledging NIH Receipt of RS

TO: PD/PI, SO (who actually submitted the RS)

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> Submitted

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was electronically submitted to NIH and may now be viewed in the eRA Commons on the Status Information screen.

If you logged in as PD/PI, go to Status - List of Applications/Grants and select the link associated with the Grant Number.

If you logged in as SO, you can access the Status Information page by going to Status, executing a query for the grant, and selecting the link associated with the Grant Number. Also, you can view the submitted relinquishing statement through the Manage Relinquishing Statement page.

NIH must review and acknowledge the receipt of the relinquishing statement before a change of institution can be processed.

If you have any questions about this email, please contact the eRA Help Desk via the web at [URL] or e-mail commons@od.nih.gov or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).
17.6.3 The Relinquishing Statement Routed eMail Notification

Subject: eRA Commons: Request That You Review Relinquishing Statement for Grant <Grant Number>

To: PD/PI, SO - Individual selected by the current user as the next reviewer using the Route button

<User Last Name>, <User First Name> has completed processing the Relinquishing Statement for Grant <Grant Number>, and has forwarded it to you.

Please review the Relinquishing Statement in the NIH eRA Commons system and take the appropriate action for its eventual submission to the NIH. Please be aware that the correct new institution name and the contact email address provided on the relinquishing statement are necessary for the appropriate interactions between the awarding IC and grantee institutions involved in the process of the grant transfer.

Please use the link provided below to access the eRA Commons login screen.

The previous reviewer comments on why this action was taken are as follows: [Comments].

Footer:

If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/eRA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Please access the NIH Commons at [URL to Commons Home Page]

17.6.4 The Relinquishing Statement Returned eMail Notification

Subject: eRA Commons: Relinquishing Statement for Grant <Grant Number> has been Returned by NIH

To: SO (who submitted RS to the agency), Centralized institution mailbox.
Relinquishing Statement for grant <Grant Number> has been reviewed by NIH and routed back to you with the following comments: [Comments]

Footer:
If you have any questions about this email, please contact Grants Management Specialist <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/ERA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Please access the NIH Commons at [URL to Commons Home Page]

NOTE: <initiator_email_addr> is the Employment address.

17.6.5 The Relinquishing Statement Acknowledged by NIH eMail Notification

Subject: NIH Automated Email: Relinquishing Statement for Grant <Grant Number> Received
To: SO (who submitted RS to agency), Centralized institution mailbox, PD/PI

NIH has acknowledged the receipt of the Relinquishing Statement for grant <Grant Number>.

Footer:
If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/ERA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Please access the NIH Commons at [URL to Commons Home Page]

17.6.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User

TO: PD/PI assigned to the grant, SO who submitted the RS from the former institution, new
institution contact email provided on the RS electronic form

**SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> is visible to the New Institution**

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was linked to the new institution by NIH and may now be viewed in the eRA Commons by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

Footer:

If you have any questions about this email, please contact the eRA Help Desk via the web at [http://ithelpdesk.nih.gov/eRA/](http://ithelpdesk.nih.gov/eRA/), by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

### 17.6.7 Change of Institution Time Based Reminders

#### 17.6.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date)

**Recipients:** New institution contact email provided on the RS form

**From:** eRANotifications@mail.nih.gov

**Subject:** NIH Automated Email: Relinquishing Statement has been submitted XX days ago

**eMail Content:** <Do not reply warning>

The relinquishing statement for NIH Grant Number [GrantNumber] has been submitted electronically through eRA Commons <XX> days ago.

As the proposed new grantee, you must provide the GMO with a change of institution application prior to the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing.

If you have already submitted a paper change of institution application, you may disregard this notice.

If you do not intend to submit a change of institution application, please contact the grants management officer or the grants management specialist at the awarding IC to inform them.
If you have any questions about the change of institution request process at NIH, please contact the grants management officer or the grants management specialist at the awarding IC.

If you have any questions about this email, please contact the eRA Help Desk via the web at https://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov.

Thank you.

17.6.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date)

**Recipients:** Any SO at the Former Institution (of the Parent Grant), Former Institution centralized mailbox, PD/PI on the application

**From:** eRANotifications@mail.nih.gov

**Subject:** NIH Automated Email: Change of Institution Electronic Request has been submitted XX days ago

**eMail Content:** <Do not reply warning>

The Change of Institution request for NIH Grant Number [Parent Grant Number] has been submitted electronically through Grants.gov <XX> days ago.

The request to change the grantee institution indicates that there may be a change in status of the PD/PI which requires prior approval from the NIH. Please contact the grants management officer or the grants management specialist at the awarding IC to discuss the status of the award.

If you have already submitted a relinquishing statement on paper, you may disregard this notice.

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov.

Thank you.

17.7 Error Messages

If the system may determine that an unexpected error occurred, then the following error message appears.

*An unexpected error occurred. Please contact eRA Service Desk.*

If the system determines that the required field information was not entered on the search screen, then the following error message is produced:

*You must enter the following required fields to proceed.*
If the system determines that the grant being searched for is not found, then the following error message is produced:

*No grants to relinquish have been found.*

If the system determines that the new institution name has not been entered on the RS, then the following error message is produced:

*New Institution Name is a required field.*

If the system determines that the new institution’s Email Address has not been completed on the RS, then the following error message is produced:

*Please enter data in the Email Address field (e.g. user_name@domain_name.com) (ID: 30102).*

If the system determines that the Termination Date has not been completed on the RS, then the following error message is produced:

*Termination Date is a required field. (ID: 200241)*

If the system determines that the Termination Date is not within the current budget period on the RS, then the following error message is produced:

*The requested Termination Date must be within the current budget period.*

If the system determines that the Direct Cost field has not been completed on the RS, then the following error message is produced:

*Direct Cost is a required field.*

If the system determines that the Direct Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

*The direct costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.*

If the system determines that the Indirect Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

*The indirect costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.*

If the system determines that the total unexpended balance on the RS exceeds the amount awarded for the current budget period, then the following error message is produced:

*The total costs being relinquished must not exceed the costs for the current budget period for transfers of active awards.*
If the system determines that the Direct Cost, or the Indirect Cost or the Total Cost exceeds 999,999,999, then the appropriate error messages are displayed:

- *Direct Cost amount cannot exceed 999,999,999.*
- *Indirect Cost amount cannot exceed 999,999,999.*
- *Total Cost amount cannot exceed 999,999,999.*
18 FFR Module

18.1 What is FFR?

NIH has transitioned from the use of Financial Status Reports (FSRs) to Federal Financial Reports (FFRs) items 10.d. – 13.e. for the reporting of expenditure data. See guide notice NOT-OD-11-017 (https://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-017.html).

A Federal Financial Report (FFR) is a statement of expenditures associated with a grant. Recipients of federal funds are required to report the status of funds for grants or assistance agreements to the sponsor of the grant using the Federal Financial Report expenditure data. The FFR module allows grantees to electronically submit a statement of expenditures associated with their grant to the sponsor of the grant via the electronic Research Administration (eRA) Commons.

18.2 Report Submission Due Dates

The FFR is prepared and submitted by Grant and Contract Accounting (GCA) on behalf of the Principal Investigator (PI). The schedule for submitting required financial reports is generally specified in the award documents of a grant or contract. See NIH FFR Supplemental instructions. Different due dates exist for FFRs depending on whether the report is an annual report or the final report.

Annual Federal Financial Report

For awards requiring annual submission of an FFR, the report must be submitted each budget period within 90 days of the calendar quarter in which the budget period ended. The reporting period for the annual FFR is the budget period for the award. The actual submission date is based on the calendar quarter (6/30, 9/30, 12/31, and 3/31).

Final Federal Financial Report

For awards requiring a final FFR, the due date and status for a final FFR are based on the Project Period End Date (PPED) as follows:

- Pending: If the FFR is not submitted and it is within 120 days of the PPED
- Due: If the FFR is not submitted and it is between the PPED and 120 days past the PPED
- Late: If the FFR is not submitted and it is over 120 days past the PPED

18.3 FSR Role in Commons

An extramural institution user who has the authority to view, enter, and submit an FFR on behalf of his entire organization must hold the FSR role in eRA Commons to access the FFR module. A institution's Signing Official (SO) or Account Administrator can add this role to a user's account.
Depending on the institution’s workflow process, it is possible for the Signing Official (SO) or Business Official/Administrative Official (BO/AO) to have FSR person responsibilities. As such, these two authorities may be combined on the same account.

**NOTE:** An account with only the FSR role assigned can only perform tasks associated with FFRs; however, an account can include multiple roles, including that of FSR.

### 18.4 Features of FFR

If you have the FSR role in Commons, you can use the FFR module to perform multiple tasks. Available options vary depending on the status of the FFR associated with the award.

- Search for grant awards within your organization having associated FFRs
- Create a new FFR
- Edit a work in progress FFR
- View an FFR as a PDF
- Submit an FFR
- Correct a submitted FFR
- View the submission history of an FFR

**NOTE:** NIH requires all financial expenditure data to be submitted via eRA Commons. This includes all initial FFRs being prepared for submission and any revised FFRs being submitted or re-submitted to NIH.

**IMPORTANT:** With the transition of expenditure data reporting from Financial Status Reports (FSRs) to FFRs, it is possible that you may need to revise a previously submitted FSR. In this case, the revised report should also be submitted using the FSR format. eRA Commons will automatically select the correct form for you.

Uninitiated FSRs or FSRs in a *Work in Progress* status are no longer available. For these FSRs, eRA will reject the old report and institutions must create a new report using the FFR format. If you have questions on the version of the report being used or if you can no longer find your in progress report, please contact the eRA Service Desk.

The Commons Online Help contains detailed information on the FFR module. You can access the FFR topics by selecting any of the help icons ("?") on the FFR screens or by directly entering the following URL into your browser: [https://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm](https://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm). If you prefer a PDF format user guide, refer to the *Federal Financial Report (FFR) Expenditure Data User Guide* at [https://era.nih.gov/files/ffr_user_guide.pdf](https://era.nih.gov/files/ffr_user_guide.pdf).

### 18.5 Accessing FFR
The FFR module is housed within Commons. If you hold the FSR Commons role, you have access to FFR.

2. Log into Commons using your User Name and Password.
3. Select the FFR tab from the Commons menu tabs.
19 Financial Conflict of Interest (FCOI) Module

The Electronic Research Administration (eRA) Commons is a Web-based system for applicants and institutions to participate in the electronic grant administration process. Commons provides a modular framework and infrastructure that allows National Institutes of Health (NIH) extramural grantee organizations, Operating Divisions (OPDIVs), grantees, and the public to conduct grant-related business with NIH.

The Financial Conflict of Interest User Guide will instruct a user on how to allow specific users to manage the Financial Conflict of Interest (FCOI) reporting process for their particular Institution. The Financial Conflict of Interest (FCOI) reporting process allows institutions to report the existence of any identified financial conflicts of interest to the Agency as required by the Federal regulation, specifically Title 42 Code of Federal Regulation Part 50 Subpart F for grants and cooperative agreements. The institution’s Signing Official (SO) completes this reporting process unless an FCOI role is delegated to another user (the SO can also assign the FCOI_ASST and FCOI_View roles to other users). To do this, the SO must log into the eRA Commons and navigate to the FCOI sub-system.

The FCOI module is an online interface within Commons that allows grantees and Federal staff to share information. The module is mandatory for all institutions. An institution's Signing Official completes this reporting process unless another Commons user is delegated with the proper authority to access the module.

The FCOI module in Commons allows institutional users to:

- Initiate and prepare FCOI reports
- Electronically submit reports and supporting documents as well as annual FCOI reports
- Receive notification via email upon the submission and receipt of an FCOI
- Search and view FCOI reports previously submitted through the Commons
- Revise an Initial 2011 FCOI Report to update FCOI data following completion of the Retrospective Review or to submit a Mitigation Report when bias is found following the completion of a Retrospective Review.
- Access history of actions
- Assign FCOI access to other Commons users

Additional information on the reporting requirements can be found within the Frequently Asked Questions on the Office of Extramural Research’s Financial Conflict of Interest website at https://grants.nih.gov/grants/policy/coi/index.htm.

19 Non-Research Amendments (for Non-Research Agencies)

The steps in this section outline the process for grantees to submit post-award amendment applications for funding.

19.1 PI Initiate

When a user with a PI role selects the Non-Research tab and then the Manage Post Award Amendments tab, the system will present them with a list of grants eligible for amendments. This list will only display those grants on which the user is a PI.

A checkbox is available to show expired grants as well and these may also be amended.

The screen will show buttons in the Action column for initiating a new amendment application or to view a previous amendment application if that grant has had one previously.

The View button option will display any amendment applications associated with that grant. Please see the View section for more detail.

Clicking on the Initiate button will open a menu showing the following types of amendment options:

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organization Change

Clicking on one of the menu options will open up the ASSIST module and open the forms required for the type of amendment selected. (click for an example)
The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

**NOTE:** It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

### 19.2 SO Initiate

**NOTE:** SAMHSA users who are Business Officials will be given the Signing Official role in eRA Commons.

Business Officials with the SO (Signing Official) role in eRA Commons will be able to search for all grants that are eligible to be amended within their institution.

Open **Search** by clicking on the **Non Research** tab and then the **Manage Post Award Amendments**.

The resulting Search screen will provide fields to search by several criteria. If the search criteria fields are left blank and then the **Search** button is clicked, a list of all eligible grants for the institution are displayed.

The SO may then use the **Filter** tool to find specific grants or grants with specific criteria (specific PD/PI, for example).
The resulting list will have an **Initiate** button and, if there are already amendments for that grant, a **View** button.

The **View** button option will display any amendment applications associated with that grant. Please see the **View** section for more detail.

Once the grant to be amended is located, click on the **Initiate** button in the **Action** column on the row for that grant to see a drop-down menu listing the following amendment options:

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organizational Change

Select the most appropriate type. The user will then be taken to the ASSIST tool to begin the post-amendment application with the amendment-specific forms. (}
The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

**NOTE:** It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.
19.3 View Amendments

In order to view amendments, log into eRA Commons with the PI or SO role. Select the Non-Research tab, and then select Manage Post Award Amendments.

The Manage Post Award Amendments: Search screen will open.

PIs will see a list of grants, for that PI, which are eligible to be amended.

NOTE: The list can be sorted by clicking the heading title for any column except for Action.

By default, expired grants are excluded but the Include Related Grants checkbox may be selected to include those grants in the search results.

SOs will initially see search fields above an empty hitlist.
The SO may then search via any combination of; Activity, IC, Serial #, or PD/PI Last Name. The Include Expired Grants checkbox allows the option to include expired grants in the search results.

**Tip:** If all fields are left blank, the search results will include all eligible grants within the institution.

**Tip:** Use the Filter field for additional specification
For both the PI and SO Search results;

Grants that have had amendments submitted will have a View button as well as the Initiate button in the Action column of the table.

Clicking on the View button will open up the View screen and display the amendments related to that specific grant as well as their statuses.

The Back to Search button at the top of the page will return the user to the previous page.

The Initiate button at the top of the page will give options to begin another amendment application.

The Action(s) button in the Action column provide a menu giving the options to either view a consolidated PDF of all related Requests for Additional Material (View Prior RAM) or to open up the RAM screen in order to upload materials (Edit RAM). The Edit RAM option will not show for awarded applications. See the section on RAM for more detail.

Please see these topics for more detail:

- PI Initiate
- SO Initiate
19.4 Request for Additional Materials - RAM

Subsequent to submitting an amendment application, the Program Official (PO) or Grants Management Specialist (GMS) may ask for additional information to be submitted. This is done via a "Request for Additional Materials" (RAM).

From the View Amendments screen, any applications that require additional materials or actions will display an Action(s) button in the Action column.

Clicking on Action(s) will open up a menu to select from Edit RAM or View Prior RAM.

View Prior RAM will provide a PDF file of all RAM submissions that have been made for that Amendment application.

Selecting Edit RAM will open the RAM screen.
On this screen will be:

- Application Information - A summary of the related application for which the RAM is being requested.
- An option to upload required documents requested. Up to 10 documents may be uploaded. Individual documents may not exceed 6MB in size.
- An area used for the justification which is a free-form text box and is a required field.
- Cancel, View, Save, and Submit buttons.
  - Cancel - Takes the user back to the Amendment View
  - View - Creates a PDF of all submitted RAMs
  - Save - Saved the current in-progress RAM
  - Submit - Sends the RAM to the agency. Once submitted, no more changes to this specific RAM can be made and the justification and uploaded files will be appended to the final summary PDF.

There can only be one active (i.e. non-submitted) RAM at a time to which changes can be made by any authorized user. Once submitted, a new RAM is required for additional changes.
Things to note:

- There is no limit to the number of RAMs that the user can submit.
- Both PI and SO can edit the RAM as it allows for a partial save.
- The system provides an audit trail of who uploaded the documents.
- The user can see a consolidated list of all documents uploaded for RAM submission, with the latest on top. It is presented to the agency as one PDF with all documents combined.

Tip: Check all documents after uploading to ensure the right ones have been submitted.

When the RAM is submitted, an email notification is sent to the Government Project Officer (GPO), Grant Technical Assistant (GTA) and Grants Management Specialist (GMS).

The system provides an audit trail of who uploaded the documents.
20 xTRACT

Extramural Trainee Reporting and Career Tracking (xTRACT) is a module within eRA Commons used by applicants, grantees, and assistants to create research training tables for inclusion in progress reports and institutional training grant applications.

Because xTRACT is integrated with Commons it is able to pre-populate some training data for training tables and reports by using xTrain appointment and related data. This includes trainee names, selected characteristics, institutions, grant numbers, and subsequent NIH and other HHS awards. xTRACT also allows the manual entry of data, for information not found in Commons or xTrain. This manually entered information is stored in xTRAIN and can be re-used when preparing subsequent training table submissions.

If you are a Signing Official (SO), Principal Investigator (PI), or assistant (ASST) in Commons, you have access to the xTRACT module.

**IMPORTANT:** xTRACT is a tool for creating training tables. Tables generated in xTRACT must be attached to and submitted with the appropriate progress report or application. There is no Submit feature in xTRACT.

For additional information on xTRACT, please refer to the resources below:

- xTRACT Online Help: [https://era.nih.gov/erahelp/xtract](https://era.nih.gov/erahelp/xtract)
21 Reference Letters

If you are asked to submit a reference letter for someone, you must do so using eRA Commons. Reference letters can be submitted any time after the Funding Opportunity Announcement (FOA) is posted and no later than the deadline.

**IMPORTANT:** The referee need not log in to Commons to submit a reference letter for an applicant. The process is external to Commons.

Although - as the Referee - you do not need a Commons role to submit a reference letter, the candidate on whose behalf you are writing must have a Commons account and hold the PI role. If your candidate does not hold this role, you will receive the following error when attempting to submit the letter: *Commons User ID of Applicant entered is invalid (ID:90274)*.

The candidate's Signing Official (SO) or Accounts Administrator (AO) at the institution will need to assign the PI role to the candidate's Commons account.

In order for you to submit a reference letter, the candidate must supply you with the following:

- Applicant's PI Commons User ID
- PI's last name as it appears on the Commons account
- Funding Opportunity Announcement (FOA) number
- FOA opening date and application submission deadline

Letters of reference must be no longer than 2 pages and in the PDF format.

**NOTE:** For Fellowship applications and Career Development programs a Letter of Reference form is no longer required. A letter written on university letterhead or similar is acceptable.

To submit a reference letter, follow the steps below:

1. Use your internet browser to access the *Welcome to the Commons* at [https://public.era.nih.gov/ commons/public/login.do](https://public.era.nih.gov/commons/public/login.do)
2. Select the **Submit Reference Letter** link.

The **Submit Reference Letter** form displays.
3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*).

4. Select the **Continue** button.

   The screen updates providing you a place for uploading your letter or form. The letter must be in PDF format and should not exceed two pages. The PDF cannot be password-protected and should not be fillable.

5. Attach the reference form or letter using the **Browse** button.

6. After attaching your letter, select the **Submit** button.

Once a reference letter is submitted, you and the candidate will receive a confirmation via email that the letter was received. The candidate will not be able to see the reference letter you've submitted.

**IMPORTANT:** If you need to submit a corrected reference letter, access the **Commons Submit Reference Letter** screen again, filling out the fields, this time entering the **Reference Letter Confirmation #** with the previous submission's confirmation number. Continue, attach the new letter, and submit again.

For more information, refer to our tutorial on You Tube titled **Submit Reference Letters in Commons.**
# 22 Understanding Grant Numbers

A grant number provides unique identification for the grant. The figure below shows an example of a complete NIH grant number.

Sample Grant Number: 1 R01 CA 123456-01A1

<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

For additional information, access the Grants & Funding website listing the types of grant programs (Policy: [https://grants.nih.gov/grants/funding/funding_program.htm](https://grants.nih.gov/grants/funding/funding_program.htm)).
22 ORCID

The *Open Researcher and Contributor ID* (ORCID) is used within NIH and GRANTS.GOV to relate publications to grants. You can associate or create your ORCID from the Commons [Personal Profile](#) Module.

For more information regarding ORCID please visit [https://orcid.org](https://orcid.org).