

National Institutes of Health/Office of Extramural Research



eRA Commons FSR User's Guide for External Users

Version 1.0.0.0 – January 2003

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Introduction

A statement of expenditures sent to the sponsor of a grant or contract, the Financial Status Report (FSR) 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. FSRs are usually due at the end of both the Budget Period and Project Period within 90 days after the expiration date, and may be required at interim times as well.

System Requirements

The server component for the IMPAC II FSR System runs on a Sun Solaris operating system, located at NIH CIT and interfaces with existing IMPAC II applications. To access:

• The client component can consist of any personal computer using Internet Explorer on any platform.

NOTE: The lowest Internet Explorer version that can be used has yet to be determined.

Accessing FSR

FSR is a web-based application.

To access:

1. Locate your Web Browser icon (e.g., Netscape Communicator or Internet Explorer) and open.



Uniform Resource Locator (URL), the global address of documents, and other resources on the World Wide Web (WWW).

- Enter the following URL in the Location field: <u>http://impacwebdev2.oer.od.nih.gov:8060/commons/</u>
- Press Enter
 - 3. The Welcome Screen displays, as illustrated in Figure 1.1.

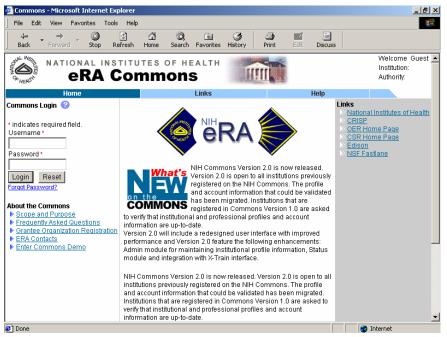


Figure 1. 1 eRA Commons - Welcome Screen (COM0001).

Commons Login

To Login:

5.



Figure 1. 2 The eRA Login box.

- 4. Enter your User Name and press **Tab**.
 - Enter your Password and press Enter
- 6. Alternatively, select Login

Welcome Screen

Once access is granted, the FSR Banner and Menu Screen displays.

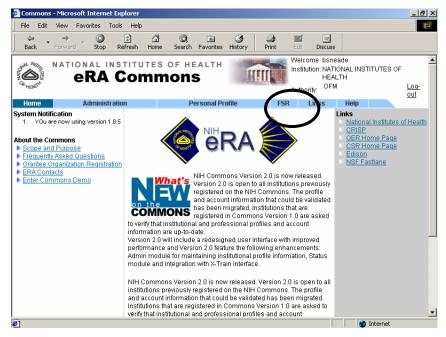


Figure 1. 3 eRA Commons Welcome Screen (COM0001).

The Welcome Screen provides an *entry-point* and interface to the FSR System.

To access the Search Screen:

- Select the **FSR** link.
- Alternatively, select the **Log-out** option to exit.

 Additional Menu Items
 Additional Menu items available from the Welcome Screen:

 • Select the Home link to return to the Welcome Screen (COM0001) without a log out.

 • Select the Administration link and users granted access priviledges may perform system and account maintenance.

 NOTE: The sub-menu Accounts allows all users to access and change their password.

- Selecting Links displays the eRA Common Links, which are also available from the Welcome Screen Figure 1. 3.
- Select the <u>Help</u> link to access on-line Help

The PGM query functions are performed from the Search Screen.

FSR Search

The FSR system provides an ad hoc query module for locating the grant record for creation or update. The FSR Search Screen (FSR8013) allows users to enter criteria and execute a query that will retrieve the grant record.

To access:

- From the Welcome Screen (COM0001).
- Select the **FSR** link.

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Figure 1. 4 FSR Search Screen (FSR8013).

Performing a Query

Queries can be performed using one or more query parameter fields. However, performing a search using *only* one of these fields could cause FSR to return a large set of records. Therefore, using more query parameters provides a smaller, filtered Hit List.

The Hit List displays 10 records per page with navigation buttons that provide access to the Next and Previous pages.

A standardized format for reporting the financial status of individual programs, the Financial Status Report (FSR) reports all revenue and expenditures on a cash or accrued basis. To retrieve grant information:

- 1. Enter the query criteria.
- 2. Click the Submit button to execute the query.
- 3. The Hit List displays the list of records that matches the entered criteria.

Entering Another Query

To remove existing criteria so that another query can be entered:

• Click the Clear button.

NOTE: Text-only is cleared from the screen.

Ad Hoc Query Parameters

The Query Parameter fields accept user input and are defined within the subheadings that follow.

Grant Number	Six fields comprise the grant application number query fields. Entering criteria within one or a combination of fields allows queries for a listing of grants. The application number identifies the Type of application (new is Type 1), Activity code (R01 - Research Project grant), IC (Administering Organization), Serial # assigned by CSR, the Support year for the grant, and the Suffix identifies a supplement or amendment . For contracts, a modification number replaces the suffix.
	NOTE : Wildcards can be used within the IC and Activity code fields. For example, to search for all types of Fellowships, enter R% to retrieve Research Projects with an Activity Code of R01 through R44 .
Org Name	The name of the Extramural Organization can be identified as a grantee, sponsor, or contractor. However, this name may differ from the grantee, sponsor, or contractor that appears on the application or Notice of Grant Award (NGA).
	NOTE : Wildcards can be used within the Organization Name field. For example, to search for all Organizations containing Maryland , enter %Maryland%.
Due Date Range	The FSR is required on an annual basis and the report must be submitted for each budget period. Use the format MM/DD/YYYY to enter the Starting date and the Ending Date.

 EIN
 Assigned to each organization by DHHS Central Registry System for payment and accounting purposes, enter the Employer Identification Number, which is obtained from the IRS.

 Latest FSR Status
 This field is used to search for grants based on the current FSR submission status for the budget period. More than one status code is included in the "status group."

 • Click the drop-down list
 button to view the options.

Hit List

The FSR System retrieves all awarded grants (except Fellowships) and sorts the resulting record set by Institution, then Latest FSR status, and then by Grant number.

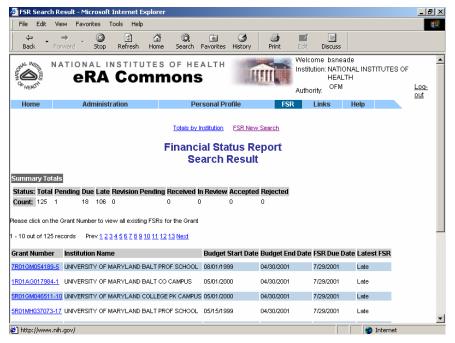


Figure 1. 5 FSR Search Results Screen (FSR8014).

Navigating the Hit List

To navigate the Hit List:

- Select the <u>Next</u> link to view the next set of records (next 10) within the Hit List.
- Select the <u>Prev</u> link to view the previous set of records (previous 10) within the Hit List.
- Place the cursor on the **Grant Number** (link) to view the details.

Totals by Institution

To view the Total number of grants by Institution:

• Select the **Totals by Institution** link.

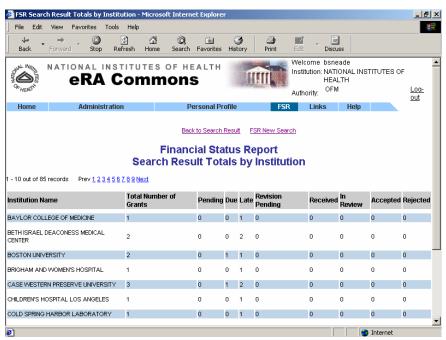


Figure 1. 6 Totals by Institution (FSR8009).

Viewing an Existing FSR Record

Once a query has been executed, selecting the **grant number** link from the Hit List displays the FSR Details Screen (FSR8004).

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Figure 1. 7 FSR Details Screen (FSR8004).

Viewing the FSR Report

To view an existing FSR Report:

• Select the <u>View</u> link and the File Download dialog box will display.

File Download		×
	You have chosen to download a file from this location. FSR93.pdf from impacwebdev2.oer.od.nih.gov What would you like to do with this file? Open this file from its current location Save this file to disk Always ask before opening this type of file	
	OK Cancel More Info	

Figure 1. 8 File Download.

- With the "Save this file to disk" radio button selected, click
 OK and download the FSR Report to your local computer.
- Double-click on the saved PDF file to view the FSR Report as illustrated in Figure 1. 9.

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		Yes 🗆	No	Cash 🗹	Accural
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Fre	om 09/30/1995	From 08/31/2001	From 09/01/1999	From 08/31/	2001
10.	. Transactions:	Previously Reported	This Period	Cumulative	
a. '	Total outlays	0.0	0.0	0.0	
b.	Refunds, rebates, etc	0.0	0.0	0.0	
	Program income used in accordance	0.0	0.0	0.0	

Figure 1. 9 View the FSR.

- Click the Next Page icon to move through the report.
- Click the Print icon 🖾 to send the report to your local printer.
- Select <u>File</u>, <u>Exit</u> to close Acrobat Reader.

Reviewing the FSR Report

To review the existing FSR Report:

• Select the **Review** link and the File Download dialog box will display.



Figure 1. 10 FSR Edit Screen (FSR8005).

Creating/Updating the FSR Report

The FSR is created for financial or expenditure reporting and required on an annual basis.

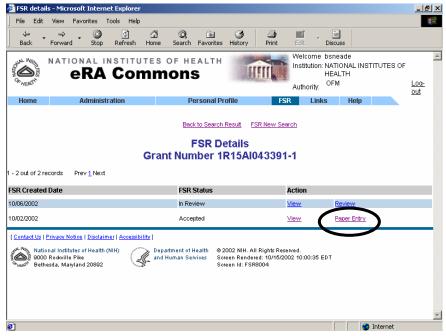


Figure 1. 11 FSR Details (FSR8004).

- Once a query has been performed and a grant selected.
- Select the **Paper Entry** link to access the FSR Edit Screen (FSR8005).

Grant Information

Prior to submitting an FSR to NIH, grantees must ensure that the information submitted is accurate, complete, and consistent.

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Grant Specialist Email	ms256g@nih.gov	Document Number	R5Al43391A								
Grant Specialist Phone	(301)402-6576	Object Class Code	999Z								
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Figure 1. 12 FSR Edit Screen (FSR8005).

The FSR Edit Screen

The FSR Edit Screen (FSR8005) resembles the paper based Financial Status Report.

Data Entry

When updating the FSR record, all grant information stored within the database is retrieved and displayed in-screen.

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		4. Employer Identification	on Number 1626021046A1			
 Recipient Organization (Name and complete addre including ZIP code) 	ess,	· · · · · · · · · · · · · · · · · · ·	umber or Identifying Nun	nber		
EAST TENNESSEE STATE UNIVERSITY EAST TENNESSEE ST.		44444				
UNIVERSITY BOX 70565 JOHNSON CITY, TN 37614 JOHNSOF 37601	N CH Y TIN	6. Final Report	7. Basis			
		⊙ Yes C No				
8. Funding/Grant Period		9. Period Covered by th	is Report			
From 07/01/1998 0	0 6/30/2002	From 07/01/1998	To 06/30/2002			
10. Transactions:		Previously Reported	This Period	Cumulative		
a. Total outlays		60.0	120.0	180.0		
b. Refunds, rebates, ect		0.0	10.0	10.0		
c. Program income used in accordance with the ded alternative	0.0	20.0	20.0			
d. Net outlays (Line a, less the sum of lines b and c)	60.0	90.0	150.0			
Recipient's share of net outlay, consisting of:						
e. Third Party (In-kind) contributions		0.0	30.0	30.0		
f. Other Federal awards authorized to be used to mai	tch this	0.0	40.0	40.0	•	
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Figure 1. 13 FSR Edit Screen (FSR8005).

	NOTE : The intuitive items Federal Funding Agency awarding or funding the project and Recipient Organization (Department and Division) are not described within the sections that follow.
Employer Identification Number	Assigned to each organization by DHHS Central Registry System for payment and accounting purposes, the Employer Identification Number (EIN) is obtained from the IRS.
Recipient Account # or Identifying #	The Recipient Account Number or Identifying Number is displayed on the grant award.
Final Report	Prepared at the end of a project, the Final FSR Report option is set to Yes by default. Set to No for an interim FSR. This field is <i>required</i> .
Basis	Indicate the principal Accounting method used in recording expenditures reported on the FSR. Whether the report is based on a Cash or Accrual (earned revenue, but not received) basis. Most programs report on a Cash basis, which is the default. This field is <i>required</i> .
Project Funding/Grant Period	The Federal Funding/Grant Period consists of the beginning and ending dates of the current funding period. The format is MM/DD/YYYY .
Period Covered by this Report	Period Covered by this Report consists of the First and End date of the quarter being reported. The format is MM/DD/YYYY .
Transactions	 Cumulative for the term of the grant award, there are three columns that apply to the Transactions section. Columns I and II show the effect of this reporting period's transactions on the cumulative financial status. 1. The Previously Reported column contains totals from the prior quarter report. Amounts entered in this column are zero or blank for the first (or only) report and normally are the same as those in Column III of the previous report (in the same funding period). NOTE: To adjust amounts entered on previous reports, footnote the Column I entry on this report and attach an explanation. 2. This Period are the expenses charged during the quarter being reported. 3. The Cumulative column contains the sum of Columns I and II, which transfer to Column I for the next period. NOTE: All fields within this section are <i>required</i> and will default to zero if no other default is specified.

Total Outlays	Total Outlays contains disbursements of cash realized as program inc that income is also shown on lines 10c or 10g.						
	NOTE: Do not include program inc	ome that will	be shown on l	ines 10r or 10s.			
Refunds, Rebates, etc.	Receipts related to outlays reported reduction of expenditures rather tha the amount shown as outlays on line	n income and					
Program income	Program Income that was used in ac	cordance with	the deduction	n alternative.			
	• Recipients reporting on a C income received.	Cash basis sho	ould enter the	amount of cash			
	• Recipients reporting on an Accrual basis should enter the program income earned.						
	• Program income may or may not have been included in an application budget and/or a budget on the award document. If actual income is from a different source or is significantly different in amount, attach an explanation or use the remarks section.						
	NOTE : Program Income used in accon lines q, r, and s.	cordance with	other alternat	ives is entered			
Net Outlays	Net Outlays are the total outlays of	Line a, less the	e sum of lines	b and c.			
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	File Edit View Favorites Tools Help						
	Recipient's share of net outlay, consisting of:			^			
	e. Third Party (In-kind) contributions	0.0	30.0	30.0			
	f. Other Federal awards authorized to be used to match this award	0.0	40.0	40.0			
	g. Program income used in accordance with the deduction	0.0	5.0	5.0			

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Recipient's share of net outlay, consisting of:				
e. Third Party (In-kind) contributions	0.0	30.0	30.0	
f. Other Federal awards authorized to be used to match this award	0.0	40.0	40.0	
g. Program income used in accordance with the deduction alternative	0.0	5.0	5.0	
h. All other recipient outlays not shown on lines e, f or g	0.0	5.0	5.0	
i. Total recipient share of net outlays (Sum of lines e, f, g and h)	0.0	80.0	80.0	
j. Federal share of net outlays (line d less line i)	60.0	170.0	230.0	
k. Total unliquidated obligations			0.0	
I. Recipient's share of unliquidated obligations			0.0	
m. Federal share of unliquidated obligations			0.0	
n. Total Federal share (sum of lines j and m)			170.0	
o. Total Federal funds authorized for this funding period			101955	
p. Unobligated balance of Federal funds (lines o minus line n)			101785.0	
Program Income, consisting of:				
q. Disbursed program income shown on lines c and g above.			0.0	
r. Disbursed program income using addition alternative			0.0	
s. Undisbursed program income			0.0	
t. Total program income realized (Sum of lines q, r and s)	1		0.0	
a Tuno of				

Figure 1. 14 FSR Edit Screen (FSR8005).

Recipient's Share of Net Outlays

Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded.

Program Income

Recipient funds expended, in-kind matching applied, or cost sharing should be reported within this section, if the use of such resources was a criterion for grant approval.

- **10 e.** Your share of the unpaid obligations.
- **10 f.** The Federal share of unpaid obligations.
- **10 g.** Total Federal share of your cash outlays and unpaid obligations. The sum of lines 10c and 10f.
- **10 h.** Total federal funds authorized for the grant period.
- **10 i.** The amount of authorized funds not spent or encumbered. The sum of lines e, f, g, and h.
- **10 j.** Federal share of net outlays. The difference of line d minus line i.
- **10 k.** The total amount of *unliquidated obligations*, including unliquidated obligations to subgrantees and contractors.

NOTE: Do not include any amounts on line 10 k that have been included on lines 10 a and 10 j. On the final report, line 10 k must be zero.

- **10 I.** The recipient's share of unliquidated obligations.
- **10 m.** The Federal share of unliqudated obligations. On the final report, line 10 m must also be zero.
- **10 n.** Total Federal share. The sum of lines j and m.
- **10 o.** The total Federal funds authorized for this funding period.
- **10 p.** The Unobligated balance of Federal funds. The difference of line o minus line n.

Program Income used in accordance with alternatives other than the "deduction alternative" is entered within this section.

- **10 q.** Disbursed program income from lines c and/or g.
- **10 r.** Disbursed program income using the addition alternative.
- **10 s.** Undisbursed program income is program income earned, but not expended.
- **10 t.** Total program income realized. The sum of lines q, r, and s.

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. Undisbursed program income					0.0
Total program income realized (Sum	n of lines q, r a	ind s)			0.0
1. Indirect Expense	a. Type of Rate	Provisional	C Predetermined C	Final C Fixed C)
Indirect Expense Entry	b. Rate		c. Base	d. Total Amount	e. Total Amount Federal
Indirect Expense Delete	Total		0.00	0.00	Share
2. Remarks:					
onggggggg Test				×	
3. Authorized Official			Name Globus	Telephone (Area code, number, and extension)	Date Report Submitted
J. Authorized Official			Title	301.294.5794	Date Report Submitted
			Developer		
4. Approved by			Name		Date Report Accepted 10/03/2002
Save	Accept	Reject	Cancel		
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Figure 1. 15 FSR Edit Screen(FSR8005).

Indirect Expense	-	Indirect expenses are the costs associated with the general operation of an institution and conduct of its research activities.					
	11 a.	Enter the Type of indirect cost rate that applies. (Provisional, Predetermined, Final, or Fixed).					
	11 b.	Enter the Indirect Cost Rate (percent) that is in effect during the reporting period.					
	11 c.	Enter the Amount of the Base against which this indirect cost rate is applied.					
	11 d.	Enter the Total Amount of the indirect costs charged during the reporting period.					
	11 e.	Enter the Total amount of the Federal portion of 11 d.					
	NOTE : The Federal Share is a <i>required</i> field that must be greater than or equator to zero and less than or equal to the Indirect Expense – Total Amount.						
Remarks	Generally, additional remarks are used when correcting a prior reporting error. The signature of the authorized institutional official on the FSR certifies that the information in the FSR is correct and complete and that all outlays and obligations are for the purposes set forth in grant documents.						
Authorized Official	the informat	by an authorized official of the recipient organization indicates that ion reported is correct and the outlays and unliquidated obligations pecific purposes set forth in the grant award documents.					

Saving the FSR Record

Once all data has been entered:

a. Click the Save button to update the database with all changes.

NOTE: By clicking the **Save** button, the FSR record can be updated periodically during data entry while remaining within the context of the FSR Edit Screen (FSR8005).

- b. Alternatively, click the <u>Cancel</u> button to ignore all changes and return to the Search Results Screen (FSR8014).
- c. Click the Accept to accept all updates.
- d. Click the Reject to reject all updates.

Calculate Indirect Expenses

The Indirect expenses can be calculated by the system.

Click the Indirect Expense Entry button to access the FSR Indirect Expense Screen.

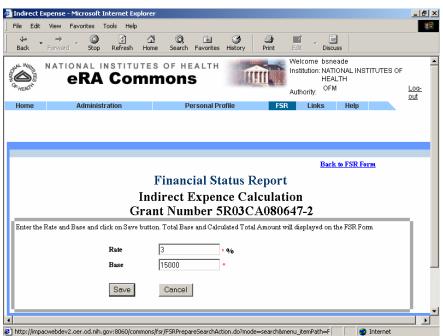


Figure 1. 16 CAS Indirect Expense Calculation Screen (FSR8006).

- 1. Enter the approved rate in effect during the reporting period.
- 2. Enter the base dollar amount against which the rate is applied.

Save button and the system will multiply the rate times 3. Click the the base, enter the total indirect amount onto the FSR Edit Screen (FSR8005), and update the database with all changes.

Once and Indirect Expense entry has been entered, to delete the entry:

Deleting the Indirect Expense From the FSR Edit Screen(FSR8005).

Indirect Expense Delete Click the button. . 🗗 🗙 al Delete I Edit Favorites Tools Help View 😰 Refresh Q Search \otimes ය Home Favorites History 8 Back Stop Print Discus Welcome bsneade NATIONAL INSTITUTES OF HEALTH Institution: NATIONAL INSTITUTES OF eRA Commons HEALTH Authority: OFM Log-out Hom Administration Personal Profi Links Delete Indirect Expense @ Are you sure you want to delete this Indirect Expense ? Delete Cancel [Contact Us | Privacy Notice | Disclaimer | Accessibility] Department of Health and Human Services © 2002 NIH. All Rights Reserved. Screen Rendered: 10/29/2002 09:53:03 EST Screen Id: FSR8021 National Institutes of Health (NIH) 9000 Rockville Pike 9665 Bethesda, Maryland 20892

Figure 1. 17 Delete Indirect Expense Screen (FSR8021).

- Delete button to confirm the deletion and update the Select the record within the database.
- Cancel button and return to the FSR Edit Alternatively, click the Screen(FSR8005).

FSR CAS Transactions

The NIH Central Accounting System (CAS) processes all accounting transactions and produces a wide range of reports that are used for internal and external reporting. The FSR System interfaces with CAS by transferring data for reconciliation and monitoring.

Create/Update CAS

A daily CAS Export file can be created or appended to for accepted FSR records that have not been exported.

To access the Enter/Edit FSR CAS Transaction Screen (FSR8003):

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Figure 1. 18 Enter/Edit FSR CAS Transaction Screen (FSR8003).

Insert CAS

All fields within the Enter/Edit FSR CAS Transaction Screen are required. However, a document reference number is assigned for CAS processing.

Once data entry is complete:

• Click the **Save** button to create the CAS file and return to the FSR Edit Screen (FSR8005).

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