IMPAC II
FSR
User's Guide
(Draft)
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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.

**FSR User Roles**

Accessing FSR’s functionality within IMPAC II is granted using User_Ids and Role privileges that perform specific operations. Typical FSR users include:

- Commons Extramural Users – FSR_USER_ROLE

**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 unavering.

**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.

2. Enter the following URL in the **Location** field:

```
http://impacwebdev2.oer.od.nih.gov:8060/commons/
```

- Press **Enter**.
3. The Welcome Screen displays, as illustrated in Figure 1.1.

![Welcome Screen](image)

**Figure 1.1 eRA Commons - Welcome Screen (COM0001).**

- **Commons Login**
  - To Login:

![Login Form](image)

**Figure 1.2 The eRA Login box.**

4. Enter your User Name and press **Tab**.

5. Enter your Password and press **Enter**.

6. Alternatively, select **Login**.

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**Welcome Screen**

Once access is granted, the FSR Banner and Menu Screen displays.
The PGM query functions are performed from the Search Screen.

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 privileges 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 Help link to access on-line Help
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.

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.

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.

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.

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**Ad Hoc Query Parameters**

The Query Parameter fields accept user input and are defined within the sub-headings 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.

Navigating the Hit List

To navigate the Hit List:

- Select the Next link to view the next set of records (next 10) within the Hit List.
- Select the Prev 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.

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).
Viewing the FSR Report

To view an existing FSR Report:

- Select the View link and the File Download dialog box will display.

  ![File Download Figure](image)

  Figure 1. 7 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. 8.

  ![FSR Details Screen Figure](image)

  Figure 1. 6 FSR Details Screen (FSR8004).
**Reviewing the FSR Report**

To review the existing FSR Report: Select the Review link and the File Download dialog box will display.

- Click the Next Page icon to move through the report.
- Click the Print icon to send the report to your local printer.
- Select **File, Exit** to close Acrobat Reader.
Creating/Updating the FSR Report

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

Figure 1. 10 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.
Data Entry

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

Figure 1.12 FSR Edit Screen (FSR8005).

The FSR Edit Screen

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

**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 required.

**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 required and will default to zero if no other default is specified.

**Total Outlays**

Total Outlays contains disbursements of cash realized as program income, when that income is also shown on lines 10c or 10g.

**NOTE**: Do not include program income that will be shown on lines 10r or 10s.
Receipts related to outlays reported on the form that are being treated as a reduction of expenditures rather than income and were not already netted out of the amount shown as outlays on line 10a.

Program Income

Program Income that was used in accordance with the deduction alternative.

- Recipients reporting on a Cash basis should enter the amount of cash income received.
- 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 accordance with other alternatives is entered on lines q, r, and s.

Net Outlays

Net Outlays are the total outlays of Line a, less the sum of lines b and c.

Recipient’s Share of Net Outlays

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 l. The recipient's share of unliquidated obligations.

10 m. The Federal share of unliquidated 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

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.
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 *required* field that must be greater than or equal 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

Certification by an authorized official of the recipient organization indicates that the information reported is correct and the outlays and unliquidated obligations are for the specific 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 **Cancel** button to ignore all changes and return to the Search Results Screen (FSR8014).

c. Click the **Accept** button to accept all updates.

d. Click the **Reject** button 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. 15 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.
3. Click the **Save** button and the system will multiply the rate times the base, enter the total indirect amount onto the FSR Edit Screen (FSR8005), and update the database with all changes.
Once an Indirect Expense entry has been entered, to delete the entry:

- From the FSR Edit Screen (FSR8005).
- Click the **Indirect Expense Delete** button.

![Figure 1. 16 Delete Indirect Expense Screen (FSR8021).](image)

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