NIH Regional Seminar
How Does eRA Commons Fit in the Grant Process Puzzle?

October 2020

electronic Research Administration (eRA)
OER, OD, National Institutes of Health

NIH
National Institutes of Health
Office of Extramural Research
Your Presenters

- Scarlett Gibb
  - eRA Customer Relationship Manager, eRA Commons

- Joe Schumaker
  - Senior Communications Specialist, eRA Communications and Outreach
Our Path

eRA Commons Overview
Detailed Status Information
Just in Time
Personal Profile

NCE
Roles and Delegations
Institutional Profile
Early-Stage Investigator

Administrative Supplement
Annual RPPR
Interim RPPR Final RPPR
Publications

Closeout
What Does eRA Commons Do?

The eRA Commons is an online interface where grant applicants, grantees and federal staff can access and share administrative information related to grant applications and awarded research grants.
Using Status to Track the Application
Principal Investigators can view their Recent/Pending eSubmissions or List of Applications/Grants.

Signing Officials can search/view all submissions for their institution.
Click anywhere in the blue to get to more information, then select the Application ID link to view detailed status information for that particular application.
Select the Application ID link to view detailed status information for that particular application.
Detailed Status Information Screen

NIH Contacts

Provides Updates

Control Buttons

Text Filter

Status Information

Status: Application withdrawn.

Project Title: Neurobiological Study on the Effects of Romulan Ale on Senior Staff

PI Name: TIBERIUS, KIRK

NIH Appl. ID: 12345678

Application ID: 1 R21 AA170101-01

Status

- Other Relevant Documents
- Additions for Review
- Review
- Institute/Center Assignment
- Status History
- Reference Letter(s)
Check the Application Image
Check Review Information and IC Assignments
Check Review Outcomes
  - Summary Statement
  - Impact Score
  - Percentile Score
Verify NI & ESI status at time of application submission
Check Reference Letters for Application
The Notice of Award
Just-in-Time Documents
**Just-In-Time (JIT)**

Allows an applicant organization to submit additional grant application information after the completion of the peer review, and prior to funding.

Applicants should never submit JIT info until specifically requested to do so by NIH. A JIT link or request from NIH are not indications that a grant award will be made.

- Other Support File, Budget Upload, Other Upload, Institutional Review Board (IRB) Date, Human Subject Education
- PD/PI can save info in Commons, but only SO can submit JIT info to NIH
- Must be PDF format
Select **JIT** link

You get a Just-in-Time link, and you get a Just-in-Time link, and you get a Just-in-Time link.
Individual Commons users are responsible for keeping their profile information accurate

Includes information such as:
- Name
- Demographics (important for Trainees)
- Employment history (important for COI)
- Education (important for NSI & ESI)
- Reference Letters
- Publications

Very few staff members at NIH have access to change information
- Verify information submitted in grant applications
- Send you agency notifications
- Complete aggregate reporting
- Determine eligibility for New Investigator and Early Stage Investigator (ESI) status
- Determine a reviewer’s eligibility for the Continuous Submission application submission policy
The PPF will show areas that need attention.

No data will be saved if required information is missing.

Do not navigate away from page until all required information is completed.

Leaving the page before all required information is completed, means changes will be lost.
ORCID ID

- ORCID ID (Open Researcher and Contributor ID)
- a personal digital identifier that distinguishes every researcher
- a new link to access ORCID.org added to the Personal Profile.

Allows principal investigators to create an ORCID ID to link to their Commons account, so that their publications can be linked to their grants.
The requirement, starting October 2019, will be for:

- T03, T15, T32, T34, T35, T37, T42, T90/R90, TL1, TL4, TU2, K12/KL2, R25, R38, RL5, RL9

- At the time of appointment, the xTrain system will check whether appointees have ORCID iDs and appointments will be not be accepted for agency review unless an ORCID iD is linked to the individual's eRA Commons Personal Profile.

- See Guide Notice NOT-OD-19-109
PD/PI’s with ESI status can request for extension of their ESI period for various reasons, including medical concerns, disability, extended periods of clinical training, natural disasters, active duty military service etc. All these requests will be reviewed on a case by case basis.
ESI Extension Link will be available

Following link opens ESI Extension Request form

PI completes the information and submits for approval.

The PPF displays the date the extension request was submitted.
• The number of months for the extension can be requested
• If the reason for the request is the birth of a child, complete the requested information
• The Add Hiatus button permits the selection of additional reasons for the request
• Supporting documentation can be uploaded
Central repository for registered organization information

- Each organization establishes and maintains their organization’s profile data
- Depending on their role, users can view and/or update Institution Profile information
  - Only SOs can edit IPF information
  - IPF displayed as a read-only page for users affiliated to the institution
  - Includes two sections: Basic and Assurances & Certifications
Basic: general information about the institution

- Name, address, Institution Contact information, list of Signing Officials, etc.

Assurances & Certifications: data elements that comprise assurance/certification information about an institution

- List of certifications (e.g., Financial Conflict of Interest, Human Subjects Research, Vertebrate Animals, etc.)
The functions that a user can perform in the Commons are based on the role(s) assigned to his or her Commons account.

Full, printable list of eRA Commons roles with descriptions:

Summary of Roles

- **Administrative**
  - SO – Signing Official
  - AO – Administrative Official
  - AA – Account Administrator
  - BO – Business Official
  - ASST – Assistant
  - ASSIST Access Maintainer Role

- **Scientific**
  - Graduate Student
  - IAR – Internet Assisted Review
  - PI – Principal Investigator
  - Post-Doc
  - Project Personnel
  - Scientist
  - Sponsor
  - Trainee
  - Undergraduate

- **Other**
  - FCOI (Financial Conflict of Interest)
  - FCOI_ASST
  - FCOI_VIEW
  - FSR (Financial Status Reporter)
  - PACR (Public Access Compliance Role)
  - OLAW (Reporting Animal Welfare)
During Commons registration, an applicant organization designates a Signing Official (SO)

- SO has authority to legally bind the organization in grants administration matters
- Equivalent to the Authorized Organization Representative (AOR) in Grants.gov
- SO is responsible for:
  - maintaining institutional information
  - submitting documents that require signature authority to act on behalf of the organization
  - managing accounts
Signing Official (SO) & Managing Accounts

Signing Officials (and Account Administrators) have a responsibility to ensure duplicate accounts are not created for users.

- Users with Scientific roles should only have one (1) eRA Commons account for their entire career
  - NIH needs to track funded researchers
  - Used for reviewers to determine Continuous Submission status
  - Used to determine New/Early Stage Investigator status

- Before creating new accounts, search across all eRA Commons accounts using AMS

- For more information, see:
Account Tips

- Designate more than one Signing Official
  - Certain Commons actions can only be taken by users with the SO role and you will want a back-up

- Administrators should always check to see if a user already has a Commons account before creating a new account with a scientific role
  - Ask the person if they already have an account, or search within the Commons
    - If a user already has an account with a different organization, the SO should affiliate the existing account with the user’s new organization
eRA Commons allows users to give other users permission to do specific actions on their behalf:

1. Progress Report (SO, AO, AA to PI)
2. Progress Report (PI to ASST)
3. Sponsor
4. Status
5. Personal Profile
6. Submit
7. xTrain
## Delegations Chart

<table>
<thead>
<tr>
<th>Type (Name)</th>
<th>By</th>
<th>To</th>
<th>What it does</th>
</tr>
</thead>
<tbody>
<tr>
<td>Progress Report</td>
<td>SO, AA, AO</td>
<td>PI on behalf of a PI</td>
<td>Enables the delegated PI to work on progress reports of another PI – includes Interim and Final RPPR, and HSS requests</td>
</tr>
<tr>
<td>Progress Report</td>
<td>PI</td>
<td>User within Institution with ASST or AO role</td>
<td>Enables the authorized user to work on progress reports for the PI – includes Interim and Final RPPR, and HSS requests</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>User within Institution</td>
<td>Enables another user 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 RPPR, Final RPPR, and HSS Data</td>
</tr>
<tr>
<td>xTrain</td>
<td>PI, Sponsor</td>
<td>ASST</td>
<td>Enables the ASST to work with the xTrain module and xTRACT</td>
</tr>
</tbody>
</table>
No-Cost Extension (NCE)

- An extension of time to a project period and/or budget period to complete the work of the grant under that period, without additional Federal funds or competition
NCE Another Way

- Extension link appears in the SO Status Search Results Screen
NCE

Electronically submit a notification to exercise one-time authority to extend without funds the final budget period of a project period of a grant.

- Only SOs can submit the NCE notification
- May be submitted no earlier than 90 days before end of project and no later than project end date
- Can request extension of 1-12 months, in one-month increments
- E-mail notification sent to NIH Grants Management staff when SO processes the extension
Choose an extension of 1 to 12 months.

New calculated project end date: 12/31/2013
Prior Approval – No Cost Extension: When?

- When is a grant eligible for a NCE through Prior Approval?
  - When you have already used a NCE under expanded authority and you are within 90 days of the project end date.
  - When you are not under expanded authority and you are within 90 days of the project end date.
  - When the project end date has expired and has not been closed or has not entered unilateral closeout, whichever comes first.
Expanded Authority – You Get Just One

- No Cost Extension (NCE) part of ‘expanded authority’
- Can only extend once without express approval
- Increasing trend of extending in the middle of the project period (i.e. end of year 2 of 5 year grant)
  - If this is done, the Extension link will NOT appear 90 days from end of project end-date
  - If in need of an NCE, submit Prior Approval NCE request
- See June’s 2015 eRA Items of Interest for more:
  - [https://era.nih.gov/news_and_events/era_item_June_2015.htm#expanded](https://era.nih.gov/news_and_events/era_item_June_2015.htm#expanded)
A request for additional funds during a current project period to provide for an increase in costs due to unforeseen circumstances.

- Requested additional costs must be within the scope of the peer reviewed and approved project.
- Streamlined eRA Commons process:
  - Commons pre-populates much of the data needed for request from awarded grant.
Admin. Supplement Changes

Use of ASSIST Expanded for Submission of Administrative Supplements

- 3 methods to initiate administrative supplements
  - Initiate in ASSIST via FOA for admin supp, enter information manually
  - Initiate in ASSIST with Federal ID number of the parent grant where some information from the parent award is prepopulated
  - Initiate in eRA Commons, and be directed to ASSIST where some information from the parent award is prepopulated
What is the RPPR?

- RPPR is the Research Performance Progress Report
- A federally mandated report format used across all agencies that provide research grants and contracts
- Used to document grantee accomplishments and compliance with the terms of the award
- Describes the scientific progress, identifies significant changes, reports on personnel, and describes plans for subsequent budget period or year (annual reports only)
RPPR Data Entry

- Initiation of RPPR by
  - Principal Investigator
  - ASST with the RPPR Delegation

- RPPR sections (Annual)
  A. Cover Page
  B. Accomplishments
  C. Products
  D. Participants
  E. Impact
  F. Changes
  G. Special Reporting
  H. Budget (non-SNAP)

- RPPR sections (Interim & Final)
  A. Cover Page
  B. Accomplishments
  C. Products
  D. Participants (only section D.1)
  E. Impact
  G. Special Reporting
  I. Outcomes

- Watch for character limits in data entry fields
- Ensure uploads are in PDF format
- When completing data tables remember to click ‘Add/New’
RPPR Budgets

Submitting progress reports with budgets

- R&R budget and PHS 398 budgets are now available for Non-SNAP RPPR.
- If presented with an option of budget forms, the type that was submitted with the application should be used.
  - PHS 398 Budget is available only on training grants.
- Help for R&R Budget and PHS 398 Budget forms can be found in the SF424 R&R User Guides.
RPPR & Human Subjects System (HSS)

- HSS is the electronic system to manage human subjects and clinical trials information.
- Allows principal investigators and signing officials to access and update all the human subjects and clinical trials data associated with their grants in one place.
  - update participant information
  - enrollment information
  - inform NIH of ClinicalTrials.gov registration
  - and revise other human subjects-related information as necessary, just-in-time for award or after a grant award is made.
The most common use of the Human Subjects System is for updates needed to the RPPR.

You will find the Human Subjects link in Section G.4.b Inclusion Enrollment Data of the RPPR.

The human subjects link is visible only for NIH applications and grants involving human subjects.
Multi-Year RPPR

MYRPR

- Multi Year Progress Reports now use RPPR format
- Link available under the Action Column in Status
Submitting progress reports for complex, multi-project grants

- After RPPR is initiated, PI will need to identify if RPPR should contain components.
- RPPR should have the same structure as the originally submitted application.
- Some sections are not available on Overall component (i.e. Budget)
- Some sections are not available on component level (i.e. Participants and Publications are reported on Overall)
Awarded components for multi-project grants will automatically show up on the RPPR Menu screen.

The list of components displayed will be from the last competitive application that was awarded.

The Add Component button allows you to select the components from the existing application components list displayed.

You can then edit and modify the component for the RPPR as necessary.
## The 3 variations of RPPR

<table>
<thead>
<tr>
<th>RPPR Type</th>
<th>How to Access RPPR Link</th>
<th>When Does the Link Appear?</th>
<th>When is the RPPR Due?</th>
<th>Who Can Initiate</th>
<th>Who Can Edit</th>
<th>Who Routes to the SO</th>
<th>Who Submits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual</td>
<td>Status Search Results Screen or RPPR tab</td>
<td>1 day after the project segment end date</td>
<td>SNAP Awards due within 45 days of the next budget period start date</td>
<td>Principal Investigator Or User within Institution with the ASST Role*</td>
<td>Signing Official Or Principal Investigator Or User within Institution with the ASST Role*</td>
<td>Principal Investigator</td>
<td>Signing Official Or Principal Investigator if assigned the Submit Delegation</td>
</tr>
<tr>
<td>Interim</td>
<td>Status Search Results Screen</td>
<td>Once the grant becomes eligible for submission of a Type 2 application, and the grant is not in Closeout</td>
<td>120 days from period of performance end date for the competitive segment</td>
<td>Signing Official or Principal Investigator</td>
<td>Signing Official Or Principal Investigator Or User within Institution with the ASST Role*</td>
<td>Principal Investigator</td>
<td>Signing Official Or Principal Investigator if assigned the Submit Delegation</td>
</tr>
<tr>
<td>Final</td>
<td>Closeout Status Screen</td>
<td>Once the grant becomes eligible for closeout</td>
<td>120 days from period of project end date</td>
<td>Signing Official or Principal Investigator</td>
<td>Signing Official Or Principal Investigator Or User within Institution with the ASST Role*</td>
<td>Principal Investigator</td>
<td>Signing Official Or Principal Investigator if assigned the Submit Delegation</td>
</tr>
</tbody>
</table>
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>Completing Renewal Application Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not submitting a Competing Renewal application</td>
<td>Submit a Final RPPR no later than 120 days from the project period end date</td>
</tr>
<tr>
<td>Submitting a Competing Renewal application</td>
<td>Submit an Interim RPPR no later than 120 days from the project period end date</td>
</tr>
<tr>
<td></td>
<td>Funded</td>
</tr>
<tr>
<td></td>
<td>The Interim RPPR is accepted as the annual RPPR</td>
</tr>
<tr>
<td></td>
<td>Not Funded</td>
</tr>
<tr>
<td></td>
<td>The Interim RPPR is accepted as the Final RPPR</td>
</tr>
</tbody>
</table>
Information in Outcomes will be publically available. It should be written as a high level and in plain language.
Outcomes Requirements

- Outcomes are specifically designed to be made publicly available by the agency (analogous to the abstract in the competing application)

- Reporting in the Outcomes section is limited (by the federal-wide RPPR format) to 8,000 characters

- The Outcomes should provide a concise summary of the findings of the award written in lay language for the general public

- In an effort to increase transparency NIH will make the Outcomes data available in RePORTER
Progress Report Additional Materials (PRAM)

- The PRAM feature provides a means for the grantee to enter, review, route, and submit information to agency following the submission of an RPPR.
  - Public Access (PA) PRAM - Generated automatically after an RPPR is submitted with publications that are not compliant with Public Access Policy
  - Agency Requested PRAM – Only available if requested by the Grants Management Specialist (GMS)

- PD/PI can enter the PRAM, but can only submit it if they are delegated with Submit Progress Report authority. Otherwise, only the SO can submit the PRAM to Agency.
When selecting/deselecting publications for RPPR submissions

- Users will see a gold lock icon next to those publications added to their grant into NIHMS.
- Users see a silver lock icon for publications that have been reported on a previous RPPR.
- Neither can be removed on the RPPR, both need manual intervention.
- To delete a publication with a gold lock, users will need to contact the NIHMS help desk through their web form, which is accessible at http://www.nihms.nih.gov/.
- To delete a publication with a silver lock please contact the PublicAccess@nih.gov
Closeout

Electronically submit required Closeout documents for grants in Closeout status

- Closeout items for NIH include*:
  - Final Research Performance Progress Report (F-RPPR)
  - Federal Financial Report (FFR)
  - Final Invention Statement

- NIH automatically marks the grant “ready for close out,” making the link appear in Commons when:
  - The project period end date has passed, and
  - No Typ2 application has been submitted

*Agency partners may require additional information
New Closeout Search screen provides additional search criteria
• Awarding IC sets status to FRAM Requested or IRAM Requested
• Awarding IC triggers email for requested information to the SO & PI
• The FRAM Update or IRAM link appears in Action column