



## Electronic Research Administration

Sponsored by: The National Institutes of Health, Office of Extramural Research



# Financial Status Reporting – eRA Commons

NIH Regional Workshop – 2008

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*eRA Customer Relationship Manager*



## Today's Agenda

- Financial Status Reporting (FSR)
  - Why FSRs?
  - When did it become mandatory to submit electronically?
  - How do I get an account?
- Using the FSR Module
  - FSR Queries
  - FSR Status Codes
  - Filling out a FSR
  - Submission of a FSR



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# Financial Status Reports



## Why FSRs ?

- <http://grants.nih.gov/grants/guide/notice-files/not93-082.html> - published 3/12/1993), grantees must provide the Federal Government all financial, performance, and other reports as required by the terms and conditions of the assistance awards. NIH grantees are required by 45 CFR 74.71 to submit three closeout reports for every award: Final FSR, Final Invention Report, and Final Progress Report. Information on updated processing procedures for submitting FSRs will be issued in a future Guide notice. Future guidance will also be issued to improve compliance with Invention and Progress report requirements.
- <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-01-021.html> - reminder of timeliness and accuracy



## When did it become mandatory to submit electronically?

NIH Requiring Mandatory Use of the Electronic Financial Status Report System in the eRA Commons Beginning October 1, 2007

Guide notice:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-078.html>

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## How do I get an account?

- A **Signing Official (SO)**, individual with legal authority to bind your institution in grants administration matters, or an **Accounts Administrator (AA)** can create your **Principal Investigator (PI)** or **Assistant (ASST)** account
  - If you already have an account, they can just add the FSR role to your account
  - SOs or AAs are often located in the Office of Sponsored Research or equivalent department

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## How do I get an account?

- After the initial creation of your account, you will receive two emails:
  - (1) Username and
  - (2) Temporary password
- You will need the FSR Role on your account to access the FSR Module

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## Using the FSR module



**eRA** Query Options

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons**  
Version 2.15.1.2  
COMMONS DEMONSTRATION SITE COMMONS DEMONSTRATION SITE

Home Admin Institution Profile Personal Profile Status eSNAP xTrain FSR Links eRA Partners Help

**Financial Status Report Search**

The FSR production issues from last week have been resolved. Please report any new issues to the eRA Helpdesk.

Grant Number: T ACT IC Serial# Year Suffix [Historical Search](#)

Org Name: FOR LLOYD FOUNDATION

Due Date Range: From (MM/DD/YYYY) To (MM/DD/YYYY)

EIN: \_\_\_\_\_

Latest FSR Status: All

Foreign:

Please Enter Search Criteria. Hit List cannot be Greater than 500 records.

Submit Clear

To query by Grant Number or NIH Institute

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**eRA** Sample Application Number

See Types of Grant Programs Web page at:  
[http://grants.nih.gov/grants/funding/funding\\_program.htm](http://grants.nih.gov/grants/funding/funding_program.htm)

Application Type: 1 (New Application)

Activity Code: R01 (Individual Research Grant)

Institute Code: CA (National Cancer Institute)

Serial Number: 123456

Support Year: 01 (First Year)

Extension: A1 (First Amended Application)

01 (Sub-project)

MH—National Institute of Mental Health (NIMH)  
 NR—National Institute for Nursing Research (NINR)  
 AA—National Institute on Alcohol Abuse and Alcoholism (NIAAA)  
 DA—National Institute on Drug Abuse (NIDA)  
 AT—National Center for Complementary and Alternative Medicine (NCCAM)  
 RR—National Center for Research Resources (NCRR)  
 HG—National Human Genome Research Institute (NHGRI)  
 EB—National Institute of Biomedical Imaging and Bioengineering (NIBIB)  
 TW—John E. Fogarty International Center (FIC)  
 MD—National Center on Minority Health and Health Disparities (NCMHD)  
 OD—Office of the Director (NIH)  
 RG—Center for Scientific Review (CSR)  
 WH—Office of Research on Women's Health (ORWH)

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## FSR Status Definitions

- **Received** – Received in system after submitted by institutions. Corrections can be made before being picked up (see “In Review” below) by Office of Financial Management (OFM) Staff.
- **Pending** – Awarded and FSR’s will be due this fiscal year, but are not due within 90 days. Institutions should not edit at this point.
- **Due** – The FSR is due within 90 days (not 3 months) and should be addressed by the Institution.
- **Late** – The FSR is late and should be addressed by the Institution.
- **In Review** – The FSR has been picked up and is being reviewed by NIH OFM staff. Institutions cannot edit in the status.
- **Accepted** – The FSR has been accepted by NIH OFM staff. Institutions can make revisions.
- **Rejected** – The FSR has been rejected by NIH OFM staff. Institutions should make revisions and re-submit.
- **Revision Pending** – FSR has been accepted but is being revised by the institution.

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## FSR Hitlist

Financial Status Report Search Result

[Totals by Institution](#) [FSR New Search](#)

Summary Totals

Status:	Total	Pending	Due	Late	Revision	Pending	Received	In Review	Accepted	Rejected
Count:	4	0	2	0	0	0	0	2	0	0

Please click on the Grant Number to view all existing FSRs for the Grant

Search Result: 1 - 4 out of 4 records Prev 1 Next

Grant Number	Institution Name	Budget Start Date	Budget End Date	FSR Due Date	Latest FSR
<a href="#">IR01CA099252-1</a>	For Lilloyd foundation	03/13/2006	03/13/2007	06/11/2007	Accepted
<a href="#">IR01HL089253-1</a>	For Lilloyd foundation	03/13/2006	03/13/2007	06/11/2007	Accepted
<a href="#">IR01CA099252-2</a>	For Lilloyd foundation	03/13/2007	03/12/2008	06/10/2008	Due
<a href="#">IR01HL089253-2</a>	For Lilloyd foundation	03/13/2007	03/12/2008	06/10/2008	Due

The **Grant Number** is a hyperlink that will go to the FSR form

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## Hands-on: Accessing Commons

1. Open an Internet connection and go to the appropriate eRA Commons non-production environment:
  - eRA Commons Demo  
<https://commonsdemo.era.nih.gov/commons-demo/>
2. Enter the Username and password provided by your trainer
  - eRA Commons is not case sensitive

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## Hands On - Query

1. Click on FSR Tab
2. Choose a status code from drop down list
3. Click on Submit button
4. View hit list

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# Filling out a FSR

Only the long form is displayed

Fields are automatically populated based on current information in eRA system

Home Admin Institution Profile Personal Profile Status eSNAP xTrain FSR Links eRA Partners Help

**Financial Status Report**

[Back to Search Result](#) [FSR New Search](#)

Long Form

Save Cancel Unexpended Balance from Prior Project Period 0.00

1. Federal Agency and Organizational Element to Which Report is Submitted  
NATIONAL CANCER INSTITUTE

2. Federal Grant or Other Identifying Number  
5997CA099397-2

3. Recipient Organization  
(Name and complete address, including ZIP code)  
nih 6705 Rockledge Drive Bethesda MD 20817

4. Employer Identification Number 123456789012

5. Recipient Account Number or Identifying Number

6. Final Report  
 Yes  No

7. Basis  
 Cash  Accrual

8. Funding Grant Period  
From 03/20/2007 To 03/19/2008

9. Period Covered by this Report  
From 03/20/2007 To 03/19/2008

10. Transactions:

	Previously Reported	This Period	Cumulative
a. Total outlays	100,000.00	0.00	100,000.00
b. Refunds, rebates, ect	0.00	0.00	0.00
c. Program income used in accordance with the deduction alternative	0.00	0.00	0.00
d. Net outlays (Line a, less the sum of lines b and c)	100,000.00	0.00	100,000.00
Recipient's share of net outlay, consisting of:			
e. Third Party (in-kind) contributions	0.00	0.00	0.00
f. Other Federal awards authorized to be used to match this award	0.00	0.00	0.00
g. Program income used in accordance with the matching or cost sharing alternative	0.00	0.00	0.00
h. All other recipient outlays not shown on lines e, f or g	0.00	0.00	0.00
i. Total recipient share of net outlays (Sum of lines e, f, g and h)	0.00	0.00	0.00
j. Federal share of net outlays (line d less line i)	100,000.00	0.00	100,000.00



# Filling out a FSR

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From 03/20/2007 To 03/19/2008

10. Transactions:

	Previously Reported	This Period	Cumulative
a. Total outlays	100,000.00	180,000.00	280,000.00
b. Refunds, rebates, ect	0.00	0.00	0.00
c. Program income used in accordance with the deduction alternative	0.00	0.00	0.00
d. Net outlays (Line a, less the sum of lines b and c)	100,000.00	180,000.00	280,000.00
Recipient's share of net outlay, consisting of:			
e. Third Party (in-kind) contributions	0.00	0.00	0.00
f. Other Federal awards authorized to be used to match this award	0.00	0.00	0.00
g. Program income used in accordance with the matching or cost sharing alternative	0.00	0.00	0.00
h. All other recipient outlays not shown on lines e, f or g	0.00	0.00	0.00
i. Total recipient share of net outlays (Sum of lines e, f, g and h)	0.00	0.00	0.00
j. Federal share of net outlays (line d less line i)	100,000.00	180,000.00	280,000.00
k. Total unliquidated obligations			0.00
l. Recipient's share of unliquidated obligations			0.00
m. Federal share of unliquidated obligations			0.00
n. Total Federal share (sum of lines j and m)			280,000.00
o. Total Federal funds authorized for this funding period			300,000.00
p. Unliquidated balance of Federal funds (line o minus line n)			20,000.00

As current year entries are completed calculations are done automatically





# Filling out a FSR

r. Disbursed program income using addition alternative			
s. Undisbursed program income			
f. Total program income realized (Sum of lines q, r and s)			
11. Indirect Expense	a. Type of Rate		
Indirect Expense Entry	Provisional <input type="radio"/> Predetermined <input checked="" type="radio"/> Final		
	b. Rate	c. Base	
Total	0.00%	0.00	

To enter **Indirect Expenses**

Enter data this screen, click **Add** for each item on list and then **Save**

Home Admin Institution Profile Personal Profile Status eSNAP xTrain **FSR** Links eRA Partners Help

### Indirect Expense Calculation

Grant Number SR01CA099397-2

Rate%\*  Base\*  **Add**

Save Cancel

Rate	Base	Total Amount	Delete
Total	0.00%	0.00	0.00



# Filling out a FSR

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons** Version 2.15.1.2  
COMMONS DEMONSTRATION SITE COMMONS DEMONSTRATION SITE COMMONS DEMONSTRATION SITE

Home Admin Institution Profile Personal Profile Status eSNAP xTrain **FSR** Links eRA Partners Help

### Indirect Expense Calculation

Grant Number SR01CA099397-2

Rate%\*  Base\*  **Add**

Save Cancel

Rate	Base	Total Amount	Delete
25.00		100,000.00	25,000.00 <input type="checkbox"/>
15.00		80,000.00	
Total	25.00	100,000.00	25,000.00

Clicking on **Save** automatically populates and calculates the form.

Indirect Expense Entry			
	b. Rate	c. Base	d. Total Amount
	25.00	100,000.00	25,000.00
	15.00	80,000.00	12,000.00
Total	Various	180,000.00	37,000.00



## Hands on - application

1. From your hit list click on a grant link for an FSR that is due.
2. Start filling out the form with data.

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## Submission of a FSR

Carryover Request	0.00	
13. Authorized Official	Name *	texas gibb
	Telephone	301-555-1212
	Title	
	Email Address	gibbs@od.nih.gov
14. Approved by	Name	
	<input type="button" value="Save"/> <input type="button" value="Submit"/> <input type="button" value="Cancel"/>	

Clicking the **Save** button will initiate error checking. IF no errors are found, the **Submit** button will appear. Clicking this will submit the FSR to NIH

<b>Submit FSR</b>
<small>I certify to the best of my knowledge that this report is correct and complete and that all outlays and unliquidated obligations are for the purpose set forth in the award documents.</small>
<input type="button" value="Submit"/> <input type="button" value="Cancel"/>

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# Submission of a FSR

Search Result 1 - 4 out of 4 records Prev 1 Next

Grant Number	Institution Name	Budget Start Date	Budget End Date	FSR Due Date	Latest FSR
<a href="#">1R01CA099397-1</a>	nih	03/20/2006	03/20/2007	06/18/2007	Accepted
<a href="#">1R01HL099398-1</a>	nih	03/20/2006	03/20/2007	06/18/2007	Accepted
<a href="#">5R01CA099397-2</a>	nih	03/20/2007	03/19/2008	06/17/2008	Received
<a href="#">5R01HL099398-2</a>	nih	03/20/2007	03/19/2008	06/17/2008	Due

Application Status changes to Received

If a mistake is made on the FSR and it is labeled "In Review" the Institution should contact the **NIH OFM staff (301-402-9123)** and have them reject the FSR and revisions can then be made.



Hands-on: Submit your FSR.



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## FSR Resources





## Resources

- **User Guide**
  - [http://era.nih.gov/docs/FSR\\_UG\\_EXT\\_v1.0.0.0\\_01-03.pdf](http://era.nih.gov/docs/FSR_UG_EXT_v1.0.0.0_01-03.pdf)
- **Virtual School**
  - <http://era.nih.gov/virtuelschool/>
- **Frequently Asked Questions (FAQs)**
  - <http://era.nih.gov/eranews/eraArticle.cfm?news=7A805291-48A4-49A2-A76936E8C7E0F35F>
- **Status Code definitions**
  - [http://era.nih.gov/virtuelschool/external/class\\_fsr\\_statuscode\\_faq.htm](http://era.nih.gov/virtuelschool/external/class_fsr_statuscode_faq.htm)

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## Finding Help

### eRA Commons Help Desk

- Hours: Mon–Fri, 7 a.m. – 8 p.m. Eastern
- Web: <http://ithelpdesk.nih.gov/eRA/>
- Toll-free: 1-866-504-9552
- Phone: 301-402-7469
- TTY: 301-451-5939



**Don't forget to get a help desk ticket number if your issue isn't immediately resolved.**

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