

---

National Institutes of Health/Office of Extramural Research



# **IMPAC II FSR User's Guide**

**Version 1.0.0.0 – February 5, 2003**



---

# Table of Contents

<b>Introduction</b>	<b>1</b>
System Requirements.....	1
Accessing FSR.....	1
Welcome Screen.....	3
<b>FSR Search</b>	<b>4</b>
Performing a Query .....	4
Ad Hoc Query Parameters .....	5
Hit List.....	6
Totals by Institution .....	7
Viewing an Existing FSR Record.....	7
<b>Creating/Updating the FSR Report</b>	<b>10</b>
Grant Information .....	10
<b>The FSR Edit Screen</b> .....	<b>11</b>
Data Entry .....	11
<b>Calculate Indirect Expenses</b> .....	<b>16</b>
Deleting the Indirect Expense.....	17
<b>FSR CAS Transactions</b> .....	<b>17</b>
Create/Update CAS.....	17
<b>Glossary of Terms</b>	<b>19</b>
<b>Index</b>	<b>21</b>



---

# 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.



Netscape  
Communicator

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

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.

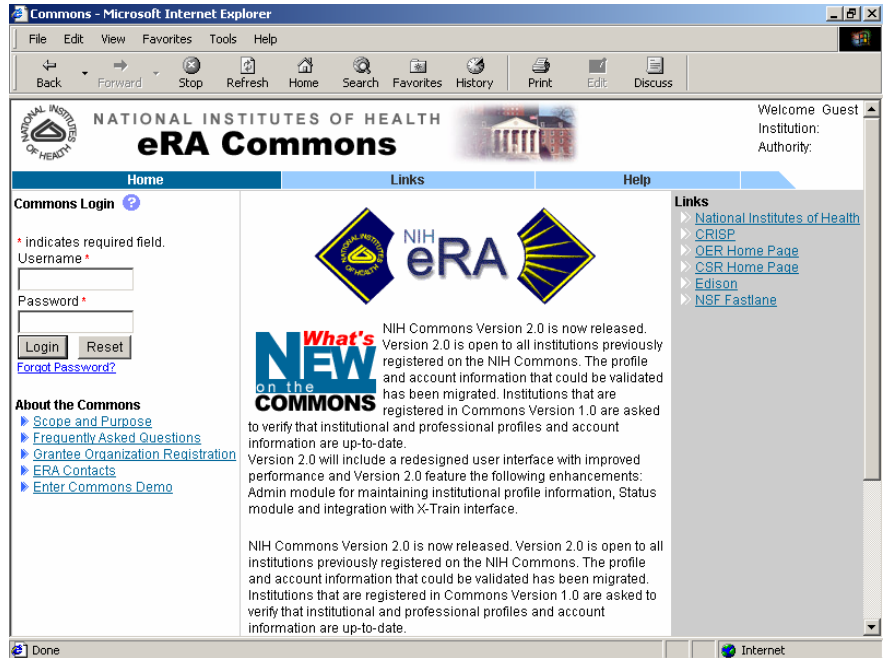


Figure 1. 1 eRA Commons - Welcome Screen (COM0001).

## Commons Login

To Login:

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**.

# Welcome Screen

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

*The PGM query functions are performed from the Search Screen.*

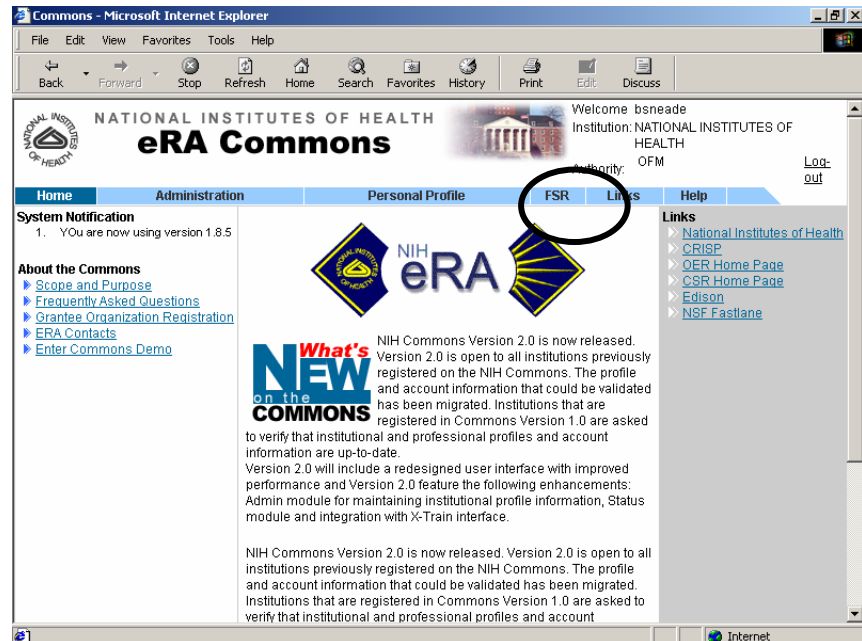


Figure 1. 3 eRA Commons Welcome Screen (COM0001).

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 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

# 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.

*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.*

The screenshot shows the FSR Search Form in a Microsoft Internet Explorer browser window. The browser title is "FSR Search Form - Microsoft Internet Explorer". The page header includes the National Institutes of Health logo, "eRA Commons", and a welcome message for user "bsneade" at the "NATIONAL INSTITUTES OF HEALTH" with authority "OFM". A navigation menu has "FSR" selected. The main heading is "Financial Status Report Search". The form contains fields for Grant Number (with sub-fields T, ACT, IC, Serial#, Year, Suffix), Org Name (containing "%MARYLAND"), Due Date Range (From and To), EIN, and Latest FSR Status (set to "Pending"). There are "Submit" and "Clear" buttons. Footer links include "Contact Us", "Privacy Notice", "Disclaimer", and "Accessibility". Copyright information for NIH and Department of Health is at the bottom.

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.



To retrieve grant information:

1. Enter the query criteria.
2. Click the  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  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 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.

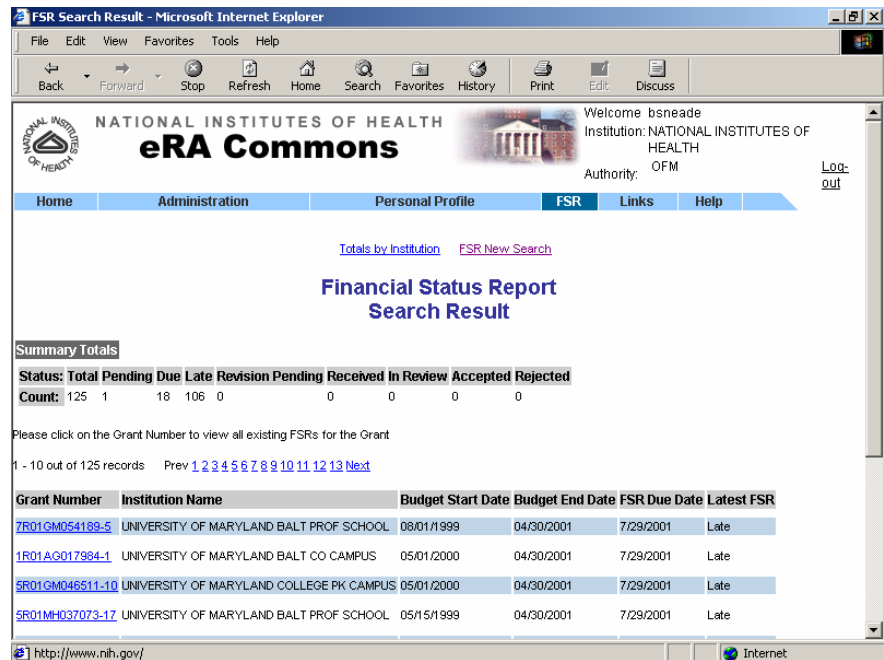
## Latest FSR Status

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.



Status:	Total	Pending	Due	Late	Revision	Pending	Received	In Review	Accepted	Rejected
Count:	125	1	18	106	0	0	0	0	0	0

Grant Number	Institution Name	Budget Start Date	Budget End Date	FSR Due Date	Latest FSR
<a href="#">7R01GM054189-5</a>	UNIVERSITY OF MARYLAND BALT PROF SCHOOL	08/01/1999	04/30/2001	7/29/2001	Late
<a href="#">1R01AG017984-1</a>	UNIVERSITY OF MARYLAND BALT CO CAMPUS	05/01/2000	04/30/2001	7/29/2001	Late
<a href="#">5R01GM048511-10</a>	UNIVERSITY OF MARYLAND COLLEGE PK CAMPUS	05/01/2000	04/30/2001	7/29/2001	Late
<a href="#">5R01MH037073-17</a>	UNIVERSITY OF MARYLAND BALT PROF SCHOOL	05/15/1999	04/30/2001	7/29/2001	Late

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

## 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.

## Totals by Institution

To view the Total number of grants by Institution:

- Select the [Totals by Institution](#) link.

The screenshot shows a web browser window displaying the 'Financial Status Report Search Result Totals by Institution' page. The page includes a navigation menu with 'Home', 'Administration', 'Personal Profile', 'FSR', 'Links', and 'Help'. Below the menu, there are links for 'Back to Search Result' and 'FSR New Search'. The main content area features a table with the following data:

Institution Name	Total Number of Grants	Pending	Due	Late	Revision Pending	Received	In Review	Accepted	Rejected
BAYLOR COLLEGE OF MEDICINE	1	0	0	1	0	0	0	0	0
BETH ISRAEL DEACONESS MEDICAL CENTER	2	0	0	2	0	0	0	0	0
BOSTON UNIVERSITY	2	0	1	1	0	0	0	0	0
BRIGHAM AND WOMEN'S HOSPITAL	1	0	0	1	0	0	0	0	0
CASE WESTERN RESERVE UNIVERSITY	3	0	1	2	0	0	0	0	0
CHILDREN'S HOSPITAL LOS ANGELES	1	0	0	1	0	0	0	0	0
COLD SPRING HARBOR LABORATORY	1	0	0	1	0	0	0	0	0

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).

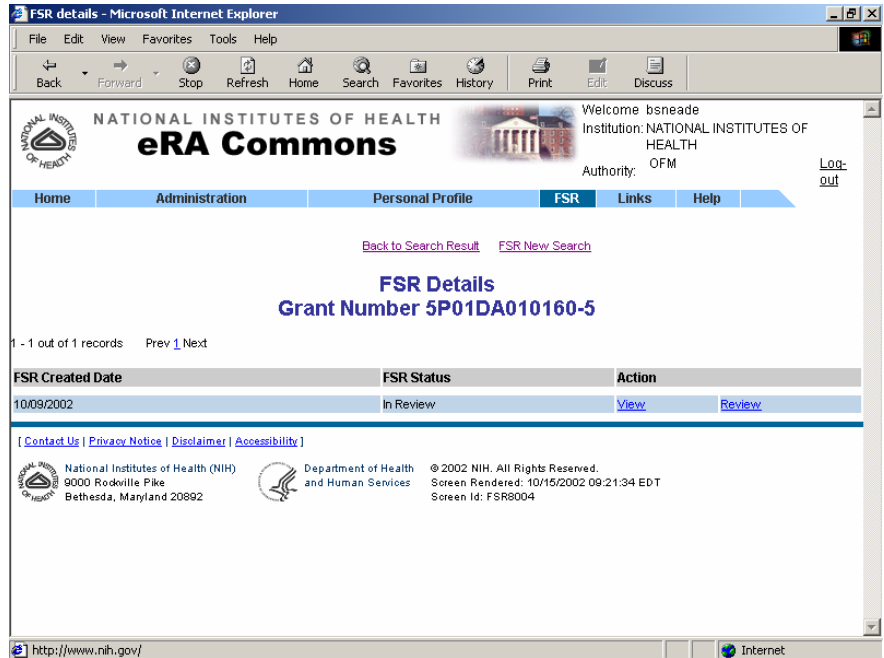


Figure 1. 7 FSR Details Screen (FSR8004).

## Viewing the FSR Report

To view an existing FSR Report:

- Select the [View](#) link and the File Download dialog box will display.

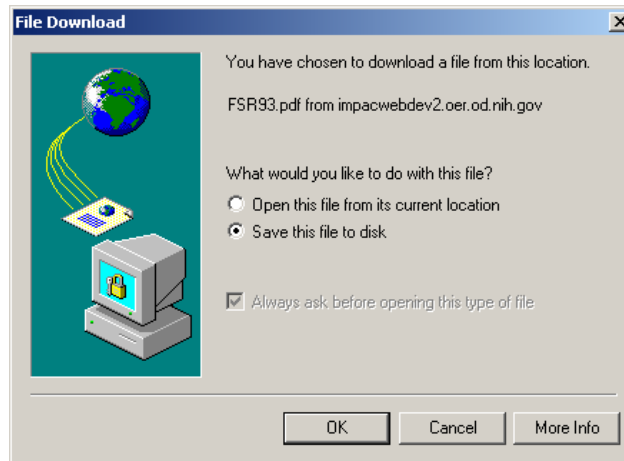



Figure 1. 8 File Download.

- With the “Save this file to disk” radio button selected, click  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.

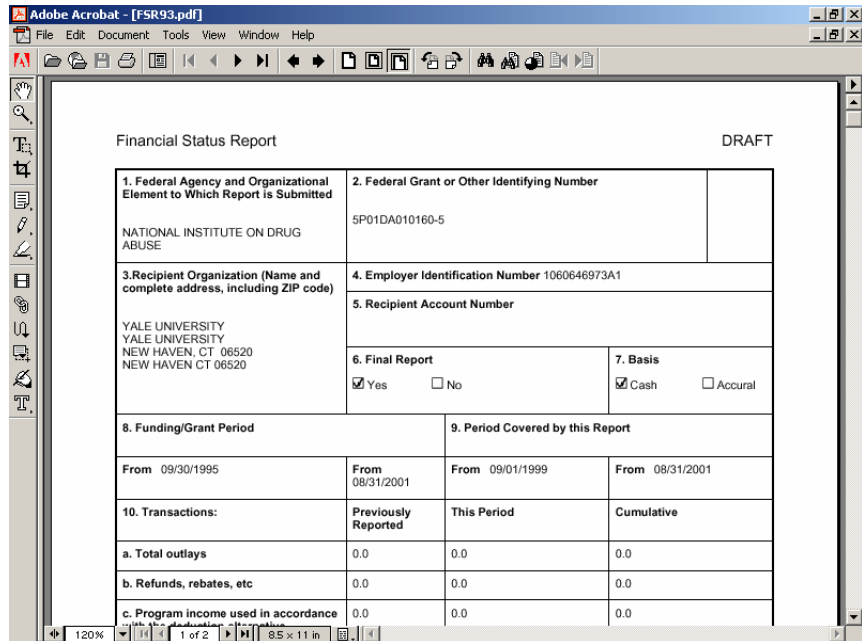




Figure 1. 9 View the FSR.

- Click the Next Page icon  to move through the report.
- Click the Print icon  to send the report to your local printer.
- Select **File, Exit** 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.

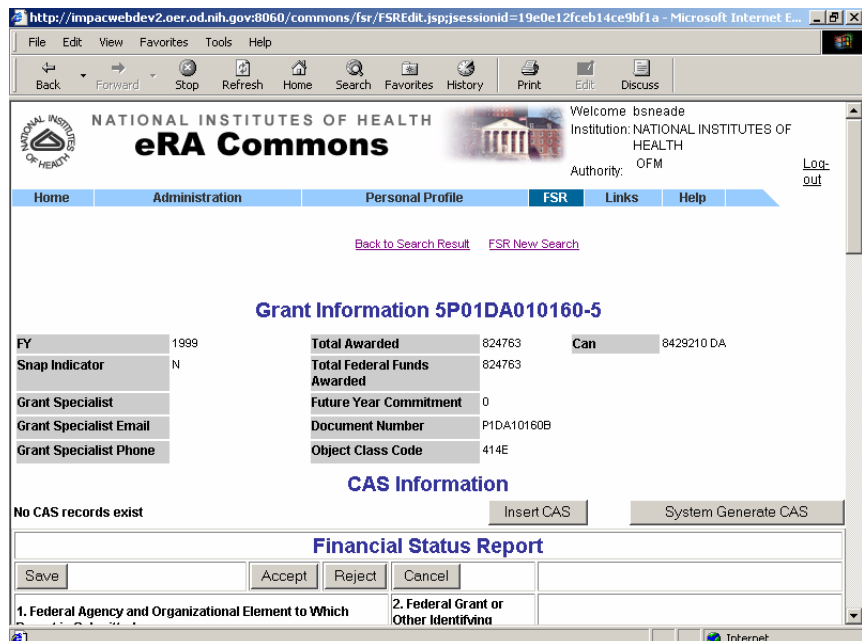


Figure 1. 10 FSR Edit Screen (FSR8005).

# Creating/Updating the FSR Report

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

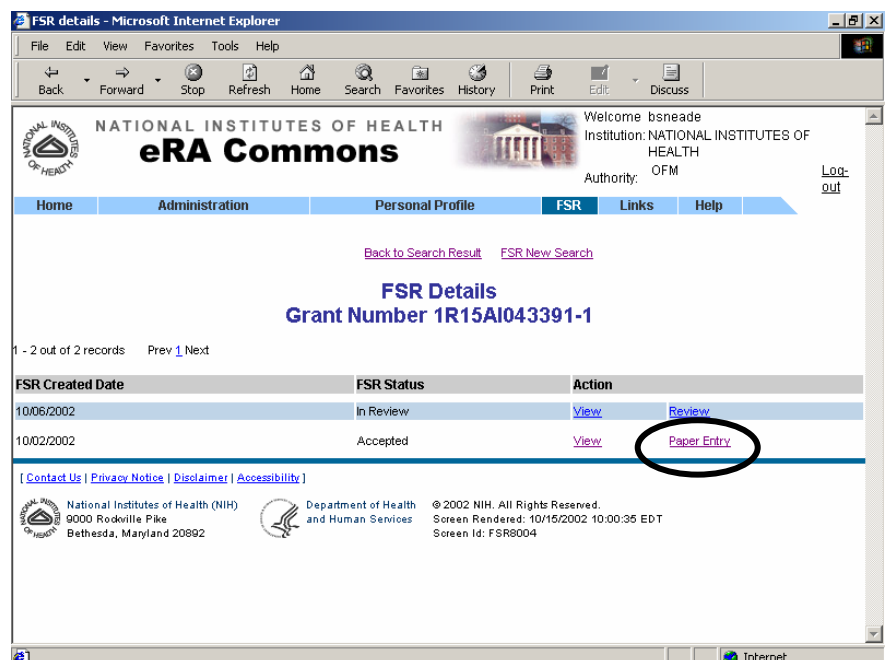


Figure 1. 11 FSR Details (FSR8004).

- 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.

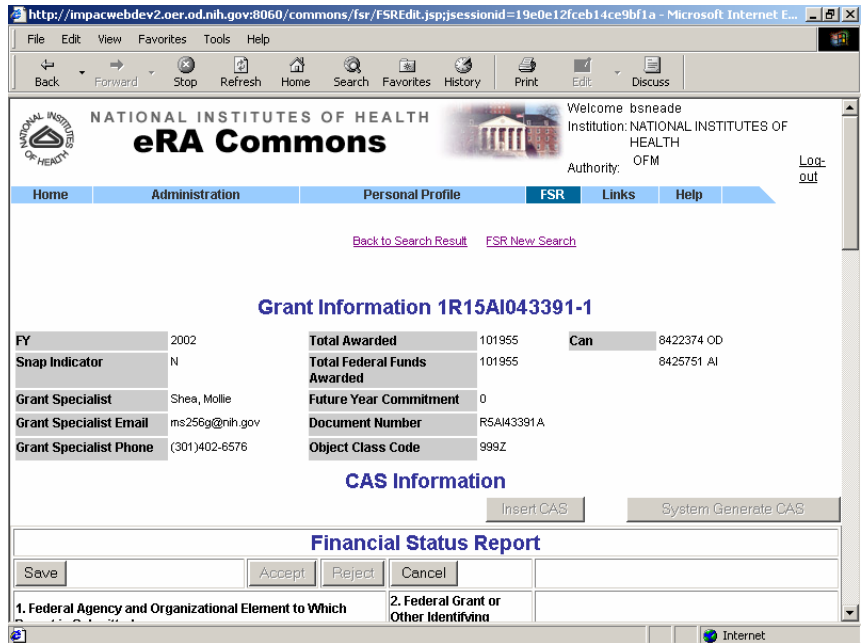


Figure 1. 12 FSR Edit Screen (FSR8005).

## 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.

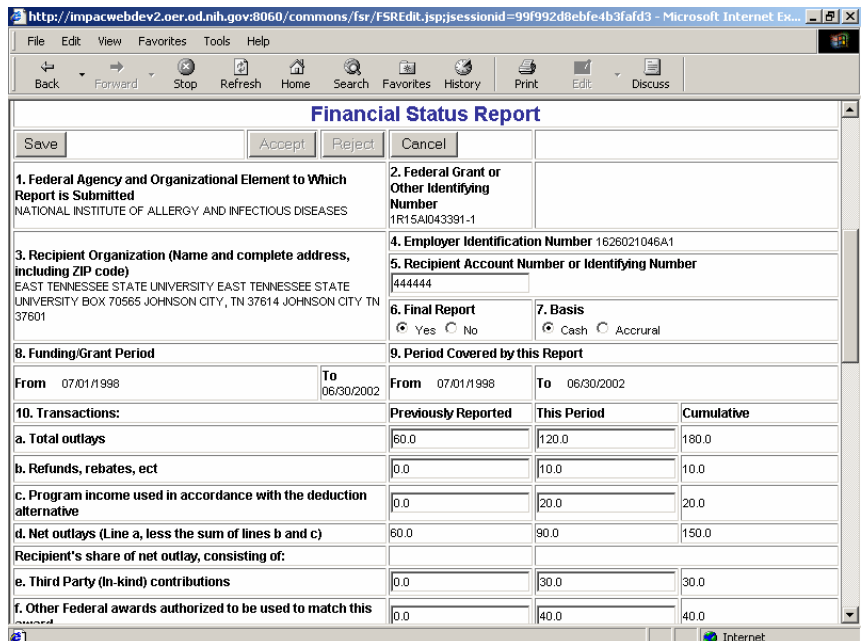


Figure 1. 13 FSR Edit Screen (FSR8005).

---

**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 *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.

**Refunds, Rebates, etc.**

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 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
l. 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)			0.0

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.*

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.

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 *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** 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.

Indirect Expense - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Print Edit Discuss

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons**

Welcome bsneade  
Institution: NATIONAL INSTITUTES OF HEALTH  
Authority: OFM  
Log out

Home Administration Personal Profile **FSR** Links Help

[Back to FSR Form](#)

**Financial Status Report**  
**Indirect Expense Calculation**  
**Grant Number 5R03CA080647-2**

Enter the Rate and Base and click on Save button. Total Base and Calculated Total Amount will be displayed on the FSR Form

Rate  %

Base

http://impacwebdev2.oer.od.nih.gov:8060/commons/fsr/FSRPrepareSearchAction.do?mode=search&menu\_itemPath=F

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.

- 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.

## Deleting the Indirect Expense

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

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

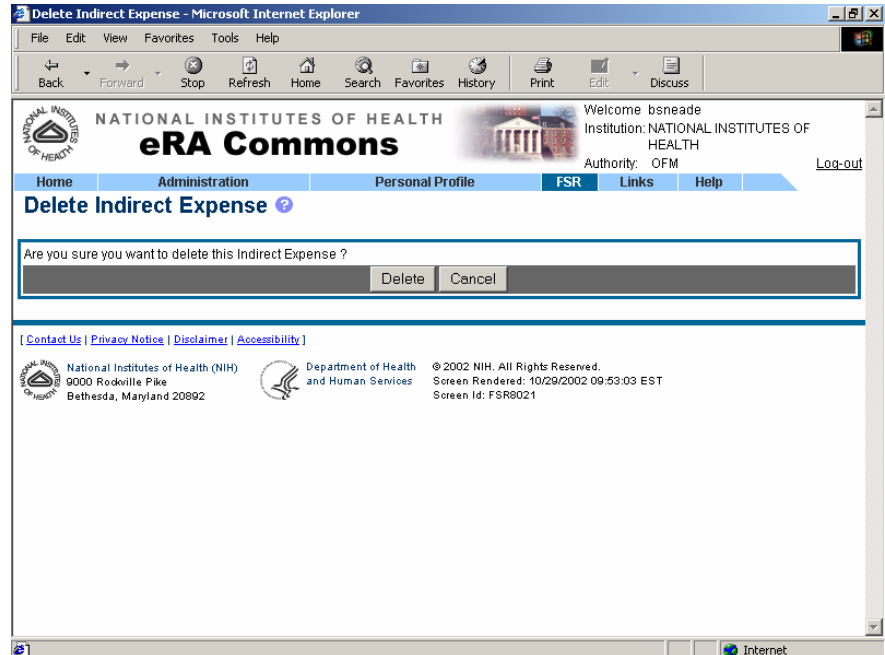


Figure 1. 17 Delete Indirect Expense Screen (FSR8021).

- 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).

## 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):

- Click the **Insert CAS** button.

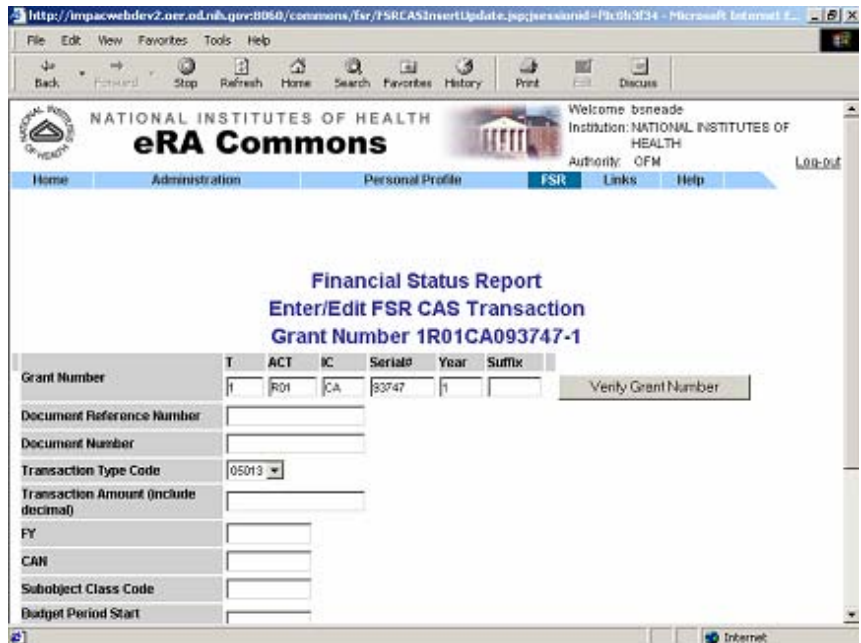


Figure 1. 18 Enter/Edit FSR CAS Transaction Screen (FSR8003).

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).

---

# Glossary of Terms





---

# Index

## **F**

FSR Report 8

## **N**

Navigating the Hit List 6

## **Q**

Query Parameters 5

## **S**

Screens

CAS Indirect Expense

Calculation Screen

(FSR8006) 16

FSR Details Screen (FSR8004) 7

FSR Edit Screen (FSR8005) 9, 11

Search Results Screen (FSR8014)

6

Search Screen (FSR8013) 4

Totals by Institution Screen

(FSR8009) 7

Welcome Screen (COM0001) 2

Sort Order 6