National Institutes of Health Office of Extramural Research

eSNAP
Users' Guide

Version 2.10.1.2 – September 14, 2007

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Introduction

Overview

The Electronic Streamlined Non-Competing Award Process (eSNAP) is a streamlined process for the submission of information necessary to receive a non-competing award under the SNAP authorities. The eSNAP system allows extramural grantee institutions to submit an electronic version of a PHS2590 Progress Report to the NIH via a web interface. At this time eSNAP is an NIH only business process. Users are reminded to use this guide in conjunction with the PH S2590 instructions when completing an eSNAP. See the PHS2590 instructions at **http://grants1.nih.gov/grants/funding/2590/2590.htm**.

NOTE: Upon receiving an eSNAP from a Grantee Institution, the System sends a notification to the primary IC, the PO assigned to the grant, and the GS assigned to the grant.

eSNAP is accessed through the eRA Commons. eRA Commons is a web-based system that allows extramural grantee organizations, grantees, and the public to receive and transmit information electronically about the administration of biomedical and behavioral research.

Enable eSNAP

Before electronic submission of SNAP progress reports can occur, an institutional official must self-register to enable eSNAP capability. Institutions self-register using the **Edit Institution Profile Screen** (Figure 1.1).

eSNAP includes business process changes available only to electronic SNAP progress reports; therefore in enabling an institution to use eSNAP the authorized official must view and agree to the eSNAP agreement (*see* Figure 1.2).

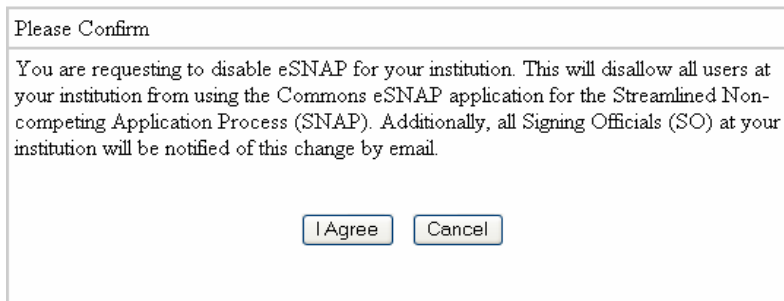*Institutions can Enable or Disable eSNAP Capability.*

Figure 1.1: Edit Institution Profile Screen (IPF2006).

Enabling eSNAP capability requires institutions to agree to the use of eSNAP business processes (Figure 1.2).

Please Confirm

We would like to welcome your institution to eSNAP in the eRA Commons.

Included in the eSNAP system are certain business process changes of which you should be aware and agree to before submitting any progress reports through the eSNAP system. All of the differences are designed to reduce the burden on the grantee and make this process much easier, but some may necessitate a change in your own business processes and/or systems. The changes were initially recommended by the eRA Commons Working Group (CWG), representatives from the grantee community, in collaboration with NIH staff.

After discussion with all the extramural business areas at NIH, these business process changes ultimately were approved by the Extramural Program Management Committee of NIH. For now, these business process changes are being tested only through the E-SNAP application. The submission of hard copy SNAP progress reports remains as documented in the PHS2590 instructions.

Below is a list of items describing the differences between the current paper system and the new eSNAP business processes. If you have any questions regarding these differences or of what is expected of you as a grantee, please contact the NIH Office of Policy for Extramural Research Administration at (301) 435-0949 or by email at GrantsPolicy@od.nih.gov.

After reviewing this information, checking "I Agree" will indicate your institution's conformance to these new business processes. Please note that only an individual with the Signing Official role can authorize the use of the eSNAP functionality for your institution. If you feel that this is a decision that should be made by an institutional official with more responsibility, please have that person complete this process.

1. Progress reports submitted through eSNAP will be due 45 days prior to the next budget start date instead of 60 days.
2. The PI may submit his/her progress report directly to NIH if the institution grants them this authority.
3. Bulleted science highlights or other significant changes may be uploaded separate from the actual Progress Report Summary. .
4. Citations will be entered in the PI's personal profile for use on multiple submissions. If the publication is available online, the PI may submit a link to the article instead of sending a hard copy.
5. IRB and IACUC assurance numbers have already been provided by your institution and will be maintained in the Institutional profile section of the eRA Commons. IRB and IACUC approval dates will not be required as part of each progress report submission. However, it remains your institutional responsibility to ensure that these reviews are conducted in accordance with all Federal requirements. As part of NIH's oversight responsibility, once every quarter, a list of grants submitted by your institution through E-SNAP that involve human subjects and/or vertebrate animals will be sent to you via email. You will be required to submit approval dates for each of those grants. As a condition of your E-SNAP participation, you agree to conduct the appropriate timely reviews and provide this information in this retrospective review. Institutions that do not adhere to these conditions risk losing the ability to participate in E-SNAP.
6. The key personnel listed in the "Personnel Report" section of the progress report will be stored on a year-to-year basis and only changes will need to be entered into the system after the first year. As a reminder, only the key personnel are supposed to be listed here.

Please note that when selecting "I Agree", all Signing Officials at your institution will be notified of this change by email.

[I Agree]   [Cancel]

Figure 1.2: Enable eSNAP Agreement.

Disabling eSNAP capability requires acceptance of terms shown in Figure 1.3 below.

Please Confirm

You are requesting to disable eSNAP for your institution. This will disallow all users at your institution from using the Commons eSNAP application for the Streamlined Non-competing Application Process (SNAP). Additionally, all Signing Officials (SO) at your institution will be notified of this change by email.

[I Agree] [Cancel]

Figure 1.3: Disable eSNAP Agreement.

Using the eSNAP Module

eSNAP capabilities include:

- Electronic submission of SNAPs

- Grantee notification of Progress Report status via email

- PI (Principal Investigator) delegation to allow updating of PPF (personal profile) to an authorized user via the Commons system

- Electronic routing of SNAPs to authorizing officials for review and approval

- Streamlining of BPR (Business Process Redesign) benefits

- Delegation of 'release' and 'submit' capabilities

- Identification of eSNAPs in IMPAC II application screens/reports

- NIH notification of an eSNAP receipt via system generated email

- eSNAP reporting available via IMPAC II and eRA Commons Status

- Correspondence between grantee via email hypertext link, regarding eSNAP submission

User Roles

There are several available user roles associated with the eSNAP application. These roles and their functions are detailed as follows:

- **AA.** The Account Administrator (AA) is designated by a Signing Official to facilitate the administration of the eRA Commons accounts for their institution. The AA can create accounts, delete accounts, and modify accounts as necessary.

- **Asst.** The Assistant (ASST) is a basic eRA Commons user who can be assigned as a Principal Investigator delegate for eSNAP/ X-Train. Users with this role initially have no access other than updating their own personal profile but can be delegated PI authority to selected accounts in order to aid in administrative tasks. The ASST cannot route the eSNAP.

- **AO.** The Administrative Official (AO) reviews grant applications before the final application is submitted to the NIH by the SO. The AO can edit business information, view the eSNAP report, and route the report to the PI or SO. Depending on the institution workflow process, it is possible for the SO and AO to be the same person (in this case the institution only needs a SO account). An AO also can create additional AO and PI accounts.

- **Extramural Administrator**. An individual with a role of SO, AA, and/or AO.

- **PI**. The Principal Investigator (PI) is an individual designated by the institution to direct the project or activity being supported by the grant. The PI is responsible and accountable for the proper conduct of the project or activity. The role of the PI is to initiate the eSNAP Work-In-Progress (WIP), edit business and scientific information, view the eSNAP report, and to route the eSNAP to the AO (administrative officer) or SO (signing official).

- **SO.** The Signing Official (SO) for the institution is an official with authority to perform legally binding grant administration actions. This includes serving as an authority responsible for submission of grant applications to the NIH. The individual fulfilling this role may have any number of titles in the institution. The SO can create and modify accounts, and is able to modify institution profile information.

Accessing the eSNAP Module

The eSNAP Module is accessible via the eRA Commons. To access the Commons you must be a registered user. You must have a registered username and password. Contact your Office of Sponsored Programs or Office of Clinical Research representative for further registration information.

To login to eSNAP:

Logging into the eSNAP Module

1. Open your web browser.

2. In the **Address/Location** field type:
   https://commons.era.nih.gov/commons and press **Enter**.

The eRA Commons Login screen displays (Figure 1.4).
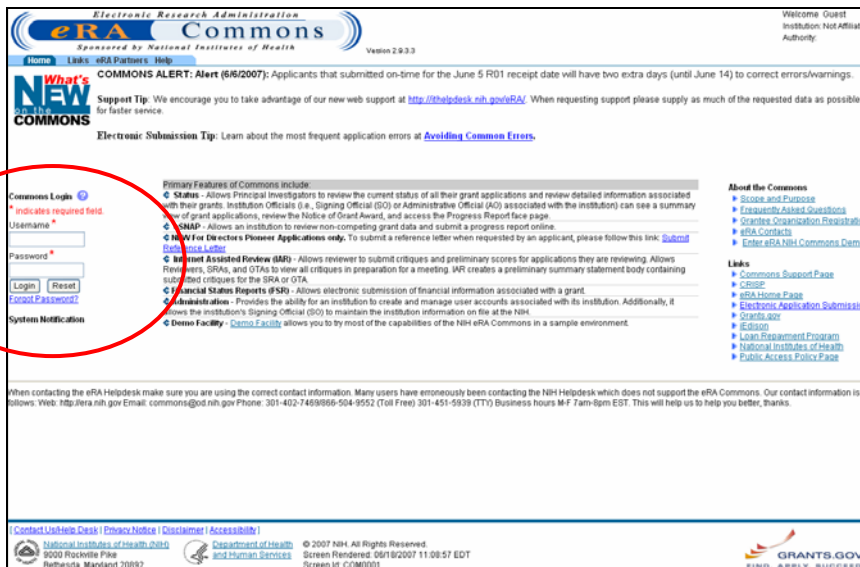
Figure 1.4: eRA Commons Login Screen (COM001).

3. In the **Username** field, type your eRA Commons username.

4. In the **Password** field, type your eRA Commons password.

If you have forgotten your password, *see **Resetting Your Password*** on page 8.

NOTE: For security purposes, eRA Commons user passwords expire and must be reset. If your password is soon to expire, a "password close to expiration" message is generated when you log in. If you get this notification, you will be directed to select a new password. When you change your password, you do not need to notify anyone.

---

5. Click **Login**. The eRA Commons Home screen displays (Figure 1.5).

NOTE: You can only access eRA Commons for one session at a time. If you attempt to log in to another session, using a second browser instance, the system gives you the option of either terminating the first session or canceling the request.

Figure 1.5: Home Screen Showing eSNAP Navigation Tab (COM0001).

6. Select the **eSNAP** access tab.

The **Manage eSNAP** screen displays (Figure 1.6).

NOTE: Users within institutions where eSNAP is disabled, receive the following message when attempting to access eSNAP – "Your institution does not have access to this application. Your Signing Official (SO) can enable access to eSNAP in the Institution Profile."

Figure 1.6: Manage eSNAP Screen (ESP7002)

When a PI accesses the eSNAP system, the **Manage eSNAP** screen displays a list of all assigned awards. The grants that are eligible for submission are displayed as a hypertext link (Figure 1.7); non-NIH grants are not displayed.
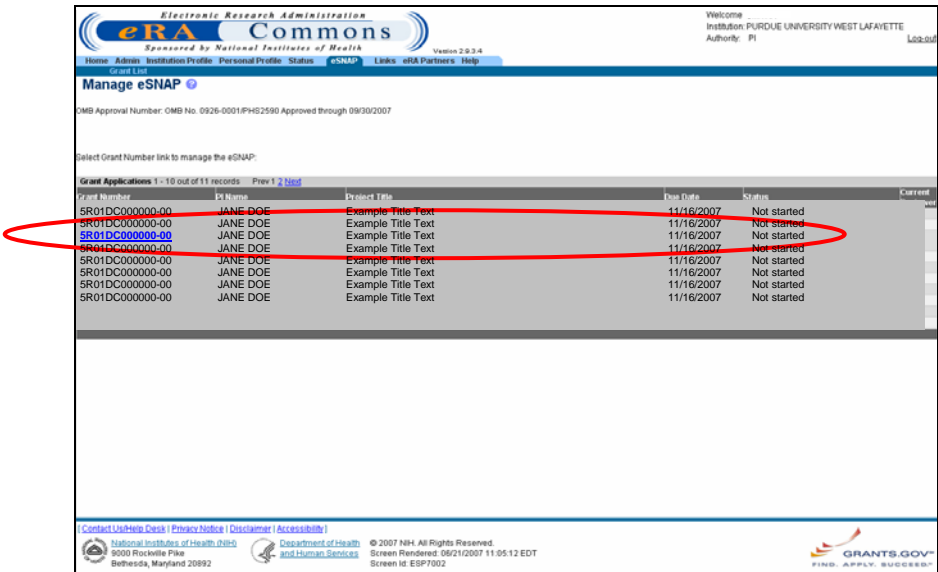

Figure 1.7: All grants that are eligible for submission are displayed as a hypertext link on the Manage eSNAP Screen

Resetting Your Password

If you forget your password, the eRA Commons provides a capability for you to request that your password be reset. In this case, a new password is generated and sent to you at the e-mail address contained in your user profile.

If you have forgotten your password:

1. Access the eRA Commons Login screen as described in *Logging into the eSNAP Module* on page 5.

Figure 1.8: eRA Commons Login Screen—Showing Forgot Password Link.

2. Select the **Forgot Password?** hypertext link to access the **Reset Password screen**. The **Reset Password** screen displays (Figure 1.9).

Figure 1.9: Reset Password Screen (FRW0002)

3. In the **User ID** field, type your user name.

4. In the **Email Address** field, type your email address.

5. Click **Submit**. You are returned to the **eRA Commons Login** screen and a confirmation message displays notifying you that your password has been reset.

6. Check your email inbox to verify your new password.

Changing your Password

eRA Commons offers you the option of changing your password. You must be logged into the system in order to change your password.

To change your password:

1. Log on to eRA Commons as described in *Logging into the eSNAP Module* on page 5.

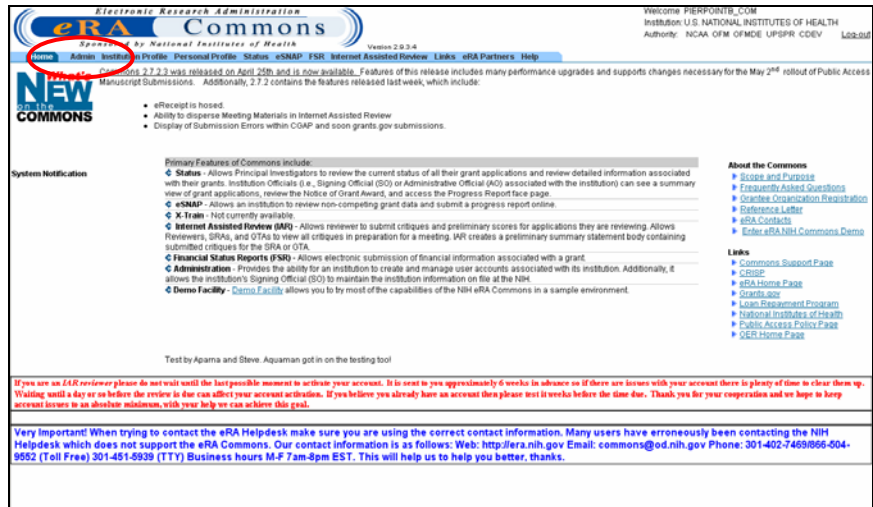2. Select the **Admin** access tab (Figure 1.10).

Figure 1.10: Home Screen Showing Admin Navigation Link (COM0001).

The **Administration** screen displays, (Figure 1.11).

Figure 1.11: Administration Screen (ADM1010).

3. Select the **Accounts** navigation link.

The **Account Administration** screen displays (Figure 1.12).

*Figure 1.12: Account Administration Screen Showing the **Accounts**
Navigation Link (ADM1005).*

> 4. Select the **Change Password** navigation link (Figure 1.12).
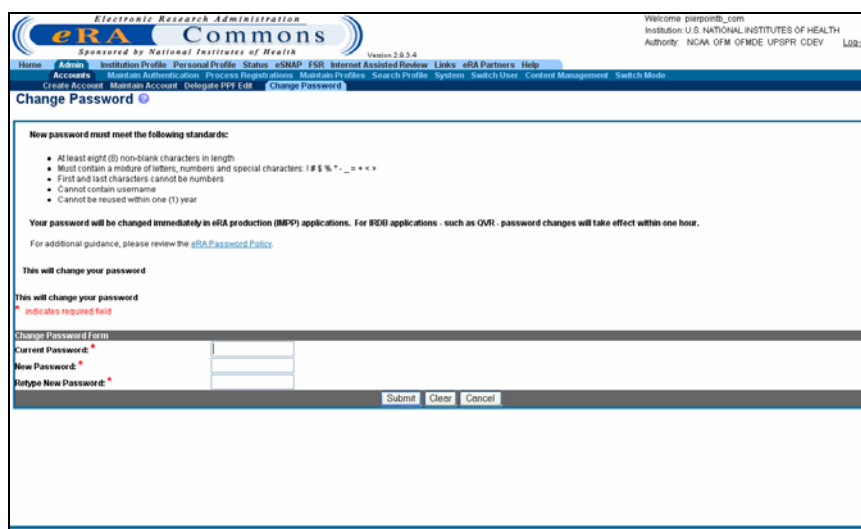
The **Change Password** screen displays (Figure 1.13).

Figure 1.13: Change Password Screen (ADM1013).

> 5. Type your current password in the **Current Password** field.
>
> 6. Type your new password in the **New Password** field.
>
> 7. Retype your new password in the **Retype New Password** field.
>
> 8. Click **Submit** to update your password information.

Logging Out of eSNAP

Logging out of the Commons system ends your current session.

To log out of eSNAP:

> 1. Select the **Log-out** hypertext link located at the top of each screen (Figure 1.14).
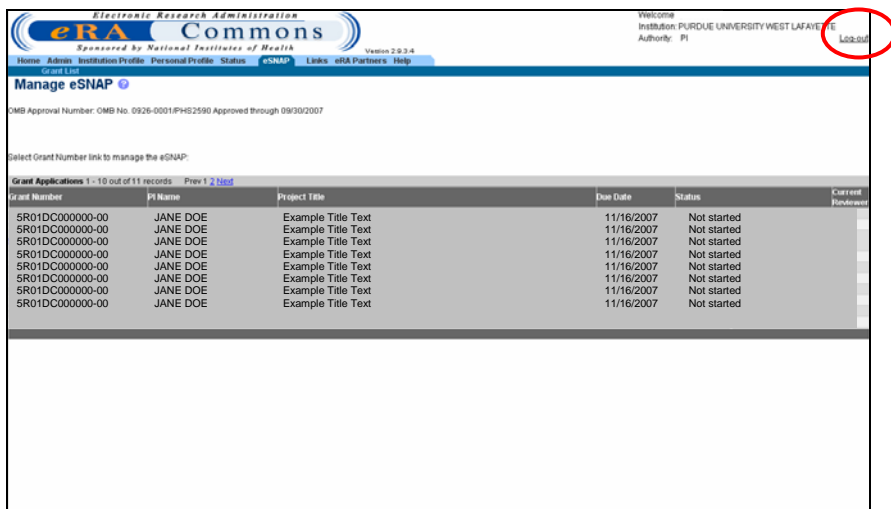
*Figure 1.14: Manage eSNAP Screen Showing **Log-out** Link (ESP7002).*

Expired Session

Your eSNAP session expires after 45 minutes of inactivity. Five minutes before expiration, an expiration message is displayed. Click **Keep Session** to resume your work or **Abandon Session** to force your account to log out.
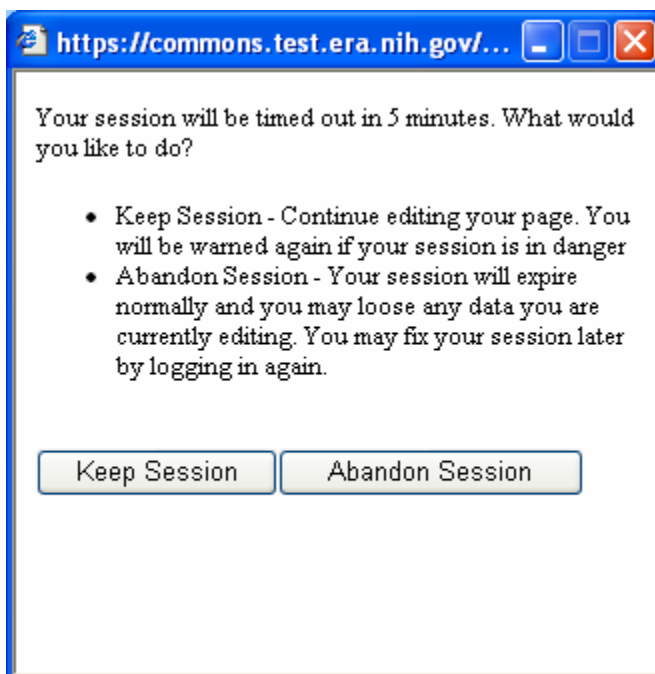

Figure 1.15: Session Expiration Message.

If your session expires while the eRA Commons is open, because you did not respond to the expiration message within the allotted five minutes, you will experience errors or lost functionality in the system (such as disappearing buttons, Internal Server Error 500, pages displaying with no data, or prompts to log in again). If any of these problems occur, close your Web browser window and then reopen it to log in and start a new session.

Multiple Principal Investigator (MPI)

eSNAP supports the Multiple Principal Investigator (MPI) model. MPI allows multiple PIs to be associated with grants, contracts, and cooperative agreements. The label **MPI** displays adjacent to grant numbers when that grant is associated with multiple PIs (*see* Figure 1.16).

A hitlist grant showing the MPI designation on the Manage eSNAP screen.

5R01DC000000-00 (MPI)

Figure 1.16: Manage eSNAP Screen Showing an MPI Grant (ESP7002).

eSNAP screens displaying PI names display the names of all PIs associated with the grant in alphabetical order. The multiple PI policy requires one PI to be designated as the contact PI, which is designated in our system with the "(Contact)" following their name (*see* Figure 1.17).

Multiple PI Names listed.

Figure 1.17: eSNAP Menu showing PI Names and Contact Designation (ESP7003).

Personal Profile

Overview

Users must maintain their personal information that remains on file with NIH. In order to do this, users must utilize the **Personal Profile** (PPF) section. This section allows users to maintain personal information including: degrees, publications, and contact information.

Creating a Personal Profile

NOTE: Users are only required to create a personal profile once. You are then able to maintain and make updates to your profile when necessary.

To create a personal profile:

1. Log on to the Commons as described in *Accessing the eSNAP Module* on page 5.

*Figure 2.1: Home Screen Showing the **Personal Profile** Navigation Link (COM0001).*

2. Select the **Personal Profile** access tab.

The **Select Profile for Edit** screen displays (Figure 2.2).

> **NOTE**: If someone other than the PI will be adding the PI's information, that individual must have updating authority. For instruction on granting authority, *see* the ***Delegating Authority*** section on page 16.
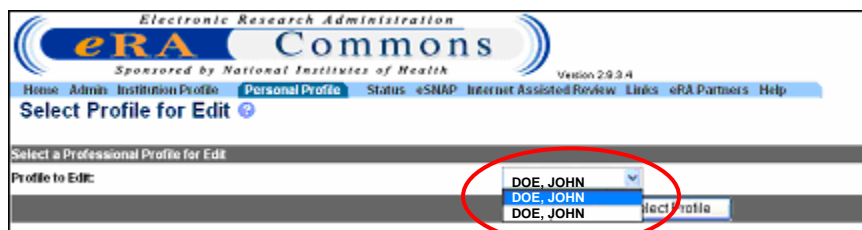
Figure 2.2 : Select Profile for Edit Screen

> 3. Select the PI name, for which you would like to create a profile, from the **Profile to Edit** drop down list.

If you do not have updating authority, you will not have the option of choosing a profile to edit. You will immediately access the **Personal Page** screen (Figure 2.3).

> 4. Click **Select Profile**. The **Personal Page** screen displays (Figure 2.3).

Figure 2.3: Personal Page Screen (PPF6010)

> 5. You must complete each sub-menu item listed on the menu bar. These items must be completed in order as they appear from left to right.
>
> - Personal Information
> - Race/Ethnicity
> - Employments
> - Reviewer Address
> - Residential Address
> - Degrees
> - Publications
> - Reference Letters

For further details pertaining to each of the sub-menu items, please refer to the Commons User Guide located on the Commons Support Page at **http://era.nih.gov/commons/index.cfm**.

Delegating Authority

Overview

Certain functions and access capability within the eRA Commons eSNAP module can be delegated or assigned, by a Commons user with the appropriate authority, to another registered Commons user(s).

Specific eSNAP delegation types, described in the sections to follow, include:

Delegation Type	Actor	Recipient
Submit Authority	Signing Official	PIs
Principal Investigator (PI) Access Authority	Principal Investigator Signing Official	PIs or other registered Commons users.
Personal Profile (PPF) Edit Authority	Principal Investigator Account Administrator Administrative Officials Signing Official	PIs or other registered Commons users.

NOTE: Delegations are considered temporary and can be revoked at any time.

Submit Authority

The eSNAP **Delegate Submit Authority** function allows the Signing Official (SO) of a grantee institution to assign eSNAP submission rights to Principal Investigators (PIs). Delegating this authority subsequently enables the user to submit eSNAP Progress Reports to the NIH.

The following business rules apply:

1. The individual being granted submit authority (via delegation) must be a registered Commons user.

2. Only the SO or a user with delegated authority can submit eSNAP Progress Reports to the NIH.

3. Only users in the SO role can grant submit authority (allowing PIs or other Commons users to submit eSNAP Progress Reports).

4. **Delegated** SO authority is not sufficient to utilize the eSNAP delegate submit authority function. Only users with the SO role can delegate submit authority.

SO - Delegating Submit Authority

SOs delegate submit authority using the **Delegate Submit Access** screen.

SOs - To access the **Delegate Submit Access** screen and begin the process of delegating eSNAP submit authority:

1. Log on to eRA Commons as described in *Logging into the eSNAP Module*, on page 5.

2. From the Commons' Home screen, select the **Admin** link, then the **Accounts** link, and then the **Delegate Submit** sub-menu link on the Account Administration screen (Figure 3.1).
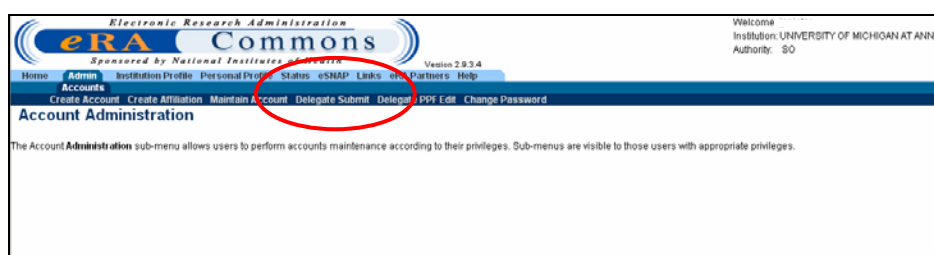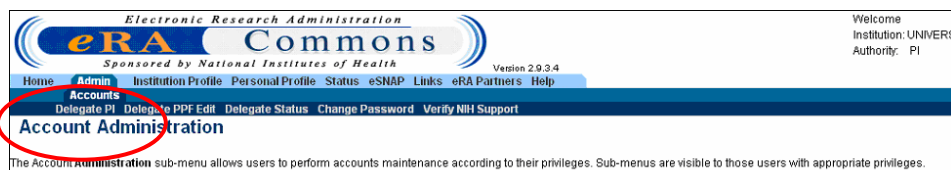

*Figure 3.1: Account Administration Screen Showing **Delegate Submit** Sub-Menu Navigation Link (ADM1005).*

NOTE: The Delegate Submit sub menu option is only visible to Commons users assigned to the SO role

On the **Delegate Submit Access** screen, a list of **Current Institution PI Users** displays in the left scroll window. The right scroll window displays a list of **Current Submit Delegates** (Figure 3.2).
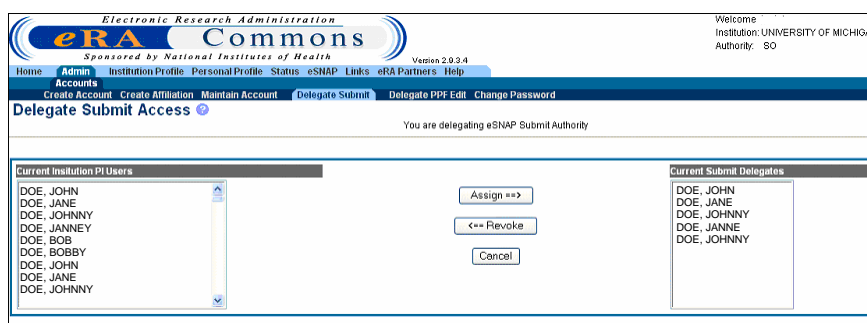
Figure 3.2: Delegate Submit Access Screen (ESP7026).

NOTE: If a name does not appear in the list of Current Institution PI Users, it is likely that a Commons user account does not exist for that individual or that the PI has not been affiliated with your institution. To have an account set up, contact the appropriate SO or AA.

3. From the **Current Institution PI Users** list, select the name of the individual having delegate submit authority assigned (Figure 3.3).
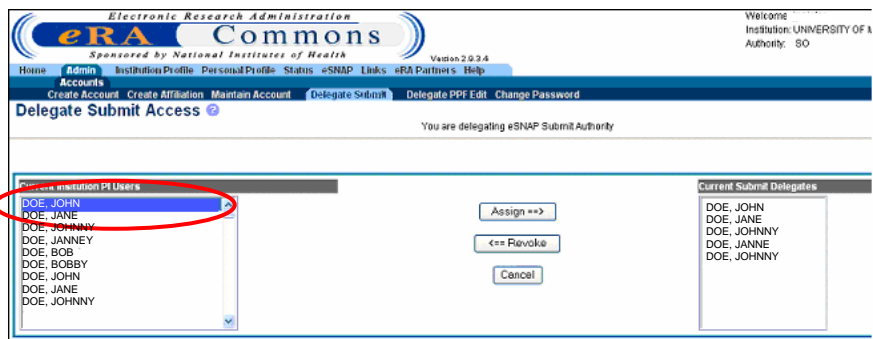
Figure 3.3: Delegate Submit Access Screen (ESP7026).

4. Click the [Assign ==>] button.

5. On the **Delegate Submit Confirmation** screen, review the **Certification** and **Acceptance** statement at the bottom of the screen. Click **I Agree** to certify that the implications of delegating the authority to the individual selected are understood (Figure 3.4).
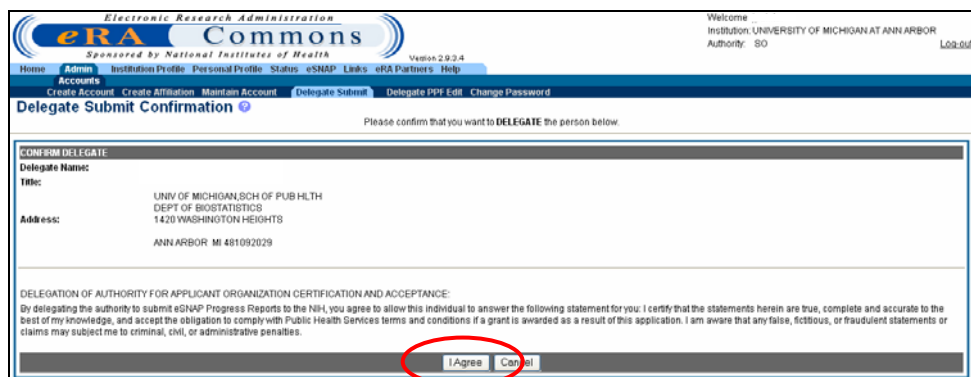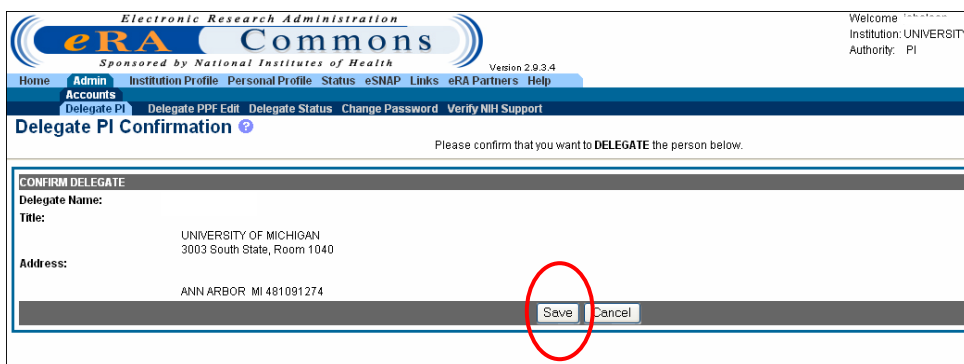

Figure 3.4: Delegate Submit Confirmation Screen (ESP7027).

The system redirects you to the **Delegate Submit Access** screen where a notification – "Delegate Assigned Successfully" – displays in red (Figure 3.5).
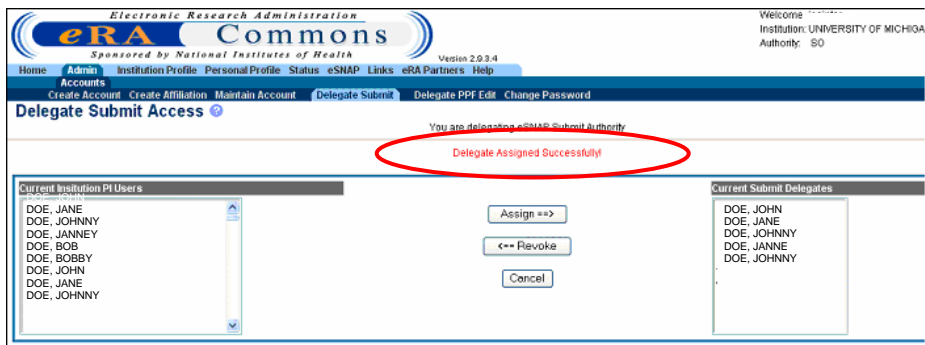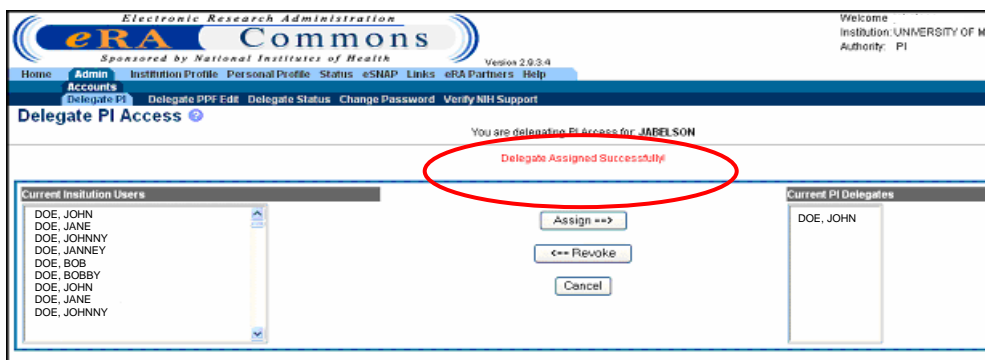
Figure 3.5: Delegate Submit Access Screen (ESP7026).

SO - Revoking Submit Authority

In addition to granting submit authority rights, SOs also have the ability to revoke submit authority. Once submit authority is revoked, the user no longer has the ability to submit eSNAP Progress Reports.

SOs - To revoke submit authority:

1. Access the **Delegate Submit Access** screen as described in *Delegating Submit Authority,* page 17.

2. From the **Current Submit Delegates** list, select the name of the individual having their delegated submit authority revoked (Figure 3.6).

Figure 3.6: Delegate Submit Access Screen (ESP7026).

3. Click the [**<== Revoke**] button.

4. On the **Revoke Submit Delegate Confirmation** screen, review the information presented, and click **Save** (Figure 3.7).
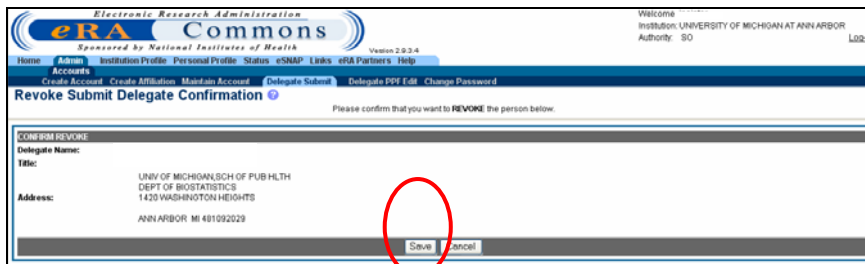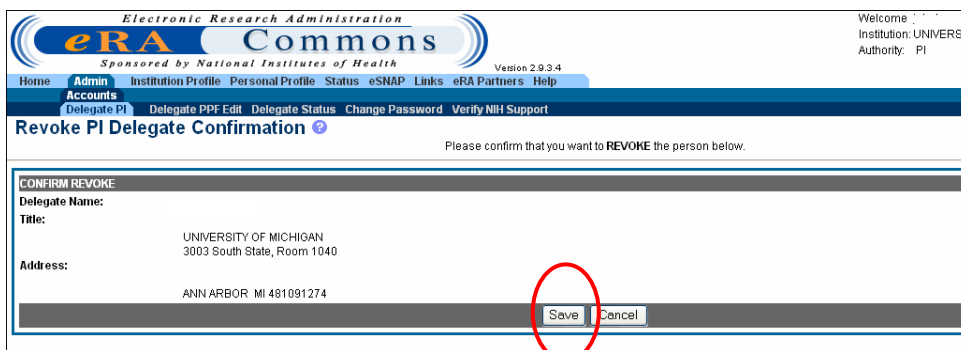

Figure 3.7: Revoke Submit Delegate Confirmation Screen (ESP7027).

The system redirects you to the **Delegate Submit Access** screen, where a notification - "Delegate Revoked Successfully"- displays in red (Figure 3.8).
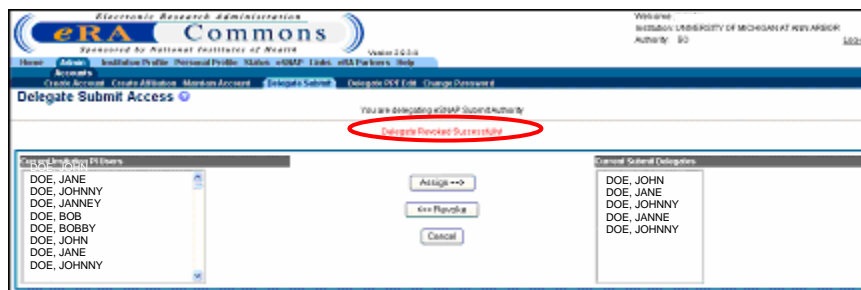
Figure 3.8: Delegate Submit Access Screen (ESP7026).

NOTE: The name of the delegate is transferred from the **Current Submit Delegates** list back to the list of **Current Institution PI Users**.

PI - Delegate PI Authority

The **Delegate PI** function enables a Principal Investigator to delegate PI Authority to another registered Commons user from their institution. Delegating this authority allows the selected user to assist in the completion of the PIs eSNAP application.

PIs - To delegate PI Authority:

1. Log on to eRA Commons as described in *Logging into the eSNAP Module*, on page 5.

2. From the Commons' Home screen, select the **Admin** link, then the **Accounts** link, and then the **Delegate PI** sub-menu link on the **Account Administration** screen (Figure 3.9).

*Figure 3.9: Account Administration Screen Showing **Delegate PI** Sub-Menu Navigation Link (ADM1005).*

On the **Delegate PI Access** screen, a list of **Current Institution Users** displays in the left scroll window. The right scroll window displays a list of **Current PI Delegates** (Figure 3.10)

3. From the **Current Institution Users** list, select the name of the individual having delegate PI authority assigned (Figure 3.10).
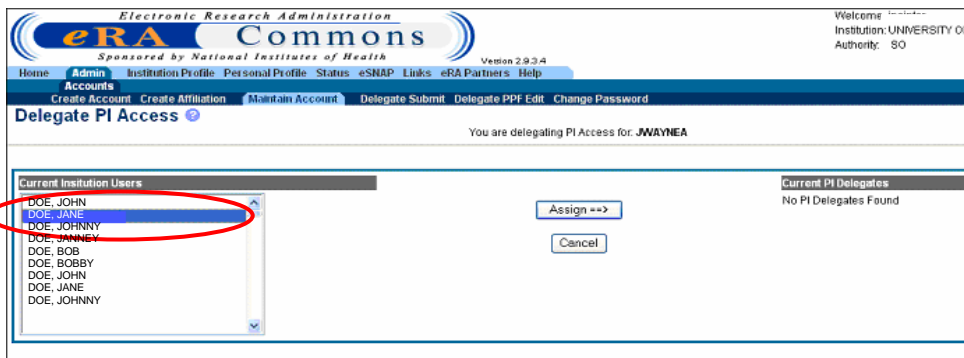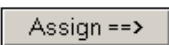
Figure 3.10: Delegate PI Access Screen (ESP7000)

4. Click the Assign ==> button.

5. On the **Delegate PI Confirmation** screen, review the information presented, and click **Save** (Figure 3.11).
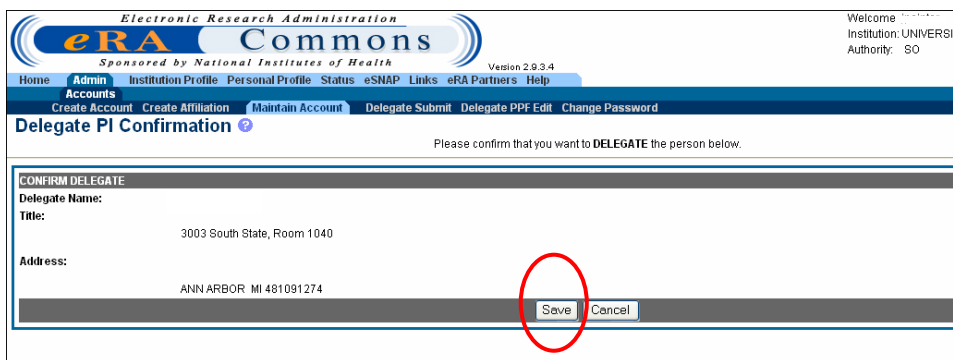

Figure 3.11: Delegate PI Confirmation Screen (ESP7001).

The system redirects you to the **Delegate PI Access** screen, where a notification - "Delegate Assigned Successfully"- displays in red (Figure 3.12).
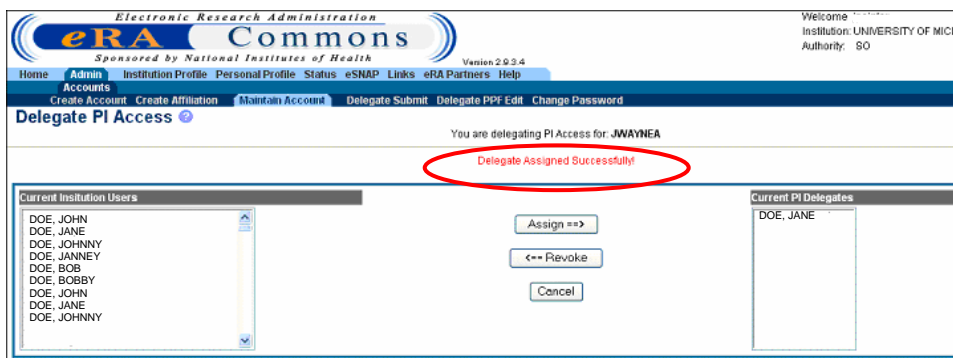

Figure 3.12: Delegate PI Access Screen (ESP7000).

PI - Revoking PI Authority

PIs - To revoke PI Authority:

1. Access the **Delegate PI Access** screen as described in **Delegate PI Authority** on page 20.

2. From the **Current PI Delegation** list, select the name of the individual having their delegated PI authority revoked (Figure 3.13).

Figure 3.13: Delegate PI Access Screen (ESP7000).

3. Click the button.

4. On the **Revoke PI Delegate Confirmation** screen, review the information presented, and click **Save** (Figure 3.14).

Figure 3.14: Revoke PI Delegate Confirmation Screen (ESP7001).

The system redirects you to the **Delegate PI Access** screen where a notification - "Delegate Revoked Successfully"- displays in red (Figure 3.15).

Figure 3.15: Delegate PI Access Screen (ESP7000).

NOTE: The name of the delegate has been transferred from the **Current PI Delegates** list back to the list of **Current Institution Users**.

SO - Delegating PI Authority

Signing Officials have the ability to delegate or assign PI Authority on behalf of an active PI within their institution.

SOs – To delegate PI Authority on behalf of a PI:

1. Log on to eRA Commons as described in *Logging into the eSNAP Module*, on page 5.

2. From the Commons' Home screen, select the **Admin** link, then the **Accounts** link, and then the **Maintain Account** sub-menu link on the **Account Administration** screen (Figure 3.16).
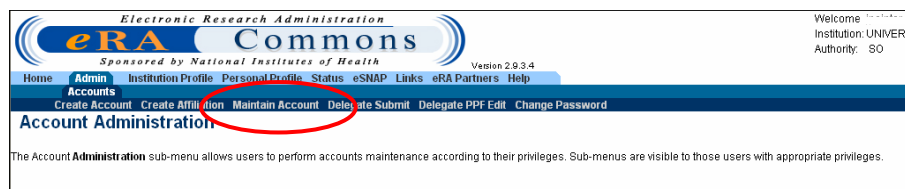
Figure 3.16: Account Administration Screen showing Maintain Account Link (ADM1005).

3. On the **Account List** screen, select "PI" as the **Role**, and then in the remaining fields select and/or enter all available information pertaining to the PI (Figure 3.17).
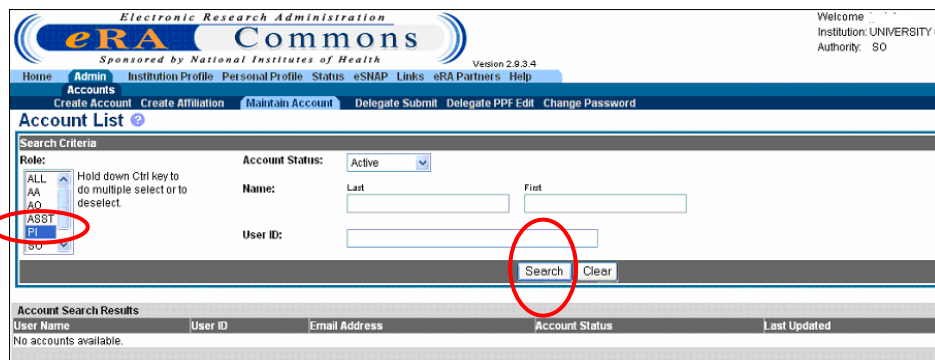
Figure 3.17: Account List Screen (ADM1007).

4. Click the ⬚ **Search** button.

The **Account Search Results** display at the bottom of the screen (Figure 3.18).
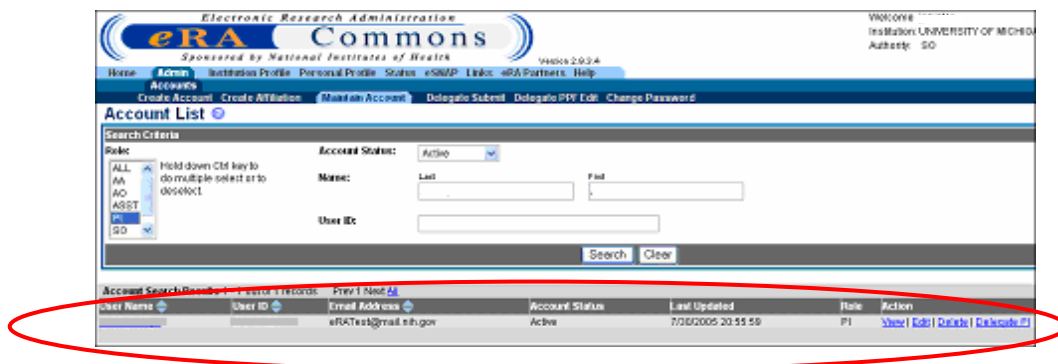
Figure 3.18: Account List Screen (ADM1007).

5. Click the **Delegate PI** link, located below the **Action** column heading (Figure 3.19).

Figure 3.19: Account List Screen (ADM1007) – Account Search Results.

The **Delegate PI Access** screen displays, where a notification - "You are delegating PI Access for (the PI you selected)" – displays at the top of the screen (Figure 3.20).
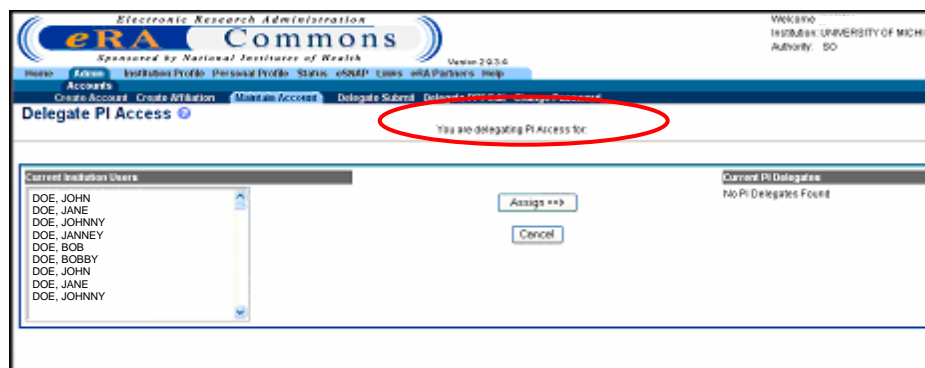
Figure 3.20: Delegate PI Access Screen (ESP7000).

On the **Delegate PI Access** screen, a list of **Current Institution Users** displays in the left scroll window. The right scroll window displays a list of **Current PI Delegates** (Figure 3.20).

6. To delegate PI authority, select the name of the individual having delegate PI authority assigned from the **Current Institution Users** list (Figure 3.21).

Figure 3.21: Delegate PI Access Screen (ESP7000).

7. Click the [Assign ==>] button.

8. On the **Delegate PI Confirmation** screen, review the information presented, and click **Save** (Figure 3.22).

Figure 3.22: Delegate PI Confirmation Screen (ESP7001).

The system redirects you to the **Delegate PI Access** screen where a notification - "Delegate Assigned Successfully"- displays in red (Figure 3.23).

Figure 3.23: Delegate PI Access Screen (ESP7000)

SO - Revoking PI Authority

SOs also have the ability to revoke PI Authority assigned on behalf of another PI.

SOs - To revoke PI Authority:

1. Access the **Delegate PI Access** screen as described in *SO - Delegating PI Authority*, page 23.

2. From the **Current PI Delegates** list, select the name of the individual having their delegated PI Authority revoked (Figure 3.24).
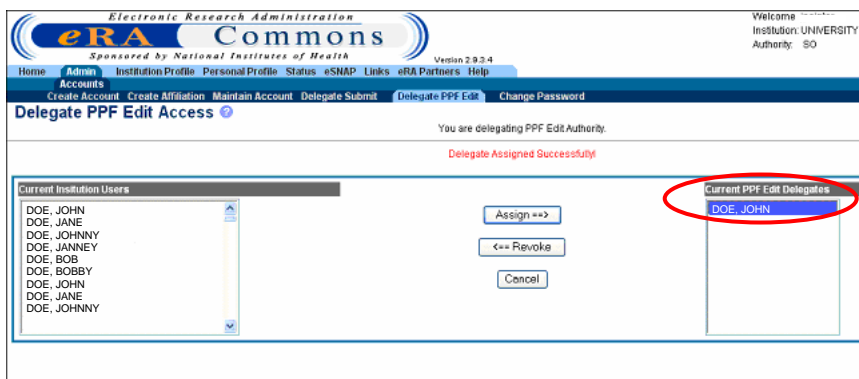

Figure 3.24: Delegate PI Access Screen (ESP7000).

3. Click the <== Revoke button.

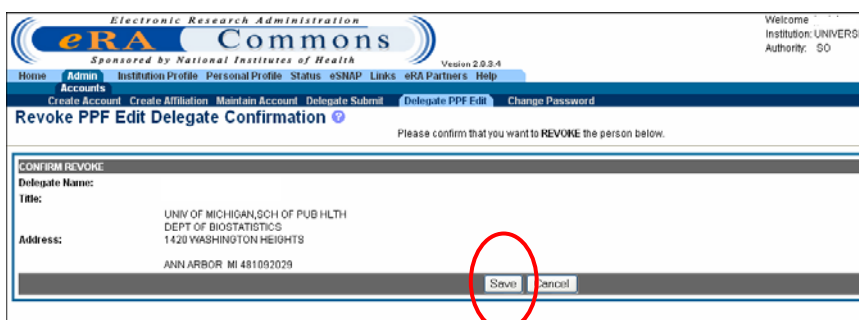4. On the **Revoke PI Delegate Confirmation** screen, review the information presented, and click **Save** (Figure 3.25).

Figure 3.25: Revoke PI Delegate Confirmation Screen (ESP7001)

The system redirects you to the **Delegate PI Access** screen, where a notification – "Delegate Revoked Successfully" – displays in red (Figure 3.26).

Figure 3.26: Delegate PI Access Screen (ESP7000).

NOTE: The name of the delegate has been transferred from the **Current PI Delegates** list back to the list of **Current Institution Users**.

Delegate Personal Profile (PPF) Update Authority

The eRA Commons **Personal Profile** module contains identifying information on an individual that remains on file with the NIH. As such, it is important that the records stored in the profile are updated (as needed) on a regular basis. To help facilitate this, Principal Investigators (PI), Account Administrators (AA), Administrative Officials (AO), and Signing Officials (SO) have the ability to delegate PPF update authority, which allows personal information records to be updated by a registered Commons user other than the user whose information is contained in the profile.

NOTE: An incomplete personal profile can result in an error on the eSNAP report. Also note that only the user whose information is contained in the profile can delegate or revoke update authority for his/her account.

To delegate authority that allows another user to update your personal profile:

1. Log on to eRA Commons as described in *Logging into the eSNAP Module*, on page 5.

2. From the Commons' Home screen, select the **Admin** link, then the **Accounts** link, and then the **Delegate PPF Edit** sub-menu link on the **Account Administration** screen (Figure 3.27).
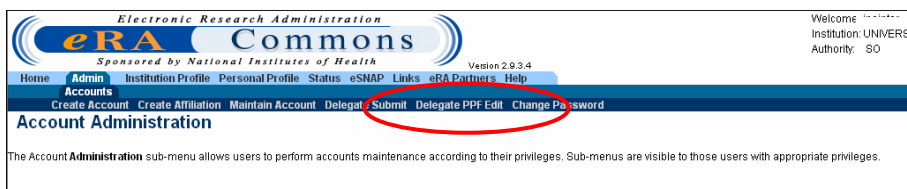
Figure 3.27: Account Administration Screen showing **Delegate PPF Edit** *Link (ADM1005).*

On the **Delegate PPF Edit Access** screen, a list of **Current Institution Users** displays in the left scroll window. The right scroll window displays a list of **Current PPF Edit Delegates** (Figure 3.28).

Figure 3.28: Delegate PPF Edit Access Screen (ESP7029).

3. From the **Current Institution Users** list, select the name of the individual having delegate PPF authority assigned (Figure 3.29).

Figure 3.29: Delegate PPF Edit Access Screen (ESP7029).

4. Click the **Assign ==>** button.

5. On the **Delegate PPF Edit Confirmation** screen, review the information presented, and click **Save** (Figure 3.30).

Figure 3.30: Delegate PPF Edit Confirmation Screen (ESP7030).

The system redirects you to the **Delegate PPF Edit Access** screen, where a notification – "Delegate Assigned Successfully" – displays in red (Figure 3.31).

Figure 3.31: Delegate PPF Edit Access Screen (ESP7029).

6. Repeat steps 3 through 5 until the desired delegates are added.

Revoke PPF Update Authority

To Revoke PPF Authority:

1. Access the **Delegate PPF Edit Access** screen as described in *Delegate Personal Profile (PPF) Authority* on page 27.

2. From the **Current PPF Edit Delegates** list, select the name of the individual having their delegated PPF Edit Authority revoked (Figure 3.32).

Figure 3.32: Delegate PPF Edit Access Screen (ESP7029).

3. Click the [== Revoke] button.

4. On the **Revoke PPF Edit Delegate Confirmation** screen, review the information presented, and click **Save** (Figure 3.33).

Figure 3.33: Revoke PPF Edit Delegate Confirmation Screen (ESP7030).

The system redirects you to the **Delegate PPF Edit Access** screen, where a notification – "Delegate Revoked Successfully" – displays in red (Figure 3.34).

Figure 3.34: Delegate PPF Edit Access Screen (ESP7029)

eSNAP Management

Overview

The **Manage eSNAP** screen is used to view a list of eSNAP reports that you are able to access. The eSNAP reports listed on this page are available to you, and you are able to perform various actions on these reports.

All awards accessible to a PI are listed on the **Manage eSNAP** screen. The awards that are eligible for submission are displayed as a hypertext link (Figure 4.1).
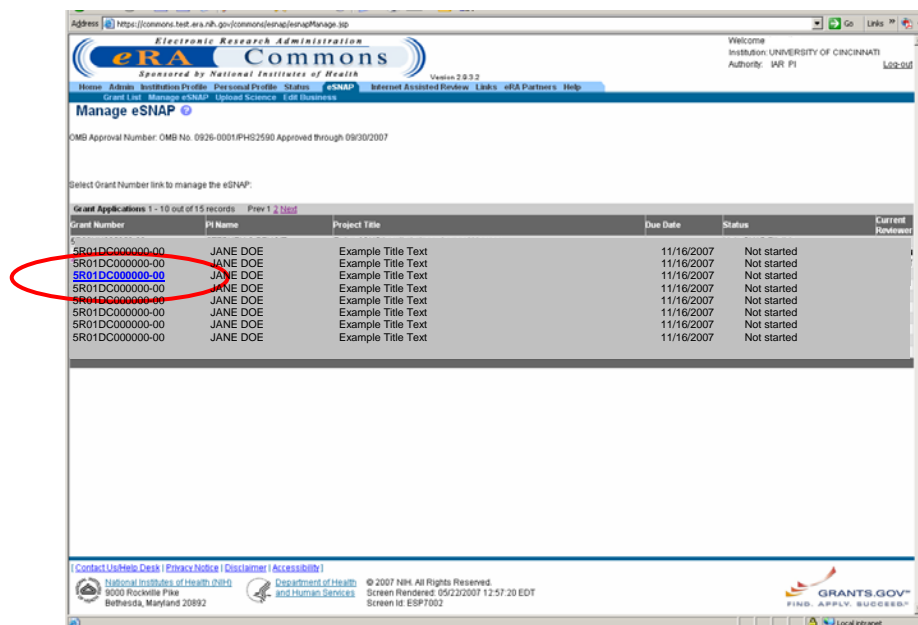
Figure 4.1 : Manage eSNAP Screen (ESP7002).

Viewing the eSNAP Grant List

PIs or users that are delegated PI updating authority use the **Manage eSNAP** screen to view their eSNAP reports. By default, all applications are listed and there is no search form available.

SOs and AOs use the Manage eSNAP page to search for grants from their institution or grants that have been routed to them as reviewers.

To access the eSNAP grant list:

1. Log on to the eSNAP Module as described in *Logging into the eSNAP Module* on page 5.

2. Select the **eSNAP** access tab. The **Manage eSNAP** screen displays with the Grant **List** displayed.

3. Select the hypertext link for the desired grant number to access the **eSNAP Menu** screen (Figure 4.2).
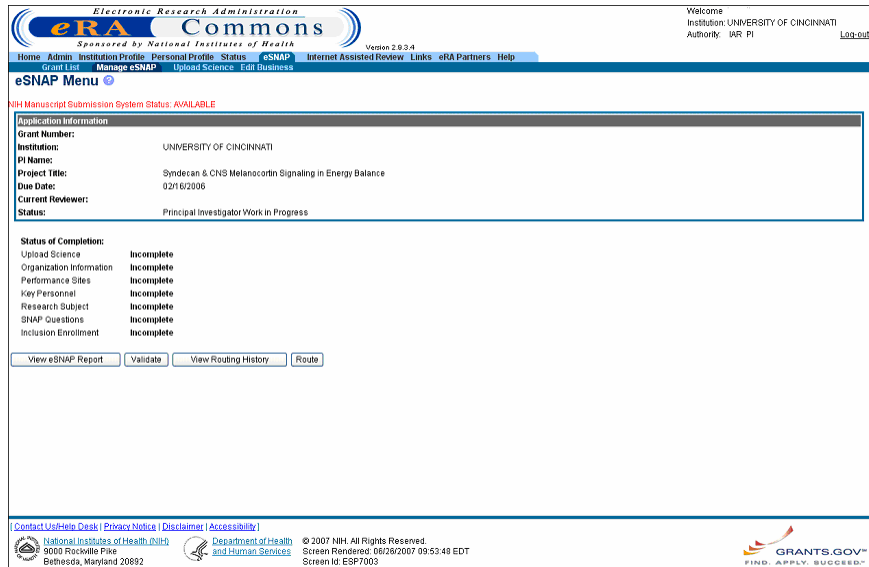
Figure 4.2 : eSNAP Menu Screen (ESP7003).

If you are an SO (Signing Official) or an AO (Administrative Officer), you have the option of performing a search for specific grants.

To search for grants:

1. Access the **Manage eSNAP** screen, as described in this section.

2. Enter the desired search information in the **Search Form** block.
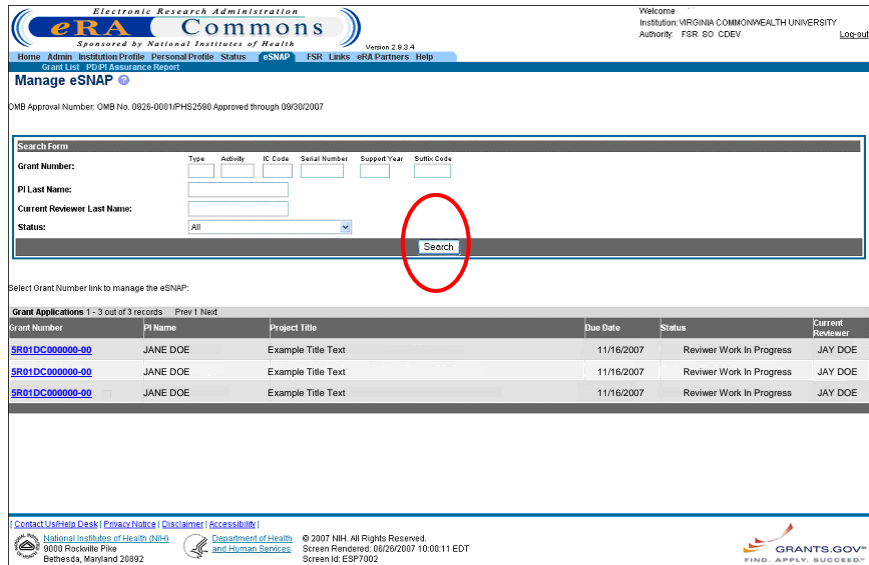
Figure 4.3: All Signing Officials and Administrative Officers have the option of searching for specific grants.

3. Click **Search** to perform the query. A list of matching proposals with hyperlinked grant numbers displays. Proposals displayed in bold text are overdue.

NOTE: The fields for the search information on this page (Grant Number, PI Last Name, Current Reviewer Last Name, and Status) are all optional. Use any desired combination of the fields to perform the search for grants. If no information is specified, all available grants will be listed when you click Search.

---

4. Select the hypertext link for the desired grant number to access the **eSNAP Menu** screen (ESP7003).

eSNAP Menu

eSNAP Menu Screen Details

The **eSNAP Menu** screen displays when a grant eligible for submission is selected from the **Grant List**. This screen includes two blocks of information: Application Information and Status Completion.

Figure 4.4: eSNAP Menu Screen (ESP7003).

Application Information Block

The application information section provides the user with details pertaining to the selected grant.

Status of Completion Block

The Status of Completion Block lists each section of the eSNAP and indicates whether that section has been completed. Because the complete designation is optional, sections that show as incomplete may in fact have been completed.

Initiating an eSNAP Report

The *Initiate* option is available for eSNAP reports with a status of Not Started. Access is granted to PIs and PI delegates (Figure 4.5).

NOTE: An eSNAP can be initiated even if required information in the Personal Profile and Institution Profile sections is missing. If any of this information is incorrect or missing, you are prompted to correct/complete the information after initiating the grant. Processing may continue on the eSNAP without making the corrections. However, the eSNAP will not pass validation for submission to the NIH until the errors are corrected.

To initiate an eSNAP Report:

1. Access the **eSNAP Menu** screen as described in *Viewing the eSNAP Grant List* on page 31.

2. Click **Initiate** (Figure 4.5).

Figure 4.5: eSNAP Menu Screen (ESP7003).

The **eSNAP Menu** displays showing the status of the eSNAP as a Work In Progress (WIP) (Figure 4.6).
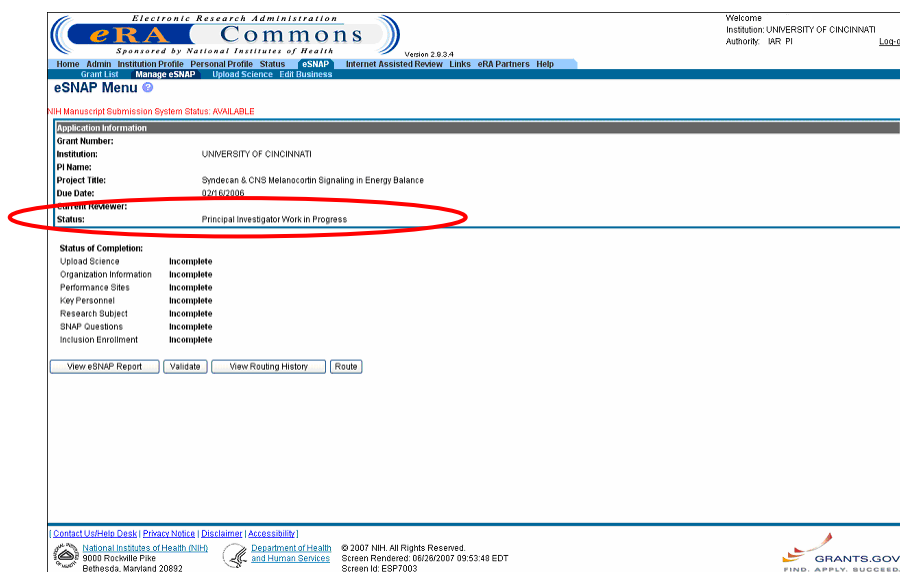
Figure 4.6: eSNAP Menu Screen (ESP7003).

eSNAP Business

Overview

The **Edit Business** access tab is available for all grants that have the status of *Work In Progress (WIP)*. Access to business items is granted to all PIs or PI delegates when the PI is assigned as the current reviewer and to AOs and SOs when they are assigned as the current reviewer.

NOTE: Pages can be saved in WIP state when required items are missing; however, submission to NIH is rejected.

To access the **Edit Business** functionality:

1. Select the **Edit Business** access tab from the **eSNAP Menu** screen.

NOTE: The Edit Business menu is only available to the contact PI for the grant. Edit Business is not available to other PIs associated with the grant at this time.
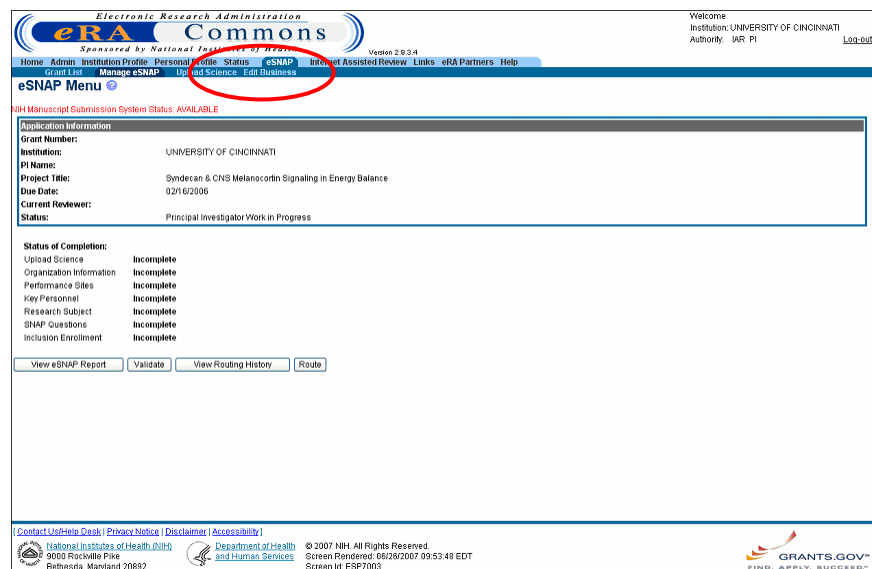
Figure 5.1: eSNAP Menu Screen (ESP7003).

Edit Business Sub-Menu

The **Edit Business** access tab allows you to view and edit information pertaining to an eSNAP on the **Edit Business - Org. Info** screen (Figure 5.2).

Figure 5.2: Edit Business – Org. Info Screen (ESP7008).

The information is divided into the following sections:

- Org Info (Organization Information)
- Performance Sites
- Key Personnel
- Research Subject
- SNAP and Other Progress Report Questions & Checklist
- Inclusion Enrollment

Designate as Complete

The bottom of each eSNAP Edit Business section indicates whether the section has been designated as complete. If the section is marked as complete, the name of the person who performed the action and the date the section was designated as complete are indicated. If the section is not marked as complete, you can mark the section as complete by clicking the **Designate As Complete** button located at the bottom of the page (*see* NOTE below, also, *see* **Designate As Complete** button on Figure 5.3).

NOTE: Designating a section as complete does not save the record.

Save and Complete

To store an eSNAP record and indicate that it is officially complete, click the Save & Complete button at the bottom of the page. Once this button is clicked, a message displays to indicate who performed the action and the date the section was marked as saved and complete (see Save & Complete button on Figure 5.3).

Designate As Complete

Click this button to indicate that the information entered for this section is complete.

Save & Complete

Click this button to save information entered on the screen into the database and to indicate that this section is complete.

Figure 5.3: Edit Business - Org. Info Screen (ESP7008).

NOTE: Whenever you edit business information in a previously completed section, the status of the section reverts back to incomplete.

Org. Info

The **Edit Business - Org. Info** screen lists project and institution information regarding the selected eSNAP. This screen requests the principal investigator's contact information, percent effort, and the name of your institutional representative. (When multiple PIs are involved, the screen reflects the "Contact" PI only.) Some information may be automatically added by the system. Verify that the pre-populated information is correct. If there are any errors, correct the errors.

To access and complete the **Edit Business - Org. Info** screen:

1. Select the **Edit Business** access tab from the **eSNAP Menu** screen.

The **Edit Business - Org. Info** screen displays (Figure 5.4).

Figure 5.4: Edit Business - Org. Info Screen (ESP7008).

- The Title of the Project, Progress Report Period, Principal Investigator, and Applicant Organization sections are pre-populated with the information saved in the database.

NOTE: If the Department displayed on the screen is incorrect, check the Progress Report submitted last year to verify that the same error appeared on the Face Page. The information here should match the information you submitted previously. You will not be able to correct this error through eSNAP. Contact your grants management specialist to inform them of the error.

2. Enter the number of **Months Devoted to Project:**

- Calendar

- Academic

- Summer

See Figure 5.5

Enter the number of months devoted to the project. Three columns are provided depending on the type of appointment being reflected, academic, calendar, and/or summer months. Individuals may have consecutive appointments within a calendar year, for example for an academic period and a summer period. In this case, for each appointment, identify each separately using the corresponding column. If effort does not change throughout the year, use only the calendar months column. If effort varies between academic and summer months, leave the calendar month column blank and use only the academic and summer month columns. In cases where no contractual appointment exists with the applicant organization and salary is requested, enter the number of months for that period.

3. Complete the **Administrative Official** block of the **Edit Business- Org. Info** screen (Figure 5.5).

NOTE: The **Administrative Official** block information must be entered before organization information can be saved.

- Select the name of your institutional representative from the **Name** drop down list. When the name is selected the institutional representative's contact information is automatically completed.

Administrative Official Block

Signing Official Block

Figure 5.5: Edit Business - Org. Info Screen— Administrative Official Block (ESP7008).

4. Complete the **Signing Official** block of the **Edit Business - Org. Info** screen (Figure 5.5).

> **NOTE:** The **Signing Official** block information must be entered before organization information can be saved.

- Select the name of your institutional representative from the **Name** drop down list. When the name is selected the institutional representative's contact information is automatically completed.

5. Click **Save** to save information entered (Figure 5.6).

Figure 5.6: Edit Business - Org. Info Screen, Save Button (ESP7008).

6. Click **Designate As Complete** to indicate that you have added all of the necessary details to this page (see page 36 for more details regarding Designate As Complete functionality).

Figure 5.7: Edit Business - Org. Info Screen (ESP7008).

7.   Click the **Save & Complete** button (Figure 5.7).

NOTE: Clicking the **Designate As Complete** button does not save your work (*see* page 36 for more details regarding Designate As Complete functionality).

Performance Sites

The **Performance Sites** access tab includes information detailing the address or addresses of where the selected project's research work is being conducted. When several performance sites are associated with a project, you must list all sites including VA facilities and foreign sites. A default performance site, based on the institution profile address, is added when the eSNAP is initiated.

Completing Details for Performance Site

To complete the details included on the **Performance Sites** access tab:

1.   Select the **Edit Business** (*see* Figure 5.1) access tab from the **eSNAP Menu** screen. Select the **Performance Sites** access tab (Figure 5.8).

Figure 5.8: Edit Business - Performance Site List (ESP7012).

> 2. Add new, Edit, or Delete the current performance address.

Adding a New Performance Site

To add new performance sites:

> 1. Enter details of the new performance site into the **Performance Sites Form** block (Figure 5.8).
>
> 2. Click **Save & New**. The performance site is added to the selected grant (Figure 5.8).

NOTE: If the selected project is taking place at more than one location, add additional performance sites.

> 3. Click **Designate As Complete** to indicate that you have completed the information on this page.

Editing an Existing Performance Site

To edit an existing performance site address:

> 1. Select the **Edit** hypertext link located next to the performance site address you would like to edit (Figure 5.9).
>
>   The existing address displays in the **Performance Sites Form** block.
> 2. Make the necessary modifications to the address in the **Performance Sites Form** block (Figure 5.8).
>
> 3. Click **Save & New**. The new performance site address is added to the selected grant.
>
> 4. Click **Designate As Complete** to indicate that you have completed the information on this page.

Deleting an Existing Performance Site

To delete an existing performance site address:

> 1. Select the **Delete** hypertext link located next to the performance site address you would like to delete (Figure 5.9).

Links for Editing and Deleting existing Performance Sites

Figure 5.9: Edit Business - Performance Site List (ESP7012).

The **Delete Performance Site** screen displays (Figure 5.10)

> 2. Click **Delete** at the bottom of the **Delete Performance Site** screen (Figure 5.10).

The performance site is deleted from the selected grant's record. You are returned to the **Edit Business - Performance Site List** screen.

Figure 5.10: Delete Performance Site Screen (ESP7010).

> 3. Click **Designate As Complete** to indicate that you have completed the information on this page (Figure 5.8).

Key Personnel

The **Key Personnel** access tab includes a listing of individuals who contribute to the scientific development or execution of the project in a substantial, measurable way, whether or not a salary has been requested.

Individuals designated as *Other Significant Contributors*, (e.g., those that may contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the project), should not be included in this report unless their involvement has changed so that they now meet the definition of *key personnel*.

Key Personnel Details

To add details to the **Key Personnel** access tab:

1. Select the **Edit Business** (*see* Figure 5.1) access tab from the **eSNAP Menu** screen. Select the **Key Personnel** access tab (Figure 5.11).

NOTE: The SSN input field on the **Edit Business - Key Personnel List** screen only accepts the last four digits of an SSN.

NOTE: The **Edit Business - Key Personnel List Screen—Personnel Block**, the column **Months Devoted to Project** replaces **Annual % Effort** (*see* **Months Devoted to Project** on page 38).

Figure 5.11: Edit Business - Key Personnel List Screen (ESP7007).

2. Add new, Edit, or Delete the current key personnel listing.

NOTE: "(Contact)" displayed adjacent to a PI name in the **Personnel** block **Role(s)** column designates that the PI is the actual PI for the grant (*see* **Multiple Principal Investigator (MPI)** on page 13).

Adding New Details for Key Personnel

To add new key personnel details:

1. Add the appropriate information to the **Personnel Form** block (Figure 5.12).

2. Click **Save & New**. The information that you have added displays in the **Personnel** block at the bottom of the screen (Figure 5.12).

3. Click **Designate As Complete** to indicate that you have completed the information on the **Key Personnel** screen.

NOTE: For the **Months Devoted to Project** field, when a value is entered for either Academic and/or Summer months in combination with Calendar months, or no value is entered for Calendar, Academic, or Summer months, the system displays a warning message on the **Edit Business- Key Personnel List** screen.

To edit and existing key personnel listing:

Editing Key Personnel Details

1. Select the **Edit** hypertext link located next to the key personnel listing that you would like to edit (Figure 5.12).

The key personnel listing information displays in the **Personnel Form** block of the screen.

Figure 5.12: Select the Edit hypertext link to make modifications to the key personnel listing.

2. Make the necessary changes to the information located in the **Personnel Form** block.

3. Click **Save & New**. The information is updated for the selected listing.

4. Click **Designate As Complete** to indicate that you have completed the information on the **Key Personnel** screen.

NOTE: For the **Months Devoted to Project** field, when a value is entered for either Academic and/or Summer months in combination with Calendar months, or no value is entered for Calendar, Academic, or Summer months, the system displays a warning message on the **Edit Business- Key Personnel List** screen.

NOTE: Only **Months Devoted to Project** can be edited for Contact PI and PI key personnel data

Deleting Key Personnel Details

To delete a key personnel listing:

1. Select the **Delete** hypertext link located next to the key personnel listing that you would like to delete (Figure 5.13).

NOTE: The **Delete** hypertext link only displays adjacent to Key Personnel detail records that can be deleted. Key Personnel detail records with PI or MPI roles cannot be deleted.
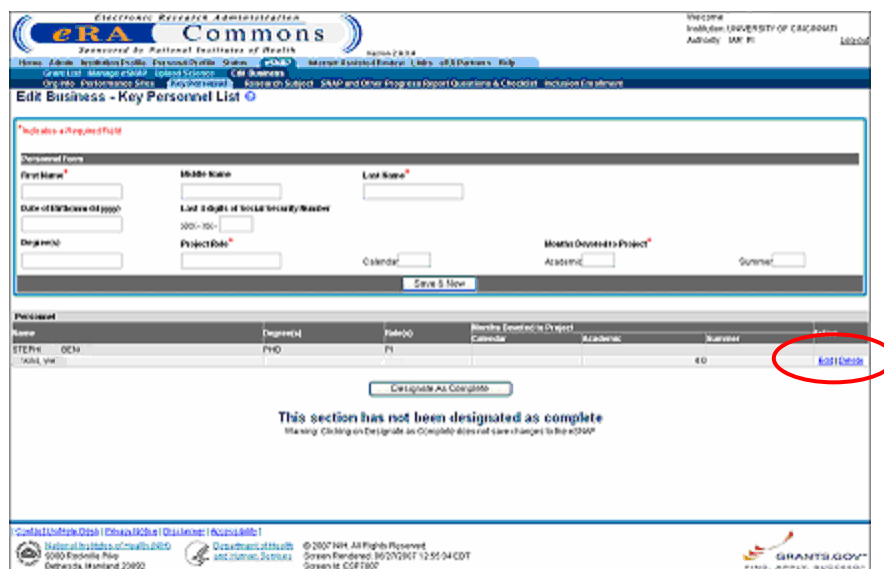
Figure 5.13: Select the Delete hypertext link to remove the key personnel listing from the selected grant's record.

The **Delete Key Personnel** screen displays (Figure 5.14).

2. Click **Delete** at the bottom of the **Delete Key Personnel** screen (Figure 5.14).

Figure 5.14: Click Delete to remove the key personnel listing from the grant's record.

You are returned to the **Edit Business - Key Personnel List** screen.

3. Click **Designate As Complete** to indicate that you have completed the information on the **Key Personnel** screen.

Research Subject

The **Research Subject** screen includes information related to human subjects and vertebrate animal research.

To add Research Subject details:

1. Select the **Edit Business** (*see* Figure 5.1) access tab from the **eSNAP Menu** screen. Select the **Research Subject** access tab (Figure 5.15).

Figure 5.15: Edit Business- Research Subject Screen (ESP7028).

2.   Select the appropriate response to each of the listed questions.

Human Subject Section

- **Does the proposal involve human subjects?**

Select *No* if activities involving human subjects are not planned at any time during the proposed budget period. The remaining questions in the Human Subjects section are then not applicable. Select *Yes* if activities involving human subjects, whether or not exempt from the Federal regulations for the protection of human subjects, are planned at any time during the budget period, either at your organization or at any other performance site or collaborating institution. *See Inclusion Enrollment* on page 59 for details.

- **Has the involvement of human subjects changed since the previous submission?**

    If yes, the change must be addressed in the Progress Report.

Select *Yes* if the involvement has changed since your previous submission. You must discuss these changes in your progress report (*see **Accessing the Upload Science Screen*** on page 62 for more information about progress reports).

- **Is the research exempt?**

Select *Yes* if the activities are designated to be exempt from the regulations and insert the exemption number corresponding to the exemption category. Select *No* if the planned activities involving human subjects are not exempt, and complete the remaining sections. The Assurance number is listed if your organization has an approved Human Subjects Assurance on file. Indicate if there has been a full Institutional Review Board (IRB) review for the proposed activities.

- **NIH-defined Phase III Clinical Trial**

Select *Yes* or *No* to indicate whether the project is an NIH-Defined Phase III clinical trial.

- **Full IRB Review?**

Select *Yes* or *No* to indicate whether the project has received full IRB review.

- **Human Subject Education:**

Required only for new key personnel that are involved in human subject research. Include a description of the education completed in the protection of human subjects.

Note, if the human subjects research is exempt under exemption #4, then this documentation is not required. (*See* Figure 5.15 for a view of the text box that follows this question.)

Animal Subject Section

- **Does the proposal involve animal subjects?**

Select *Yes* if activities involving vertebrate animals are planned at any time during the budget period, either at the applicant organization or at any other site or collaborating institution.

- **Has the involvement of animal subjects changed since the previous submission?**

If there has been no change, select *No*. If vertebrate animals were not involved in the last application but are now to be included, or if significant changes regarding the use of animals are now proposed, select *Yes* and provide a description in the progress report.

Figure 5.16: Click Save & Complete to indicate that you have completed the Edit Business - Research Subject Screen.

1. Click **Save** to save the details that you have added to the **Edit Business - Research Subject** screen.

2. Click **Designate As Complete** to indicate that you have completed the information on the **Research Subject** screen.

SNAP and Other Progress Report Questions & Checklist

The **SNAP and Other Progress Report Questions & Checklist** page (ESP7018) lists questions relating to the following categories:

- SNAP questions

- Inventions and patents

- Program Income

- Facilities & Administration

NOTE: If there is a change in performance sites that will affect Facilities and Administration costs, update the performance site information as described in *Performance Sites* on page 41 .

To add details to the **Edit Business - SNAP and Other Progress Report Questions & Checklist** screen:

1. Select the **Edit Business** access tab from the eSNAP Menu screen. Select the **SNAP and Other Progress Report Questions & Checklist** access tab (Figure 5.17).

Figure 5.17: Edit Business - SNAP and Other Progress Report Questions & Checklist (ESP7018).

2. Select the appropriate answer to each listed question. If you select *Yes* as the answer, you must provide an explanation in the text box below the question.

NOTE: The contents of each text box may not exceed 2000 characters.

eSNAP Section

- **Has there been a change in the other support of key**

personnel since the last reporting period?

If yes, explain the change(s) and attach complete Other Support Information:

(*See* Figure 5.17 for a view of the text box and files block that follow this question.)

Specific information is to be provided only if active support has changed. If a previously active grant has terminated and/or if a previously pending grant is now active, **submit complete Other Support information** using the suggested format and instructions found in the PHS 398 application (MS Word or PDF). Annotate this information so it is clear what has changed from the previous submission. Submission of other support information is not necessary if support is pending or for changes in the level of effort for active support reported previously. Other support information should be submitted only for the principal investigator and for those individuals considered by the principal investigator to be key to the project.

Do not routinely include Other Support information for "Other Significant Contributors", e.g., those that may contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the project. However, if the level of involvement for an individual listed in this category has changed such that they are now considered "key personnel", this change should be indicated in this section and Other Support information provided.

- **Will there be, in the next budget period, a significant change in the level of effort for the PI or other personnel designated on the Notice of Grant Award from what was approved for this project?**

If yes, please justify.

(*See* Figure 5.17 for a view of the text box that follows this question.)

A significant change in level of effort is defined in Federal regulations as a 25 percent reduction in time devoted to the project. For example, if a NGA-specified person on the project is expected to reduce his/her effort from 4.8 CY months to 3.6 CY months, which represents a 25 percent reduction in the level of effort, an explanation must be provided.

- **Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total budget?**

If yes, please justify.

(*See* Figure 5.17 for a view of the text box that follows this question.)

Explain any estimated unobligated balance (including prior year carryover) that is greater than 25 percent of the current year's total budget. Provide an explanation of why there is a significant balance and how it will be spent if carried forward into the next budget period.

Program or grants management staff may require additional information in order to evaluate the project for continued funding. Failure to provide this information will result in a delayed award.

If a project or grantee organization requires closer monitoring by NIH staff, the project or organization may not use these simplified instructions.

If you have any questions, contact the grants management specialist identified on the current Notice of Award.

- **Change in select agent research?**

    If yes, please explain in the Progress Report.

Select "No" if the activities planned for the coming year are not different from the previous submission.

Select "Yes" if proposed research involving Select Agents is different from that proposed in the previous submission. Include an explanation as part of the progress report.

- **Change in Multi PI Leadership Plan?**

    If yes, please explain in the Progress Report.

This section is only applicable if Multiple PIs are part of the approved project. Select "No" if there is no change in the leadership plan as originally proposed and approved.

Select "Yes" if there has been any change in the governance and/or organizational structure of the Multiple PI Leadership Plan including communication plans and procedures for resolving conflicts. Discuss any changes to the administrative, technical, and scientific responsibilities for the PIs in the progress report.

If this submission includes a change in the contact PD/PI, select "Yes" and address this change and the impact, if any, the change has on the administrative, technical, and scientific responsibilities for the PDs/PIs.

Inventions and Patents Section

- **Were any inventions conceived or first actually reduced to practice during the course of work under this project?**

    If yes, has the invention been previously reported?

If *Yes* is selected, indicate if the invention has been previously reported.

Program Income Section

- **Is program income anticipated during the proposed period for which support is requested?**

    If yes, save changes by clicking on the "Save" button and then **click here to enter / edit program income information.**

Indicate if program income is anticipated during the proposal period for which support is requested. If you have made any changes to any information on the page, click Save before editing the program income. *See Program Income* on page 54 for more information about completing this section if program income is anticipated.

Facilities & Administration Section

Complete this section only if there is a change in Performance sites that will affect F&A costs.

(*See* Figure 5.17 for a view of the text box for the Facilities & Administration Section response.)

3. Click **Save** to save the details that you have added to the screen.

4. Click **Designate As Complete** to indicate that you have completed the information on the **SNAP Questions & Comments** screen.

Program Income

You have the option of adding, editing, or deleting details related to the anticipated amount of program income during the proposal period for which support is requested.

1. Select the **Edit Business** access tab from the **eSNAP Menu** screen. Select the **SNAP and Other Progress Report Questions & Checklist** access tab (Figure 5.17).

NOTE: If you have made any changes to the **SNAP and Other Progress Report Questions & Checklist** screen, please click **Save** to save any changes you have made prior to editing the program income information to ensure that the information entered is not lost.

Figure 5.18: Edit Business - SNAP and Other Progress Report Questions & Checklist Partial View (ESP7018).

2. Select the **click here to enter / edit program income information** hypertext link (Figure 5.18). The **Edit Business - Program Income** screen displays (Figure 5.19).

Figure 5.19: Edit Business - Program Income Screen (ESP7016).

Edit Business -
Program Income
Screen Fields

Field		Description
Budget Period Start Date	–	Start date for the Budget period where program income is anticipated.
		The date entered must be within the project period dates.
		Format: MM/DD/YYYY.
Budget Period End Date	–	End date for the Budget period.
		The date entered must be within the project period dates.
		Format: MM/DD/YYYY.
Anticipated Amount	–	Anticipated Program Income amount.
		Amount entered must be greater than zero.
Source of Income	–	Source of the Program Income.
		The length of the value entered is limited to 50 characters.

NOTE: A value is required for all fields.

Add Program Income
Information

To add Program Information:

    1. Enter the required fields (Figure 5.20 and field descriptions above).

Adding Program Income Information Field Values

Figure 5.20: Edit Business - Program Income Screen showing New Program Income Information to be added. (ESP7016).

> 2. Click **Save & New**.

The new information is added to the Program Income block (Figure 5.21)

> 3. Select the **SNAP and Other Progress Report Questions & Checklist** access tab to return to the **SNAP and Other Progress Report Questions & Checklist** screen.

New Program Income Information Added

Figure 5.21: Edit Business - Program Income Screen with New Program Income Information added. (ESP7016).

Edit Program Income Information

To edit Program Income information:

> 1. Access the **Edit Business - Program Income** screen as described on page 54.

Edit Link

Figure 5.22: Edit Business - Program Income Screen showing Edit Link (ESP7016).

2. Select the **Edit** hypertext link for the Program Income block item needing editing (Figure 5.22).

When Edit is clicked, the Program Income Information Fields can be edited.

Figure 5.23: Edit Business - Program Income Screen showing the Fields available for Edit. (ESP7016).

3. Enter the desired field changes (*see* field descriptions on page 55).

4. Click **Save & New**.

The **Edit Business - Program Income Screen** redisplays with updated Program Income information displayed for the edited Program Income block item.

5. Select the **SNAP and Other Progress Report Questions & Checklist** access tab to return to the **SNAP and Other Progress Report Questions & Checklist** screen.

Delete Program Income Information

To delete Program Income information:

1. Access the **Edit Business - Program Income** screen as described on page 54.

Delete Link
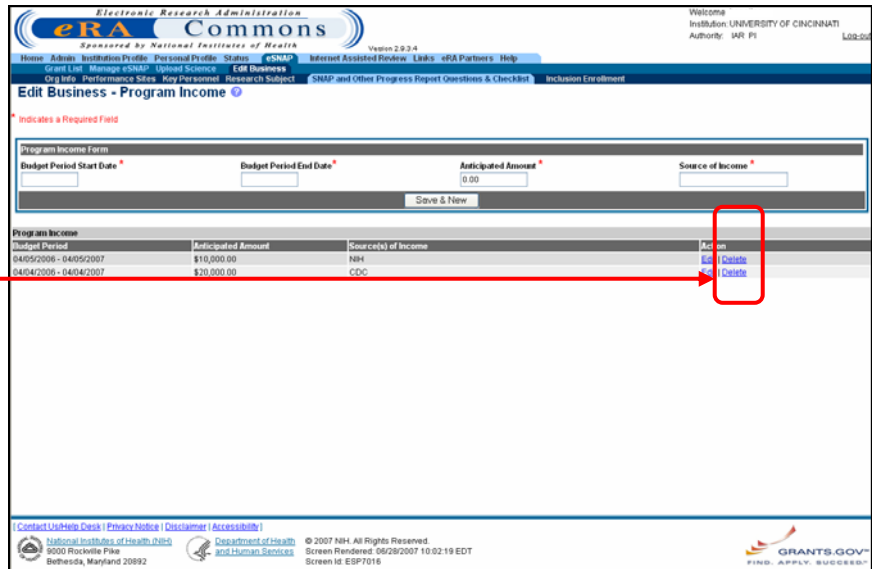
Figure 5.24: Edit Business - Program Income Screen (ESP7016).

2. Select the **Delete** hypertext link for the Program Income block item to be deleted (Figure 5.24).

The **Delete Program Income** screen displays (Figure 5.25).
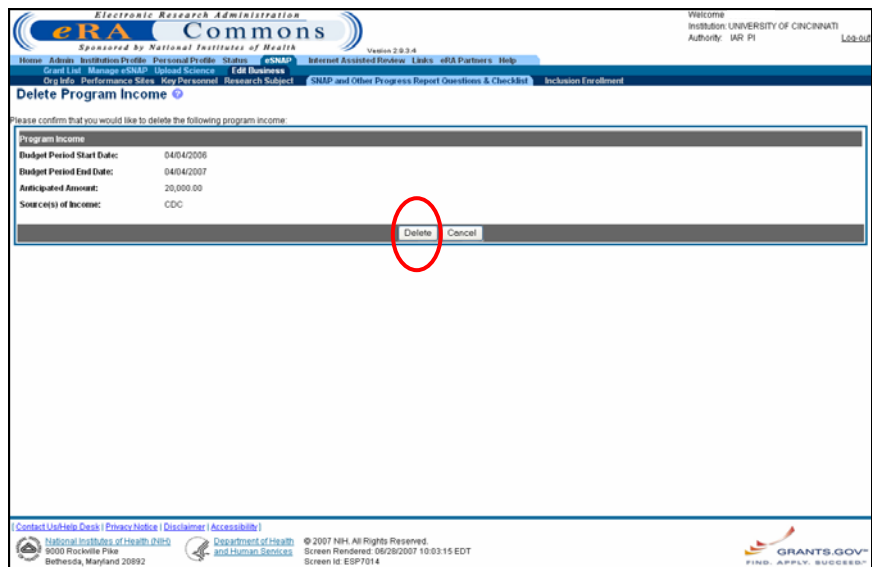
Figure 5.25: Delete Program Income Screen (ESP7014).

3. Click **Delete**.

The program income details are removed from the grant's record.

Inclusion Enrollment

The eSNAP system allows you to enter cumulative enrollment of subjects' to-date and their distribution by sex/gender and ethnicity/race directly into the system. Two different report forms of the Inclusion Enrollment report are available, and the eSNAP system uses your information to determine which report is viewed.

NOTE: If activities involving human subjects were performed at any time during the preceding budget period, the population data must be reported in the Inclusion Enrollment section. This applies whether or not the activities are exempt from the Federal regulations for the protection of human subjects and whether or not the activities were performed at either the applicant organization or at any other performance site or collaborating institution.

NOTE: You have the option of using the 5/01 or 4/98 format of the Inclusion Enrollment report for awards made as a result of New and Competing Applications received before January 10, 2002. If you choose to use the 5/01 format, you must continue to use that format for the remaining years of the project.

5/01 Inclusion Enrollment Report

The 5/01 version presumes that data on sex/gender and ethnicity/race were collected from study subjects using the 1997 OMB standards. These standards require at a minimum that data collection involve two separate questions (one on ethnicity and one on race) and that the question on race must provide the option of selecting more than one race. Use the 5/01 format of the Inclusion Enrollment report for awards made as a result of New and Competing applications submitted after January 10, 2002.

This report is divided into two parts

- Part A

  In the first section of Part A you are required to enter the total number of female, male, and unknown (subjects whose gender is unknown or not reported) subjects for each of the indicated ethnic categories. In the second section of Part A you are required to enter the total number of female, male, and unknown (subjects whose gender is unknown or not reported) subjects for each of the indicated racial categories. As you enter the information, the display-only Total fields are automatically updated with the entered information.

NOTE: The total number of all subjects entered in the racial categories must equal the total number of all subjects entered for the ethnic categories. For example, if you have enrollment data for 100 subjects, describe all 100 in terms of ethnicity *and* all 100 in terms of race.

- Part B

  In Part B you are required to enter the total number of female, male, and unknown (subjects whose gender is unknown or not reported) Hispanic or Latino subjects.

NOTE: The total number of subjects reported in Part B must be equal to or less than the totals reported in Part A.

This total usually reflects a subset of the information reported in Part A. For example, you have enrollment data for 100 subjects and 50 of these subjects reported Hispanic/Latino ethnicity. Part B is used to report the racial information for these 50 Hispanic/Latino subjects.

4/98 Inclusion Enrollment Report

In this report you are required to enter the total number of female, male, and unknown (subjects whose gender is unknown) subjects for each of the indicated ethnic categories. As you enter the information, the display-only Total fields are automatically updated with the entered information.

The 4/98 version presumes that data on sex/gender and ethnicity/race were collected from study subjects using the 1977 OMB standards. These standards require at a minimum that data collection involve one question on ethnicity and race.

To complete the Inclusion Enrollment Report:

1. Select the **Edit Business** access tab from the **eSNAP Menu** screen. Select the **Inclusion Enrollment** access tab.

Figure 5.26: Edit Business- Inclusion Enrollment Screen (ESP7032)

2. Select the appropriate hypertext link to complete the 4/98 or 5/01 format of the Inclusion Enrollment Report.

Figure 5.27: 5/01Inclusion Enrollment Report Table (ESP7036)

3. Complete the details of the **4/98 Inclusion Enrollment Report Table** or **5/01 Inclusion Enrollment Report Table**.

4. Click **Save** at the bottom of the screen.

5. Click **Designate As Complete** at the bottom of the **Edit Business - Inclusion Enrollment** screen.

NOTE: The **5/01 Inclusion Enrollment Report Table** is shown in Figure 5.27.

eSNAP Science

Overview

Science items (Progress Reports and research accomplishments) can be uploaded for eSNAP reports with a status of Work in Progress (WIP). Access to science items is granted to PIs or PI delegates when the PI is the current reviewer.

The Progress Report should be a brief presentation of the accomplishments on the research project during the reporting period. The report addresses the specific aims of the project, detail the studies directed toward these aims and their results, emphasize the significance of the findings, summarize plans to address the aims during the next year of support, and describe the resources generated by the project that are available to be shared with other investigators. *See* **http://grants.nih.gov/grants/funding/2590/2590.htm** for more detailed information. Do not use any PHS2590 fillable form pages for any file uploads. Text inserted into the fillable form pages is not saved once the eSNAP Progress Report is submitted to NIH.

Accessing the Upload Science Screen

The Upload Science screen allows you to upload the following:

- Progress Report

- support information

- bio sketches for key personnel

- research accomplishments

- publication citations

NOTE: SOs and AOs can upload/remove Research Accomplishments and Other eSNAP files.

To access the Upload Science screen:

1. Access the eSNAP Menu screen to select the desired grant as described in *Viewing the eSNAP Grant List* on page 31.
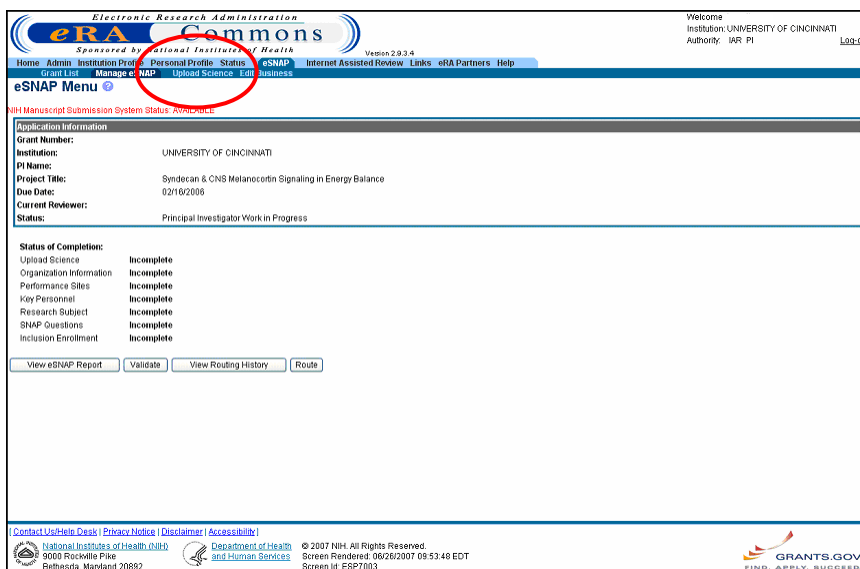
Figure 6.1: eSNAP Menu Screen (ESP7003).

2. Select the **Upload Science** access tab to view the **Upload Science** screen (Figure 6.2).

NOTE: The Upload Science menu is only available to the contact PI for the grant. Upload Science is not available to other PIs associated with the grant.
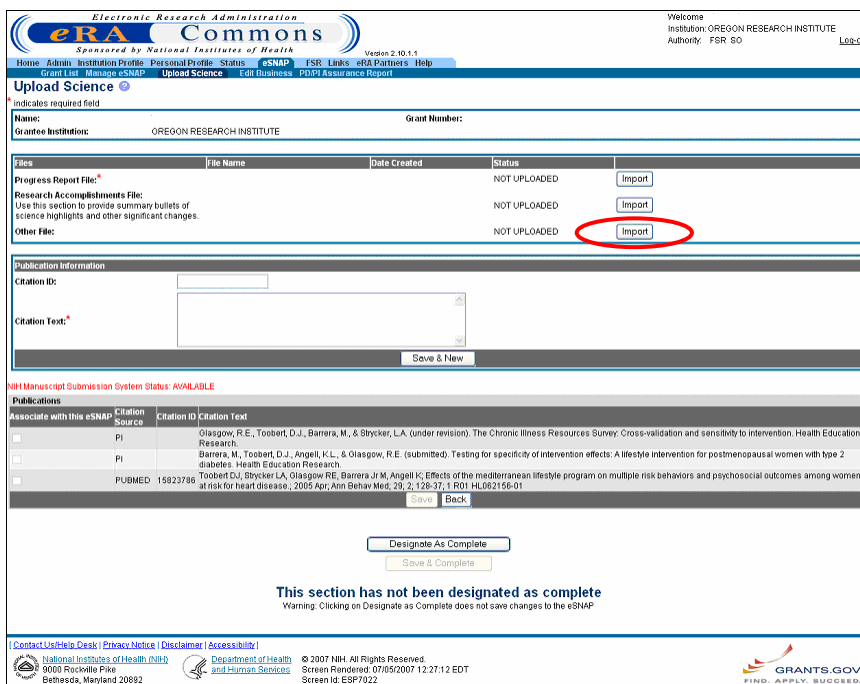
Figure 6.2: Upload Science Screen (ESP7022)

Upload Science Screen Details

The Upload Science screen consists of three blocks of information: Information block, Files block, Publication Information, and Publications block.

Information Block

The Information block lists the name of the PI, the grantee institution, and the grant number.

Files Block

The Files block indicates whether Progress Report, Research Accomplishments, or Other files have been attached to the eSNAP. This section lists the name of the local file, date that the file was created (uploaded in eSNAP) and the document status (files uploaded in Microsoft Word format are given a temporary status of Pending until the conversion to Adobe Acrobat PDF format is complete and the status is changed to Completed). A link is provided to import a new or edited file.

Publication Information Block

The Publication Information block exists to allow you to add publications to the grant's record.

Publications Block

The Publications section indicates whether any PI publications have been associated with the eSNAP. Associated publications are listed with the NLM accession number (if applicable) and the citation text. Publications that have not yet been added to the PI's personal profile may be added and included with the eSNAP from this section.

Attaching Files

You are only able to attach one file as your Progress Report file. If you have completed biosketches and other support information as a part of your Progress Report, you should merge these documents into one file. To merge the documents into one file copy the biosketch and other support information and paste that information at the beginning of your Progress Report. Save it as one file and upload it as one file.

File formats that can be uploaded are Microsoft Word documents with the (.doc) file extension, ASCII text files with the (.txt) file extension, or Adobe Portable Document Format (PDF) files with the (.pdf) file extension. Uploaded files are stored in the system in the PDF format. If your file doe not include one of these extensions, the system will not recognize the file.

NOTE: Microsoft Word and text files are converted to PDF when uploaded.

The Progress Report should not exceed two pages. This is exclusive of any bio-sketches or other support information. In addition to file format limitations, uploaded files are restricted by size. The file must be 3 megabytes (3MB), 3 million bytes, or less. Files larger than 3MB are not accepted by the system.

To easily find the size of a Microsoft Word, text, or PDF file on a personal computer:

1. Locate the file to be uploaded on your computer.

2. Click on the file with the right mouse button.

A pop-up menu window displays with options.

3. Highlight and click the **Properties** option (Figure 6.3).
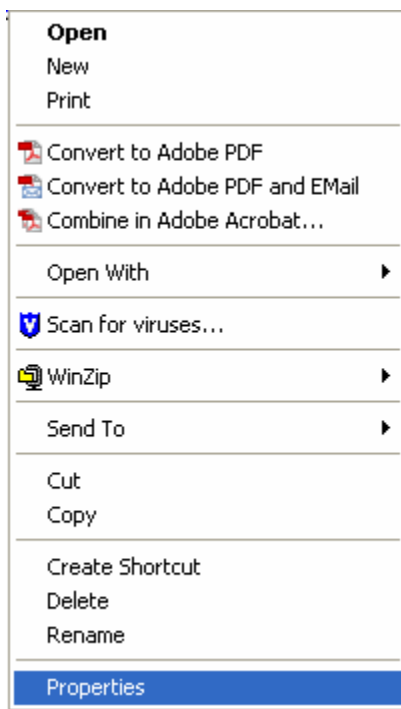
*Figure 6.3: Click **Properties**.*

The **Properties** window displays with the file's size attribute (Figure 6.4).

In this example, the file size is .99 MB or almost 1 megabyte.

Since the file size meets the 3MB or less restriction and is in .doc format, the file can be uploaded.
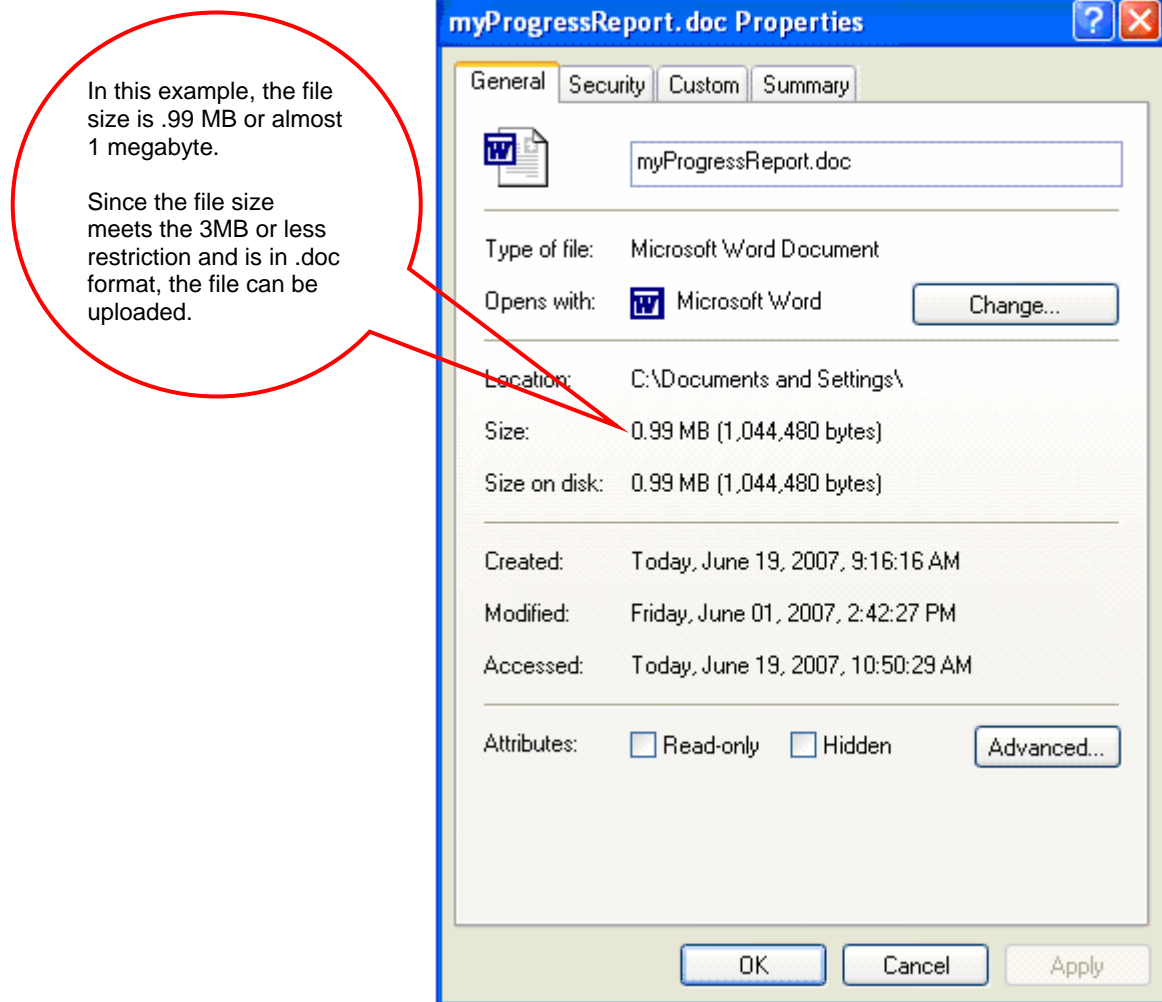
Figure 6.4: File Properties Window Displaying File Size.

Uploading an Attachment

To attach Progress Reports, Research Accomplishments, and other files using the **Upload Science** screen:

1. Access the **Upload Science** screen, as described in *Accessing the Upload Science Screen* on page 62. Locate the **Files** block (Figure 6.5).

Figure 6.5: Upload Science Screen (ESP7024).

2. Click **Import** next to the desired file (Progress Report, research accomplishment, or other) (Figure 6.5 above).

NOTE: Research Accomplishments are key items that you want to bring to the attention of your grants management specialist or program officer.

The **Upload File Screen** displays (Figure 6.6).

*Type the path and file name into the **File Name** input field or click **Browse** to locate the file.*

Figure 6.6: Upload File Screen (ESP7024)

3. Select the file you would like to upload.

There are two different methods that you can use to choose a file to upload:

I. Type the complete path to the location of the file and the name of the file you would like to upload; for example: c:\myFolder\myProgressReport.doc.

— Or —

II. Click **Browse** to locate the file you would like to upload.

4. Click **Upload File** to attach the file to the eSNAP. A message displays at the top of the screen to verify that the file has been uploaded successfully (Figure 6.7).

Figure 6.7: Upload Science Screen (ESP7024).

The file is given a temporary status of *Pending* until the upload is complete and the status is changed to *Complete*.

Removing an Attached File

To remove an attached file using the **Upload Science** screen:

1. Access the **Upload Science** screen, as described in *Accessing the Upload Science Screen* on page 62. Locate the **Files** block (Figure 6.8).

Figure 6.8: Upload Science Screen (ESP7024).

> 2. Click the **Remove** button next to the file to be unattached (Figure 6.8 above).

The **Upload File** screen displays showing the name of file to be removed and **Delete File** and **Cancel** options (Figure 6.9).

> 3. Click **Delete File** (Figure 6.9).

Figure 6.9: Upload File Screen (ESP7031)

The **Upload Science Screen** displays. The **Status** column of the selected file is changed to *Not Uploaded* (Figure 6.10).

Figure 6.10: Upload Science Screen (ESP7024).

4. Click **Designate As Complete** once you have added all of the necessary information to the **Upload Science** screen.

NOTE: For more information about the **Designate As Complete** button functionality, *see* page 36.

Associating Publications

Peer-reviewed publications directly relevant to the proposed project, with a bibliography-type reference to the publication and the National Library of Medicine (NLM) accession number can be associated with the eSNAP report. This information is listed in the Publications section of the **Upload Science** screen and is based on the publication information provided in the Personal Profile section of the eRA Commons. Publications that do not appear on the list have not been added to the Personal Profile.

To associate publications that do not appear in the Publications list:

1. Access the **Upload Science** screen, as described in *Accessing the Upload Sciences Screen* on page 62. Locate the **Publication Information** block (Figure 6.11).
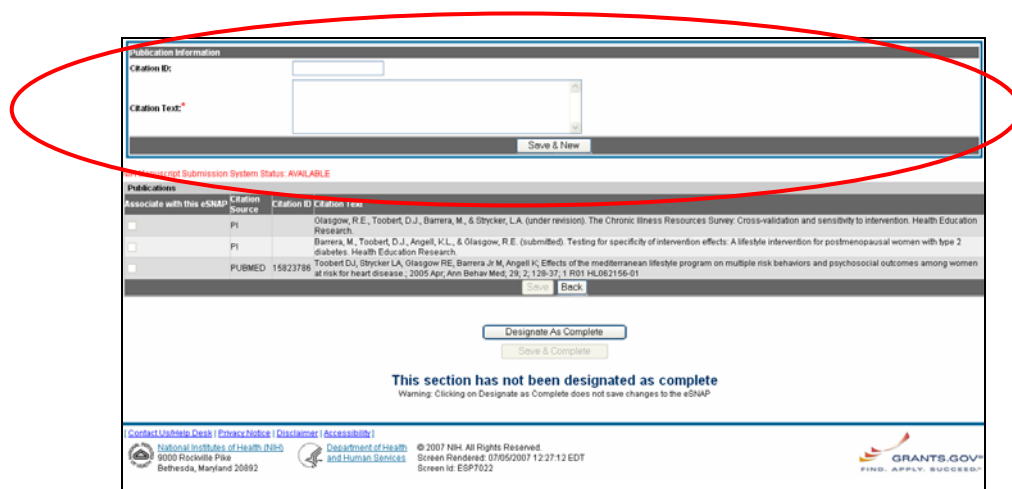
Figure 6.11: Upload Science Screen (ESP7024).

2. Type the NLM Accession Number in the **Citation ID** field.

3. Type the complete publication reference in the **Citation Text** field.

For example: Radiologic Assessment of Early Rheumatoid Arthritis", Journal of Rheumatology, pp 100-103, June 2002, T. Conturo.

4. Click **Save & New** to add the publication to your Personal Profile and to the listing of Publications associated with the selected grant record (Figure 6.12).

Information entered in the Publication Information Block is added to the Publications Block—List of Publications
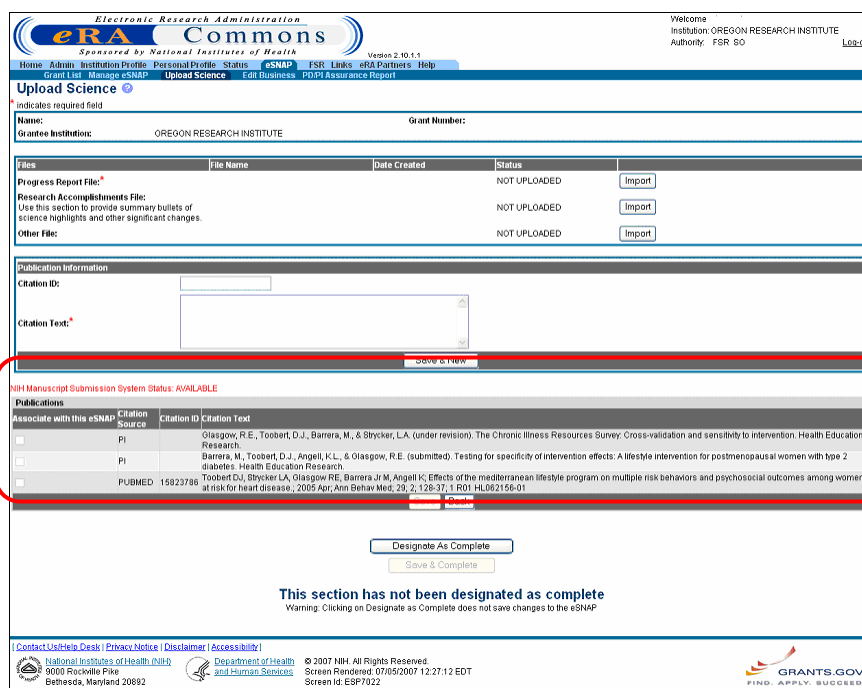

Figure 6.12: Upload Science Screen (ESP7024).

To associate a publication that appears in the Publications list:

1. Access the **Upload Science** screen, as described in *Accessing the Upload Science Screen* on page 62. Locate the **Publications** block.

2. Select the check box next to the publication(s) that you would like to associate with the selected record (Figure 6.13).

*Use the **Associate with this eSNAP** column to select Publications for association with the grant.*

Figure 6.13: Upload Science Screen (ESP7024).

3. Click **Save** to update the science information.

4. Click **Designate As Complete** to indicate completion of the **Upload Science** screen.

NOTE: For more information about the **Designate As Complete** button functionality, *see* page 36.

eSNAP Report Details

Overview

The eSNAP report must follow specific procedures prior to submission. When the institution's Signing Official (SO) or a PI that has been delegated SO submitting authority is the current reviewer, the validated eSNAP can be submitted to the NIH.

Viewing an eSNAP Report

After an eSNAP Report has been initiated, PIs, PI delegates, and others working on the selected grant have the option of viewing that report. All SOs and AOs can view the eSNAP report at any time. The eSNAP Report displays in Adobe Acrobat PDF format.

NOTE: The eSNAP report in PDF format has a blank submission date, and shows a status of *Draft* until the eSNAP has been submitted.

To view the eSNAP Report:

1. Access the eSNAP Menu page as described in *Viewing the eSNAP Grant List* on page 31.
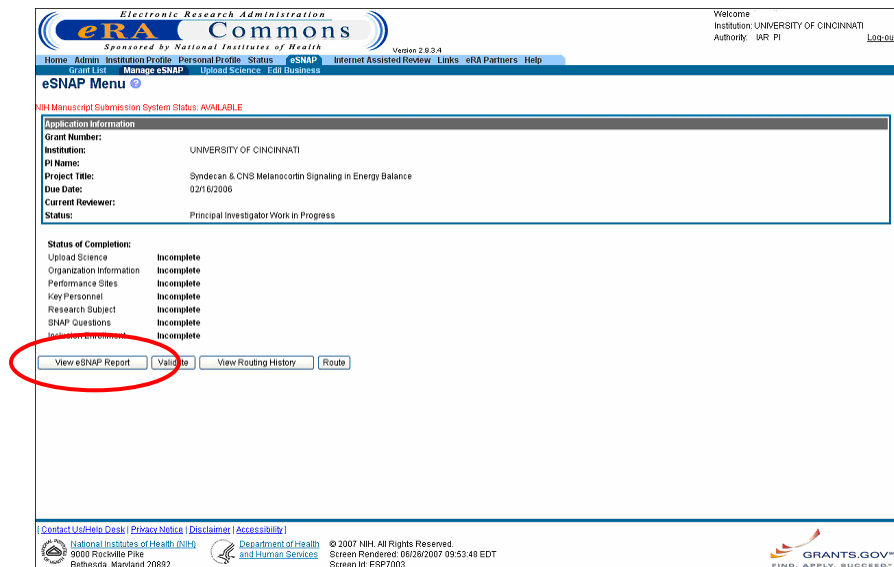
Figure 7.1: eSNAP Menu Screen (ESP7003).

2.   Click **View eSNAP Report**.
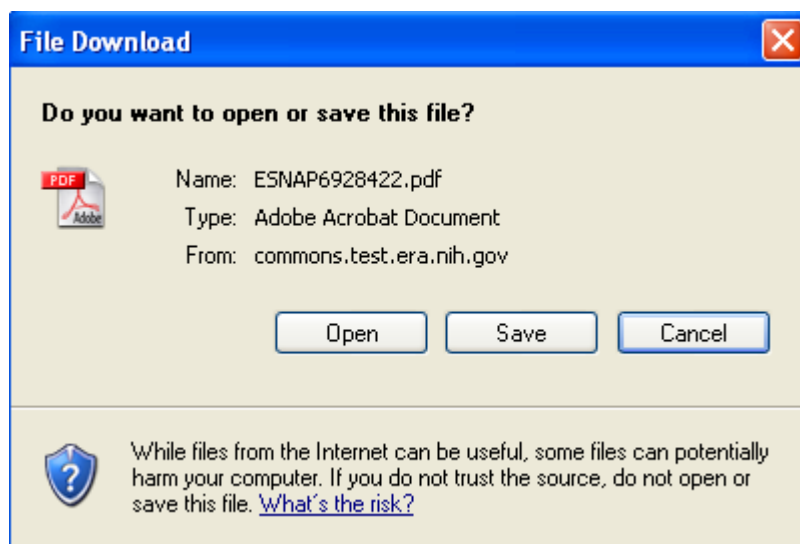
A **File Download** window displays (Figure 7.2).

Figure 7.2: File Download Window.

3.   Click **Open** to view the report, or **Save** to download the
      report, or Cancel to close the **File Download** window.

The eSNAP Report displays in Adobe Acrobat PDF format when **Open** is
selected (Figure 7.3).

Figure 7.3: eSNAP Report Page 1; Adobe Acrobat PDF format.

NOTE: eSNAP reports, for grants having multiple PIs associated with the grant, display all associated PIs. The grant's actual PI is designated with (Contact) adjacent to the PI name. (Not shown in Figure 7.3)

Routing an eSNAP Report

The eSNAP system allows you to route the eSNAP report to the next reviewer or to the previous reviewer for further review or corrections.

To route an eSNAP report:

1. Access the **eSNAP Menu** screen for the desired grant from the **Manage eSNAP** access tab, as described in *eSNAP Menu Screen Details* on page 33.
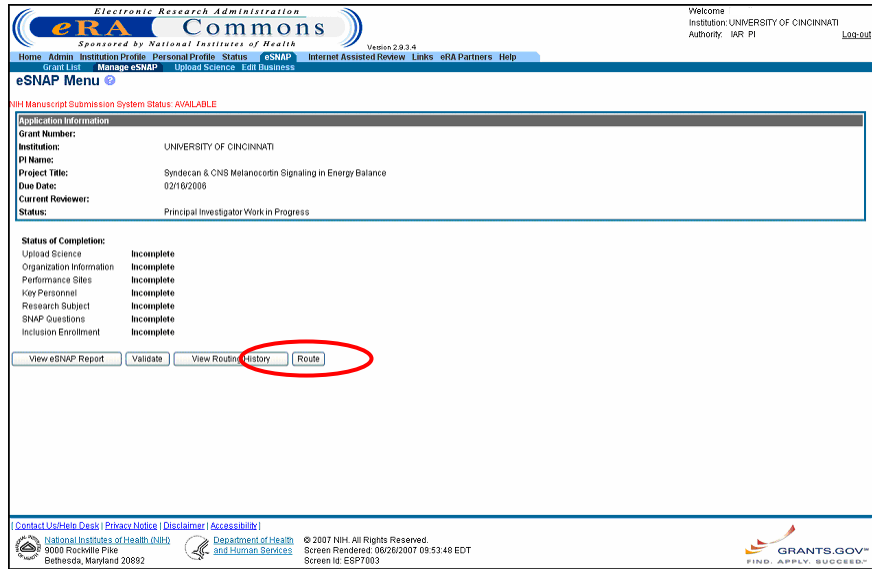

Figure 7.4: eSNAP Menu Screen (ESP7003).

2.   Click **Route**.

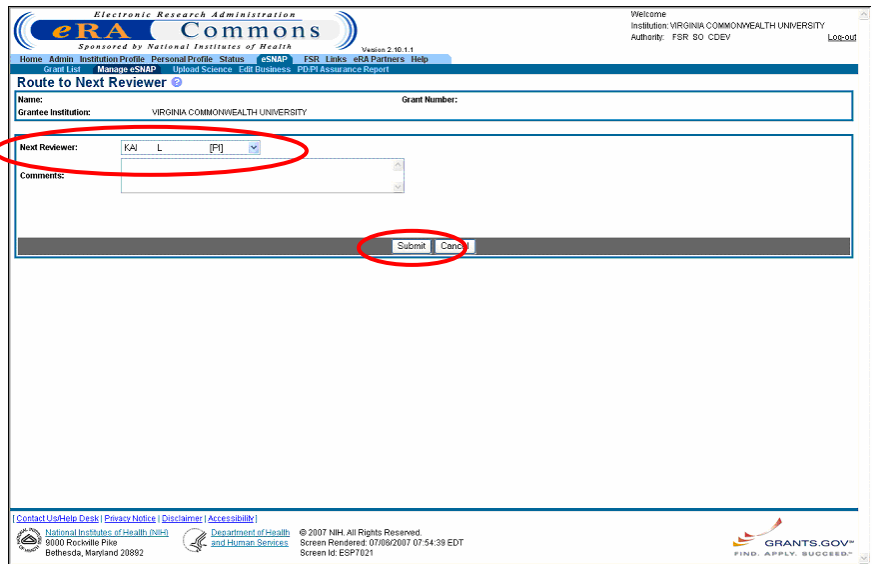The **Route to Next Reviewer** screen displays (Figure 7.5).

Figure 7.5: Route to Next Reviewer Screen (ESP7021).

3.   From the **Next Reviewer** drop down list, select the reviewer's name to receive the routed eSNAP, (Figure 7.5).

4.   Add the necessary comments to the **Comments** text box.

5.   Click **Submit**.

The *Program Director/ Principal Investigator (PD/PI)* assurance agreement displays (Figure 7.6 also, *See* the **PD/PI Assurance Agreement** text on page 77).

Figure 7.6: Program Director/ Principal Investigator (PD/PI) Assurance Agreement.

PD/PI Assurance Agreement Text

For PD/PIs **without** submit eSNAP authority, the following assurance agreement text displays:

"I certify the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission."

For PD/PIs **with** submit eSNAP authority, the following assurance agreement text displays:

"I certify the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

In addition, I have been delegated the authority to submit this progress report on behalf of the institution. Therefore, the institution accepts the obligation to comply with the PHS terms and conditions if a grant is awarded as a result of this submission."

6. Click **I Agree** to accept the responsibilities identified in the message, to route the eSNAP, and to return to the **eSNAP Menu** screen. A confirmation displays notifying you that the eSNAP has been successfully routed (Figure 7.7).

NOTE: The current assigned reviewer can submit any or all eSNAP documents not submitted.
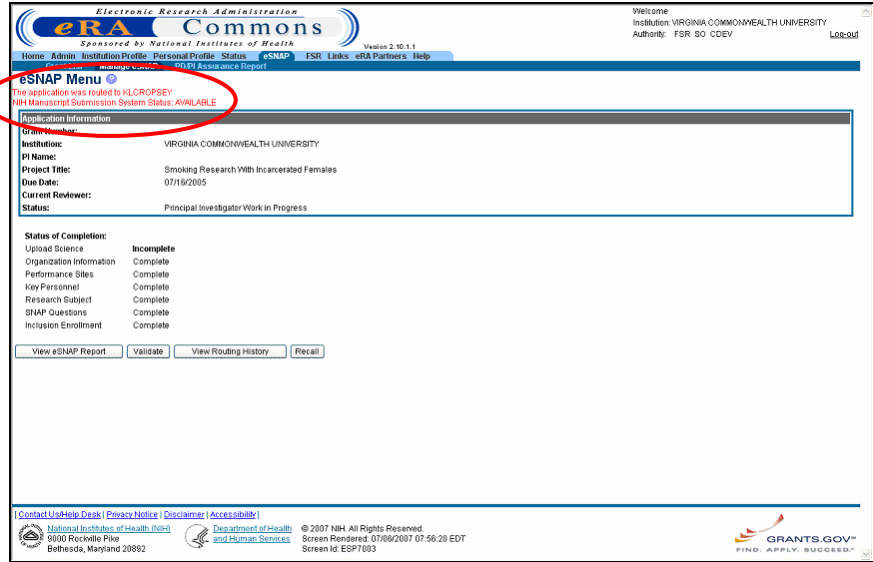
Figure 7.7: eSNAP Menu Screen (ESP7003).

Viewing Routing History

The eSNAP system also allows you to view a routing history table that lists all individuals who have reviewed the selected eSNAP, whether the reviewer has routed the grant, and on what dates the notification was sent to the reviewer, and the reviewer's decision was made. This option is available to PIs, PI Delegates, and current reviewers. Additionally, SOs and AOs can view the routing history at any time.

To view an eSNAP Report's routing history:

1. Access the **eSNAP Menu** screen for the desired grant. See *eSNAP Menu Screen Details* on page 33 for further information.
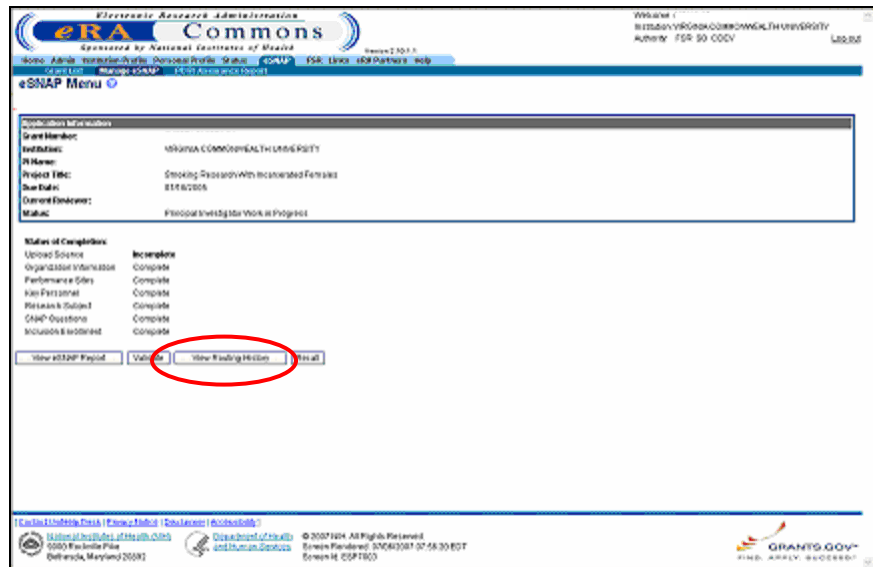

Figure 7.8: eSNAP Menu Screen (ESP7003).

2. Click **View Routing History**.

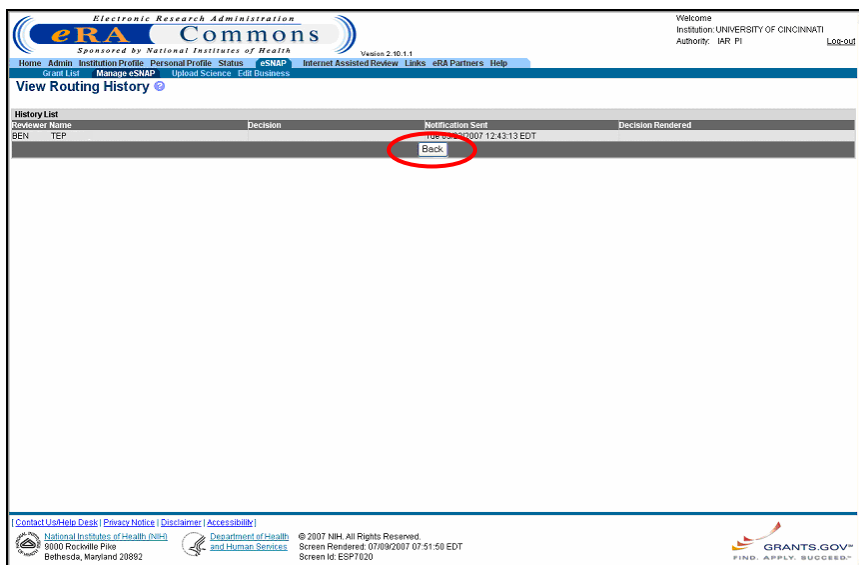The **View Routing History** screen displays (Figure 7.9).

Figure 7.9: View Routing History Screen (ESP7020).

3. View the grant's routing history. Click **Back** to return to the **eSNAP Menu** screen.

Recalling an eSNAP Report

The eSNAP application offers you the option of recalling an eSNAP that you have routed to another reviewer. When you recall an eSNAP you can then set yourself as the current reviewer. Signing Officials can recall an eSNAP at any time, even if they are not the last reviewer. Principal Investigators can recall an eSNAP whenever it has a status of Reviewer Work in Progress (even if they are not the last reviewer to route the eSNAP). This is useful in situations where an eSNAP has been misrouted either to the wrong person or to someone who is unavailable.

To recall an eSNAP report:

1. Access the **eSNAP Menu** screen for the desired grant that has been routed to another reviewer. See *eSNAP Menu Screen Details* on page 33 for further information.
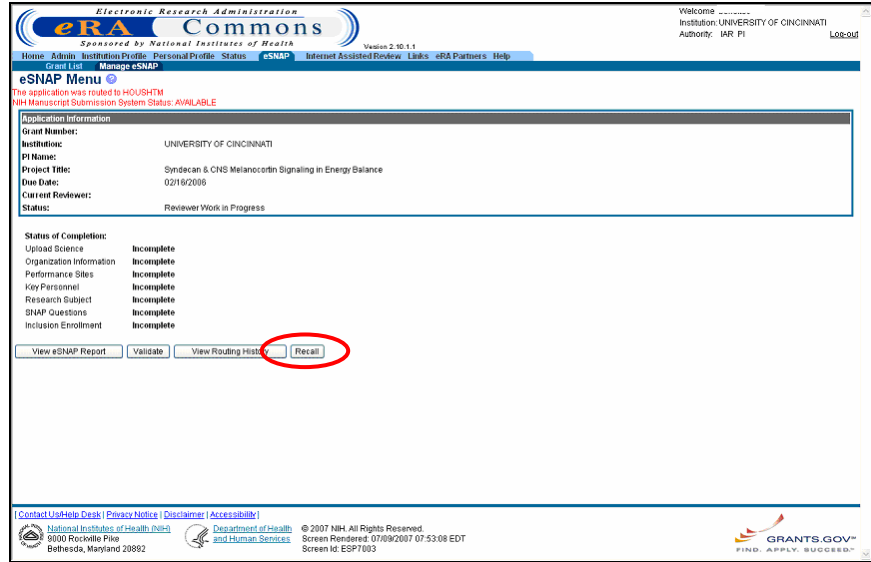
Figure 7.10: eSNAP Menu Screen (ESP7003).

> 2. Click **Recall**.

The eSNAP Menu page displays a confirmation that the eSNAP has been successfully recalled. The former reviewer receives an email notification letting them know that you have recalled the eSNAP.
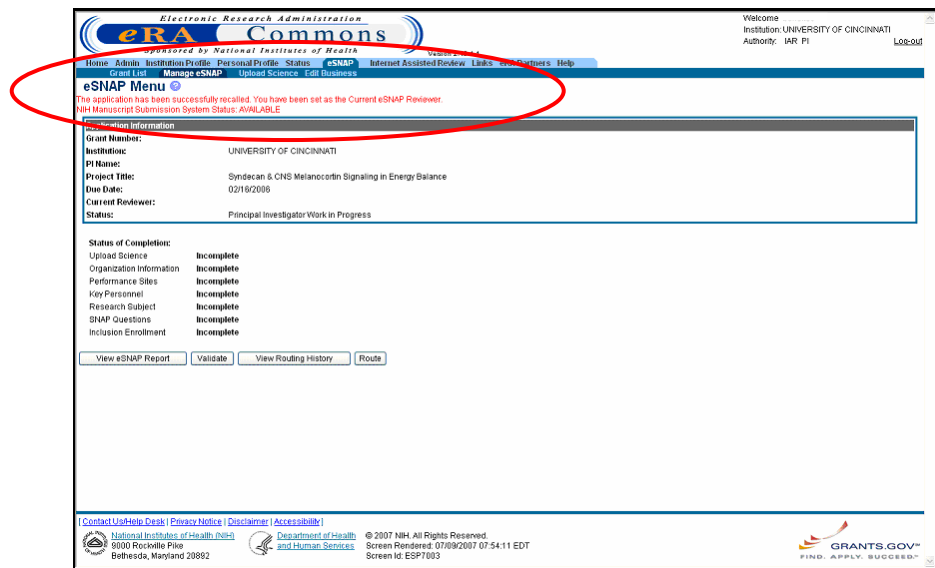

Figure 7.11: eSNAP Menu Screen (ESP7003).

Validating an eSNAP Report

Validate the eSNAP to check all the required data fields in the Work in Progress (WIP). The system displays error messages for each field with incorrect or missing data.

> **NOTE**: Validation can only occur once all sections of the eSNAP have been designated as complete. An eSNAP can be validated at any time once its status is WIP and it can be validated multiple times.

To validate an eSNAP report:

1. Access the **eSNAP Menu** screen for the desired grant. See *eSNAP Menu Screen Details* on page 33 for further information.

Figure 7.12: eSNAP Menu Screen (ESP7003).

2. Click **Validate**.

A list of known errors displays if any errors exist within the selected eSNAP (*see* error message example display on Figure 7.13).
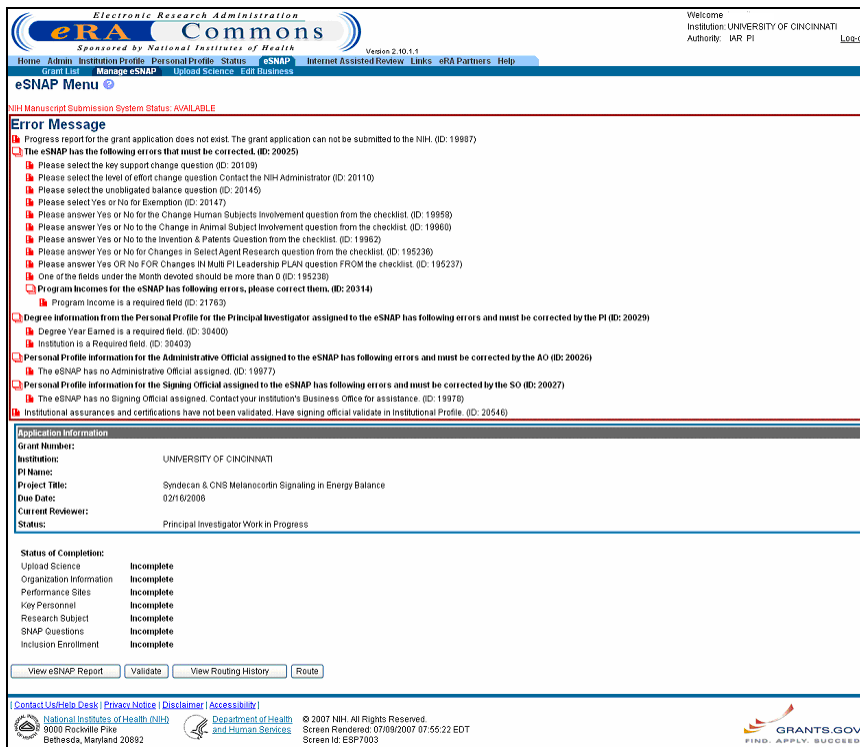
Figure 7.13: eSNAP Menu Screen (ESP7003).

Submitting an eSNAP Report

When the institution's Signing Official (SO) or a PI that has been delegated SO submitting authority (see *SO - Delegating Submit Authority* on page 17 for details) is the current reviewer, the validated eSNAP can be submitted to the NIH.

NOTE: An eSNAP must be validated prior to submission. Validation can only occur once all sections of the eSNAP have been designated as complete (*see Validating an eSNAP Report* on page 80).

NOTE: SOs must validate three new assurances/certifications before submitting an eSNAP **1— PI Assurance**; **2 – Prohibited Research**; **3 – Select Agent Research** (*see* Figure 7.14).

— Also —

See *Edit IPF Assurances and Certifications* in the eRA Commons User Guide at the eRA Commons Support Page, **http://era.nih.gov/commons/index.cfm**, for details on validating assurances and certifications.

Figure 7.14: IPF Assurances and Certification Screen (IPF2005).

NOTE: The following list describes Assurances and Certification name changes:

Prior Name	**New Name**
Conflict of Interest	Financial Conflict of Interest
Human Subjects	Human Subjects Research
Institutional Debarment Assurance	Institutional Debarment and Suspension Assurance
Recombinant DNA	Recombinant DNA, Including Human Gene Transfer Research
Research With Human Embryonic Stem Cells	Research Using Human Embryonic Stem Cells
Transplantation of Human Fetal Tissue	Research on Transplantation of Human Fetal Tissue

To submit an eSNAP report:

1. Access the **eSNAP Menu** screen for the desired grant. *See eSNAP Menu Screen Details* on page 33 for further information.
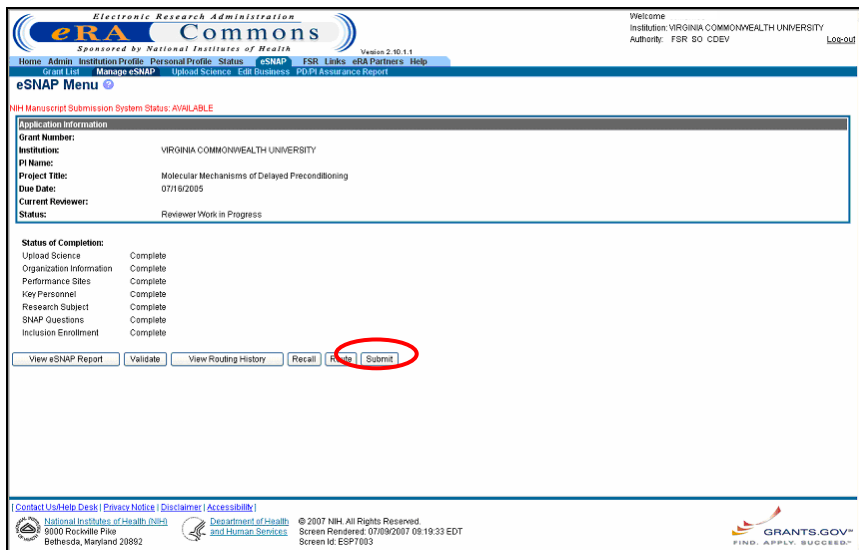
Figure 7.15: All sections must be Designated as Complete and the eSNAP must be validated prior to submission.

2. Click **Submit**.

The system verifies that the eSNAP contains all the required data in the proper format.

3. An email notification indicating that there is missing/invalid data or that the eSNAP has been accepted for submission is automatically sent by the system. If the SO submits the eSNAP, notification is sent to the PI and the AO listed on the Org. Info page. If the PI submits the eSNAP, notification is sent to the SO and the AO listed on the Org. Info page. Once accepted, the status of the submitted eSNAP is set to *Submitted.*

Assigned NIH staff personnel are also notified when the report is submitted.

PD/PI Assurance Report

The responsibility to secure and retain a written assurance (including date) of all PD/PIs prior to submitting an eSNAP Progress Report to the NIH now rests with the grantee institution. They further agree to make the signature available to the NIH upon request. Since the eSNAP feature already accommodated the PD/PI "sign-off", it has been determined that this can be the official system of record for this particular assurance. A report has been created to allow grantee officials to retrieve this information upon request.

SO – PD/PI Assurance Report

SO – Viewing the PD/PI Assurance Report

To view the PD/PI Assurance Report:

1. Login to Commons and access the eSNAP module as described in *Accessing the eSNAP Module* on page 5.

2. On the **Manage eSNAP** screen (Figure 8.1) click the **PD/PI Assurance Report** access tab.

Figure 8.1: Manage eSNAP Screen (ESP7002).

The PD/PI Assurance Report screen displays (Figure 8.2).

Figure 8.2: PD/PI Assurance Report Screen (ESP7039).

3. Enter the search criteria (Figure 8.2):

   PD/PI Name, last and first (optional).

   Date Range, from and to.

4. Click **Search.**

PD/PI Assurance search results display for database records matching the search criteria (Figure 8.3).

Figure 8.3: PD/PI Assurance Report Screen (ESP7039).

NOTE: Search results are limited to 100 records per page. For search results greater than 100, the system provides record navigation capability.

NOTE: For SOs, only the SOs default institution affiliated records are included in search results.

NCAA – PD/PI Assurance Report NIH Only

NCAA users are internal NIH users—staff members within eRA who perform account activation for requested Commons accounts. This particular report is available to only NIH staff holding this special role and is not applicable to grantees.

NCAA – Viewing the PD/PI Assurance Report

To view the PD/PI Assurance Report:

1. Login to Commons and access the eSNAP module as described in *Accessing the eSNAP Module* on page 5.

2. On the **NCAA ESNAP Reports** screen (Figure 8.4) click the **PD/PI Assurance Report** access tab.

Figure 8.4: NCAA ESNAP Reports Screen (ESP7041).

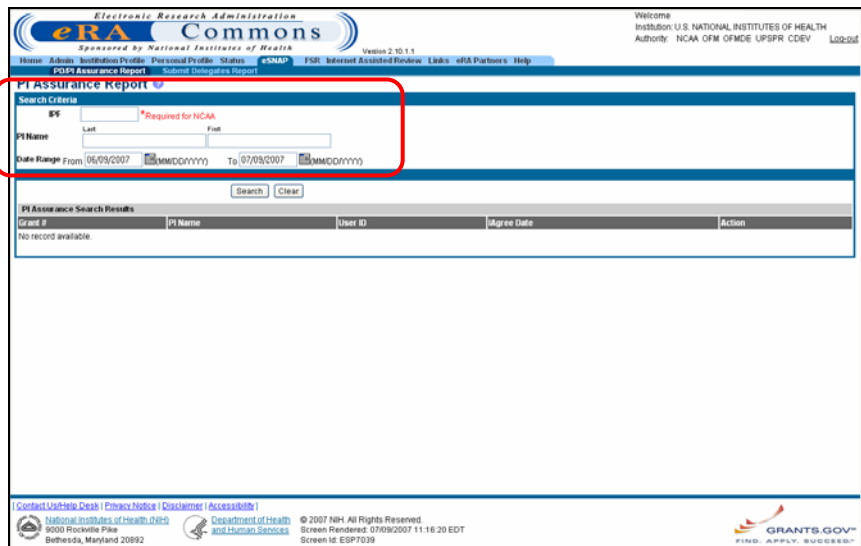The PD/PI Assurance Report screen displays (Figure 8.5).

Figure 8.5: PD/PI Assurance Report Screen (ESP7039).

3. Enter the search criteria (Figure 8.5):

   IPF code.

   PD/PI Name, last and first (optional).

   Date Range, from and to.

4. Click **Search.**

PD/PI Assurance search results display for database records matching the search criteria (Figure 8.3).
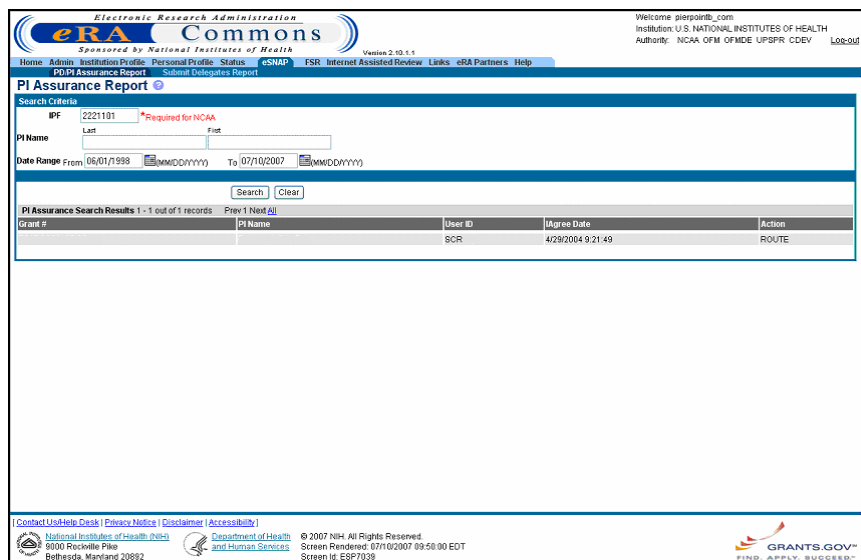

Figure 8.6: PD/PI Assurance Report Screen (ESP7039).

NOTE: Search results are limited to 100 records per page. For search results greater than 100, the system provides record navigation capability.

> **NOTE:** For NCAA users, only records affiliated with the institution identified by the IPF code search parameter are included in search results.

PD/PI Assurance Report Fields

<u>Column</u>		<u>Description</u>
Grant #	–	Combination of Characters and Numbers that identify a grant.
PD/PI Name	–	Principal Investigator name.
User ID	–	Principal Investigator user id.
I Agree Date	–	The date that the PI electronically agreed to the terms required for performing the action shown in the adjacent Action column.
Action	–	The action performed by the PI that prompted assurance agreement.

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