

# Just the Facts 202: Electronic Research Administration (ERA)

David Ngo, University of Wisconsin-Madison  
Elena Reyes Cruse, Kansas University Medical Center

## Introduction

- What is electronic research administration?
  - Dept structures
  - Examples
- NIH eRA Commons

## What is ERA? (1 of 3)

- Using technology to complete research administration tasks



## What is ERA? (2 of 3)

- Improvement of efficiency of various administrative business processes and communication mechanisms



## What is ERA? (3 of 3)

- Electronic exchange of essential information between applicant institutions and funding agencies (funding opportunities, grant submissions, grant reporting, etc...)



## Examples

- Manage homegrown systems
  - Oklahoma State ERA
  - Stanford SeRA
- Manage purchased systems
  - UW ERA
- Manage sponsor systems
  - UCLA

## Oklahoma State ERA

- Manages homegrown systems
- 4 modules
  - Preaward
  - Compliance review
  - Sponsored projects
  - Technology transfer
- Single point of access
- Track status of grant at any point in lifecycle
- Reporting and analysis of entire process

## Stanford SeRA

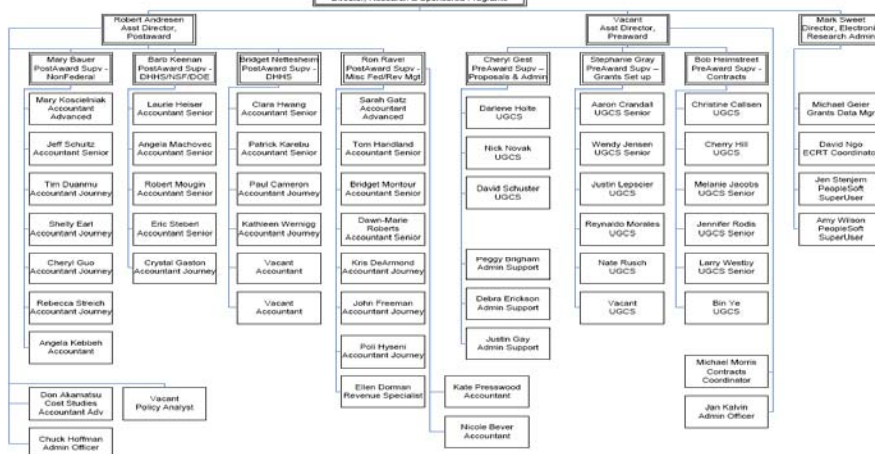
- Manages homegrown systems
- Interconnected modules
  - Pull data from sources
  - Developed based on business processes
- Process transparency
- Developed by research administrators
- Management of sponsored projects from conception to closeout
- Eliminate duplicate entry or non value added steps
- Reduce administrative burden

## UW ERA

### Research & Sponsored Programs

Kim Moreland  
Assoc Vice Chancellor for Research Admin &  
Director, Research & Sponsored Programs

March 29, 2010



## UW ERA

- Manages purchased systems
  - Proposal submission (Cayuse)
  - Award setup (Peoplesoft)
  - Grants management (Peoplesoft)
  - Reporting (ECRT, ARRA)
- Org Chart – located within RSP
  - Partner for Pre and Post
  - 1 Director of ERA
    - 2 Peoplesoft super users
    - 1 ECRT manager
    - 1 Grants database manager

## UCLA

- Manages sponsor systems
- Electronic proposal submissions
  - Grants.gov
  - Fastlane
  - NIH eRA Commons

## NIH eRA Commons

<https://commons.era.nih.gov/commons/>

The screenshot shows the NIH eRA Commons website. At the top, it says "Electronic Research Administration" and "Sponsored by National Institutes of Health". The version is 2.25.01. The page has a navigation bar with "Home", "Links", "eRA Partners", and "Help". A "What's New" banner is prominent. Below it, the "SYSTEM STATUS" section indicates that all modules are currently up. A "Tips" section provides links for support and electronic submissions. The "Commons Login" section includes fields for username and password, with a "Forgot Password/Reset Account?" link. A "System Notification" section is also present. On the right, there are links for "About the Commons", "Frequently Asked Questions", "Grants.gov", "eRA Commons", and "eRA Commons Demo". At the bottom, contact information for the eRA Help Desk is provided, along with a footer containing logos for the National Institutes of Health, Department of Health and Human Services, and Grants.gov.

## Modules

- Applications
- eSubmission
- Error/warnings
- Assembled application image
- Review Assignment
- Priority Score
- Summary Statement
- Notice of Award
- Post award correspondence
- Progress Reports
- Financial Reports
- Invention Reports
- Profile Data
- Assurances
- Certifications
- Training Appointment Actions

## Roles

- **Signing Official (SO)** : An SO, or Signing Official, has institutional authority to legally bind the institution in grants administration matters. The individual fulfilling this role may have any number of titles in the grantee organization. The label "Signing Official" is used in conjunction with the NIH eRA Commons. The SO can register the institution, and create and modify the institutional profile and user accounts. The SO also can view all grants within the institution, including status and award information. An SO can create additional SO accounts as well as accounts with any other role or combination of roles.

## Roles

- **Business Official (BO)**
- **Principle Investigator (PD/PI):** A Principal Investigator (PI) is designated by the grantee organization to direct the project or activity being supported by the grant. The PI is responsible and accountable to the grantee for the proper conduct of the project or activity. The role of the PI within the NIH eRA Commons is to complete the grant process, either by completing the required forms via the NIH eRA Commons or by delegating this responsibility to another individual. A PI can access information for any grant and only those grants for which they are designated the PI

## Roles

- **Trainee**
- **Administrative Official (AO) :**An Administrative Official (AO) reviews the grant application for accuracy before the SO submits the final application to the NIH. Depending on the institution workflow process, it is possible for the SO and AO to be the same person. AOs can reside in either the central research administration office or academic departments. They can create additional AO and PI accounts; however, AOs are not authorized to transmit applications to the NIH.



## Roles

- **Account Administrator (AA):** An Account Administrator (AA) is designated by an SO at a grantee organization to facilitate the administration of NIH eRA Commons accounts. The AA can create, modify and/or remove the necessary accounts for these types: AO, AA, FSR, PI or ASST. Although the AA can create additional accounts, the AA cannot modify institutional profile (IPF) information. The AA typically will be in the central research administration office.

## Roles

- **Assistant Role (AR):** The Assistant (ASST) role has been designed to allow PIs to delegate certain responsibilities for data entry of grant information and upkeep of their personal profiles. The ASST does not have any other functions in the system.
- **Financial Status Report (FSR):** The FSR role allows members of your staff to process Financial Status Reports (FSRs) for submission to the NIH electronically. An account with only the FSR role assigned only can perform FSR tasks. An account can include multiple roles, including that of FSR.

## Roles

- **Internet Assisted Review (IAR)**
- **Financial Conflict of Interest (FCOI)**
- **Post-Doc:** The Post-doc can be assigned to a person that is associated with the Institutional grant. The role has no rights to view or change anything in Commons and is used for tracking purposes only

## Example

- **Proposal Submission**
  - Complete all mandatory and any appropriate optional application components. Be sure to carefully follow all application guide and opportunity announcement instructions. Before you can submit the application, you must check the application package for errors by clicking the “Check Package for Errors” button at the top of the PureEdge screen. Once all identified Errors are corrected, the Submit button will become active.
  - Although this button will verify that all mandatory documents and fields specified on the federal-wide forms are completed, it does not check for any agency-specific requirements (e.g. agency-specific required fields). Therefore, additional Errors/Warnings may be identified later in the submission process.

## Example

**Status Information**

**General Grant Information**

Status: Application entered into system  
 Institution Name: LAW OFFICE OF WISCONSIN HADISON  
 School Name:  
 School Category:  
 Division Name:  
 Department Name:  
 PI Name: MARKEE, Nicholas James  
 Application ID: V021  
 Proposal Title: Novel AIDS Virus Proteins  
 Proposal Receipt Date: 05-05-2010  
 Last Status Update Date: 05-05-2010  
 Current Award Notice Date:  
 Application Source: Grants.gov  
 Project Period Begin Date: 12-01-2010  
 Project Period End Date: 11-30-2012  
 Application Status: Pending Verification  
 P.O. #: 144 Exploratory Developmental Research Grant Program (Parent R21)  
 NIH Appl. #: 0375058

**Other Relevant Documents**

- Application
- Grants.gov Check Letter
- Letters to Review Document

**Status History**

Effective Date	Status Message	Institute or Center Assignment	Assignment Date
<b>Application Information</b>			
Award Document Number:	Scientific Review Group	Advisory Committee (AAC) Information	
FSR accepted Code:	N Council Meeting Date (YYYYMM)	2010-10	
SNAP Indicator Code:			
Review Outcome Summary:	NO		
Summary Statement Available:	NO		
Can't Steps Investigator Eligible:			
New Investigator Eligible:			

**Reference Letters**

This list shows Reference Letters associated with this particular Grant Application. Principal Investigator can see a list of all Reference Letters within Personal Profile. Reference Letters section on this Commons.

**Contacts**

Administration	Name	Phone	Email

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 Screen ID: ST4402

## Example

### • Proposal Submission Cont.

- Don't forget to Save your work to your local machine before submitting.
- Click on the Submit button. The application will automatically connect through the Internet to Grants.gov.
- Enter your Grants.gov username and password. You must be fully registered to successfully submit. **IMPORTANT:** Only an Authorized Organization Representative (AOR) can submit applications to Grants.gov on behalf of an organization.
- After submission you will be presented with a Grants.gov confirmation screen. On the bottom of the confirmation screen you will find your Grants.gov tracking number. You also will see your official receipt timestamp. Print this page or record this information for future reference.

## Example

### • Managing, Tracking, and Documenting Award Information

- Tracking during “Peer Review” phase
  - Score and percentile: Following the review group meeting, any available score and percentile information can be found in the Application Information section of the Status screen
  - Summary Statement: Approximately 3 weeks after the review meeting a full Summary Statement is available in the Other Relevant Documents section

## Example

Commons Status Query - Just In Time

Research Commons  
Sponsored by National Institutes of Health

Home Admin Institution Profile Personal Profile Status **STATUS** MY DATA MY PARASITES Help

Just In Time

Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide Other Support, Budget Upload, Other Upload, IACUC, IRB, and Human Subject Assurance Just in Time information directly to the NIH when that information is requested. Guidance follows:

- Although a PI may use this information through Commons, only an SO may submit it to NIH.
- Any element of the JIT form may be submitted at different times while the JIT tool is available.
- Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.
- Number of Submissions provides the user with the number of times the JIT form was submitted to Agency.
- All elements on the JIT form can be submitted multiple times and will be appended to the JIT report, with the latest version at the top of the report.
- If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this 'Just in Time' page.

**Application Information**

Grant Number: R0114091452-01  
PI Name: FABRY, ZSUZSANNA  
Proposal Title: Immunomodulation of Relapsing Remitting Multiple Sclerosis by Gut Parasites

Please provide active and pending support for all key personnel. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at <http://grants.nih.gov/grants/funding/pda/other-support.doc> and upload the document using the Import button provided below.

File	File Name	Date Created	Status	Number of Submissions
Other Support File:			NOT UPLOADED	Import
Budget Upload:			NOT UPLOADED	Import
Other Upload:			NOT UPLOADED	Import

IRB Date in MM/DD/YYYY format:  (MM/DD/YYYY) Number of Submissions:

Your Institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval to an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a Date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your institution. (Please select one number.)

**Human Subject Education.** This document is required for key personnel (all individuals responsible for the design and conduct of the study) that are involved in human subject research. Please upload a PDF file that includes the following: the names of the key personnel who are responsible for the design and conduct of the study; the title of the education program completed by each named person plus a brief description of the program. Note: if research meeting the criteria for Exemption 4 is proposed, documentation is recommended, but not required.

File	File Name	Date Created	Status	Number of Submissions
Human Subject Education:			NOT UPLOADED	Import

Submit Save View Just in Time Report

## Example

- **Managing, Tracking, and Documenting Award Information (continued)**
  - Tracking during “Pre-award” and “Award” phase
    - Just In Time (JIT): Some application information (Other Support, IRB and/or IACUC Approval dates, Human Subjects Education information) is requested just prior to a final award decision. If needed, NIH will send a request for this information. You may use the “JIT” link under Actions in Status list of applications/grants

## Example

- Notice of Grant Award (NoA): The NoA is the official grant award document notifying the grantee and others that an award has been made and stating the terms and conditions of the award. You will find a link to the NoA under the Other Relevant Documents section of the Status screen. NoAs can also be automatically e-mailed to the grantee organization. Organizational officials can maintain an NoA e-mail address in the eRA Commons Institutional Profile
- Tracking during “Post Award Management” phase
  - Electronic Streamlined Non-competing Award Process (eSNAP): eSNAP allows extramural grantee institutions to submit an electronic version of a PHS 2590 progress report. This information is needed to receive a non-competing award. An “eSNAP” link is available under Actions in your Status list of grants

## Example

**Status Information**

<b>General Grant Information</b> Status: Application awarded Institution Name: UNIVERSITY OF WISCONSIN MADISON School Name: GRADUATE SCHOOL School Category: GRADUATE SCHOOLS Division Name: NCNHS Department Name: PRIMATE RESEARCH CENTER PI Name: KEMPTZ, JOSEPH W Application ID: 3P4RR015311-1081 Proposal Title: Coordinated Information Services for Primate Research Proposal Receipt Date: 04/29/2010 Last Status Update Date: 04/29/2010 Current Award Notice Date: 05/01/2010 Application Source: Paper Project Period Begin Date: 08/15/2000 Project Period End Date: 11/30/2010 Application Status: FOL NIH Appl. ID: 0066149		<b>Other Relevant Documents</b> Current Title: 04/21/2010 Notice(s) of Grant Award (PDF): 04/21/2010 Request Unawarded Grant: Address(es) for Review (Documents):
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Status History	Status Message	Institute or Center Assignment	Assignment Date
04/29/2010	Award prepared; refer questions to Grants Management Specialist	NATIONAL CENTER FOR RESEARCH RESOURCES (Primary)	04/21/2010
04/21/2010	Pending administrative review. Refer any questions to Program Official or Grants Management Specialist		

Application Information	Study Section	Advisory Council(AC) Information
Award Document Number: PRN015311B FSR Accepted Code: N Snap Indicator Code: N Review Outcome available: No Summary Statement available: No Early Stage Investigator Eligible: No New Investigator Eligible:	Scientific Review Group: RRG-C Council Meeting Date(YYYYMM): 2010/00	

**Reference Letter(s)**  
 This list shows Reference Letters associated with this particular Grant application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eR Commons

Comments	Name	Phone	Email
Administration	Tardiff-Wright, Courtney	301-435-0441	tcwardiff@ncrr.nih.gov
Grants Management Specialist(GMS)	MORO, MARLENE W	301-435-0960	marcm@ncrr.nih.gov
Program Official(PO)			

Amounts	Facilities And Administrative	Fee Amount	Total Amount
Direct Amount	\$15,094	\$0	\$15,094
\$48,387			\$63,481

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## Example

- Closeout: Electronically submit required Closeout documents including Final Status Report (FSR), Final Progress Report, and Final Invention Statement. At the appropriate time, a “Requires Closeout” link is available under Actions in your Status list of grants
- No-Cost Extension: You can extend the final budget period of the project one time for up to 12 months beyond the original expiration date on your NoA as long as no cost or scope change is involved. At the appropriate time, an “Extension” link is available under Actions in your Status list of grants. This may be completed electronically up to one day prior to the end of the project period

## Conclusion

- Q&A
- Contact information
  - Elena Cruse
    - Email: [ecruse@kumc.edu](mailto:ecruse@kumc.edu)
  - David Ngo
    - Email: [dvngo@rsp.wisc.edu](mailto:dvngo@rsp.wisc.edu)