eSNAP Progress Reports: Submission via the eRA Commons

UC Irvine
Office of Research
Sponsored Projects Administration
Overview

eSNAP: Electronic Streamlined Non-competing Award Process

- Progress Reports must now be submitted to NIH via the eSNAP module in the eRA Commons.

- Paper progress reports will only be accepted for grants not subject to SNAP, such as training grants and program project grants.

- eSNAP Progress Reports are to be submitted at least 45 days prior to the start of the next budget period – otherwise a delay in future funding can occur.
Background

- Executive Vice Chancellor directed administrative units to streamline processes, including delegating some responsibilities to academic units.
- Delegating authority to Principal Investigators to submit ENAP progress reports was identified by Sponsored Projects as a process that could be streamlined this fiscal year.
Delegation of Submit Authority to PIs

July 1, 2011: UCI Signing Officials (SOs) will delegate Submission Authority to PIs

- PIs will now be able to submit their eSNAP Progress Reports to NIH without Sponsored Projects involvement
Manage eSNAP

Select Grant Number link to manage the eSNAP:

<table>
<thead>
<tr>
<th>Grant Number</th>
<th>PD/PI Name</th>
<th>Project Title</th>
<th>Due Date</th>
<th>Status</th>
<th>Current Reviewer</th>
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<tbody>
<tr>
<td>5R01HL126618-02</td>
<td>Washington, Leighsa</td>
<td>Research on the Heart and Other Stuff</td>
<td></td>
<td>Not eSNAP Eligible</td>
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<tr>
<td>5R01CA126815-02</td>
<td>Washington, Leighsa</td>
<td>Program Project for Cancer Research</td>
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<td>Not eSNAP Eligible</td>
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<tr>
<td>5R01CA126815-03</td>
<td>Washington, Leighsa</td>
<td>Cancer Research in Simple Note Abstracting Programs</td>
<td>06/15/2012</td>
<td>PD/PI Work in Progress</td>
<td>Washington Leighsa</td>
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<tr>
<td>5R01HL126616-03</td>
<td>Washington, Leighsa</td>
<td>Heart Research to Sample Northern Area Pumpkins</td>
<td></td>
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<tr>
<td>5R01CA126818-01</td>
<td>Washington, Leighsa</td>
<td>New Medical Cancer Research of the Thyroid</td>
<td>06/15/2012</td>
<td>Not eSNAP Eligible</td>
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<td>5R01CA126819-09</td>
<td>Washington, Leighsa</td>
<td>Allergy Research</td>
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<td>5R01CA126815-01</td>
<td>Washington, Leighsa</td>
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Click here then choose your proper Grant!

Click on Edit Business
Org Info Tab

Click on each tab complete then click save and designate as complete.

Your assigned CGO

<table>
<thead>
<tr>
<th>Title of Project</th>
<th>Progress Report Period</th>
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<tr>
<td>Cancer Research in Simple Note Abstracting Programs</td>
<td>Start: 05/02/2010  End: 05/02/2011</td>
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<table>
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<th>Applicant Organization</th>
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<tbody>
<tr>
<td>Washington, Leighsa</td>
<td>UNIVERSITY OF CALIFORNIA IRVINE</td>
</tr>
<tr>
<td>Line 1: 6701 Rockledge Drive</td>
<td>Address: 6705 Rockledge Drive</td>
</tr>
<tr>
<td>Line 2</td>
<td></td>
</tr>
<tr>
<td>Line 3</td>
<td></td>
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<tr>
<td>Line 4</td>
<td></td>
</tr>
<tr>
<td>City/State: Bethesda MARYLAND</td>
<td>Bethesda MD 20817 UNITED STATES</td>
</tr>
<tr>
<td>Zip Code/Country: 20840 UNITED STATES</td>
<td>EIN: 123456789012</td>
</tr>
<tr>
<td>Phone: 301-555-1212</td>
<td>Department: Cell Biology and Physiology</td>
</tr>
<tr>
<td>Fax: 301-555-1213</td>
<td>Major Subdivision: School of Medicine</td>
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<table>
<thead>
<tr>
<th>Administrative Official</th>
<th>Signing Official</th>
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<tbody>
<tr>
<td>Name: PHD</td>
<td>Name:</td>
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Address information for the AO or SO must be updated by the official whose name appears above the address.
### Project/Performance Sites Form

<table>
<thead>
<tr>
<th>Name *</th>
<th>DUNS or DUNS + 4 *</th>
<th>Country *</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>UNITED STATES</td>
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<table>
<thead>
<tr>
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<th>State *</th>
<th>Zip Code *</th>
<th>Congressional Districts *</th>
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<table>
<thead>
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<th>Province</th>
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### Project/Performance Sites

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<tr>
<th>Name</th>
<th>DUNS</th>
<th>Congressional Districts</th>
<th>Address</th>
<th>Action</th>
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<tbody>
<tr>
<td>UCI</td>
<td></td>
<td></td>
<td>8705 Rockledge Drive Bethesda MD 20817 UNITED STATES</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Designate As Complete</th>
</tr>
</thead>
</table>
This is pre-populated. There should only be one UCI location designated as “Primary.”

UCI Congressional District is CA-048 (Main Campus); CA-040 (Medical Center)

UCI DUNS number: 046705849

Subaward/consortium: add their project site location including their DUNS and Congressional District

Foreign Site
- Congressional District: 00-000
- DUNS number should be included. If they don’t have one, use 0000000000 (9 zeros).
All Personnel Tab

Notes and Tips:

- List all personnel (salaried and unsalaried) who participate in the project for at least one-person-month or longer, for the current budget period at the applicant organization or elsewhere. The Commons ID is required for all PIDs and all individuals with a postdoctoral role.

- All users with a postdoctoral-like role should select "Postdoctoral Scholar, Fellow, or Other Postdoctoral Position" from the dropdown list of project roles.

- The Commons ID is required for all individuals with a postdoctoral role.

- If you know an individual's Commons user ID, use the "Pre-populate" feature.

*Indicates a Required Field

<table>
<thead>
<tr>
<th>Commons User ID</th>
<th>Personnel Form</th>
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<tbody>
<tr>
<td>Pre-populate from Profile</td>
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<table>
<thead>
<tr>
<th>Degree(s)</th>
<th>Project Role</th>
<th>Supplement Support (if applicable)</th>
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<td>Please Select Supplement Support</td>
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<table>
<thead>
<tr>
<th>Last 4 digits of Social Security Number</th>
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<td>XXX - XXX - XXX</td>
<td>MM/YY</td>
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<table>
<thead>
<tr>
<th>Months Devoted to Project</th>
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<tr>
<td>Calendar</td>
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<table>
<thead>
<tr>
<th>Name</th>
<th>Degree(s)</th>
<th>Role</th>
<th>Supplement Support</th>
<th>Action</th>
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<tbody>
<tr>
<td>Washington, Leighsa</td>
<td>PhD</td>
<td>PDI</td>
<td>Edit</td>
<td></td>
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</tbody>
</table>
All Personnel Tab

- For the budget period being reported, all personnel with at least one person month that has worked or is currently working on the grant MUST be included.
- Consultants and Mentors with no effort should not be listed on this report.
  - Note: Consultants should never be shown with effort
- Commons ID is mandatory for the PI(s) & Post Doc(s).
- Students (Graduate & Undergraduate) as well as General Campus Faculty’s effort should be shown in Academic and/or Summer Months. They do not have calendar month appointments.
Research Subject Tab

Human Subjects

Does the proposal involve human subjects? *
- No
- Yes

Has the involvement of human subjects changed since the previous submission? *
- No
- Yes

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

Is the research exempt? *
- No
- Yes

Required if research is exempt.

Exemption Number:

NIH-defined Phase III Clinical Trial *
- No
- Yes

Human Subject Education:

Required only for new Senior/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.

Animal Subjects

Does the proposal involve animal subjects? *
- No
- Yes

Has the involvement of animal subjects changed since the previous submission? *
- No
- Yes

Animal Assurance No.: A123400000
Research Subject Tab

• Make sure the appropriate boxes are checked for Human Subjects and/or Animal Subjects
  • If marked incorrectly, NIH will contact the PI for clarification and could delay the coming year’s funding

• If you have new senior/key personnel in the upcoming year, and there are Human Subjects, make sure they have completed the Human Subject Education Training
### SNAP and Other Progress Report Questions & Checklist

<table>
<thead>
<tr>
<th>Name: Washington, Los Angeles</th>
<th>Grant Number: 5R01CA126615-03</th>
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<tbody>
<tr>
<td>Grantee Institution: UNIVERSITY OF CALIFORNIA IRVINE</td>
<td></td>
</tr>
</tbody>
</table>

#### eSNAP

Has there been a change in the other support of Senior/Key Personnel since the last reporting period?  
- [ ] No  - [ ] Yes

If yes, explain the change(s) and attach complete Other Support information.

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 [http://grants.nih.gov/grants/fund/docs/398S9E839B.html](http://grants.nih.gov/grants/fund/docs/398S9E839B.html). 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 PDP1 and for those individuals considered by the PDP1 to be key to the project. Senior/Key personnel are defined as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not a salary is requested. 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 previously listed in this category has changed, such that they are now considered "Senior/Key personnel" this change should be indicated in this section and Other Support information submitted.

<table>
<thead>
<tr>
<th>Files</th>
<th>File Name</th>
<th>Date Created</th>
<th>Status</th>
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<tbody>
<tr>
<td>Other Support File: *</td>
<td>NOT UPLOADED</td>
<td>Import</td>
<td></td>
</tr>
</tbody>
</table>

*Indicates a Required Field
SNAP and Other Progress Report  
Questions & Checklist Tab

• Question 1: Has there been a change in the Other Support (OS) of senior/key personnel since the last reporting period?

• If so, check yes and explain the change(s) and upload their OS. Do not upload OS for persons that don’t have changes
  – OS should include active & pending support
  – Active support cannot exceed 12 person months
  – Please do not list awards with zero person months listed for an investigator’s effort.
SNAP and Other Progress Report

Questions & Checklist Tab

Will there be, in the next budget period a significant change in the level of effort for the PD/PI or other Senior/Key Personnel designated on the Notice of Award from what was approved for this project?

- No
- Yes

If yes, please justify:

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

- No
- Yes

If yes, please justify:

Change in Select Agent Research?

- No
- Yes

If yes, please explain in the Progress Report.

Change in Multi PD/PI Leadership Plan?

- No
- Yes

If yes, please explain in the Progress Report.

Change in human embryonic stem cell (hESC) line(s) used?

- No
- Yes

If yes, please justify:
Question 2: Will there be, in the next budget period, a significant change in the level of effort for the PI or other senior/key personnel designated on the NOA from what was approved for this project?

“Significant Change”: reduction in effort of 25% or more

If yes, you will need to include justification

Prior approval may also be required; contact SPA
• Question 3: Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year’s total approved budget?

- If yes...
  - Provide a justification for the balance and how these funds will be spent
SNAP and Other Progress Report
Questions & Checklist Tab

Inventions and Patents

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

☐ No  ☐ Yes

If yes, has the invention been previously reported?

☐ No  ☐ Yes

Program Income

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

☐ No  ☐ Yes

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

Facilities & Administration

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

Save  Cancel

Designate As Complete

Save & Complete
SNAP and Other Progress Report
Questions & Checklist Tab

• Make sure these questions have been checked Yes or No: [if not checked you will not be able to submit]

  – Change in Select Agent Research?
  – Change in Multi-PI Leadership Plan?
  – Change in human embryonic stem cell line(s) used?
  – Were any inventions conceived or first actually reduced to practice during the course of work under this project?
  – Is program income anticipated during the proposed period for which support is requested?
Inclusion Enrollment Tab

4/98 Inclusion Enrollment Report Table

Principal Investigator / Program Director Name: Washington, Leighsa

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<thead>
<tr>
<th>Grant Number:</th>
<th>Optional Institution Information</th>
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<tr>
<td>5R01CA128615-03</td>
<td>Study Title:</td>
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<tr>
<td>NIH Study Title:</td>
<td>Protocol Number:</td>
</tr>
<tr>
<td>Program Project for Cancer Research- Study 001</td>
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<tr>
<td>NIH Protocol Number:</td>
<td>Total Enrollment: 183</td>
</tr>
<tr>
<td>R01CA128615 Study 1</td>
<td></td>
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</tbody>
</table>

This study does not involve enrollment from foreign population.

Comment for NIH:

Enrollment Table

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<tr>
<th>Ethnic Category</th>
<th>American Indian or Alaskan Native</th>
<th>Asian or Pacific Islander</th>
<th>Black, not of Hispanic Origin</th>
<th>Hispanic White, not of Hispanic Origin</th>
<th>Other or Unknown</th>
<th>Total</th>
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<tbody>
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<tr>
<td>Males</td>
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<td>70</td>
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</table>

Save  Reset  Cancel
Inclusion Enrollment Tab

- This tab is only functional if you have Human Subjects.
- You do not have the option of uploading the PHS 398 form page.
- If this is missing, you will receive an error when you try to submit.
**Upload Science**

**Name:** Washington, Leighsa  
**Grantee Institution:** UNIVERSITY OF CALIFORNIA IRVINE

### Files

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<th>File Name</th>
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<td>Research Accomplishments File</td>
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<td>Other File</td>
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**NIH Manuscript Submission System Status:** AVAILABLE

**Publications**

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<th>Associated with eSNAP</th>
<th>Citation Source</th>
<th>Citation ID</th>
<th>Citation Text</th>
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<tr>
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</table>
Upload Science

- Progress Report File
- Research Accomplishment File
- Other Files
- Cover Letter
- Publications
• Progress Report needs to have the following sub-headings:

A. Specific Aims
B. Studies and Results
C. Significance
D. Plans
E. Publications
F. Project-Generated Resources

Note: if there is a supplement to this award, this needs to be included in the report as well
ASST Role & the eSNAP Report

• Progress Reports cannot be routed to ASSTs

• ASSTs can view the Progress Report at any time; and can edit it whenever the PI is listed as the “reviewer”

• ASSTs who have been designated by PI to assist with PI personal profile (e.g., Publications) can access it at any time

• PIs will have to notify the ASSTs when to review/edit the Progress Report
ASST Access in eRA Commons

- PIs may delegate authority to any registered ASST to help prepare their Personal Profile and eSNAP Progress Report.
- This can be a fund manager or faculty assistant.
- They cannot delegate Submit Authority.
- To obtain an eRA Commons account, contact your C&G Officer.
Reminders!

• Complete a Federal Financial Disclosure Form
  – send directly to the C&G Officer

• Maintain current approvals for any relevant protocols (IRB, IACUC, etc.) prior to eSNAP submission
Resources

- eSNAP User Guide (8/6/2010) link:
  http://era.nih.gov/docs/eSNAP_UG_v2.25.0.0_041210.pdf

- eRA – Grantees (Post Award) link:
  http://era.nih.gov/grantees/index.cfm#

- eRA Commons Help Desk
  Web: http://itservicedesk.nih.gov/eRA/
  Toll-free: 1-866-504-9552
  Email: commons@od.nih.gov
  Hours: Mon-Fri, 7a.m. to 8 p.m. Eastern Time
Contract & Grant Officers

- Alison Yeung – x4-2644;
alison.yeung@uci.edu

- Leighsa Washington – x4-3029;
lrwashin@uci.edu

- Jeffrey Warner – x4-4781;
warnerj@uci.edu

- Jonathan Lew – x4-2460;
jilew@uci.edu
Questions or Comments?