



Weill Cornell Medical College

## Electronic Routing Form (ERF) User Guide

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Questions about the ERF? Send an email to [erf@med.cornell.edu](mailto:erf@med.cornell.edu) or  
call OSRA at 646-962-8290 or JCTO at 646-962-8215.

## Overview of the Electronic Routing Form Process

Principal Investigators or designated proxies can fill out an ERF. However, only the PI can submit. Additional internal documents such as the Hospital Facilities Form, Research Safety Checklist/IBC Registration Form, PI's Conflicts Memo for the ERF, etc. must be uploaded into the ERF by the PI or the PI's proxies. The PI's Conflicts Memo for the ERF can be viewed by the Office of Sponsored Research Administration, WCMC-NYPH Joint Clinical Trials Office, Conflicts Management Program, the PI, and the PI's proxies. All other uploaded documents submitted by the PI can be viewed by everyone involved in the review/approval process.

Once an ERF is submitted for approval, an email notification is sent to the appropriate WCMC personnel in the following order:

1. **Notification List of Division/Department Staff:** A PDF of the ERF is sent via email to administrative staff on the Notification List in the Divisions/Departments of the PI and the Key Personnel. This is a notification only.
2. **Key Personnel:** The Key Personnel and designated proxies are notified via email when an ERF is ready for review and approval. Each Key Personnel must log into the ERF to upload his/her Conflicts Memo for the ERF and approve his/her effort commitments. A proxy can do everything the Key Personnel can do (i.e. upload the Conflicts Memo, view the ERF and attachments) except approve/decline the ERF.
3. **Chiefs/Chairs of Collaborating Divisions/Departments:** If any of the Key Personnel are from Divisions/Departments other than that of the PI, the Chiefs/Chairs of those Divisions/Departments are required to review and approve. The Chiefs/Chairs and their proxies are notified via email when an ERF is ready for review and approval. When Departments have Divisions, the ERF is routed to the Division Chief and then the Department Chair. A proxy can do everything the Chief/Chair can do (i.e. view the ERF and attachments) except approve/decline the ERF. Note: Chiefs and Chairs can designate a Secondary Approver who can also approve an ERF on behalf of the Division/Department.
4. **Institutional Approvers:** Answers to certain questions on the ERF trigger routing to institutional approvers (i.e. ITS and EHS). Relevant institutional approvers must approve before the ERF is routed to the PI's Division Chief/Department Chair.
5. **PI's Division Chief/Department Chair:** The PI's Division Chief/Department Chair and designated proxies are notified via email when an ERF is ready for review and approval. When Departments have Divisions, the ERF is routed to the Division Chief and then the Department Chair. A proxy can do everything the Chief/Chair can do (i.e. view the ERF and attachments) except approve/decline the ERF. Note: Chiefs and Chairs can designate a Secondary Approver who can also approve an ERF on behalf of the Division/Department.
6. **Office of Sponsored Research Administration/WCMC-NYPH Joint Clinical Trials Office:** OSRA/JCTO is notified via email when an ERF is ready for review and approval. When OSRA/JCTO approves an ERF, a PDF of that finalized ERF is emailed to the PI, PI's proxies, OSRA/JCTO, and the Notification List in the Divisions/Departments of the PI and the Key Personnel.

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The following notifications, along with relevant documentation, are sent via email once an ERF has been approved by OSRA/JCTO:

1. **NYPH:** Uploaded Hospital Facilities Form and PDF of the ERF (if the hospital facilities question on the ERF is answered *yes*)
2. **Tech Transfer Office:** Uploaded Scope of Work Form and PDF of the ERF (if one or both of the intellectual property questions on the ERF are answered *yes*)
3. **Research Integrity Office:** PDF of the ERF (if the stem cell question on the ERF is answered *yes*)
4. **IBC Office:** Uploaded Application for the Use of Recombinant DNA Molecules in Human Gene Transfer form and PDF of the ERF (if the Human Gene Transfer question on the ERF is answered *yes*)
5. **EHS Office:** Uploaded Research Safety Checklist/IBC Registration form and PDF of the ERF (if the work in a research or clinical laboratory question on the ERF is answered *yes*)
6. **WCMC-Qatar:** Notification that the project includes work at WCMC-Q and/or involves WCMC-Q personnel and a PDF of the ERF (if the WCMC-Qatar question on the ERF is answered *yes*)

### **Declining an ERF**

All approvers of an ERF have the ability to decline their approval and thus return the ERF to the PI for correction. Below is a description of the process when an ERF is returned to the PI by a reviewer.

1. **Key Personnel:** If a Key Personnel declines approval and thus returns an ERF to the PI, the PI must edit as necessary and resubmit. Upon resubmission, the ERF is returned to the Key Personnel who declined it.
2. **Chiefs/Chairs of Collaborating Divisions/Departments:** If a Collaborating Division Chief/Department Chair declines approval and thus returns an ERF to the PI, the PI must edit as necessary and resubmit. Upon resubmission, the ERF is returned to the Chief/Chair who declined it.
3. **Institutional Approvers:** If ITS/EHS declines approval and thus returns an ERF to the PI, the PI must edit as necessary and resubmit. Upon resubmission, the ERF is returned to the office that declined it.
4. **PI's Division Chief /Department Chair:** If the PI's Division Chief/Department Chair declines approval and thus returns an ERF to the PI, the PI must edit as necessary and resubmit. Upon resubmission, the ERF is returned to the Chief/Chair who declined it.
5. **Office of Sponsored Research Administration/WCMC-NYPH Joint Clinical Trials Office:** If OSRA/JCTO declines approval and thus returns an ERF to the PI, the PI must edit as necessary and resubmit. A resubmitted ERF is returned directly to OSRA/JCTO unless changed data impacts other approvers. If information regarding any of the following is changed then the ERF will be routed to the PI's Chief/Chair for reapproval before it is returned to OSRA/JCTO: cost sharing, space change, hospital facilities, and radioactive materials.

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## **Principal Investigator: Creating & Submitting an ERF**

### **Login**

1. Access the Electronic Routing Form at [erf.med.cornell.edu](http://erf.med.cornell.edu).
2. Enter your *Username* (CWID) and *Password*. Click *Login*. Contact OSRA/JCTO if you are unable to login.

### **View Tasks & Forms**

1. Click *View Tasks & Forms* to see a list of tasks and Electronic Routing Forms.
2. To find an ERF you can click on the column headers to sort by column or you can type into the *Find an Application* field.
3. To open an ERF click anywhere within the row for that form.

### **Starting a New ERF**

1. Click *New Form* to start a new Electronic Routing Form.
2. When you start a new ERF you are prompted to *Please enter a title for the project*. Enter the title in the text box and then click *Create*.
3. The new ERF will now appear. The title can be edited as needed prior to the PI's *Submit for Review*.

### **PI Contact**

1. The *Principal Investigator* name, *Department/Division*, *Phone*, and *Email* appear automatically.
  - a. If the PI submits research proposals through multiple departments/divisions then two or more options will appear and you must click on the department/division relevant for the research project to select it for the ERF.
  - b. Contact OSRA/JCTO if the *Department/Division* assignment is incorrect or missing. The *Department/Division* assignment must be correct and complete in order to successfully save and submit an ERF.
  - c. Go to myProfile at <http://med.cornell.edu/myprofile/> to correct the phone number if the phone number displayed is incorrect.
2. Enter *Administrative Contact* name, *Phone*, and *Email* if relevant. Information entered here does not impact the routing process, but rather provides an administrative contact for those who view the ERF.

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## **Project Summary**

1. Select the *Application Deadline*, *Proposed Start Date*, and *Proposed End Date* from the calendar. For research projects without a deadline, please select the date you are submitting the ERF.
2. Select the *Proposal Type* and *Activity Type* from the dropdown lists.
3. Begin typing the *Agency Name* and then select it from the list that appears. Contact OSRA/JCTO if the sponsoring agency does not appear on the list. If you select *National Institutes of Health* or one of the NIH Institutes, the *ERA Commons Name* field will appear. Contact OSRA if the *ERA Commons Name* must be added or changed.
4. Enter *Agency Grant/Contract Number*. Enter “N/A,” “TBD,” “none,” etc. if no number is available/relevant. Enter the Sponsor Protocol Number for Industry Agreements.
5. Click *RFA or PA Number* and in the box that appears enter the *RFA or PA Number* or click as indicated to show there is no applicable number. If you enter data in this box you must *Enter* or *Tab* to complete the entry.
  - a. Requests for Applications (RFA) are typically one-time solicitations for NIH grant applications addressing a defined research topic.
  - b. Program Announcements (PA) are typically used by an NIH institute to announce its interest in building or enhancing its research program in a particular area.
  - c. Funding Opportunity Numbers (FOA) are a comparable number that a federal agency can assign to a grant announcement. Please enter the FOA if available.
6. Click *Add Subawardee* if you are subgranting/subcontracting to other institutions. Enter the *Subawardee*, entering one institution per field if there are multiple subaward institutions. You must also submit the information listed below for each Subawardee. These documents can be uploaded as *Miscellaneous Documents* in the *Additional Documents* section or can be submitted separate from the ERF.
  - a. PHS 398 face page or statement of intent
  - b. Detailed budget and budget justification
  - c. Scope of work
  - d. Study Specific Reports for Key Personnel. Investigators who are not WCMC employees must submit paper copies of the Study Specific Report. These forms are posted at [http://weill.cornell.edu/research/research\\_integrity/conflicts\\_management\\_program/SSR\\_External.html](http://weill.cornell.edu/research/research_integrity/conflicts_management_program/SSR_External.html)
  - e. Other forms as requested
7. Click *Add Prime Sponsor* if your project is a subgrant/subcontract. Enter the *Prime Sponsor*, entering one institution per field if there are multiple *Prime Sponsors*. The *Prime Sponsor* is the institution that is awarded funds from a sponsoring agency. You must also submit the information listed below. These documents can be uploaded as *Miscellaneous Documents* in the *Additional Documents* section or can be submitted separate from the ERF.
  - a. PHS 398 face page or statement of intent
  - b. Other forms as requested

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## **Budget Details**

1. For *Grants* and *Clinical Trial Grants*
  - a. Enter *Direct Cost for 1<sup>st</sup> Year* for new/competitive projects. Enter direct cost for the next period for continuation years.
  - b. Enter *Total Direct Cost* for the project period.
  - c. Enter *Indirect Cost Rate*. Enter the percentage, not calendar months.
2. For *Industry Sponsored Research Agreements*, *Clinical Trial Agreements (Industry Sponsored)*, and *Clinical Trial Agreements (Investigator Initiated)*
  - a. Enter *Anticipated Contract Value*.
  - b. Enter *Indirect Cost Rate*. Enter the percentage, not calendar months.
3. You can view current IDC rates at  
[http://weill.cornell.edu/research/grants\\_and\\_contracts/ind\\_cos\\_rat.html](http://weill.cornell.edu/research/grants_and_contracts/ind_cos_rat.html)

## **Weill Cornell Key Personnel**

1. For the Principal Investigator (the PI automatically appears in this section)
  - a. Obtain the Conflicts Memo for Electronic Routing Form (ERF) at [http://weill.cornell.edu/research/forms\\_and\\_policies/forms/Conflicts\\_Memo\\_for\\_ERF.pdf](http://weill.cornell.edu/research/forms_and_policies/forms/Conflicts_Memo_for_ERF.pdf).
  - b. If the PI *does not* have a financial interest related to the research, simply check *No* on the Conflicts Memo and upload it into the ERF in place of the Study Specific Report (SSR) by clicking *Study Specific Report*. In the box that appears click *Browse*. Locate and select the Conflicts Memo on your computer. The box now displays the file name of the document. Click *Attach* to upload the document into the ERF. The Conflicts Memo is now displayed in the *Additional Documents* section. The PI and PI's proxies can view the document by clicking *Study Specific Report For (PI's name)* and can replace it by clicking *Replace*.
  - c. If the PI *does* have a financial interest related to the research, check *Yes* on the Conflicts Memo and upload it into the ERF as described above. The PI must also log into [conflicts.med.cornell.edu](http://conflicts.med.cornell.edu) to create a Study Specific Report (SSR) for the project. The conflicts management staff will review the SSR in the online system and follow up as necessary.
  - d. The PI or PI's proxies can upload the Conflicts Memo into the ERF. During the review/approval process the PI's Conflicts Memo can only be viewed by the PI, the PI's proxies, and OSRA/JCTO.
2. For Weill Cornell Key Personnel who are not PI
  - a. Click *Add Key Personnel* to add the additional Weill Cornell Key Personnel.
  - b. In the text box that appears begin typing the name. In the list that appears click on the name to select it. Contact OSRA/JCTO if the name is not available.
  - c. Once a person has been selected the *Department/Division* will appear automatically. If the person participates in research in multiple departments/divisions then two or more options will appear and you must click on the department/division relevant for the research project to select it for the ERF.
  - d. Note: Conflicts Memos for Key Personnel are not uploaded prior to submission of the ERF. The Key Personnel or Key Personnel's proxies upload the Conflicts Memo during the Key Personnel stage of the approval process. The PI and PI's proxies cannot upload the Conflicts

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Memo for anyone other than the PI. During the review/approval process each Key Personnel's Conflicts Memo can only be viewed by that person, his/her proxies, and OSRA/JCTO.

3. For ALL Weill Cornell Key Personnel
  - a. Click *Committed Effort* and in the box that appears enter the committed effort or click as indicated to show committed effort is not applicable. If you enter data in this box you must *Enter* or *Tab* to complete the entry. *Committed Effort* is the percentage of effort that a person is currently committing to the project and is only relevant for grant continuations/progress reports.
  - b. Enter *Proposed Effort*, which is the percentage of effort for the proposed period and is therefore relevant for all research projects.

### **Questionnaire**

1. Answer all questions by clicking *Yes* or *No*.
2. If some questions are answered *Yes* you must take additional steps.
  - a. When additional steps are required brief directions appear directly under the question. The directions provide a hyperlink to the relevant form or resource.
  - b. When an additional form is required you can click on the hyperlink provided to locate the form on the web. Save the form to your computer, complete and sign it (digital or ink signature), and upload it to the corresponding *Additional Documents* location.
  - c. Note: The PI's Department Chair no longer signs individual internal documents (i.e. cost sharing, space change). Instead, the PI's Chief/Chair will be notified during the approval process if any of the following are relevant to the project and will approve at that time: cost sharing, space change, hospital facilities, and radioactive materials.

### **Additional Documents**

1. When some questions in the *Questionnaire* are answered *Yes* you must upload *Additional Documents*.
  - a. The place to upload each required document will appear when relevant questions are answered *Yes* and will not appear if those questions are answered *No*.
  - b. When the relevant questions are answered *Yes* the corresponding forms become part of the validation. The ERF cannot be submitted unless these forms are uploaded.
  - c. To upload a required *Additional Document*, click *Upload* to the left of the document description on the ERF and in the box that appears click *Browse*. Locate and select the form on your computer. The box now displays the file name of the form. Click *Attach* to upload the form into the ERF. *Upload* now changes to *Replace* to indicate a document has been uploaded. The PI and PI's proxies can replace a document by clicking *Replace*.
2. If you wish to upload a document that is not solicited by the *Questionnaire* you can upload it in the *Miscellaneous Documents* section.
  - a. Information/forms commonly uploaded in this section are:
    - i. Study Specific Reports for Key Personnel from institutions other than WCMC. Investigators who are not WCMC employees must submit paper copies of the Study Specific Report. These forms are posted at [http://weill.cornell.edu/research/research\\_integrity/conflicts\\_management\\_program/SSR\\_External.html](http://weill.cornell.edu/research/research_integrity/conflicts_management_program/SSR_External.html)

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- ii. Consortium documentation (described in the *Project Summary* section above)
    - iii. Human Research Billing Analysis Form (HRBAF)
  - b. To upload a *Miscellaneous Document*, click *Upload* to the left of *Miscellaneous Documents* on the ERF and in the box that appears click *Browse*. Locate and select the document on your computer. The box now displays the file name of the document. You can now enter a *Description*. Click *Attach* to upload the document into the ERF. The document now appears underneath *Miscellaneous Documents* with *Delete* appearing to the left of the description. The PI and PI's proxies can delete the document by clicking *Delete*.
  - c. OSRA strongly recommends uploading grant applications, detailed budgets, drafts of contracts, etc. within the Electronic Routing Form. If the uploaded budget contains sensitive information (i.e., salary), we recommend that you securely password-protect the Excel spreadsheet prior to uploading it to the ERF. In Microsoft Office version 10 select "Review" from the toolbar menu, click "Protect Workbook" and create a password when prompted. You should notify your Specialist by telephone or email of the password you selected so s/he can access the file when the ERF is received. Please note: a budget uploaded without being password protected can be accessed and viewed by all collaborating departmental staff or faculty members. You can upload the aforementioned materials as *Miscellaneous Documents* to the ERF. If the submission is larger than 25MB (which may be the case for Grants.gov SF424 applications) we recommend using the File Transfer Service ([transfer.med.cornell.edu](http://transfer.med.cornell.edu)) to electronically deliver your files. Please call or email when a Research Performance Progress Report (RPPR) or NSF Fastlane application is ready for review.
  - d. JCTO requires uploading of the both the Excel and signed PDF of the HRBAF and strongly recommends uploading of the finalized budget for verification with the contract.
3. Notes about *Additional Documents*
- a. Everyone who is part of the review/approval process of an ERF can view all uploaded forms that are solicited by the *Questionnaire* as well as all *Miscellaneous Documents* by clicking the document description.
  - b. The PI's Department Chair no longer signs individual internal documents (i.e. cost sharing, space change). Instead, the PI's Chief/Chair are notified during the approval process if any of the following are relevant to the project and will approve at that time: cost sharing, space change, hospital facilities, and radioactive materials.
  - c. If an ERF requires the submission of a Research Safety Checklist/IBC Registration form, researchers are strongly encouraged to visit the EHS Research Safety Checklist website at <http://www.med.cornell.edu/ehs/updates/rsc.pdf> and follow the guidance provided there. Doing so will minimize errors and therefore facilitate a timely review. The Checklist must be reviewed and approved by EHS during the routing/approval process before OSRA/JCTO can approve the ERF.

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## **Notes**

1. Click *Add a Note* to add a note to the ERF. Enter the note in the text box that appears.
2. Click *Cancel* if you decide not to post the note.
3. Click *Post This Note* when you are ready to add your note to the ERF.
  - a. Posted notes are a permanent part of the ERF and can be read by anyone who views the ERF.
  - b. Posted notes are permanently stamped with your name and the date/time they were posted.
4. Click *Save* to save your note to the ERF.

## **Print**

Click *Print* to generate a PDF of an ERF. An ERF must be open in order to print it.

## **Save**

The ERF automatically saves every seven minutes. You can also save when you wish by clicking *Save*. You must enter data in the following fields in order to save an ERF: *Project Title*, *Proposal Type*, *Activity Type*, and *Agency Name*. The following auto-populated fields are also required in order to save an ERF: *Principal Investigator Name*, *Email*, *Phone*, and *Department/Division*. The PI's *Department/Division* is auto-populated if the person submits research proposals through one division/department. If the PI submits research proposals through more than one division/department then one of the division/department options provided must be selected for the ERF in order to save the ERF.

## **Submit for Review**

When an ERF is complete and ready to be routed for approvals the PI must click *Submit for Review*. Doing so will collect the PI's digital signature and also begin the routing/approval process. Clicking *Submit for Review* also serves as a validation check. If any ERF validation requirements have not been addressed, clicking *Submit for Review* will bring you to a section of the ERF that lacks required information. Proxies can click *Submit for Review* to do a validation check, but the PI must log into the ERF to submit. Proxies cannot submit on behalf of the PI.

## **Help**

Click *Help* to view the ERF User Guide.

## **Logout**

Click *Logout* to exit the ERF.

## **Unlock an ERF**

When you open an ERF it becomes locked from other users. An ERF you have opened will remain locked until you log out of the ERF system by clicking *Logout* in the top right corner of the ERF system.

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## **Key Personnel: Creating/Uploading a Conflicts Memo & Approving/Declining an ERF**

### **Login**

1. Access the Electronic Routing Form at [erf.med.cornell.edu](http://erf.med.cornell.edu).
2. Enter your *Username* (CWID) and *Password*. Click *Login*. Contact OSRA/JCTO if you are unable to login.

### **View Tasks & Forms**

1. Click *View Tasks & Forms* to see a list of tasks and Electronic Routing Forms.
2. To find an ERF you can click on the column headers to sort by column or you can type into the *Find an Application* field.
3. To open an ERF click anywhere within the row for that form.

### **Weill Cornell Key Personnel**

During the Key Personnel stage of the approval process each Key Personnel or his/her proxies must upload the Conflicts Memo for ERF and the Key Personnel must review and approve his/her effort. This information is provided below each Key Personnel's name in the *Weill Cornell Key Personnel* section of the ERF.

1. **Create & Upload Conflicts Memo for ERF:**
  - a. Obtain the Conflicts Memo for Electronic Routing Form (ERF) at [http://weill.cornell.edu/research/forms\\_and\\_policies/forms/Conflicts\\_Memo\\_for\\_ERF.pdf](http://weill.cornell.edu/research/forms_and_policies/forms/Conflicts_Memo_for_ERF.pdf).
  - b. If the Key Personnel *does not* have a financial interest related to the research, simply check *No* on the Conflicts Memo and upload it into the ERF in place of the Study Specific Report (SSR) by clicking *Study Specific Report*. In the box that appears click *Browse*. Locate and select the Conflicts Memo on your computer. The box now displays the file name of the document. Click *Attach* to upload into the ERF. The Conflicts Memo is now displayed in the *Additional Documents* section. The Key Personnel and his/her proxies can view the document by clicking *Study Specific Report For (KP's name)* and replace it by clicking *Replace*.
  - c. If the Key Personnel *does* have a financial interest related to the research, check *Yes* on the Conflicts Memo and upload it into the ERF as described above. The Key Personnel must also log into [conflicts.med.cornell.edu](http://conflicts.med.cornell.edu) to create a Study Specific Report (SSR) for the project. The conflicts management staff will review the SSR in the online system and follow up as necessary.
  - d. The Key Personnel or his/her proxies can upload the Conflicts Memo into the ERF. During the review/approval process each Key Personnel's Conflicts Memo can only be viewed by that Key Personnel, his/her proxies, and OSRA/JCTO.
2. **Review Effort:** Key Personnel effort is entered before the PI submits an ERF. *Committed Effort* is the percentage of effort that a person is currently committing to the project and is only relevant for grant continuations/progress reports. *Proposed Effort* is the percentage of effort for the proposed period and is therefore relevant for all research projects. Effort is entered prior to the PI's submission of an ERF and cannot be edited by Key Personnel/Key Personnel's proxies. If the effort must be changed then the Key Personnel must *Decline* approval and ask the PI to edit and resubmit.

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## **Additional Documents**

Each PI/Key Personnel's Conflicts Memo can only be viewed by that person, his/her proxies, and OSRA/JCTO. Everyone who is part of the review/approval process of an ERF can view all other uploaded documents by clicking the document description.

## **Notes**

1. Click *Add a Note* to add a note to the ERF. Enter the note in the text box that appears.
2. Click *Cancel* if you decide not to post the note.
3. Click *Post This Note* when you are ready to add your note to the ERF.
  - a. Posted notes are a permanent part of the ERF and can be read by anyone who views the ERF.
  - b. Posted notes are permanently stamped with your name and the date/time they were posted.
4. Click *Save* to save your note to the ERF.

## **Print**

Click *Print* to generate a PDF of an Electronic Routing Form. An ERF must be open in order to print it.

## **Save**

The ERF automatically saves every seven minutes. You can also save when you wish by clicking *Save*.

## **Approve/Decline**

If the ERF must be edited before a Key Personnel will *Approve* then s/he must *Decline* and follow the directions displayed to provide the PI with the reason for decline. A Key Personnel's Conflicts Memo must be uploaded before s/he can *Approve* but is not required for *Decline*. A proxy can do everything the Key Personnel can do (i.e. upload the Conflicts Memo, view the ERF and attachments) except *Approve/Decline*. When a Key Personnel approves an ERF it will no longer appear in that person's *View Tasks & Forms* list. Once all Key Personnel have approved the ERF will route to the next approval stop.

## **Help**

Click *Help* to view the ERF User Guide.

## **Logout**

Click *Logout* to exit the ERF.

## **Unlock an ERF**

When you open an ERF it becomes locked from other users. An ERF you have opened will remain locked until you log out of the ERF system by clicking *Logout* in the top right corner of the ERF system.

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## **Division Chief & Department Chair: Reviewing & Approving/Declining an ERF**

### **Login**

1. Access the Electronic Routing Form at [erf.med.cornell.edu](http://erf.med.cornell.edu).
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3. To open an ERF click anywhere within the row for that form.

### **Additional Documents**

1. The PI's Department Chair no longer signs individual internal documents (i.e. cost sharing, space change). Instead, the PI's Chief/Chair are notified during the approval process if any of the following are relevant to the project and will approve at that time: cost sharing, space change, hospital facilities, and radioactive materials.
2. Each PI/Key Personnel's Conflicts Memo can only be viewed by that person, his/her proxies, and OSRA/JCTO. Everyone who is part of the review/approval process of an ERF can view all other uploaded documents by clicking the document description.

### **Notes**

1. Click *Add a Note* to add a note to the ERF. Enter the note in the text box that appears.
2. Click *Cancel* if you decide not to post the note.
3. Click *Post This Note* when you are ready to add your note to the ERF.
  - a. Posted notes are a permanent part of the ERF and can be read by anyone who views the ERF.
  - b. Posted notes are permanently stamped with your name and the date/time they were posted.
4. Click *Save* to save your note to the ERF.

### **Print**

Click *Print* to generate a PDF of an Electronic Routing Form. A form must be open in order to print it.

### **Save**

The ERF automatically saves every seven minutes. You can also save when you wish by clicking *Save*.

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**Questions about the ERF? Send an email to [erf@med.cornell.edu](mailto:erf@med.cornell.edu) or call OSRA at 646-962-8290 or JCTO at 646-962-8215.**

### **Approve/Decline**

The ERF is routed to the Approvers for the Divisions and Departments (Division Chiefs and Department Chairs and any Secondary Approvers as designated by the Chiefs/Chairs) of the Key Personnel and PI. The Division/Department Approvers and their proxies are notified via email when an ERF is ready for review and approval. When Departments have Divisions, the ERF is routed to the Division and then the Department. A Division/Department Approver must open the ERF and *Approve* it. If the ERF must be edited before the Approver will *Approve* then s/he must *Decline* and follow the directions displayed to provide the PI with the reason for decline. A proxy can do everything the Approver can do (i.e. view the ERF and attachments) except *Approve/Decline*. When a Division/Department Approver approves an ERF it will no longer appear in the *View Tasks & Forms* list for that approver or the other/second approver for the division/department.

### **Help**

Click *Help* to view the ERF User Guide.

### **Logout**

Click *Logout* to exit the ERF.

### **Unlock an ERF**

When you open an ERF it becomes locked from other users. An ERF you have opened will remain locked until you log out of the ERF system by clicking *Logout* in the top right corner of the ERF system.

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## Frequently Asked Questions

### **Q1 What does it mean to be on the Notification List for my department/division?**

A1 When a PI submits an ERF, a PDF of the ERF is sent via email to everyone on the Notification List in the divisions/departments of the PI and the Key Personnel. If an ERF is returned to the PI for revision another email will be sent to the Notification List when the PI submits the revised ERF. Also, when OSRA/JCTO approves an ERF a PDF of that final ERF will be sent to the Notification List.

### **Q2 What does it mean to be a proxy?**

A2 A proxy can interact with an ERF in support of an investigator/approver. A proxy can do everything an investigator/approver can do except submit, decline, or approve a form. An investigator/approver can have an unlimited number of proxies. A person can be proxy for an unlimited number of investigators/approvers. Investigators/approvers can be proxies for other investigators/approvers.

Examples: You are a proxy for Dr. X.

1. When Dr. X is PI you can create and complete an ERF for Dr. X. Dr. X must submit. Once Dr. X submits, both of you can track the progress of the submission through the ERF *View Tasks and Forms* as well as through email messages that are sent to the PI and the PI's proxies.
2. When Dr. X is Key Personnel on another PI's project, Dr X and his/her proxies receive an email notification when an ERF is awaiting Dr X's approval. Dr. X and his/her proxies can view the ERF and upload Dr.X's Study Specific Report. Dr. X must *Approve/Decline* the ERF. Once Dr. X approves or declines, Dr. X and his/her proxies receive an email message confirming the action.
3. When Dr. X is a Division or Department Approver, Dr X and his/her proxies receive an email notification when an ERF is awaiting division/department approval. Dr. X and his/her proxies can view the ERF. Dr. X must *Approve/Decline* the ERF. Once Dr. X approves or declines, Dr. X and his/her proxies receive an email message confirming the action.

### **Q3 As a proxy, how do I select the investigator/approver I am supporting?**

A3 If you are a proxy you will login with your *Username (CWID)* and *Password* and then click on the "for *CWID*" that follows your name in the upper right section of the ERF system. You can now select an investigator/approver from the dropdown list that appears and begin your work in support of that person.

### **Q4 The Department Chair/Division Chief will be out of town. How can an ERF be approved by our division/department?**

A4 The Chair/Chief has two options: (1) access the ERF remotely (2) designate a Secondary Approver. Secondary Approvers must be designated through a delegation form. Please send an email to [erf@med.cornell.edu](mailto:erf@med.cornell.edu) to request this form.

### **Q5 How can I review an ERF before it is approved by our department/division if I am not an approver for our department/division?**

A5 As a proxy for an approver for your department/division you will be notified via email that an ERF is ready for the approval of your department/division. You can then review the ERF and tell the approver when you have completed your review.

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**Q6 How can I retain a copy of my approval of an ERF?**

A6 When you approve an ERF you will receive an email message confirming your approval. Also, after you *Approve* an ERF you can click *Print* to create a PDF of that ERF that will include a signature log listing everyone who has approved thus far. You must print before you close the approved ERF because when you approve an ERF it will no longer appear when you click *View Tasks & Forms*. You can also join the Notification List for your department/division (see Q1 above).

**Q7 How can I manage the ERF email messages I receive?**

A7 All ERF routing and approval email messages are sent from [erf\\_admin@med.cornell.edu](mailto:erf_admin@med.cornell.edu). You can create a filter in your email that will send all messages received from [erf\\_admin@med.cornell.edu](mailto:erf_admin@med.cornell.edu) to a folder rather than your inbox. For help creating an email filter, contact the ITS Service Desk at 212-746-4878 or [support@med.cornell.edu](mailto:support@med.cornell.edu).

**Q8 How can I route confidential information that is relevant to the ERF/research proposal?**

A8 You can route confidential information separate from the ERF by sending it via email or the File Transfer Service ([transfer.med.cornell.edu](http://transfer.med.cornell.edu)) or by distributing hard copies. You can also password protect documents before you upload them into an ERF and then share the password with reviewers/approvers as necessary. For help password protecting documents, contact the ITS Service Desk at 212-746-4878 or [support@med.cornell.edu](mailto:support@med.cornell.edu).

**Q9 What is the definition of Key Personnel?**

A9 NIH defines Key Personnel as “The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for key personnel.”

**Q10 What is the definition of Key Personnel for Clinical Trial Agreements?**

A10 Use the NIH definition above as a guide to determine the Key Personnel on a Clinical Trial Agreement. All Weill Cornell Key Personnel must be entered as such in the ERF. Conflicts Memos must be uploaded into the ERF for the Weill Cornell Key Personnel and are only to be provided by Key Personnel - not by everyone on the protocol.

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