



# Weill Cornell Medicine

	<b>SOP #</b>	OSRA0009
	<b>Revision #</b>	2.0
	<b>Implementation Date:</b>	07/01/2015
<b>SOP Owner:</b> Office of Sponsored Research Administration	<b>Last Reviewed/Update Date:</b>	04/15/2016
<b>SOP Contributor(s):</b> Research Departments, OSRA	<b>Approved Date:</b>	06/01/2015

## Processing a Notice of Award Standard Operating Procedure

### **1. Purpose**

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Successful grant applications result in a Notice of Award (NOA) or Award Agreement provided by a grant sponsor. A NOA is an official, legally binding document providing formal confirmation of a grant application's selection for funding. NOAs are made directly to Weill Cornell Medicine (WCM), which is charged with award management on behalf of a grant's Principal Investigator (PI). A NOA commits funding to WCM and outlines the terms and conditions the College must accept and abide by in order to successfully manage an award.

The Office of Sponsored Research Administration (OSRA) is responsible for processing all NOAs received by WCM. This includes the review and possible negotiation of award terms, compliance checks, and liaising with PIs and Departments to obtain all final documents required for account creation, including a final detailed budget. Timely processing of NOAs according to the standards of this SOP is an institutional priority. Delays in award processing can lead to delayed project start dates, account deficits, a need for prior approval requests, and in some cases can jeopardize award funds. OSRA, PIs and their Departments must work in tandem to ensure successful NOA processing.

### **2. Scope**

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This SOP outlines how OSRA staff process a Notice of Award and release documents for account creation, including the responsibilities and deliverables of PIs and their Departments.

### **3. Prerequisites**

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A grant application must be successful and yield a formal NOA, which must be sent to OSRA for processing.

### **4. Related Documents**

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None at this time



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## 5. Responsibilities

- **R**esponsibility = person or role responsible for ensuring that the item is completed
- **A**ccountable = person or role responsible for actually doing or completing the item
- **C**onsulted = person or role whose subject matter expertise is required in order to complete the item
- **I**nformed = person or role that needs to be kept informed of the status of item completion

Process Deliverable (or Activity)	Process Members						
	Principal Investigator	Key Personnel	Academic Department	OSRA Research & Financial Administrator	OSRA Specialist	OSRA Office	Finance
Development/Maintenance of SOP	I		I/C	I/C	I	R/A	
Accept and claim NOA	I		I	R/A	I		
Review NOA and corresponding application documents	I		I	R/A	I		
Negotiate NOA terms and conditions with Sponsor (if necessary)	I		I	I	R/A		
Update Award record in Coeus database				R/A			
Prepare NOA Checklist and request final documents from PI and Department	I		I	R/A	I		
Prepare final budget, other documents, and ensure all compliance requirements are met	R	I/C	R/A	I/C	I		
Review all final documents and prepare JIRA ticket for account creation	I		I	R/A	I		
Audit JIRA ticket				R/A	I		
Create Account in SAP	I		I	R/A	I		
Finalize account creation	I		I	I/C	I		R/A



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## 6. Procedure

Step	Action	Method	Owner	Schedule
<b>Processing a Notice of Award</b>				
1.0	Determines application is meritorious and selects for funding	Sponsor Review Process	Sponsor	Based on sponsor review timetable
2.0	Draft and issue a Notice of Award to WCM	Email/OSRA Awards Listserv	Sponsor	
3.0	Retrieve Notice of Award	Grants & Contracts Shared Inbox	OSRA RFA	Within 1 business day of award receipt in OSRA
3.1	Determine the associated PI/Department and OSRA staff assignment			
3.2	Claim awards based on department assignments by moving the NOA to RFA's individual mailbox			
4.0	Locate Grant Submission File and move all documents to the NOA folder on the OSRA Shared Drive	OSRA Shared Drive	OSRA RFA	Within 2 business days of award receipt in OSRA
5.0	Review Notice of Award and application documents	OSRA Shared Drive	OSRA RFA	Within 2 business days of award receipt in OSRA



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5.1	The OSRA RFA must review the Notice of Award and all application documents on record for the submission			
5.1.1	<i>If Notice of Award requires negotiation, OSRA RFA will send award to OSRA Specialist for review and negotiation</i>			
5.1.2	<i>If application was not routed through OSRA and there are no documents on file, OSRA RFA must request all pertinent documentation in order to process the award</i>			
5.2	OSRA RFA will review application materials to ensure all applicable compliance requirements are met, i.e. IACUC verification, IRB Approval, and Research Compliance Training			
5.3	OSRA RFA will review application budget against the award notice to determine if modification is required			
5.3.1	<i>Current base salaries, fringe benefit rates, and indirect costs rates must be applied to final budget; indirect costs must be</i>			



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	<i>listed on the budget</i>			
5.4	OSRA RFA will complete a Notice of Award Checklist for the PI and Department indicating all necessary requirements for account creation in SAP			
<b>6.0</b>	<b>Send Notice of Award and Checklist to PI and Department</b>	<b>Email</b>	<b>OSRA RFA</b>	<b>Within 2 business days of award receipt in OSRA</b>
6.1	Email body should contain minimal award details with any pertinent notes and direct recipients to the attached Notice of Award checklist			
6.2	<i>Email body should have a target "response by" date of two weeks (10 business days) from date of RFA email</i>			
6.3	OSRA RFA will follow up weekly with PI and Department for necessary documentation			Weekly
<b>7.0</b>	<b>Complete Coeus Award Record</b>	<b>Coeus Database</b>	<b>OSRA RFA</b>	<b>Within 2 business days of award receipt in OSRA</b>
<b>8.0</b>	<b>PI and Department Review Notice of Award and Checklist and prepare all</b>		<b>PI and Academic Department</b>	<b>By "response by" date indicated in email, within 2</b>



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	necessary documentation requested by OSRA			weeks (10 business days) of notice from OSRA
8.1	PI and Department must thoroughly review the Notice of Award and Checklist provided by OSRA			
8.2	As indicated on the Checklist, PI and Department must ensure all necessary compliance requirements are met			
8.3	PI and Department must review application budget and update as necessary			
8.4	As necessary, PI and Department will modify effort of application personnel, preparing effort reduction letters where required			
8.4.1	<i>Departments must review the active effort of award personnel and make any necessary adjustments prior to returning a budget to OSRA; OSRA RFA will check the effort of all personnel listed on budget</i>			



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8.5	If applicable as indicated on Checklist, PI and Department will complete a new WBS request form listing PI SAP position ID			
<b>9.0</b>	<b>PI and Department return Checklist, final budget, and any other documentation to OSRA RFA</b>		<b>PI and Academic Department</b>	<b>By "response by" date, within 2 weeks (10 business days) of notice from OSRA</b>
9.1	Email body should contain any pertinent comments or questions for OSRA			
<b>10.0</b>	<b>Review of final budget and award documents</b>		<b>OSRA RFA</b>	<b>Within 2 days of receipt of Checklist</b>
10.1	OSRA RFA will review returned documents, verifying all requests are met			
10.2	OSRA RFA will review final budget, ensuring correct salary bases, fringe rates, and IDC rates are applied			
10.3	OSRA RFA will run an effort report for all application personnel to ensure compliance with WCM's effort caps	Weill Business Gateway		



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10.3.1	<i>Log into Weill Business Gateway to Access BI Launch Pad and run an active effort report for all application personnel</i>			
10.4	OSRA RFA will follow up with PI and Department as necessary - an incorrect budget, pending compliance approval, and/or incorrect or missing other documents may delay account creation			
<b>11.0</b>	<b>Create JIRA ticket and route for Account Creation</b>	<b>JIRA</b>	<b>OSRA RFA</b>	<b>Upon completion of 10.0-10.4</b>
11.1	Following final review, OSRA RFA will log into JIRA and create a JIRA ticket for the award			
11.2	JIRA ticket must contain all correct information corresponding to the Notice of Award			
11.2.1	<i>Ticket must reflect proper sponsor, title, Coeus number, Fund Center number, prior year WBS Element number if applicable, award dates, and department contact information</i>			





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11.2.2	<i>If an award received an advance account, ticket must contain advance account information (WBS and confirmation email)</i>			
11.3	OSRA RFA will upload award documents including final approved budget and WBS Element request form (if applicable) to the JIRA ticket			
11.4	OSRA RFA will add any necessary comments to the ticket			
11.5	Once ticket is complete and all necessary documents are uploaded, OSRA RFA will release ticket for account creation			
<b>12.0</b>	<b>Account Creation</b>	<b>JIRA &amp; SAP</b>	<b>OSRA RFA</b>	<b>Within 5 business days from ticket release</b>
12.1	OSRA RFA will review JIRA ticket and perform a final review of routed documents			
12.2	Should ticket require additional information or contain erroneous information, OSRA RFA will update as needed			



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12.3	OSRA RFA will approve ticket and create account in SAP; ticket will then route to finance for procurement card update and task closing			
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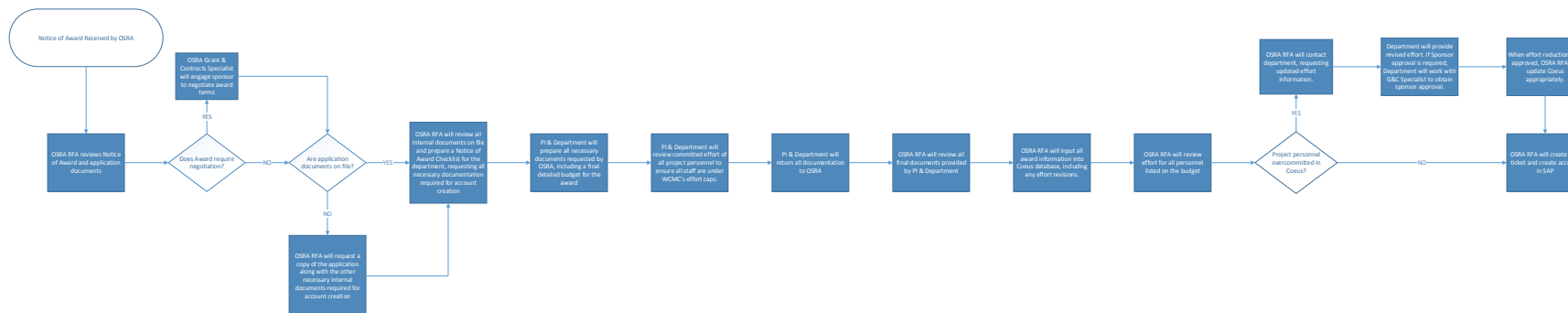
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## 7. Process Maps





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## **8. Process Metrics**

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- OSRA RFA will claim and screen all NOAs within one business day from award receipt in OSRA
- OSRA RFA will review all documentation on file, prepare a NOA checklist, and send an award notification message to a PI and Department within two business days from award receipt in OSRA
- Departments will acknowledge award notification message and prepare all required documents by requested return date
- OSRA RFA will review all documents provided by PI and Department and release award through JIRA within two business days from receipt of all necessary documents
- OSRA RFA will audit JIRA ticket and create account in SAP within 5 business days

## **9. References**

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NIH Award Management Guide: [http://grants.nih.gov/grants/managing\\_awards.htm](http://grants.nih.gov/grants/managing_awards.htm)

## **10. Definitions**

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NOA – Notice of Award

JIRA – WCMC supported ticketing tool, in this process employed to release award documents for account creation (JIRA is used in many WCMC workflows)

SAP – Weill Cornell Medical College’s financial system in which accounts for grant awards are generated and managed

## **11. Limitations/Exclusions**

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None