



Weill Cornell Medical College

	<b>SOP #</b>	OSRA0004
	<b>Revision #</b>	1.0
	<b>Implementation Date:</b>	05/01/2015
<b>SOP Owner:</b> Office of Sponsored Research Administration	<b>Last Reviewed/Update Date:</b>	04/29/2015
<b>SOP Contributor(s):</b> Research Departments, OSRA	<b>Approved Date:</b>	05/01/2015

## **OSRA Grant Application Review and Submission Standard Operating Procedure**

### ***1. Purpose***

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Weill Cornell Medical College (WCMC) formally submits all grant applications on behalf of its faculty as directed by WCMC policy and business process as well as the requirements of sponsoring agencies. In doing so WCMC confirms institutional support for the application and verifies the accuracy and validity of all administrative, fiscal, and programmatic information. The Office of Sponsored Research Administration (OSRA) is the central business office responsible for facilitating all submissions for WCMC, ensuring each application is in compliance with both WCMC and sponsoring agency policy. It is the ultimate responsibility of OSRA to provide WCMC approval for each grant application submission, regardless of the submission process or if official signature is required.

To fulfill this charge, OSRA requires sufficient time to thoroughly review applications in advance of submission deadlines. It is the responsibility of the Principal Investigator (PI) and his or her Department to meet all OSRA internal submission deadlines. Failure to meet OSRA deadlines may result in submission complications and errors, which can cause late submission and/or possible application rejection from a sponsoring agency. While it is OSRA's goal to approve and submit all grant applications on time, priority is given to applicants that meet internal submission deadlines.

### ***2. Scope***

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This standard operating procedure (SOP) outlines OSRA's responsibilities in the grant submission process. It is an extension of the "[Submitting a Competitive Grant Application for OSRA Review](#)" SOP, which outlines the responsibilities of PIs and their Departments when initiating a grant submission.

This SOP should be used by OSRA, PIs and their Departments during the grant review and submission process.

### ***3. Prerequisites***

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In order to begin a review, OSRA requires:

- A draft application at least 7 business days in advance of the submission deadline containing the minimum information required as outlined in Appendix A of this SOP
- A copy of the application guidelines and/or program announcement



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- For non-federal sponsors, written documentation of sponsoring agency's published indirect cost rate if not included in the application guidelines and/or program announcement.
- A project specific electronic routing form (ERF)
- A final application ready for submission at least 2 business days in advance of the submission deadline

#### ***4. Related Documents***

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Submitting a Competitive Grant Application for OSRA Review (SOP #OSRA0002)  
Electronic Routing Form Review and Approval (SOP #OSRA0007)



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**5. Responsibilities**

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

<div style="border: 1px solid black; padding: 5px; width: 150px; height: 100px; position: relative;"> <div style="position: absolute; top: 5px; right: 5px;"><b>Role</b></div> <div style="position: absolute; bottom: 5px; left: 5px;"><b>Process Deliverable (or Activity)</b></div> </div>	Principal Investigator	Key Personnel	Academic Department	OSRA Administrator	OSRA Specialist	OSRA Director
Development/Maintenance of SOP	C		C	C	C	R/A
Prepare and submit Draft Application for OSRA review 7 business days before submission deadline	R/A	C	R/A	C	C	
Perform Draft Application review	C		C	R	R/A	
Provide PI & Department with review comments within 2 business days					R/A	
Prepare and submit Final Application for OSRA review 2 business days before submission deadline	R/A	C	R/A	C	C	
Perform Final Application Review	C		C	R	R/A	
Modify Final application as needed	R/A	C	R/A	C	C	
Submit/Approve/Sign Application	I	I	I		R/A	R



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**6. Procedure**

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Step	Action	Method	Owner	Schedule
<b>OSRA Application Review - Initial</b>				
1.0	ERF and Draft Application meeting minimum requirements as outlined in Appendix A routed to OSRA for review	ERF	PI & Department	Must be received in OSRA at least 7 business days before submission deadline
2.0	Application documents retrieved from ERF and saved in OSRA Specialists Inbox	ERF & OSRA Shared Drive	OSRA Admin	Day of receipt (if received after 3pm, the following business day)
3.0	Inform Specialist Draft Application is ready for review	Email	OSRA Admin	
4.0	Screen Draft Application to ensure minimum requirements are met	Application forms	OSRA Specialist	
5.0	Notify PI & Department of determination	Email	OSRA Specialist	Day of receipt (if received after 3pm, the following business day)
5.1	If Draft Application does not meet minimum requirements as outlined in Appendix A, OSRA Specialist will return proposal to the PI and Department noting a review will not commence until all minimum requirements are met; Link to SOP will be included in the email for reference			



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5.2	If Draft Application does meet minimum submission requirements OSRA Specialist will inform PI and Department the application will move forward for review			
<b>6.0</b>	<b>OSRA review of Draft Application</b>	<b>Application guidelines and forms</b>	<b>OSRA Specialist</b>	
6.1	OSRA Specialist must thoroughly review sponsor guidelines and program announcement			
6.1.1	<ul style="list-style-type: none"> <li>-Ensure WCMC and PI are eligible for program</li> <li>-Ensure proper application package and forms are employed</li> <li>-Review terms of submission, ensuring WCMC is not agreeing to unacceptable terms or restrictions at the time of submission</li> <li>-Review budget policy for any cost caps, unallowable costs, or indirect cost restrictions</li> <li>-Review application requirements, noting content, sections, formatting requirements, pre-submission approval requirements, and page limitations</li> </ul>			



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6.2	OSRA Specialist must compare guidelines/program announcement against Draft Application and review all completed application components			
6.3	OSRA Specialist must thoroughly review the Draft Application budget and budget justification			
6.3.1	<p><i>-Check salaries for all personnel, ensuring correct amounts reflected in SAP (or appropriate escalations) are employed</i></p> <p><i>-Ensure requested salary amounts are calculated properly based on effort commitment (if discrepancy exists ensure a cost sharing form is on file)</i></p> <p><i>-Ensure up to date fringe benefit rates are employed</i></p> <p><i>-Review all non-personnel expenses and ensure that all costs are allowable as per the sponsor guidelines/program announcement</i></p> <p><i>-Ensure correct indirect cost rate is employed, per sponsor guidelines and WCMC approved rates</i></p>			



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	<p><i>-Ensure all expenses are properly described in the budget justification</i></p> <p><i>-As applicable, ensure all cost caps and limitations are met</i></p>			
6.4	OSRA Specialist must confer with OSRA Administrator to ensure ERF and internal submission documents are received			
<b>7.0</b>	<b>Return of Draft Application with detailed comments</b>	<b>Email</b>	<b>OSRA Specialist</b>	<b>Within 2 business days from determination for initial review</b>
7.1	OSRA Specialist will prepare a detailed email including comments and questions for PI and Department, clearly noting required modifications and/or additions			
7.1.1	<i>Email 'subject' line should include sponsor, PI, grant opportunity number, and "COMMENTS"</i>			
7.1.2	<i>Email must have Draft Application attached</i>			
7.1.3	<p><b>REVIEW &amp; SUBMISSION TIMELINE –</b></p> <p><i>Draft Applications will only be accepted up to 3 business days before a submission deadline</i></p>			



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	<p><i>OSRA requires up to 2 business days to perform their Draft Application review, Draft Applications submitted after the 7 business day deadline risk shortening the review period</i></p> <p><i>PIs that do not follow submission deadlines assume the risk of submission complications which can cause late submission and possible rejection from sponsoring agencies</i></p> <p><i>The OSRA Specialists will prioritize applications submitted in accordance with OSRA deadlines</i></p>			
<b>OSRA Application Review - Final</b>				
<b>8.0</b>	<b>Submit Final Application to OSRA</b>	<b>Email</b>	<b>PI and Department</b>	<b>Must be received in OSRA at least 2 business days before submission deadline</b>
8.1	PI and Department must submit a Final Application document to OSRA for review and approval, noting any updates or changes to previously reviewed information			





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8.1.1	<i>Email 'subject' line should include sponsor, PI, grant opportunity number, and "FINAL"; The OSRA Specialist and Administrator should both be copied on all correspondence</i>			
8.1.2	<i>No further changes should be made to the application package or components following final submission</i>			
<b>9.0</b>	<b>Retrieve Final Application and confirm receipt</b>	<b>Email</b>	<b>OSRA Specialist</b>	<b>Upon receipt</b>
9.1	Save Final Application in Inbox	OSRA shared drive		
9.2	Reply to PI and Department confirming application will undergo final review			
<b>10.0</b>	<b>Perform Final Application review</b>		<b>OSRA Specialist</b>	<b>As final applications are received</b>
10.1	Scan and spot check previously reviewed sections to confirm information is correct and updated accordingly			
10.2	Compare all Final Application components against guidelines/program announcement to ensure accuracy and compliance			
10.3	Perform final check to confirm application can be submitted, rechecking page lengths, font sizes and other common			



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	issues that may cause submission errors			
10.3.1	<p><b>MODIFIED REVIEW –</b>  <i>Should a Final Application be submitted to OSRA after the 2 business day deadline, OSRA Specialist will perform a cursory review of application components, prioritizing the application budget and sections that pose a risk to successful submission</i></p> <p><i>If Final Application is the first version submitted to OSRA, the application is late as it did not meet OSRA's draft submission deadline</i></p> <p><i>PIs who do not follow submission deadlines assume the risk of submission complications which can cause late submission and possible rejection from sponsoring agencies</i></p> <p><i>The OSRA Specialists will prioritize applications submitted in accordance with OSRA deadlines</i></p>			
<b>11.0</b>	<b>Notify department of review status</b>	<b>Email</b>	<b>OSRA Specialist</b>	<b>Following final review</b>
11.1	OSRA Specialist must email PI and Department confirming final review is complete			
11.1.1	Email 'subject' line should include			



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	<i>sponsor, PI, grant opportunity number, and "FINAL REVIEW COMPLETE"</i>			
11.2	If approved for submission, email will confirm OSRA Specialist will move forward with submission			
11.3	If corrections or updates are required, OSRA Specialist will detail remaining issues and request final revisions			
11.3.1	<i>OSRA Specialist will communicate via email and/or phone with PI and Department to address final revisions</i>			
11.3.2	<i>PI and Department are responsible for all final revisions and uploads</i>			
<b>12.0</b>	<b>Sign and submit application</b>	<b>Varies</b>	<b>OSRA Specialist</b>	
12.1	Once OSRA approves the Final Application, the OSRA Specialist must proceed with application submission or signature/approval in accordance with sponsor submission process			
12.1.1	<i>Submission processes vary, for Grants.gov the OSRA Specialist will submit the application directly, for other sponsors/programs this may entail obtaining signature from the OSRA Director or certifying approval in a sponsor maintained electronic system</i>			
12.1.2	<i>For NIH submissions, applications must reach the eRA Commons system without error by 5pm on the deadline date; Submission errors received after 5pm will</i>			



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	<i>be addressed the following business day, revised applications must include a late submission letter drafted by the PI</i>			
12.1.3	<i>For DOD submissions, applications with final budget and project narrative must be submitted via Grants.gov no later than 5pm on the deadline date; unlike NIH, the DOD allows for post submission modification to all other application components during a validation period</i>			
12.2	Following submission OSRA Specialist will send PI and Department a submission confirmation notification	Email		
12.3	Once a submission is accepted by a sponsor, the OSRA Specialist will send PI and Department a final notification	Email		
12.3.1	<i>For NIH submissions, the final notification email will include a copy of the Final Application as assembled in the eRA Commons</i>			

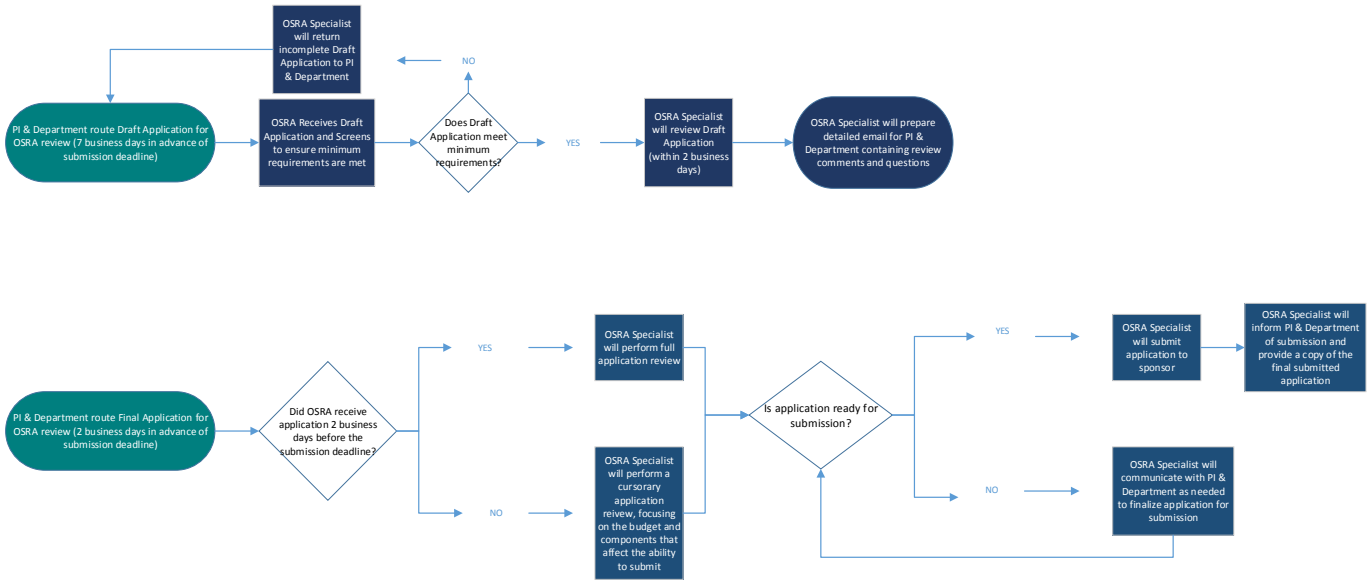


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### 7. Process Maps





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**8. *Process Metrics***

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- Draft Applications must be submitted to OSRA at least 7 business days prior to the submission deadline
- Draft Applications must contain the minimum required information in order for a review to commence
- OSRA Specialist must return Draft Application to PI and Department with comments within 2 business days of receipt
- Final Applications must be submitted to OSRA at least 2 business days prior to the submission deadline

**9. *References***

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NIH Grants Policy Statement – Submission Responsibilities (Section 2.1)  
<http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>

**10. *Definitions***

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**Draft Application** – initial application document provided to OSRA meeting minimum requirements outlined in Appendix A

**Final Application** – final application document provided to OSRA for final review and submission

**11. *Limitations/Exclusions***

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None



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## **APPENDIX A**

### **Application Submission Requirements**

#### **DRAFT APPLICATION – 7 business day deadline**

The following documents are required as they are applicable. Sponsor requirements can vary.

- Application Package/Administrative Information (i.e. name, title, address, authorized official, etc.)
- Key Personnel/Biosketches
- Other Support (if applicable, typically only required by the DOD and special programs)
- Performance sites
- Completed final budget and budget justification with sufficient information for OSRA to check salary/calculations and verify allowable expenses
  - Personnel (Salary, effort, fringe)
  - Consultant Costs
  - Travel
  - Supplies
  - Patient Care
  - Other expenses
  - Subcontract budgets
  - Indirect Costs

Draft application requirements for NIH fellowship applications:

- Application Package/Administrative Information
- Cover Letter Attachment
- Key Personnel/Biosketches
- Respective Contributions
- Selection of Sponsor & Institution
- Applications for Concurrent Support
- Goals for Fellowship Training & Career
- Doctoral Dissertation & Other Research Experience
- Budget – Tuition/Fee Information



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## **FINAL APPLICATION – 2 business day deadline**

A final version of the application, including final versions of all components. Note the below components list is not exhaustive. Sponsor submission requirements vary as do the requirements for specific funding opportunities. Final versions of all components as outlined in the program announcement and guidelines are required for OSRA final review and must be submitted at least 2 business days prior to the submission deadline.

- Resource Sharing Plan
- Facilities & Resources
- Existing Equipment
- Consortium/Contractual Arrangements (if applicable)
- Multiple PI Leadership Plan
- Research plan
- Specific Aims
- Project Narrative
- Description of animal use
- Description of human subjects use
- References
- Support Letters
- Appendix

### NIH Career Award K's

- Candidate Background
- Career Goals & Objectives
- Career Development Plan/Training Activities
- Responsible Conduct in Research
- Mentor Statements
- Institutional Commitment
- Institutional Environment

### NIH Training Grants T's

- Background
- Program Plan
- Recruitment Plan
- Responsible Conduct in Research
- Data Tables