

Grant Review and Submission Standard Operating Procedure

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Standard Operating Procedures

GRANT LIFECYCLE

PRIMARY BUSINESS FUNCTIONS

- Application Review & Submission
- Pre-funding Documents “JIT” Submission
- Award Receipt and Processing
- Account Creation
- Account Management
- Award Closeout

ANCILLARY PROCESSES

- Prior Approval Requests
- eRA Commons Account Creation
- System Maintenance (ERF, Coeus, InfoEd)
- Data Management



Standard Operating Procedures

GOALS

Standards

- Establish clear roles and responsibilities
- Seamless workflow for OSRA processes

Accountability

- Establish timelines
- Set performance expectations

Metrics

- Create performance measures
- Data driven solutions

Partnership

- Support WCMC research portfolio
- Joint success



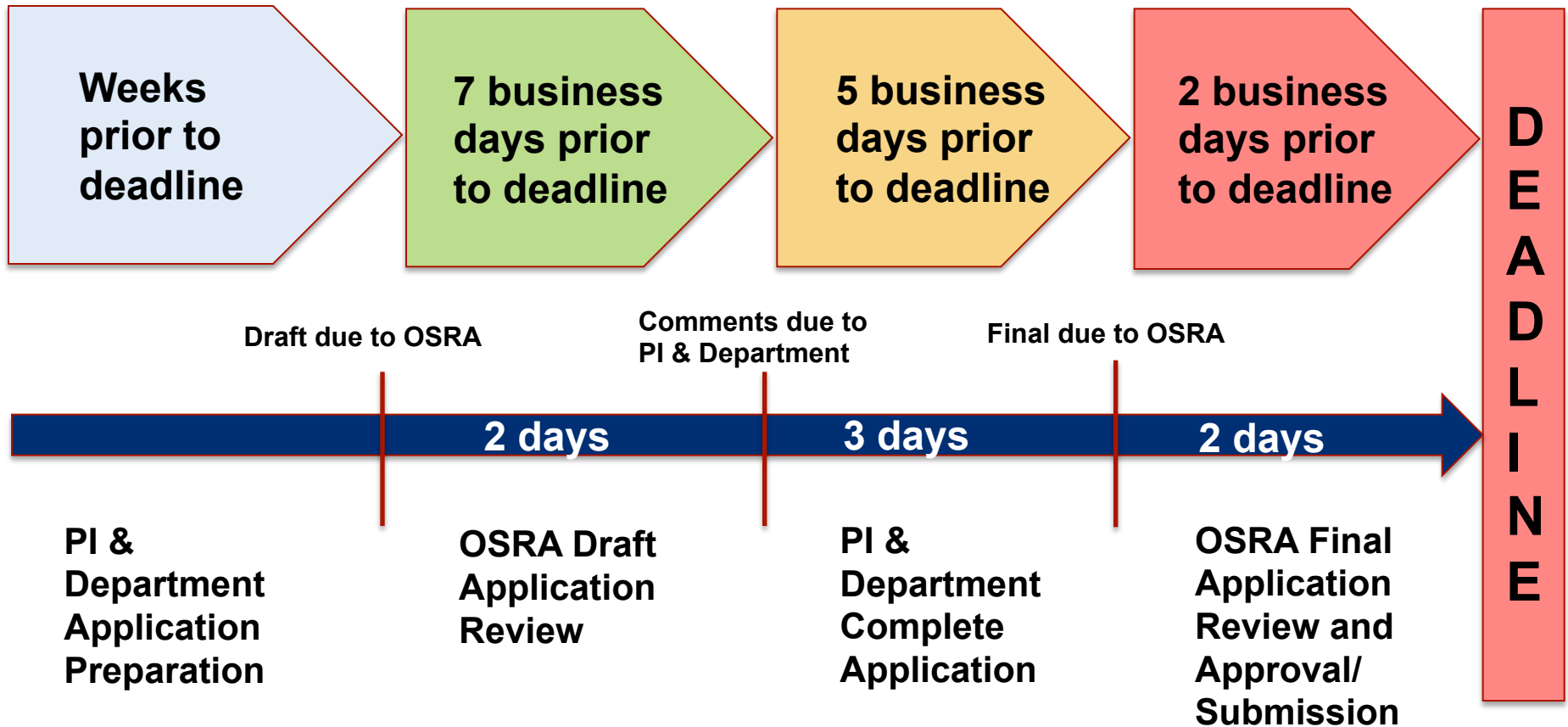
Grant Review and Submission

PURPOSE

- Roles and responsibilities
- Define terminology
- Submission requirements at review stages
- Set expectations and timelines
- Process and timeline modifications based on application receipt
- Increase process consistency and efficiency
- Improve submission quality
- Measure performance
- Evaluate success



Submission Timeline



Highlights

DRAFT APPLICATIONS

- Draft Applications are due to OSRA 7 business days prior to deadline
- Must meet minimum requirements – ***no scientific content***
- OSRA will screen Draft Applications on day of receipt (before 3pm)
- OSRA will return drafts without review if they do not meet minimum requirements
 - *Completed budget is a minimum requirement*
- OSRA Staff will review and provide comments on Draft Applications within 2 business days from receipt
- OSRA will accept Draft Applications after the 7 business day deadline, however the submission timeline is shortened
- OSRA will only accept Draft Applications up to 3 business days before deadline, after which time only Final Applications will be accepted



Highlights

FINAL APPLICATIONS

- Final Applications are due to OSRA 2 business days prior to deadline
- Final Applications meeting the OSRA deadline will receive a full review
- Final Applications submitted after the OSRA deadline will be accepted, however only a cursory review focusing on the budget and submission validation will be performed
- If Final Application is the first version submitted to OSRA the application is considered late, only a cursory review will be performed
- For NIH submissions, applications must reach the eRA Commons without error by 5pm on deadline day
 - Submission errors received after 5pm will be addressed the following business day
- PIs & Departments assume risk when OSRA deadlines are not met
 - Incorrect documents submitted
 - Application rejection



Draft Application

For the Draft Application review, OSRA strongly encourages submission of all draft documents

Minimum Required Components

- Application package or access to application in an electronic system
- Administrative information
 - i.e. PI name, title, address, authorized official, etc.
- Personnel and biosketches
- Other support
 - if applicable, typically only required by the DOD and special programs
- Performance sites
- Complete budget
- Subcontract budget when applicable



Draft Application – OSRA Review

OSRA Specialist will review program guidelines against Draft Application:

- Submission requirements
- Eligibility
- Proper package/forms employed
- Terms of submission
- Completed components
- Full budget review

OSRA Specialists will provide detailed review email listing omissions, necessary corrections and all other feedback within 2 business days



Final Application

A Final Application must contain all components as outlined in the program guidelines and be ready for submission

****Includes all scientific content****

NIH examples:

- Research plan
- Specific Aims
- Project Narrative
- Facilities & Resources
- Description of Animal Use
- Consortium/Contractual Arrangements (if applicable)
- Multiple PI Leadership Plan
- Resource Sharing Plan
- References
- Support Letters
- Appendix

Department must inform OSRA of any changes to previously reviewed sections upon submission of Final Application



Final Application – OSRA Review

OSRA Specialist will review program guidelines against Final Application:

- Perform thorough review of all components
- Address issues with PI & Department
- Perform final cursory review to ensure successful submission
 - OSRA will spot check font, margins, and other formatting requirements
- Obtain signature or submit electronically
- Address any submission errors or warnings (NIH and other electronic submissions)
- Resubmit as necessary



Final Application – Cursory Review

In rare instances when a Final Application is not submitted according to OSRA deadlines, OSRA's review will focus on the application budget and any components affecting the ability to submit:

- Budget Review
 - Cost caps
 - Fringe Rates
 - IDC Rates
 - Allowable Costs
- Components affecting submission validation
 - Correct package/forms
 - Omissions
 - Page limitations



OSRA Review



OSRA Draft Review

- **Application Package & Administrative Information**
- **Personnel, Performance Sites, and other Non-Scientific Components**
- **Budget**

OSRA Final Review

- **All Application Components**
- **If Cursory Review -**
 - **Budget**
 - **Basic validation requirements**



Late Submission Risks

Policy

Be mindful that non-compliance can have serious consequences. NIH may withdraw any application identified during the receipt, referral and review process that is not compliant with the instructions in the SF424 (R&R) Application Guide, the Funding Opportunity Announcement, and relevant NIH Guide Notices.

Some **examples** of how this policy is applied to NIH applications *include but are not limited to*:

- Applications containing one or more biosketches that do not conform to the required format may be withdrawn ([NOT-OD-15-032](#)).
- Applications that do not conform to the page limit requirements because inappropriate materials have been included in other parts of the application may be withdrawn ([NOT-OD-11-080](#)).
- Applications submitted as new but containing elements of a resubmission or renewal application are noncompliant with the resubmission policy and may be withdrawn ([NOT-OD-15-059](#)).
- Applications submitted after 5 PM local (applicant organization) time on the application due date may be withdrawn ([NOT-OD-15-039](#)).

It is important to remember that these are just examples, and that all requirements specified in the SF424 (R&R) Application Guide, the Funding Opportunity Announcement, and relevant NIH Guide Notices are to be followed. When in doubt about compliance policy, contact NIH "Grants Info" or the Division of Receipt and Referral as listed below.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-095.html>



Late Submission Risks

WHAT CAN GO WRONG?

- Last minute corrections
- Missed deadlines
- Incorrect attachments/information submitted to sponsor
- Application does not meet guidelines
- Quality concerns
- Application rejection



Metrics

OSRA and Departmental performance will be tracked

- Draft Application deadline
- Draft Application minimum requirements
- OSRA 2 business day Draft Application review
- Final Application deadline
- Submission errors/complications
- Review accuracy
- Application success

Data will inform workflow and processes

- Resources
- Training & Outreach
- Process Modifications



Implementation

June 5th deadline

May 27th - 7 business day deadline

June 3rd – 2 business day deadline

- Monthly meetings
- Departmental meetings




OSRA Standard Operating Procedures

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OSRA Standard Operating Procedures

OSRA will post new and updated SOPs below as they are released to the community via the OSRA-updates listserv. Please email osra@med.cornell.edu to be added to OSRA-updates or with any questions or concerns.

Financial Report Submission (OSRA 0001)	Adobe PDF
Award Specific Conflicts Notification (JCTO 0001)	Adobe PDF
Submitting a Competitive Grant Application for OSRA Review (OSRA 0002)	Adobe PDF
Sponsor Pre-Funding "Just in Time" Requests (OSRA 0003)	Adobe PDF
OSRA Grant Application Review and Submission (OSRA 0004)	Coming May 14th
Submitting a Progress Report for OSRA Review (OSRA 0005)	Adobe PDF
eRA Commons Account Creation (OSRA 0006)	Adobe PDF
Electronic Routing Form Review and Approval (OSRA 0007)	Adobe PDF
Incoming Subawards (OSRA 0008)	Adobe PDF



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