



Weill Cornell Medicine

SOP Owner: Office of Sponsored Research Administration	SOP #	OSRA0007
	Revision #	2.0
	Implementation Date:	05/01/2015
SOP Contributor(s): Research Departments, OSRA	Last Reviewed/Update Date:	03/04/2016
	Approved Date:	04/23/2015

Electronic Routing Form Review and Approval Standard Operating Procedure

1. Purpose

Principal Investigators (PIs) and Departments must route an Electronic Routing Form (ERF) for each grant application and progress report submitted for review by the Office of Sponsored Research Administration (OSRA). The ERF is the vehicle for submitting a grant application to OSRA, collecting formal acknowledgment and approval from PIs, Department Chiefs and Chairs, and administrative offices through the routing process. The form also serves as a submission questionnaire, capturing pertinent compliance information for each application. Along with the grant application, the ERF is the primary resource for OSRA compliance monitoring and data tracking.

It is the responsibility of OSRA to review and approve each submitted ERF. The OSRA Research & Financial Administrator (RFA) must monitor the ERF system daily, processing ERFs as they arrive in the OSRA queue. It is critical to the overall grant review process that ERFs are processed according to performance timelines.

2. Scope

This standard operating procedure (SOP) outlines the ERF review and approval process performed by OSRA, it should be followed by the OSRA RFA as they manage OSRA ERF queues.

This SOP follows the Submitting a Competitive Grant Application for OSRA Review and the Submitting a Progress Report for OSRA Review SOPs, which outline the responsibilities of the PI and Department when submitting a proposal or report to OSRA. This SOP is a companion to the OSRA Grant Review and Submission SOP, which outlines the OSRA Specialist's role.

3. Prerequisites

- PI and their Department must prepare an ERF including the grant application and supporting documentation
- ERF must be submitted for OSRA review, routing through key personnel, department chiefs and chairs, and administrative offices for approval

4. Related Documents

- Submitting a Competitive Grant Application for OSRA Review SOP
- Submitting a Progress Report for OSRA Review SOP
- OSRA Grant Review and Submission SOP
- OSRA Progress Report and Submission SOP



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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

<div style="border: 1px solid black; padding: 5px; width: 350px; height: 150px; position: relative;"> <div style="position: absolute; top: 5px; right: 5px;">Role</div> <div style="position: absolute; bottom: 5px; left: 5px;">Process Deliverable (or Activity)</div> </div>	Principal Investigator	Key Personnel	Academic Department	OSRA Research & Financial Administrator	OSRA Specialist
Development/Maintenance of SOP	I	I	I/C	I	I
Prepare and route ERF	R/A	A	R/A	I	
Monitor OSRA ERF queue				R/A	R
Notify OSRA Specialist of ERF/application receipt and create grant application file				R/A	I
Full ERF review	C		C	R/A	I
Create Coeus proposal record				R/A	
Approve ERF and save all application documents in grant file	I		I	R/A	I



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6. Procedure

Step	Action	Method	Owner	Schedule
OSRA ERF Review and Approval				
1.0	PI completes and submits ERF for grant application	ERF System	PI and Department	Upon routing an application or progress report for OSRA review (See Related Documents)
2.0	Key Personnel, Divisional and Departmental Approvers log into ERF system and approve form	ERF System	Key Personnel and Department	Upon notification from ERF system
3.0	Monitor ERF queue, download application documents and notify OSRA Specialists of submission	ERF System and OSRA Shared Drive	OSRA RFA	Within 1 business day of receipt in OSRA
3.1	OSRA RFA must monitor their ERF queue daily to ensure all forms are reviewed in accordance with performance timelines; ERFs should be prioritized based on receipt date, however discretion must be employed to accommodate grant submission deadlines			
3.2	OSRA RFA must create an application file in the appropriate OSRA Specialist's inbox and download application and supporting documents from the ERF			



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3.2.1	<i>File naming convention should include in order: PI Last Name, Grant Number (if available), Sponsor Name, Due Date, Coeus Proposal Number</i>			
3.3	OSRA RFA must notify OSRA Specialist that application is received and ready for review			
4.0	Review of ERF and supporting documents	ERF System	OSRA RFA	Within 5 business days of ERF receipt by OSRA, contingent on receipt of application documents in OSRA
4.1	OSRA RFA must review all ERF information and ensure all necessary documents are attached to the ERF, including an application package, internal budget (unless submitted via email for privacy concerns) and if applicable, an IDC waiver, cost sharing form, or EHS Short Form			
4.2	OSRA RFA will make a note in "RASP Notes" field of key personnel responses to conflicts management question. If any conflicts are noted on the form, this will be entered in Coeus.			
4.3	OSRA RFA must compare ERF information against application documents for consistency			
4.3.1	<i>Items to check against the grant</i>			



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	<p><i>application include:</i></p> <ol style="list-style-type: none"> <i>1. Ensure all application key personnel are included in ERF and that effort commitments are consistent</i> <i>2. Ensure the application IDC rate is consistent with the rate on the ERF – an IDC waiver is required for awards/agencies without a published IDC rate, for which a rate less than the negotiated Federal rate is requested.</i> <i>3. Ensure consistency in responses to compliance questions (Human Subjects Use, Animal Use, etc.) OSRA RFA will use ERF notes field to indicate discrepancies.</i> 			
4.3.2	<p><i>OSRA RFA will consult with PI and department should there be questions or concerns with the ERF and write in pertinent comments in the notes section. ERFs should only be declined if key personnel are missing, sponsor information is incorrect, information affecting routing logic is incorrect, or if the PI or department request return for modification</i></p>			
5.0	Generate Coeus Proposal Record	Coeus Database (see Coeus	OSRA RFA	



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		Manual)		
5.1	OSRA RFA must use ERF and application data to generate application proposal record in the Coeus database			
5.2	OSRA RFA must input the Coeus proposal number into the ERF			
5.3	OSRA RFA must update grant file name with Coeus proposal number			
6.0	ERF Approval	ERF System	OSRA RFA	Following review, upon receipt of documents and information required
6.1	Following review of ERF and receipt of all applicable documents, OSRA RFA will approve ERF			
6.2	Following approval, ERF system will email OSRA RFA a final PDF copy of the approved ERF, OSRA RFA must save this copy in the grant file			
6.3	OSRA RFA must inform OSRA Specialists of ERF approval			



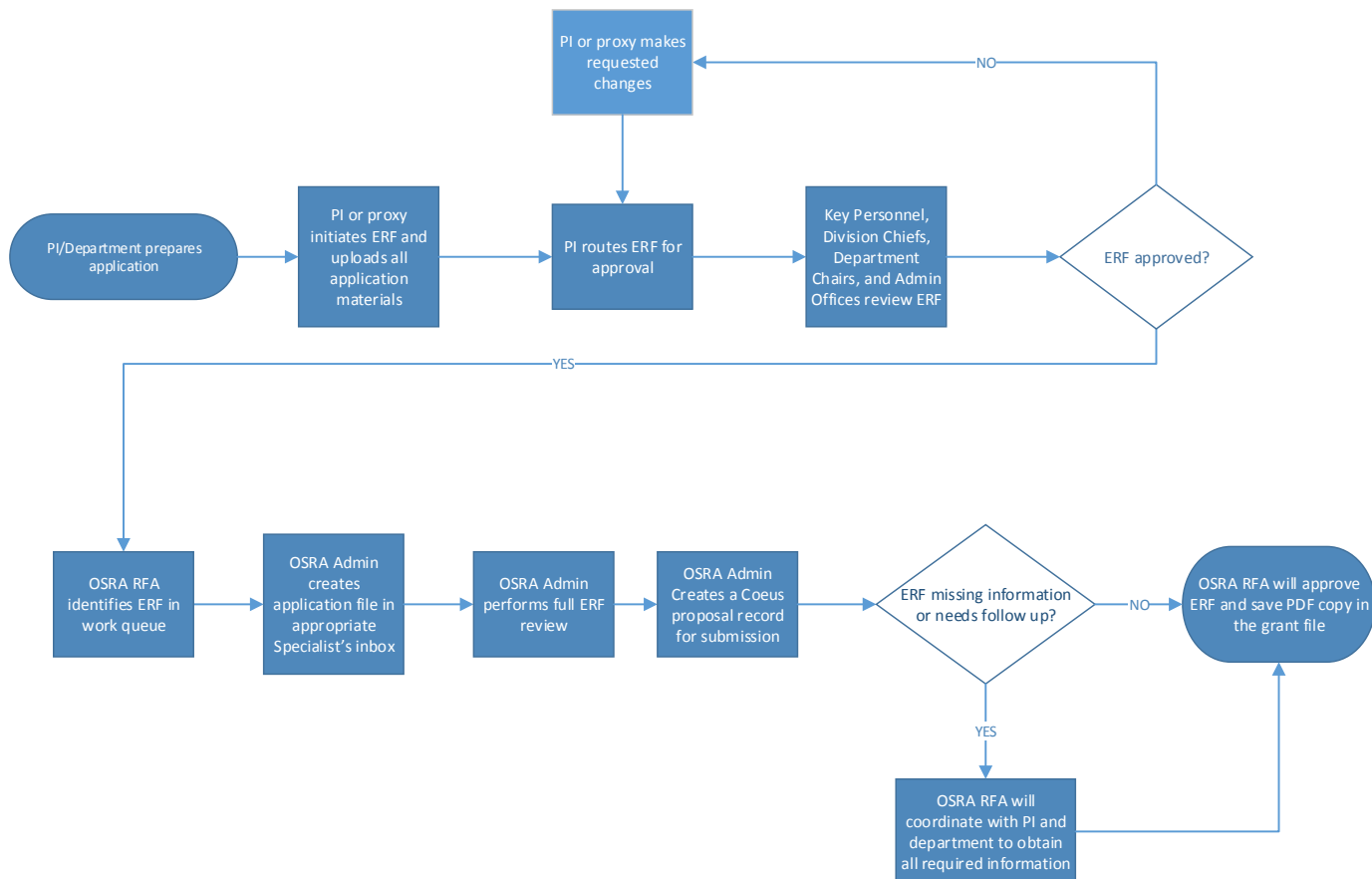
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7. Process Maps





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8. Process Metrics

- OSRA RFA must notify OSRA Specialist within 1 business day of ERF receipt.
- OSRA RFA must review ERF within 2 business days.

9. References

ERF access: <https://erf.med.cornell.edu/>

ERF User Manual: http://osra.weill.cornell.edu/forms/ERF_User_Guide.pdf

Coeus Manual (OSRA Files)

10. Definitions

Electronic Routing Form – submission vehicle and internal questionnaire required for OSRA application review

Coeus – OSRA grants and awards database

11. Limitations/Exclusions

For grants which are non-competing continuations of non-Federal awards, an ERF will not be collected. Instead, the OSRA RFA will issue an Annual Compliance Checklist, gathering relevant compliance data before activating a continuation account for the non-competitive year.