	SOP #	OSRA0002
	Revision #	2.0
Weill Cornell Medicine	**Implementation Date:**	02/01/2015
SOP Owner: Office of Sponsored Research Administration	**Last Reviewed/Update Date:**	03/01/2016
SOP Contributor(s): Research Departments, OSRA	**Approved Date:**	02/12/2015

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Submitting a Competitive Grant Application for OSRA Review
Standard Operating Procedure (SOP)

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1.   Purpose

A research grant application is a formal request for financial assistance to a sponsoring agency in support of a proposed project or activity. Grant making sponsors, including the National Institutes of Health, require all grant applications be reviewed, approved and ultimately submitted by an eligible institution on behalf of their faculty. This requirement is supported by Weill Cornell Medicine's (WCM) internal process. Principal Investigators (PIs), or their departmental administrators (DAs) on their behalf, must submit all applications for research support, whether to federal or state agencies, to private foundations, or to industry sponsors, to the Office of Sponsored Research Administration (OSRA) for full review and approval. OSRA is responsible for ensuring applications are in compliance with WCM and sponsoring agency policies prior to submission.

The following standard operating procedure defines the process by which competitive grant applications are submitted to OSRA for review.

2.   Scope

This standard operating procedure (SOP) should be used by Academic Departments and OSRA at the time of grant application preparation and submission. It outlines the responsibilities of PIs and their departmental staff when an application is submitted to OSRA for internal review.

This procedure should be used when a PI is preparing a competitive grant application, which includes a new, renewal, resubmission, revision, supplemental and transfer application that will undergo full sponsor review. *Not included here is the non-competitive progress report submission process.*

This procedure applies to all competitive application types, including but not limited to:

- Basic research grants (i.e. NIH R01s, American Heart Grant-in-Aid, Department of Defense IDEA Program)
- Program Projects
- Cooperative Agreements
- Fellowships
- Training Grants
- Career Development Grants

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While submission requirements can vary depending on sponsor, opportunity, and grant type, this document standardizes the process by which all grant applications should be submitted to OSRA.

3.   Prerequisites

- Any individual intending to serve as PI on a grant application must be a paid employee of the Medical College and have a primary appointment in a Department. Pre- and Post-Doctoral Fellows and Graduate Students may serve as PI only on grant applications targeted specifically to Fellows and Grad Students.
- PIs and/or their DAs must retrieve all relevant submission forms and guidelines for a funding opportunity for which they are eligible and meet program criteria.
- For an NIH application, PIs must ensure they have an eRA Commons username and account.
- For other sponsors, PIs should determine the method of application submission (i.e. paper, electronic system, email, Grants.gov) and review any registration requirements.

4.   Related Documents

The process outlined in this document is a precursor to the OSRA Grant Application Review and Submission SOP. For detailed information please see the related SOP.

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

Role / Process Deliverable (or Activity)	Principal Investigator	Key Personnel	Academic Department	OSRA Office
Development/Maintenance of SOP	I	I	I/C	R/A
Retrieve Opportunity Information (SPIN)	R/A	I	R	C
Review Application Guidelines	R/A	I	R/A	C
Draft Application	R/A	I		C
If WCM is not prime, communicate with prime site to determine submission requirements	R/A	I	R/A	C/I
Communicate with prospective subsites	R/A		R/A	C/I
Prepare and Route ERF	R/A	A	R/A	C
Submit all necessary documentation	R/A		R/A	C
Make application corrections	R/A		R/A	C/I
Manage process performance metrics	I		R	R

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6. *Procedure*

Step	Action	Method	Owner	Schedule
**Submitting a Competitive Application For OSRA Review (New, Renewal, Resubmission, Revision)**
1.0	**Identify Funding Opportunity, Download & Review Grant Application Forms and Guidelines**	**Varies**	**PI/Academic Department**	**As needed in accordance with Departmental Policy**
1.1	PI and/or DA must identify active funding opportunities for which they meet eligibility requirements			
1.1.1	*PIs and their staff are encouraged to use SPIN, a comprehensive grants database; other resources include Grants.gov and sponsoring agency websites (see Section 9 - References)*			
1.2	Principal Investigator (PI) and their DA must review grant application requirements to ensure (a) the program announcement is open, noting the submission deadline (b) PI eligibility and (c) if NIH, participation of the specific NIH institute to which the PI would like to apply			*Well in advance of application deadline to accommodate Departmental and OSRA submission policies and timelines*
1.2.1	*Should submission require a letter of intent, PI and DA must draft and submit letter directly to sponsor unless otherwise required by the program guidelines*			

1.2.2	*PI & department administrator must carefully review and ensure compliance with sponsor guidelines including specific formatting guidelines i.e. page limitations, font sizes, margins, etc.*			
1.2.3	*For most NIH applications requesting more than $500,000 direct cost (less consortium F&A) in any one budget period, PI must obtain approval from the NIH Program Officer at least 6 weeks before the application deadline*			*At least 6 weeks before the application deadline*
1.3	PI and DA will prepare draft application documents, following all sponsoring agency and departmental policies and deadlines; draft applications submitted to OSRA must meet minimum submission requirements as outlined in Appendix A			
1.3.1	*If sponsor requires application preparation in an electronic system access should be granted to OSRA*			
1.4	If WCM is not Prime and application will be submitted by another site, PI and DA must work with Prime Institution to obtain a copy of the grant opportunity program announcement and confirm Prime's requirements for inclusion in their proposal			
1.4.1	*Often Prime Sites require a detailed budget, budget justification, scope of*			

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	work, and support letter or statement of intent form. In addition to any Prime Institution requirements, OSRA will require at a minimum a scope of work, detailed budget, and budget justification			
1.5	PI and DA will prepare an internal budget outlining anticipated project expenses using institutional base salaries in SAP (or a sponsor cap if applicable), current institutional fringe rates and indirect costs rates			
1.5.1	*If sponsor has a published indirect costs rate below the institutional rate, an indirect costs waiver form will be required*			
1.6	PI and DA will prepare any ancillary documents required for application submission			
1.6.1	*If application includes a consortium site, PI and DA must obtain a signed statement of intent form from site in addition to a budget, justification, and scope of work*			
2.0	**Prepare and Route Electronic Routing Form (ERF)**	**ERF**	**Academic Department**	**Must be received in OSRA at least 7 business days before the grant application deadline**
2.1	PI or their system proxy must log in and initiate an ERF for the grant submission			

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2.2	PI or proxy will populate ERF with all relevant project information and complete the Questionnaire section			
2.3	PI or proxy will attach draft application documents, internal detailed budget, and any required ancillary documents to the ERF			
2.3.1	*As the Questionnaire section is completed PI may be prompted to complete and upload additional required documents*			
2.3.2	*If draft application is completed in a sponsor's electronic system and cannot be uploaded in ERF, access must be granted to OSRA in the submission system*			Must be available for OSRA review at least 7 business days before the application deadline
2.4	Under the personnel section PI or proxy will add any additional key project personnel to the form, input the effort of all personnel, and indicate if the PI has any potential conflicts of interest			
2.5	When form is complete, PI must log in and submit for review. PI or proxy must monitor ERF routing progress to ensure key personnel, Department Chiefs and Chairs complete all approval steps			
2.6	Key personnel, Divisional and Departmental approvers must log into the ERF system and approve of submission			
Communication and Submitting Final Report Documents				

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1.0	Communication with OSRA and Submission of Final Application	Email	Academic Department, OSRA	Final Applications must be received in OSRA at least 2 business days before the grant application deadline
1.1	Throughout the review process the PI and/or DA will communicate with their assigned OSRA Specialist and Administrator via email			
1.1.1	*Email 'subject' line should include sponsor, PI, grant opportunity number, and "UPDATE" for updated materials and questions and "FINAL" for final applications; The OSRA Specialist and Administrator should both be copied on all correspondence*			
1.2	PI and/or DA must review all communication from OSRA provided during the grant review process and make all necessary modifications and corrections to draft application documents			
1.3	PI and/or DA must submit a final application to OSRA via email at least 2 business days before the grant application deadline			
1.3.1	*If submission is required in a sponsor maintained electronic system, PI and/or DA must notify OSRA via email when*			

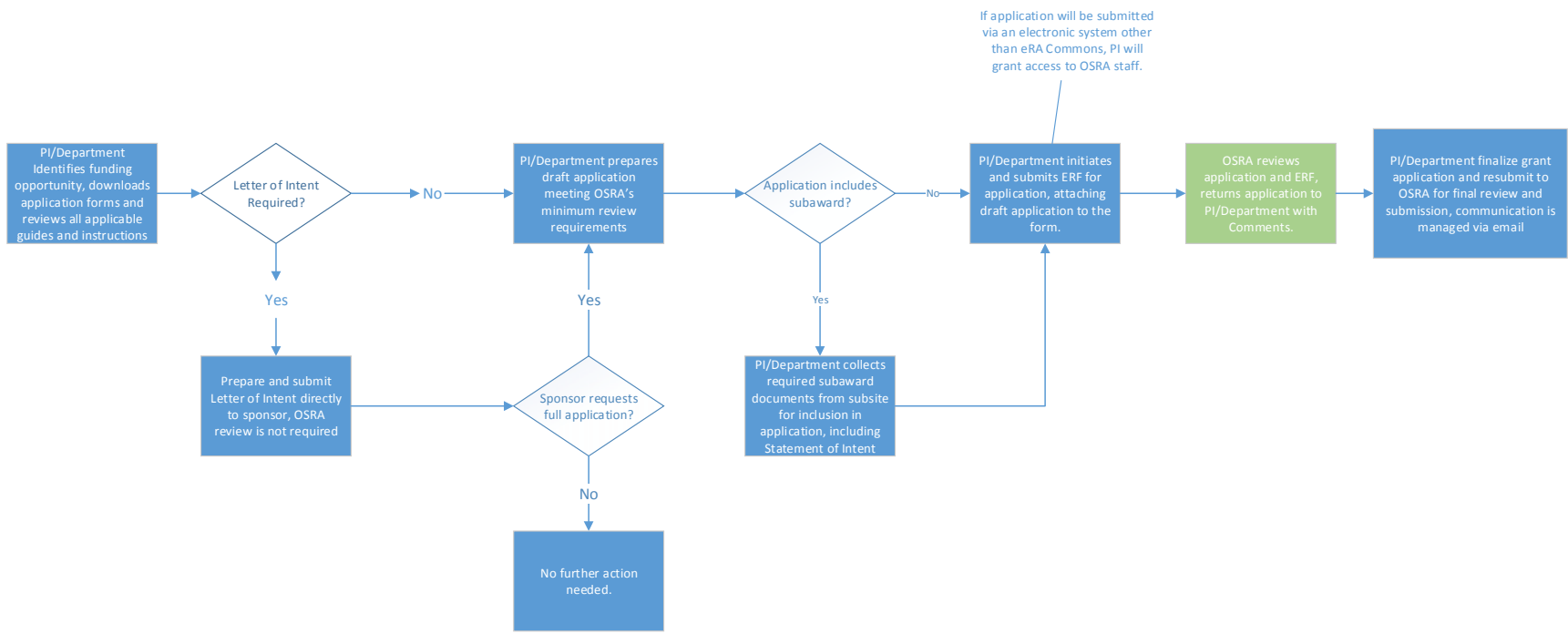|		SOP #	OSRA0002
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	application is final and ready for submission			
1.3.2	*No further changes should be made to the application after submission to OSRA*			

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7. Process Maps

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8. Process Metrics

- PIs and Departments are expected to meet OSRA submission deadlines:
  -The ERF and draft application is due to OSRA at least 7 business days prior to the sponsor's submission
  -The final application is due to OSRA at least 2 business days prior to the sponsor's submission deadline

9. References

SPIN: https://wrg.weill.cornell.edu, select "Find Funding" after login.

Grants.gov grants search: http://www.grants.gov/web/grants/search-grants.html

NIH Grants Policy Statement - Roles & Responsibilities:
http://grants.nih.gov/grants/policy/nihgps_2013/

OSRA Forms page (Statement of Intent, IDC Waiver): http://osra.weill.cornell.edu/forms.html

ERF system: https://erf.med.cornell.edu/routing/RARFClient/routingClient.html

10. Definitions

OSRA – Office of Sponsored Research Administration

SAP – Weill Cornell Medicine's financial management system

ERF – Electronic Routing Form

Prime Site – Institution submitting grant application directly to Sponsor, when WCM is a consortium site documents approved by OSRA are submitted to a prime site for inclusion in their proposal. If successful, this relationship becomes an incoming subaward.

Consortium Site – Entities listed on WCM grant applications when WCM serves as the Prime Site. If successful, this relationship becomes an outgoing subaward.

11. Limitations/Exclusions

This process excludes progress report submission, including NIH Research Performance Progress Reports (RPPR).

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