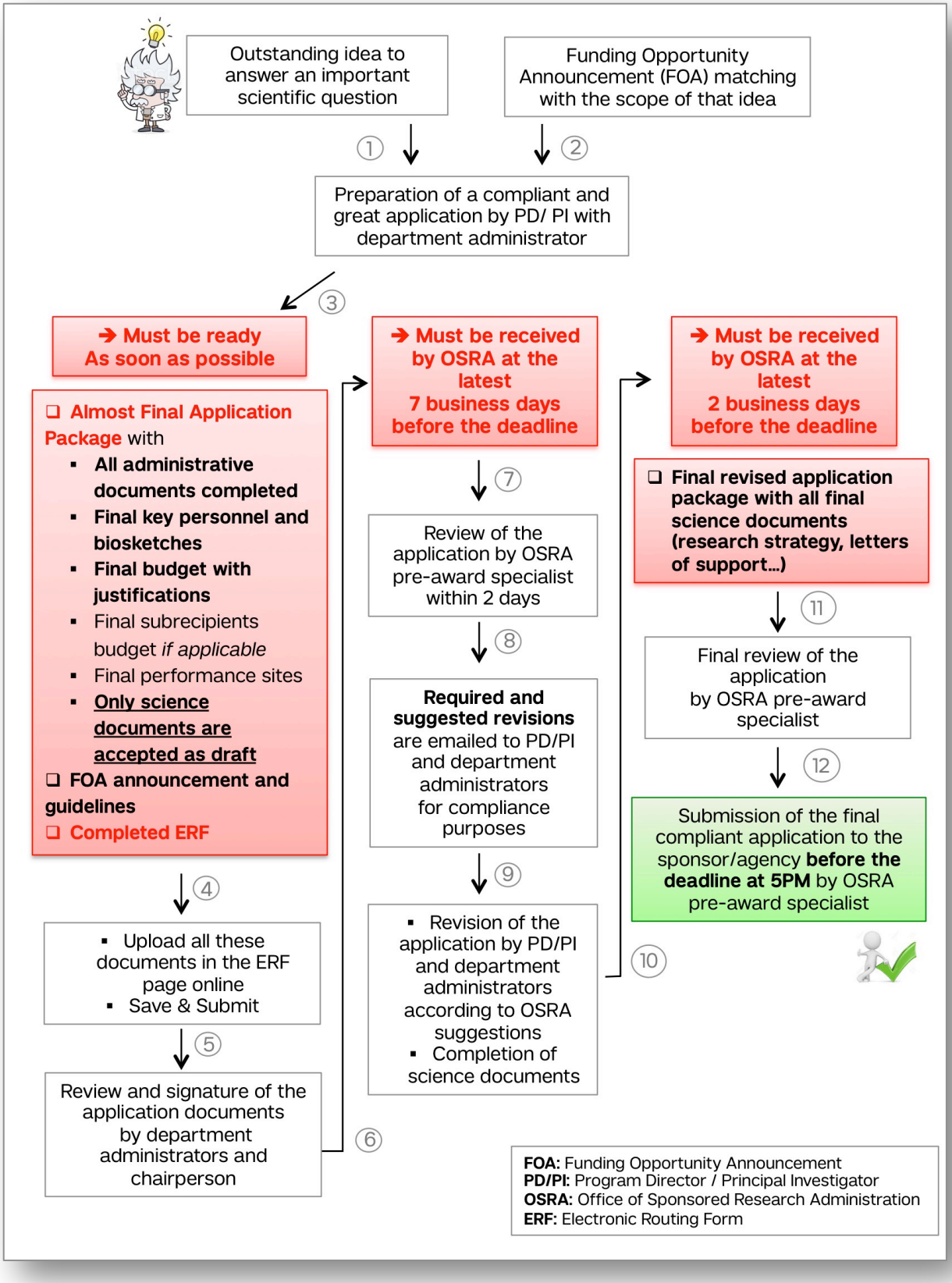
GENERAL APPLICATION TO THE NIH GUIDE 101

Weill Cornell Medicine

Disclaimer:

The Office for Education and Training in Research Administration (OETRA) at Weill Cornell Medicine has generated this guide. This document is updated as of ***November 18th, 2015****. The users of that document are* ***responsible*** *for verifying that at the time of their application, the Funding Opportunity Announcement (FOA) strictly follows these guidelines. Each FOA has its own specific requirements and the NIH may change or modify application guidelines and regulations after November 18th, 2015.*

I. Grant Application Process and Time Line at Weill Cornell Medicine



II. Preparation of a Compliant NIH Grant Application

1- Before You Start a New Grant Application at the NIH

A- Important Considerations

- ☐ All Funding Opportunity Announcement FOAs at the NIH are accessible from http://grants.nih.gov/grants/guide/index.html
- ☐ The FOAs of interest can be found in the menu section available on the left of the page:
  - Funding Opportunities (RFAs, PAs)
  - Unsolicited Applications (Parent Announcements)
  - Research Training & Career Development
  - Small Business (SBIR/ STTR)
  - Contract Opportunities
- ☐ When you click on the FOA/ notice number, the FOA's details open up in a new page. This specific information is **CRUCIAL** to the FOA and to apply to it.
  - READ IN DETAILS! Supplemental documents may have to be downloaded from this webpage.

- ☐ Before working on any application, verify first in the FOA, the PD/PI eligibility requirements (citizenship, career stage…).

B- SF 424(R&R) electronic application package

- ☐ SF 424(R&R) is the Standard Form 424 (Research & Related). This is the grant application package to the NIH.

- ☐ **How To Get Your SF 424 (R&R) Form?**

  - ☐ In the section "**Required Application Instructions**" of the FOA web-page, it is explained that there are several options to submit the application to the agency through Grants.gov.
  - 1- You can use the ASSIST system to prepare, submit and track your application online. You can download an application package from Grants.gov.
  - 2- You can complete the forms offline, submit the completed forms to Grants.gov and track your application in eRA Commons.
  - 3- Or, you can use other institutional system-to-system solutions to prepare and submit your application to Grants.gov and track your application in eRA Commons.
  - You can then choose between two active buttons:
    - " Apply Online Using Assist"
    - "Apply Using Downloadable Forms"

☐ When you select "**Apply Using Downloadable Forms**", you launch a page with the title "Important Note for All Applicants". At the bottom of that page, click on " **Proceed to Grants.gov to Download Application**".

☐ You launch a page with the title "View Grant Opportunity" under the icon "Application Package".

At the bottom of this page, there is a table with columns presenting the following titles:

CFDA / Competition ID / Competition Title / Open Date / Close Date / Actions.

In the "Action" column, click on " **Select Application Package to Download**" (Bottom right).

☐ You will be asked to give your email address and to submit.

☐ You will then launch a page with the title "View Grant Opportunity" under the Icon "Application Package". You should then:

1. **Download Application Instruction**: Click and get the instructions.
2. **Download Application Package**: Click and get the FORM-C of the SF424(R&R) specific to your FOA: Usually the title of that document is" oppNAME OF THE FOA-cidFORMS-C.pdf":

☐ When you open up the specific SF424(R&R) Form C related to the FOA of interest, which is your **application package to the NIH**, multiple fields are already populated.

- **Opportunity title**
- **Offering Agency**
- **Opportunity Number**
- **Competition ID**
- **Opportunity Open Date**
- **Opportunity Close Date**
- **Agency Contact**

☐ This SF424(R&R) Form C that has just been downloaded is SPECIFIC to your FOA of interest and cannot be used to apply to another FOA!

☐ BASIC ORGANIZATION OF THE SF424(R&R) FORM

☐ **A list of mandatory sections** (page 1), these sections are already included in the SF424(R&R) PDF document after the section "Instructions". Each section needs to be filled in and attachments uploaded.

☐ **A list of optional sections** (page 1) that **must be selected appropriately depending on the project characteristics. As a result,** each selected section opens up in the application package. Each section needs to be filled in and attachments uploaded.

☐ An "**Instructions**" section provides additional guidelines for compliance (page 1).

☐ A series of sections to be filled in and attachments uploaded.

☐ Be careful, **NOT ONLY the yellow boxes outlined in red must be filled in!**

- ☐ Follow the specific requirements of the FOA, specially the Section IV "Application and Submission Information".

- ☐ Carefully follow the instructions in the SF424(R&R) Application Guide available at http://grants.nih.gov/grants/funding/424/index.htm#inst

- ☐ If the SF424(R&R) application guidelines and FOA instructions conflict: the **FOA instructions always supersedes.**

- ☐ The SF424(R&R) form requires a Grants.gov-compatible version of Adobe Reader software. The compatibility can be checked at http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html.

C- Formatting Rules for PDF attachments

- ☐ Specific requirements may apply to your application- ALWAYS CHECK YOUR FOA GUIDELINES!
- ☐ Prepare ALL PDF documents to be attached to the application using **black font color**, **size 11 points or larger with** the following recommended fonts: **Arial, Helvetica, Palatino Linotype, or Georgia.** For applications submitted for due dates on or after May 25, 2016 the fonts Garamond, Times New Roman and Verdana can also be used.
- ☐ For **figures, graphs, diagrams, charts, tables and figure legends:** Colors can be used in figures and a smaller type size than 11 points can be used but all text must be in a **black** font color, clear, legible, and follow the font typeface requirement.
- ☐ PDF converters usually reduce font sizes, so it is important that each final PDF document, the font is **at least 11 points** and that the type density is **no more than 15 (characters + spaces) per linear inch** and **no more than six lines per vertical inch**.
- ☐ The final PDF document should have at least **one-half inch margins** (top, bottom, left, and right) for all pages.
- ☐ Do **NOT** include any information in the margins, header or footer of the attachments, **not even page numbers**.
- ☐ The final size of the PDF must be 8.5 inch x 11 inch.
- ☐ For PDF documents' titles:
  - **USE ONLY A-Z, a-z, 1-9,- and _ .**
  - **DO NOT USE** ampersand **&, parenthesis, comma, more than 1 space between 2 characters, or more than 50 characters.**
- ☐ Use only a one-column format.
- ☐ Disable security with password prior to uploading a PDF to the SF424(R&R). *If you are not the owner of the password-protected file*, print a copy, scan it and upload the scanned file to the SF424(R&R). **PDFs with security features result in submission errors.**
- ☐ ***Tip with electronic signatures:*** if you have any issues with electronic signature, print out the document, sign it and then scan it to get a PDF.
- ☐ Page limitations information for each attachment is available at http://grants.nih.gov/grants/forms_page_limits.htm.

D- eRA Commons

- ☐ The eRA Commons is an online interface where signing officials, principal investigators, trainees and post-docs at institutions/organizations can access and share administrative information relating to research grants.

- ☐ Signing Officials and Principal Investigators from applicant organizations do need an eRA Commons account.

- ☐ The PD/PI(s) (Program Director/Principal Investigator) of the application **must** be registered in eRA Commons **prior to submission to the NIH** at https://era.nih.gov/reg_accounts/register_commons.cfm
- ☐ The **eRA Commons** account stays with each PD/PI throughout her/his career. The same account can be affiliated with multiple institutions.
- ☐ **PD/PIs are responsible for keeping their eRA Commons account profile UPDATED and ACCURATE.**
- ☐ All the other key personnel on an application don't have to be registered in eRA commons and to provide their eRA commons ID.

- ☐ When a research administrator needs to have an eRA Commons account set up with the PD/PI role, please contact an OSRA pre-award specialist at grantsandcontracts@med.cornell.edu for support, or email the OSRA pre-award specialist assigned to your department. The updated list of OSRA Departmental Assignments is available at http://osra.weill.cornell.edu/about_us/dept_assign_gco.html.

2-Non Science Sections Due to OSRA Pre-Award 7 Business Days Before the Agency Deadline

The box # references are valid for R01 applications and may vary for other NIH applications.

A- SF 424(R&R) Form – Application for Federal Assistance

☐ **NIH TYPES OF APPLICATIONS**

☐ **New Application** = **Type 1** = Refers to an application not previously proposed, or one that has not received prior funding. This is a request for financial assistance for a project that is not currently receiving NIH support and must compete for support. A new application is being submitted for the first time.

☐ **Renewal** = **Type 2** = A request for additional funding for a period subsequent to that provided by a current award. A renewal application competes with all other applications and must be fully developed as though the applicant is applying for the first time.

☐ **Revision = Type 3 =** A request for an increase in support in a current budget period for expansion of the project's approved scope or research protocol. The request may specify budgetary changes required for the remainder of the project period as well as for the current budget period. A revision application must have the same title as the currently funded grant. A Type 3 prefix also refers to a request/award for a non-competing administrative supplement

☐ **Resubmission**. An unfunded application that the applicant has modified following initial review and resubmitted for new consideration. Before a resubmission application can be submitted, the PD/PI must have received the summary statement from the previous review. **A resubmission application may be submitted for any of the three preceding types of applications.**

☐ **Non-Competing Continuation Progress Report =Type 5 =** A non-competing progress report is required to continue support of a PHS (Public Health Service) grant for the second or subsequent budget period within an approved competitive segment

☐ **Federal Identifier section** (Box 4):
- ☐ For New application (Type 1): leave the Box 4a blank.
- ☐ For Changed/Corrected Application (Type 3): enter Grants.gov tracking number (ex: GRANT0076543) in Box 4c.
- ☐ For Resubmission/Renewals or Corrected Resubmission/Renewals: enter NIH Federal Identifier without prefix or suffix in Box 4a. For example: for 1R01CA123456-01 **use only** CA123456.

☐ IMPORTANT INSTITUTIONAL INFORMATION

- ☐ Please enter all **legal information related to Weill Cornell Medicine** (Box 5-6-7-13-14-19) as stated in the form available at: http://osra.weill.cornell.edu/forms/Grants_Gov_Adobe_Forms_C_WCMC_Template.pdf
- ☐ Set of numbers in phone numbers should be separated with a dash.
- ☐ The organization name is **"Joan & Sanford I Weill Medical College of Cornell University"** (Even if the institution has re-branded its name for Weill Cornell Medicine since October 2015).
- ☐ The **DUNS** (Data Universal Numbering System) for Weill Cornell Medicine is **0602175020000.**
- ☐ The **EIN (**Employer Identification Number) for Weill Cornell Medicine is **13-1623978.**
- ☐ The Weill Cornell Medicine email for the Institution Applicant Information is grantsandcontracts@med.cornell.edu
- ☐ The congressional district of applicant is for Weill Cornell Medicine: **NY-012.**
- ☐ Check that there is no additional space after entering any information, as it will result in error.

☐ The Title of Applicant's Project should not exceed **81 characters**, including spaces between words and punctuation (**Box 11**).

☐ Check that the start and end dates match the dates selected in the budget (**Box 12**). The earliest start date per submission's cycle is available at http://grants.nih.gov/grants/funding/submissionschedule.htm.

☐ **Estimated Project Funding (Box 15): Do last, after the budget is complete!**
- ☐ Total Federal Funds Requested (Box 15a): enter the total funds requested according to the proposal's budget.
- ☐ Total Non-Federal Funds for the project (Box 15b): usually $0 **unless cost-sharing is a requirement**.
- ☐ Total Federal & Non-federal funds (Box 15c): usually same $ amount as in Box 15a.
- ☐ The Estimated Program Income (Box 15d): usually $0.

☐ Box 17 is checked **" I agree"** and that **engages your responsibility in case of false, fictitious or fraudulent statements or claims regarding criminal, civil or administrative penalties.**

☐ When do you need to upload a **Cover Letter** to **Box 21?**

- ☐ The project's budget is **over $500,000 for Total Direct Costs and had been previously approved by the NIH Program Officer (see Budget section): the associated approval letter should also be uploaded.**
- ☐ The applicant is a Mentored Individual Career Development Award (CDA) applicant. In that case, the cover letter must contain the same list of referees than the one included in the Other Project Information Form.
- ☐ The PI is applying to a **NIH fellowship**.
- ☐ The PI is requesting a **Study Section assignment** for scientific/technical merit review.

- ☐ The PI is requesting a specific NIH institute to review the application - in that case, make sure this institute participates to the FOA.
- ☐ The PI is requesting to **avoid particular Study Sections** due to potential conflicts of interest.
- ☐ This is a requirement of the FOA.
- ☐ A **video** is included with the application package.
- ☐ The application is **late**. The specific conditions that justify it must be explained. When the contact PI is eligible for continuous submission privileges (as she/he belongs to a NIH study section), a cover letter is still required.

- ☐ Ideally **do not use electronic signature** on the cover letter. Instead scan the letter with a handwritten signature or add a picture of a handwritten signature to the word letter before converting it to a PDF.

- ☐ The cover letter is viewed by the NIH staff who would be assigning the grant application that would be in the Division of Receipt and Referral, and also the NIH staff that who would be setting up the review for the application that would be the Scientific Review Officer. However, other NIH Program staff or reviewers do not have access to the cover letter

- ☐ For more information on Cover Letter, check the following NIH podcast: http://grants.nih.gov/podcasts/All_About_Grants/episodes/Cover_Letter_Feb_2011.htm

B- PHS 398 Cover Page Supplement

- ☐ The **Clinical Trial** section is checked YES or NO (Box 2).
- ☐ The **Program Income** is checked YES or NO (Box 4).
- ☐ The **Human Embryonic Stem Cells** is checked YES or NO (Box 5). **If Yes,** the NIH registration number for the Stem Cells must be indicated. If the cell line is not listed at the time of submission on http://stemcells.nih.gov/research/registry/ or on http://grants.nih.gov/stem_cells/registry/current.htm, that will create an error.

C- Research & Related Senior / Key Person Profile (Expanded)

- ☐ **The personnel listed in that section must be chosen because they are the most appropriate to lead the project to become successful. They bring expertise to the execution of the project and are necessary for the proposed project to be successful. Scientific personnel should not be listed because they are prominent or respected in the field and their presence will boost the score of the proposal.**

☐ List personnel in this **order**:

☐ Principal Director/Principal Investigator(s) (PD/PI).
☐ All senior/key personnel.
☐ Other Significant Contributor(s) (OSC) (Make sure they are listed **after** all senior/key persons).

☐ **Definitions of NIH Personnel (As of July 2015)**

☐ **Program Director/Principal Investigator (PD/PI):** The individual(s) designated by the applicant organization to have the **appropriate level of authority and responsibility to direct the project** or program to be supported by the award. The applicant organization may designate **multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically**. When multiple PD/PIs are named, each is **responsible** and **accountable** to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

☐ **Senior/Key Personnel:** The PD/PI and other individuals who **contribute to the scientific development or execution of a project in a substantive, measurable way**, **whether or not they receive salaries or compensation** under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a post-doctoral role also may be considered senior/key personnel if they meet this definition. Senior/key personnel must devote measurable effort to the project whether or not salaries or compensation are requested. **"Zero percent" effort or "as needed" are not acceptable levels of involvement for those designated as Senior/Key Personnel.**
http://grants.nih.gov/grants/glossary.htm#Senior/KeyPersonnel.
Note: Key personnel always submit their biosketches.

☐ **Co-Investigator:** An individual involved with the PD/PI in the scientific development or execution of a project. The Co-Investigator (**collaborator**) may be employed by, or be affiliated with, the applicant/recipient organization or another organization participating in the project under a consortium agreement. A Co-Investigator typically **devotes a specified percentage of time to the project** and is considered senior/key personnel. The designation of a Co-Investigator, if applicable, does not affect the PD/PI's roles and responsibilities as specified in the ***NIH Grants Policy Statement***, nor is it a role implying multiple PD/PI.

☐ **Consultant**: An individual who **provides professional advice or services for a fee**, but **normally not as an employee of the engaging party**. In unusual situations, an individual may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried

employee. To prevent apparent or actual conflicts of interest, recipients and consultants must establish **written guidelines indicating the conditions of payment of consulting fees**. Consultants also include firms that provide professional advice or services. (See ***NIH Grants Policy Statement***:Â **7** Cost ConsiderationsÂ 7.9 Allowability of Costs/ActivitiesÂ 7.9.1 Selected Items of CostÂ Consultant Services)

- ☐ **Other Significant Contributors (OSCs)**: Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed." **Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs).** Consultants should be included if they meet this definition. http://grants.nih.gov/grants/glossary.htm#OtherSignificantContributors%28OSCs%29.

- ☐ **Other personnel**: applies to post-doctoral associates, graduate students, undergraduate students and secretarial/clerical staff not already named in the key/personnel section.

☐ Use the **document 1 "Most Common Personnel Types in NIH Grant Applications"** to define appropriately the personnel involved in a project (see page 42 of that guide)

☐ Check **FAQ on Senior Key Personnel** at http://grants.nih.gov/grants/policy/senior_key_personnel_faqs.htm#1667

☐ **Senior/key personnel named in NoA designated by NIH:** PD/PI(s) are always considered senior/key personnel and are always named in the Notice of Award (NoA). NIH program officials use discretion in identifying in the NoA senior/key personnel other than the PD/PI(s), and may identify individuals that are considered critical to the project, i.e., their absence from the project would have a significant impact on the approved scope of the project. The prior approval requirement for changes in status of personnel applies only to those senior/key personnel named in the NoA. Limiting the number of individuals that are named in the NoA does not diminish the scientific contribution to the project of the senior/key personnel not named in the NoA; it does reduce the number of individuals subject to the prior approval requirement.

☐ For each personnel from Weill Cornell Medicine, the address to indicate can be either the one of the institution of Weill Cornell Medicine or the one from the laboratory.

☐ If **multiple-PD/PI** application

- ☐ **All PD/PIs on the application have the role of "PD/PI".**
- ☐ **DO NOT use the designation CO-PD/PI.**
- ☐ The first PD/PI listed is the **Contact PD/PI.**

☐ **The role of the Contact PD/PI:** NIH requires the applicant organization to designate one of the PD/PI(s) as the Contact PD/PI. This person is responsible for communication between the PD/PIs and the NIH, but has no special authorities or responsibilities within the project team. In many ways, a contact PD/PI is analogous to a corresponding author on a publication. The Contact PD/PI must serve as a member of the PD/PI team and must meet all eligibility requirements for PD/PI status. In those projects where there is an identified project coordinator, the coordinator could serve as Contact PD/PI or that role could be assigned to another PD/PI. It will be possible, and may even be desirable, for the grantee institution to periodically designate a change in Contact PD/PI. For example, it may be desirable to rotate the role of Contact PD/PI among the multiple PD/PIs on an annual basis at the time of grant renewal. Note that the Contact PD/PI must be associated with the applicant/awardee institution.

☐ **Provide the following information ONLY for PD/PI Personnel (not for other key personnel)**

- ☐ The **eRA Commons ID** (Identification) is entered in "Credential, e.g. agency login" field.
- ☐ Make sure there is no supplemental space at the beginning or end of the eRA Commons ID.
- ☐ Organization name.
- ☐ A 9 digit zip code xxxxx-xxxx. Use the USPS tool if necessary https://tools.usps.com/go/ZipLookupAction!input.action.
- ☐ Degree type and year are optional.

☐ **Biographical Sketches must be provided for all senior/key personnel and other significant contributors** and follow NIH approved guidelines available at http://grants.nih.gov/grants/funding/424/index.htm#biosketch:

As of July 2015

- ☐ The 4 sections to complete: **A.** Personal Statement; **B.** Positions and Honors; **C.** Contributions to Science; **D.** Research Support. (For Fellowship applicants applying to F30, F31 or F32, the last section is **D.** Scholastic Performance).
- ☐ Up to 4 publications can be indicated in the "Personal Statement" section.
- ☐ No more than 5 "contribution to science" areas **and** no more than half a page each.
- ☐ No more than 4 publications per "Contribution to Science" section
- ☐ Each article accepted for publication after April 7th, 2008 must have its **PMCID** (PubMed Central reference Number) [See definition above].
- ☐ It is **highly recommended** to provide the link for a government website for the **"Complete list of published work in my Bibliography"** at the end of the "Contribution to Science" Section, such as My Bibliography.
- ☐ Graphics, figures and tables are **not allowed**.
- ☐ **No percent effort or direct costs amounts** should be provided within the "Research Support" section.
- ☐ If the investigator has no active or completed research support, indicate under the "Research Support" section heading "None to report".
- ☐ No more than 5 pages total.
- ☐ Always follow FOAs guidelines if different.

- ☐ Key personnel can use ScienCV tool to auto-generate their biographical sketch at http://www.ncbi.nlm.nih.gov/sciencv/.

- ☐ Check Frequently Asked Questions (FAQ) on NIH biosketches: http://grants.nih.gov/grants/policy/faq_biosketches.htm#4572.

- ☐ **PMCID:** The PubMedCentral reference number (PMCID) is a unique number assigned to a work that is posted to PubMedCentral (PMC), a free digital archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health (NIH) developed and managed by NIH's National Center for Biotechnology Information (NCBI) in the National Library of Medicine (NLM). All works applicable under the NIH Public Access Policy are posted to Pub Med Central.

D- Project / Performance Site Location(s)

- ☐ **Do not select** the box "I am submitting an application as an individual and not on behalf of a company, state, local or tribe government, academia, or type of organization". The NIH only accepts applications from registered organizations.
- ☐ All site locations including subrecipients locations must be indicated.
- ☐ All site locations include a 9 digit DUNS.
- ☐ **Congressional District Foreign Site Locations** should insert **DUNS** as "**000000000**".
- ☐ A 9 digit zip code xxxxx-xxxx is included. Use the USPS tool if necessary https://tools.usps.com/go/ZipLookupAction!input.action.

E- Research & Related Other Project Information

☐ If the research project includes **Human Subjects:**

- ☐ **IRB approval** is not required at the time of the application submission **but will be** requested as *Just-In-Time information prior to award*. Always select **"Pending" even if it has been already approved. Leave the dates blank.**
- ☐ **Human Subject Federal Wide Assurance Number for Weill Cornell Medicine: 00000093** (until February 9, 2019).

- ☐ **For information and assistance with the IRB approval process,** contact **the IRB office at Weill Cornell Medicine at irb@med.cornell.edu.**

☐ If the research project includes **Vertebrates**:

- ☐ **IACUC approval** (IACUC: Institutional Animal Care and Use Committee) is not required at the time of the application submission but **will be** requested as *Just-In-Time information prior to award*. Always select **"Pending" even if it has been already approved. Leave the dates blank.**

- ☐ **Animal Welfare Federal Wide Assurance Number: A3290-01** (until January 31, 2016).

- ☐ **For information and assistance with the Animal Protocol and IACUC approval process,** contact **Jennifer Akl, Coordinator of IACUC at Weill Cornell Medicine at jea2012@med.cornell.edu.**

F- Budget

➢ GUIDELINES FOR MODULAR AND DETAILED BUDGETS

- ☐ Guidelines to develop a budget are available at http://grants.nih.gov/grants/developing_budget.htm

- ☐ Prepare the budget using the Weill Cornell Medicine official template available at http://osra.weill.cornell.edu/forms.html (See **Document 2 "OSRA Standard Budget Template"**, Version of July 2015 budget template ; See pages 43-44 of this guide).

- ☐ Per NIH Grants Policy Statement and the Uniform Guidance, only **allowable costs** can be charged to a federal award. Always consult the FOA and other policy guidance issued by the sponsor to ensure that the budget conforms to the sponsor(s).

- ➢ **ALLOWABLE COSTS** are reasonable, allocable, consistent, conform and adequately documented.
  - ☐ **Reasonable:** The costs are ordinary and necessary for the performance of the federal award and they do not exceed the costs that would incur by a prudent person in the same circumstances.
  - ☐ **Allocable**: The costs are chargeable and allocable to goods or services that are serving the performance of the award.
  - ☐ **Consistent**: The costs must follow policies and procedures that apply uniformly to both federally financed and other activities of the non-federal organization.
  - ☐ **Conform**: The costs must be conform to any limitations or exclusions set forth in the award as to types or amount of cost items.

- ☐ In order to request **$500,000 or more** in **direct costs** (DC) in any year **excluding any Facilities & Administrative costs (F&A costs) of any subrecipient**, the **NIH program officer** listed in the FOA **MUST be contacted at least 6 weeks** before submitting the application for approval and, the Policy on the Acceptance for Review of Unsolicited Applications that request $500,000 or more in direct costs as described in the section Part III, 1.4 of the PHS Supplemental Grant Application Instructions (available at http://grants.nih.gov/grants/funding/424/index.htm) must be followed.

- ☐ Dates and dollars do not exceed FOA guidelines' limits, and match with the information on the first page of the SF424(R&R).

☐ **Sections that need to be completed as applicable:**
- ☐ Senior/Key Person.
- ☐ Other Personnel.
- ☐ Equipment.
- ☐ Travel.
- ☐ Participant/Trainee Support Costs.
- ☐ Other Direct Costs (such as animals and core facilities costs).
- ☐ Direct Costs.
- ☐ Indirect Costs.

☐ **Institutional Base Salaries** of all key personnel are included and have been verified against the SAP system information. As per Weill Cornell Medicine policy, institutional base salary should not exceed the NIH salary cap (Definition in the glossary section). More information at http://grants.nih.gov/grants/policy/salcap_summary.htm. Also institutional base salary does not include administrative supplements or clinical income.

☐ **Effort Commitment** at Weill Cornell Medicine (as of July 2015):

- ☐ **Faculty members, post-doctoral associates and graduate students** can commit to a **total maximum of 98% in sponsored research projects**.
- ☐ Research technician effort for a project can be up to 100% which requires a prior approval from the Research Compliance Office that can be contacted at research_compliance@med.cornell.edu.
- ☐ For assistance, use the **Document 3** "Conversion Table between % Effort and Calendar Months" (see page 45 of this guide).
- ☐ Support can also be found at http://grants.nih.gov/grants/policy/person_months_faqs.htm#1040.
- ☐ If any question, contact the Research Compliance Office at research_compliance@med.cornell.edu.

☐ **Fringe Benefits** at Weill Cornell Medicine (as of July 2015):

- ☐ **Faculty and staff**: 29.5% for FY 2016 (FY: Fiscal Year).
- ☐ **Post-doctoral associates**: 19% for FY 2016.
- ☐ **Graduate students**: no fringe benefits (as of July 2015). However graduate students tuition/fees are usually allowable on NRSA awards (The Ruth L. Kirschstein National Research Service Awards) under the "Other expenses" category.
- ☐ Verify the current rate at the time of the application http://osra.weill.cornell.edu/pre_award/indirect_costs.html.

☐ **Indirect Cost (IDC)** rate must be consistent with the DHHS (Department of Health and Human Services) federally negotiated rate.

- ☐ **IDC Weill Cornell Medicine On Campus = 69.5% for FY 2016.**
- ☐ **IDC Weill Cornell Medicine Off Campus FY 2016 = 26% for FY 2016.**

- ☐ Verify the accurate rate at the time of the application http://osra.weill.cornell.edu/pre_award/indirect_costs.html.
- ☐ **IDC should be collected** by Weill Cornell Medicine on the first $25,000 of Direct Costs from **each** subcontract **except** when **Cornell-Ithaca** is a subrecipient.

☐ **COSTS EXCLUDED FROM IDC:**

- ☐ **Capital equipment**: equipment whose acquisition cost is $5,000 or over.
- ☐ Subrecipients total costs over $25,000.
- ☐ Fringe benefits for graduate students whose tuition fees are allowable on grants.
- ☐ Patient Care Expenses.

➢ VERY IMPORTANT to consider when calculating the **modified total direct costs (MTDC)** =total direct costs on which IDC are to be collected by Weill Cornell Medicine.

☐ **Total Direct Costs**
= total direct costs from the project at Weill Cornell Medicine + total direct costs from subrecipient *if applicable* + F&A costs of subrecipient *if applicable*.

☐ **Cognizant Federal Agency** for Weill Cornell Medicine (also called Federal Auditing Agency):
- ☐ As of July 2015, Louis Martillotti, Department of Health and Human Services, Federal Plaza, Room 41-122, New York, NY 10278, Tel: 212-264-0918.
- ☐ Verify the accurate information at the time of the application at http://osra.weill.cornell.edu/pre_award/institutional_information.html.

☐ **Senior/Key Person (section A) for each year of the grant** includes every key person on the project:
- ☐ Name.
- ☐ Measurable Effort (> 0%) in Calendar months (Cal.): Some FOAs may require minimum effort for some personnel.
- ☐ Roles on the project.
- ☐ The list must present all senior/key persons with an associated measurable effort **> 0**, followed by Other Significant Contributors (OSC) listed with "effort as needed".

G- PHS 398 Modular Budget

☐ A Modular Budget must be proposed if requested by the FOA **or** when the 3 following conditions are met:

- ☐ The total direct costs equal $250,000 or less.
- ☐ The grant is a R01, R03, R15, R21 or R34.
- ☐ The applicant organization is based in the USA.

☐ **The following sections usually need to be completed as applicable:**
- ☐ **For each budget period:**
  - ☐ Direct Costs.
  - ☐ Indirect Costs.
  - ☐ Total Direct and Indirect costs.

- ☐ **Cumulative Budget Information:**
  - ☐ Total costs, Entire Project Period.
  - ☐ Budget Justifications (see below).

☐ **Budget Justifications for each year of support requested:**
- ☐ **Personnel Justification:** List all personnel, percent of effort and role in the project. No individual salary information should be provided.
- ☐ **Consortium Justification**: Provide an estimate of total costs for each year, rounded to the nearest $1,000. List all personnel, percent of effort and role in the project. No individual salary information should be provided. Key personnel as well as administrative/clerical salaries must be justified in details. The IDC rate of the subrecipient's institution can be included but no fringe benefit rate can be provided.
- ☐ **Additional Narrative Justification**: Should describe any direct costs that are excluded from IDC for the modified total direct costs (MTDC) such as capital equipment whose acquisition cost is of $5,000 or over.

☐ For more support, please refer to the SF424(R&R) application guide **section 5.4.**

H- Research & Related Budget When Total Direct Costs per Year > $250,000 (Detailed Budget)

☐ **Total Direct Costs** can exceed $499,999 in any budget period when **specified** by solicitation or **pre-approved in advance** by the associated NIH Program Officer (Approval letter should then be uploaded in the Cover Letter attachment).

☐ **DUNS for Weill Cornell Medicine** is **0602175020000.**

☐ The following sections need to be completed as applicable for **each budget period:**
- ☐ Senior/Key Person.
- ☐ Other Personnel.
- ☐ Equipment Description.
- ☐ Travel.
- ☐ Participant/Trainee Support Costs.
- ☐ Other Direct Costs (such as supplies, animals or core facilities costs).
- ☐ Direct Costs.
- ☐ Indirect Costs.
- ☐ Total direct and Indirect Costs.
- ☐ Fee

- ☐ **Budget Justification:** Provides additional information in each budget category. If applicable, the following sections must be justified: equipment, travel (**as detailed as possible** with estimated costs of conference registration, flight and hotel), participant/trainee support and other direct costs categories. Justification for other personnel (such as ***consultant fees*** and number of hours requested) and ***significant increase of budget*** from one year to another are also expected. The budget justification needs to be uploaded as only one file.

☐ For more support, please refer to SF424(R&R) application guide **section 4.7.**

I- R&R Subaward Budget Attachment(s) form

☐ **A detailed subaward budget** form including a budget justification **is only required by the NIH** when the prime institution is submitting a **detailed budget** using the **R&R Budget Form.**

☐ For internal purposes within Weill Cornell Medicine, a detailed subaward budget is always requested following the same guidelines than the budget of the prime institution.

- ☐ Click on the icon " Click here to extract the R&R Subaward Budget Attachment" and save the PDF form.
- ☐ **Do not use another version previously saved of this budget form from another grant application.**
- ☐ Only allowable costs can be in the budget.

- ☐ Each subrecipient must fill out that extracted document where the budget justification has to be attached to Box K.
- ☐ The subaward indirect cost rate has to be the negotiated F&A rate as per the Uniform Guidance.
- ☐ For entities without a negotiated IDC rate agreement, a rate of **10%** must apply and for international sites, a rate of **8%** must apply.

- ☐ **The budget justification of the subaward** must include the following information **for all personnel**: the anticipated dedicated effort in calendar months for each year of the grant and their role on the proposed project, the applicable fringe benefit rate, the IDC rate applied and a detailed list of supplies if applicable.

- ☐ Once completed, the extracted subaward budget documents must be attached to the "R&R Subaward Budget Attachment form".
- ☐ Do not use for applications using the PHS 398 Modular Budget Form **unless** specified by the FOA.

J- Check these Common Errors on Budget Submission

- ☐ The budget exceeds the FOA budget.
- ☐ The budget exceeds $500,000 and no permission was requested to the NIH.
- ☐ Non-allowable costs are in the budget.
- ☐ The costs in the budget differ from the justification.
- ☐ Salaries exceed the NIH salary cap.
- ☐ F&A are miscalculated.
- ☐ A modular budget was used when a detailed one should have been submitted.
- ☐ One personnel listed in the detailed (R&R) budget is associated with a 0% effort.
- ☐ The subaward R&R budget has not been extracted from the original SF424(R&R) and Grants.gov rejects its format.
- ☐ The most common errors can be found at http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm.

K- Important Note

- **7 business days before the sponsor dead line, all the non-science information and documents of SF424(R&R)** have to be submitted for review to the OSRA pre-award specialist **along with**
  - ☐ **Draft versions of the science documents if possible** (See chapter II.3).
  - ☐ **The complete ERF** (See chapter III).

- The chapter IV of this guide "Grant Application Submission to OSRA pre-award for Review." is dedicated to that important step. The chapter IV starts on page 34 of this guide.

3- Final Application with the Science Sections Due to OSRA Pre-Award 2 Business Days Before the Agency Deadline

- Follow carefully the specific guidelines in the FOA for the content of these documents.
- Begin each document with a **section header** e.g., Specific Aims, Research Strategy …

A- PHS 398 Research Plan

☐ **Specific Aims** (Box 2)
- ☐ State concisely the goals of the proposed research and summarize expected outcomes, including the impact that the results will exert on the research field involved.
- ☐ Usually maximum 1 page.

☐ **Research Strategy** (Box 3).
- ☐ Unless specified otherwise in the FOA, 3 sections must be outlined:

  - **Significance:** Explain the importance of the problem. Describe the strong scientific premise for the proposed project, including considerations of the strengths and weaknesses of published research or preliminary data crucial to the support of the application.
  - **Innovation:** Explain how the application challenges and seeks to shift current research or clinical practice paradigms.
  - **Approach:** Describe the experimental design and methods proposed to accomplish the specific aims of the project and how they will achieve robust and unbiased results. Discuss potential problems. Present adequate plans to address relevant biological variables, such as sex for studies in vertebrate animals or human subjects.
  - For more details on these important sections, please refer to the section 5.5 PHS 398 Research Plan Form, subsection 3. Research Strategy of the SF424(R&R) Application Guide for NIH and Other PHS agencies.

- ☐ The page limit is specific to each program announcement. Below are some common page limits:
  - For R01 / U01: 12 pages.
  - For Fellowships F30-F31-F32 or R21: 6 pages.

- HUMAN SUBJECT SECTIONS -

➢ **If human subjects are included in the research project, the 3 following documents must be uploaded:**

☐ The **Protection of Human Subjects** document (**Box 5**) must contain several descriptions and justifications. For a complete and detailed list, refer to the section **4.1** "Protection of Human Subjects" of the US DHHS- PHS Supplemental Grant Application Instructions available at http://grants.nih.gov/grants/funding/424/SupplementalInstructions.pdf

☐ The **Inclusion of Women and Minorities** document (**Box 6**) must address four points at the minimum:

- ***1-*** *Planned distribution of subjects by sex/gender, race and ethnicity for each proposed study and a completed table of the Planned Enrollment Report.*
- ***2****-Description of the subject selection criteria and rationale for selection of sex/gender, racial, and ethnic group members in terms of the scientific objectives and proposed study design.*
- ***3****- Compelling rationale for proposed sample specifically addressing exclusion of any sex/gender, racial or ethnic group of the population under study.*
- ***4****- Description of the proposed outreach programs for recruiting sex/gender, racial and ethnic group members as subjects.*
- For more details, refer to the section 4.2 "Inclusion of Women and Minorities" of the US DHHS- PHS Supplemental Grant Application Instructions available at http://grants.nih.gov/grants/funding/424/SupplementalInstructions.pdf
- If not applicable to the study, only state "not applicable" after a heading entitled "Inclusion of Women and Minorities".

☐ The **Inclusion of Children** document (**Box 7**) must provide the following information, considering that a child is defined in the NIH guidelines as an individual under the age of 21 years old. For grant applications due on or after 01-25-16, children will be defined as individuals under 18 years old instead of 21 years old.

- Description of the plans to include children, with the age ranges to be included and the rationale for selecting that specific range, and if children are excluded, a justification for the exclusion.
- Description of the expertise of the investigative team for working with the children included in the study.
- Information on additional protections for children involved as subjects in the research (45 CFR part 46 subpart D).
- For more details, refer to the section 4.4 "Inclusion of Children" of the US DHHS-PHS Supplemental Grant Application Instructions available at http://grants.nih.gov/grants/funding/424/SupplementalInstructions.pdf
- If not applicable to the study, only state "not applicable" after a heading entitled "Inclusion of Children".

- OTHER RESEARCH PLAN SECTIONS -

☐ Vertebrate Animals (Box 8)

Only if Vertebrate Animals are included in the research project, the document must cover the following **five topics** and be uploaded to **Box 8**:

- ☐ Detailed **description of the proposed use of the animals** in the work outlined in the "Research Strategy" section. Identify the species, strains, ages, sex, and numbers of animals to be used in the proposed work.
- ☐ **Justification for** the use of animal and the choice of species, and the numbers to be used. If animals are in short supply, costly, or to be used in large numbers, provide an additional rationale for their selection and numbers. The justification for the number of animals to be used will no longer be required for grant applications due **on or after 01-25-16** except if Fellowships or Training Grants.
- ☐ Information on the **veterinary care** of the animals involved. This section will no longer be required for grant applications due **on or after 01-25-16** except if Fellowships or Training Grants.
- ☐ Description of the **procedures** for ensuring that **discomfort, distress, pain, and injury** will be limited to that which is unavoidable in the conduct of scientific research.
- ☐ Description of the **use of analgesic, anesthetic, and tranquilizing drugs** and/or comfortable restraining devices, where appropriate, to minimize discomfort, distress, pain, and injury. It must be stated whether this method is consistent with the recommendations of the Panel on Euthanasia of the American Veterinary Medical Association (AVMA) Guidelines on Euthanasia. The method of euthanasia is required only if it is not consistent with the AVMA guidelines, for grant applications due **on or after 01-25-16** except if Fellowships or Training Grants.

☐ Select Agent (i.e. hazardous biological agents and/or toxins) (Box 9)

Only if a Select Agent is included in the research project, the Select Agent Research document **must** cover the following **three topics** and be uploaded to **Box 9**:

- ☐ **Identify** the select agent(s)
- ☐ Provide the **registration status** of any legal entity where the research with the select agent will be performed
- ☐ Detail the **safety** and **monitoring procedures** that will be performed

☐ Multiple PD/PI Leadership Plan (Box 10)

Only if multiple PD/PI are involved in the research project, the **multiple PD/PI leadership plan** document **must** explain the following topics:

- ☐ Rationale for choosing a multiple PD/PI approach
- ☐ Leadership team structure
- ☐ Communication plans
- ☐ Process for making decisions on the scientific direction
- ☐ Procedures for resolving conflicts

☐ **Only the "PD/PI" role** is the correct designation for all PD/PIs on a multiple-PD/PI application
- **Do not** use the designation **co-PD/PI**
- The first PD/PI listed is the **PD/PI of contact.**

☐ Consortium/ Contractual Arrangement (Box 11)

Only if the research project involves **subrecipient(s)** (see definitions in glossary), the **Consortium/ Contractual Arrangement** section **must** be attached with:

☐ The completed Statement Of Intent form (SOI) from Weill Cornell Medicine is available at http://osra.weill.cornell.edu/forms/SOI_Form_OSRA.pdf.

☐ ***OR*** with a form provided by the subrecipient's institution that should ideally present the following affirmation:

"In signing below and offering to participate in this research program, the subrecipient Institution certifies that the appropriate programmatic and administrative personnel employed by subrecipient institution and involved in this application are aware of the pertinent regulations and policies of the granting agency, and will work with Prime Recipient Institution to establish the necessary inter-institutional agreement(s) consistent with that policy."

☐ Note 1: If **Cornell-Ithaca** is a subrecipient of Weill Cornell Medicine, the SOI form (or its equivalent) is **required**.

☐ Note 2: The **subrecipient budget and justification should not** be uploaded here.

☐ Letters of Support (Box 12)

These letters are from Co-Investigators, Other Significant Contributors and/or Consultants involved in the project.

☐ Make sure the signatures are not electronic.

☐ The final size of the signed letter in PDF should be 8.5 inch x 11 inch.

☐ Consult the FOA, to determine if the letter of support document has page limitations.

☐ Resource Sharing Plan (Box 13)

This document can be requested by the **FOA**. However, even if not mandatory, providing that document adds value to the application to demonstrate how the research resources developed will be made available to the scientific community. It is **highly recommended** to include it to the application when:

☐ Total direct costs requested are of $500,000 or more.

☐ The development of model organisms is anticipated.

☐ Large-scale human and non-human genome data are expected to be generated.

☐ **Appendix** (Box 14)

Always read the FOA guidelines for specific requirements!

- **General Rules**

☐ It is prohibited to use the appendix to circumvent page limitations of any section of the application or to include inappropriate material in the application.
☐ Do not include copies of publicly available publications.
☐ Do not include figures or photographs as separate attachments.
☐ Do not attach letters of support as appendix material.
☐ Use filenames that are descriptive of the content.

- **What can be allowed in the appendix**

☐ A maximum of 10 PDF attachments.
☐ No more than 3 publications not publicly available.

B- Research & Related Other Project Information

☐ **Project Abstract/ Summary:** The narrative should **start with overall impact statement, followed with aims** in maximum **30 lines**. For NIH career awards, 1 page maximum.

☐ **Project Narrative:** Highlight the relevance of the project for public health in maximum **3 sentences**. The narrative needs to be tailored for **lay audience** and should not contain **any confidential information.**

☐ **Bibliography & References Cited:** Include all the references cited in the Research Strategy. Be relevant, pertinent and concise. Always include **PMCID** for each reference of article accepted for publication after April 7th, 2008. No page limitations.

☐ **Facilities & Other Resources:** Description of the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other) and the resources applicable to the proposed work in order to demonstrate how the scientific environment in which the research will be done, contributes to the probability of success. It must be described for **each** performance site location **including the subrecipient(s) location(s).**

☐ **Equipment:** List of major equipment **already available** for the project **including from subrecipients.**

C- Planned Enrollment Report

☐ Only if **Human Subjects** are involved.

D- Cumulative Inclusion Enrollment Report

- ☐ Only if **Human Subjects** are involved in the research.
- ☐ Make sure the total number of human subjects match with the sum of all of the human subjects enrollment reports.

E- Check These Common Errors Before Submission of the SF424(R&R) to OSRA Pre-Award

- ☐ General guidelines from the sponsor have not been followed.
- ☐ Incorrect or missing administrative information (e.g. DUNS #, email address, eRA Commons ID).
- ☐ Attachments are not in the PDF format.
- ☐ Required PDF attachment(s) is/are missing.
- ☐ PDF attachments exceed page limitation specified in the FOA and SF424(R&R) application guide.
- ☐ PDF attachments are larger than 8.5 x 11 inch (typically seen in letters of support or appendix).
- ☐ PDF attachments' names include ampersand, comma, more than one space or more than 50 characters.

F – After Completing SF 424(R&R)

- ➢ Run the "Check Package for Errors" feature on the SF424(R&R) located next to the "Save" icon on the first page of the SF424(R&R) form.

- ➢ Appropriately address the errors within the SF424(R&R) document if any detected.

III. PREPARATION OF THE ELECTRONIC ROUTING FORM (ERF)

A- First Time Preparing an ERF?

- ☐ Begin by contacting an OSRA pre-award specialist at grantsandcontracts@med.cornell.edu
    - To be added and approved to access the ERF system at: *https://erf.med.cornell.edu/routing/RARFClient/routingClient.html*.
    - To have your account appropriately set up for you to prepare an ERF as a PI or on behalf of one of your PIs if you are administrator.

- ☐ Make sure that every PI working on an ERF for the first time, complete first the **online course "Research Compliance Training"** accessible at: http://weill.cornell.edu/research_compliance/training/.
  This is required for faculty and post-doctorates.

B- Grant Application Title

- ☐ Use the same exact title as in the grant proposal application.

C- PI Contact

- ☐ PI Name.
- ☐ PI Department/ Division: if you are proxy for multiple PIs, select the corresponding department for the PI.
- ☐ PI Phone: if the pre-populated information is incorrect, you cannot change it. Please make a comment in the top right corner of the ERF page.
- ☐ PI Email.
- ☐ Administrative Contact Name, Phone, Email.
- ☐ If an ERF with multiple investigators is set up, additional PI(s) need to be added in the Section " Weill Cornell Key Personnel" by clicking on "Add Key Personnel". The "Contact PI" for the application should be the main PI initiating the routing form.

D- Project Summary

- ☐ Application Deadline: If non-applicable, insert the start date of the budget period or the date of the ERF submission.
- ☐ Proposed Start/End Date of the project.
- ☐ **Proposal Type**: Select from the drop down menu: New, Continuation, Renewal, Revision, Resubmission (See definitions on page 8 of this guide).

- **Activity Type**: Select from the drop down menu: Grants, Industry Sponsored Research Agreement, Clinical Trial Agreement, Clinical Trial Grant, Registry Service Agreement.

  - **Grant:** A type of financial assistance awarded by one party, often a government department, corporation or foundation to a recipient, often a nonprofit entity, educational institution, business or an individual, for the conduct of research or other program as specified in an approved proposal. A grant is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.

  - **Industry Sponsored Research Agreement**: An industry Sponsored Research Agreement (SRA) is a contract between Weill Cornell Medicine and a industry sponsor for the purposes of funding and conducting research at Weill Cornell Medicine. An industry Sponsored Research Agreement is a legal contract that governs the scope of work, deliverables, funding and intellectual property terms and conditions of basic and applied research and product development at Weill Cornell Medicine sponsored by the industry entity.

  - **Clinical Trial Agreement (CTA):** A CTA is an agreement governing the terms and obligations of all parties during the conduct of a clinical trial. A CTA must be fully executed prior to study activation. Weill Cornell Medicine, New York Presbyterian Hospital and the sponsor are all parties to a CTA.

  - **Clinical Trial Grant:** This is a type of grant dedicated to clinical trials. In a clinical trial, participants receive specific interventions according to the research plan or protocol created by the investigators. These interventions may be medical products, such as drugs or devices; procedures; or changes to participants' behavior, such as diet. The NIH has such grants dedicated to clinical trials such as R34.

  - **Registry Service Agreement:** A Registry Agreement is a contract governing clinical situations, clinical studies or clinical trials in which patients are required to provide informed consent to have their health information recorded in a registry database.

- **Agency Name**: Select from the drop down menu. If the agency name is missing, contact the OSRA pre-award specialist assigned to your department to add the agency name to the list.
- **Agency Grant / Contract Number**: If none, type "N/A".
- **FOA number**: If none, type "N/A".

- Subaward **to**: Add the name and the institution of the subrecipient if applicable.
- Subaward **from**: Add the name and the primary institution if applicable.

E- Budget Details

- ☐ Direct costs for year 1 (or for any year of a grant the ERF applies to).
- ☐ Total Direct Costs
- ☐ **Indirect Cost Rate:**
  - ☐ When a lower IDC rate is **requested** by an **FOA** issued by the **NIH** or by **another agency**, **the Indirect Cost Reduction Request form does not have to be submitted** (e.g., Case of NIH Training Awards and Career Awards for which the IDC rate is usually 8%; Case of the Fellowships for which IDC rate is 0%). Prior to July 2015, it used to be necessary to provide justifications.
  - ☐ Requests from PI for a lower IDC rate than the Weill Cornell Medicine negotiated rate are not allowable for NIH grants that honor the full Weill Cornell Medicine negotiated rate.
  - ☐ Requests from PI for a lower IDC rate than the Weill Cornell Medicine negotiated rate reduction in IDC are ***accepted under exceptional circumstances.*** PI's requests will be considered with the completed Indirect Cost Reduction Request form accessible at: http://osra.weill.cornell.edu/forms/REQUEST_FOR_REDUCTION_IN_INDIRECT_COSTS_2_2015pdf.pdf

  - ☐ **Note:** When the IDC reduction request form is **not** uploaded on the ERF page, but is submitted directly to the OSRA pre-award specialist, the document must be ***signed first by the PI and then by the Department Chair or his/her designee*** **in place of chair.**

F- Weill Cornell Key Personnel

- ☐ **Senior/Key Personnel:** The PD/PI and other individuals who ***contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant.*** Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a post-doctoral role also may be considered senior/key personnel if they meet this definition. ***Senior/key personnel must devote measurable effort to the project whether or not salaries or compensation are requested***. "Zero percent" effort or "as needed" are not acceptable levels of involvement for those designated as Senior/Key Personnel (NIH definition).

- ☐ **Committed Effort**: *For competitive applications*, list 0%. *For non-competitive applications*, list the effort that is committed to the project for the upcoming year.

- ☐ **Proposed Effort:**
  - ☐ For an ERF on year 1 of a grant: the proposed effort should match the effort indicated in the budget's application.

- ☐ For an ERF associated to any year 1+ of a grant: the proposed effort should match the effort that was committed to the project as per the application.
- ☐ For non-competing renewals: a reduction of 25% or more in the percent effort requires an NIH prior approval. Contact the Program Officer at the NIH responsible for the FOA.

☐ Any reportable **financial conflicts**? (This section **MUST** be completed by each key personnel and cannot be done by a proxy).

- ☐ **If NO**, the investigator or key personnel does not have a financial interest related to the research.
  - ☐ **If the PI works at Weill Cornell Medicine**
    - Check "No" in the ERF.
    - *What used to be necessary, but is no longer required:*

      - Also check "No" in the "Conflicts Memo for ERF" accessible at: http://researchintegrity.weill.cornell.edu/forms_and_policies/forms/Conflicts_Memo_for_ERF.pdf

      - Then upload that completed Conflicts Memo into the ERF "Miscellaneous Documents" (lower left corner) on the ERF page.

  - ☐ **If the PI is external to Weill Cornell Medicine** (in case of a subcontract), the following form must be filled in and uploaded into the ERF "Miscellaneous Documents" (lower left corner): http://researchintegrity.weill.cornell.edu/pdf/conflicts/No_Financial_Interest_to_Disclose.pdf

- ☐ **If YES**, the investigator or key personnel does have a financial interest related to the research.
  - ☐ **If the PI works at Weill Cornell Medicine**,
    - Check "Yes" in the ERF.
    - The conflicted researcher needs to log into the online COI (Conflicts of interest) system to fill out an annual survey and then create an SSR (Study Specific Report) for the project at https://conflicts.med.cornell.edu/COI.
    - The conflicts management office will review the SSR and follow up with the researcher and any related administrative offices as necessary.
    - *The following used to be necessary, but this is no longer a requirement:*
    - Check "Yes" in the Conflicts Memo for ERF" accessible at: http://researchintegrity.weill.cornell.edu/forms_and_policies/forms/Conflicts_Memo_for_ERF.pdf

  - ☐ **If the PI is external to Weill Cornell Medicine** (in case of a subcontract)
    - Fill the following form and uploaded into the ERF "Miscellaneous Documents" (lower left corner): http://researchintegrity.weill.cornell.edu/pdf/conflicts/Financial_Interest_to_Disclose.pdf

- ☐ **Independently of your answer**, it is mandatory that you complete the Conflicts of Interest survey available at the Weill Research Gateway WRG at https://wrg.weill.cornell.edu/

G- Questionnaire

- ☐ Will you be using the Clinical and Translational Science Center (CTSC)?

- ☐ Will this project include any work at Weill Cornell Medicine -Qatar and/or involve Weill Cornell Medicine -Qatar personnel?

- ☐ Will this project require the sharing or export of materials, information, and/or technology outside the United States and/or with foreign nationals (including foreign nationals working in the lab) within the United States?
  - ☐ **If YES**, Complete and upload in Additional Documents, the Export Controls Checklist. Form accessible at: http://osra.weill.cornell.edu/forms/ExportControlsChecklist.pdf.
  - ☐ For assistance on Export Controls, contact Danielle Gaibor, Senior Manager Business Process Solutions at Weill Cornell Medicine at dag3004@med.cornell.edu.

- ☐ Will institutional/departmental funds be used to support a portion of this project? (i.e. cost sharing?)
  - ☐ **If YES**, Complete and upload in Additional Documents the institution/department funding form accessible at: http://osra.weill.cornell.edu/forms/Cost_Sharing_Form.pdf.

- ☐ Does this require purchase of a network-connected device other than a desktop computer or printer (e.g. server, computational cluster, network-attached laboratory device)?

- ☐ Is it likely that intellectual property will evolve or will change from the scope of work?
  - ☐ *The following used to be required but it does not apply any longer:* If Yes, complete and upload the Scope of work (SOW) form accessible at: http://osra.weill.cornell.edu/forms/Scope_of_Work_Form.pdf.

- ☐ Does your study involve human subjects?
  - ☐ **If YES and this is a new grant submission**: Indicate ***pending*** and action must be initiated by the PI with the IRB office for IRB approval (IRB: Institutional Review Board). For information and assistance with the IRB approval process, contact Rosemary Kraemer, Director of the IRB & Research Integrity at Weill Cornell Medicine at rtkraeme@med.cornell.edu.

  - ☐ **If YES and this is not a new grant submission:** Enter protocol numbers and approval dates obtained with the IRB office at Weill Cornell Medicine.

- ☐ Does your study involve laboratory animals?
  - ☐ **If YES:** Indicate ***pending*** and action must be initiated with IACUC for approval (IACUC: Institutional Animal Care and Use Committee). For information and assistance with the Animal Protocol and IACUC approval process, contact Jennifer Akl, Coordinator of the Institutional Animal Care & Use Committee at Weill Cornell Medicine at jea2012@med.cornell.edu.

☐ **Does your research involve work in a research or clinical laboratory?** (*That question will only appear if the ERF PI's profile is not updated or if the PI is not registered in the ERF data base)*

☐ **If the research involves work in a research or clinical laboratory,** upload the Combined Research Safety Checklist (RSC) and Institutional Biosafety Committee (IBC) Laboratory Registration available at http://researchintegrity.weill.cornell.edu/forms_and_policies/forms/research_safety.pdf

☐ Complete the first page to determine if other sections need to be filled in:

- **For Professor, Associate Professor or Assistant Professor with the status of PI:** If the laboratory is not yet registered to the Institutional Biosafety Committee, **and** if the research is conducted in Weill Cornell owned or leased research facilities (such as New York Presbyterian Hospital, New York Blood Center or the Hospital for Special Surgery), the rest of the document must be completed.

  - **The Environmental Health and Safety (EHS) research safety checklist**. EHS can be contacted at ehs@med.cornell.edu on the following topics:
    - Chemical safety
    - Biological safety
    - Radiation safety
    - Personal protective equipment
    - Laboratory safety
    - Equipment and physical hazard safety
    - Fire and emergency response
    - Hazardous material shipment
    - Waste management

  - **The Institutional Biosafety Committee (IBC) laboratory Registration form**. IBC can be contacted at ibc@med.cornell.edu on the following topics (non exhaustive list):
    - Recombinant DNA, synthetic nucleic acids
    - Genetically modified cells or organisms
    - Viral vectors
    - Bacteria, fungi, parasites
    - Select agent or toxins

- **For Research Associates, Instructors, Post doctorates and Students:** it is required to complete the **RSC and IBC Laboratory Registration short Form** accessible at http://researchintegrity.weill.cornell.edu/institutional_biosafety_committee/ibc_forms.html

- ☐ **If the research involves work in a research or clinical laboratory *AND* the clinical work involves Weill Cornell Medicine-Qatar PIs**, the PI must complete the Qatar Research Risk Assessment Checklist form available at https://redgate.qatarweill.cornell.edu/sites/ehs/Pages/,DanaInfo=redbench.qatarweill.cornell.edu,SSL+Home.aspx

H- Summary of the Documents to Upload in the Additional Documents Section

Only the applicable documents should be uploaded:

- ☐ Request for Reduction in Indirect Costs.
- ☐ Export Controls Checklist.
- ☐ Cost sharing form.
- ☐ RSC and IBC forms.
- ☐ Grant Application Package (Details in the next section)

That Section is in the lower left corner of the ERF screen page.

I- Check these Common Errors in the ERF

- ☐ Incorrect agency selected.
- ☐ Incorrect activity type selected.
- ☐ Missing key personnel.
- ☐ Incorrect effort listed.
- ☐ IBC forms missing.
- ☐ Subrecipient information missing.

IV. GRANT APPLICATION SUBMISSION TO OSRA PRE-AWARD FOR REVIEW

1. ERF AND GRANT APPLICATION PACKAGE SUBMISSION TO OSRA PRE-AWARD

☐ Once the ERF is complete, the **draft of the grant application package must be uploaded to the ERF page in the Miscellaneous Documents,** section "Additional Documents" (lower left corner).

☐ The **grant draft application package** contains the documents requested by the sponsor and OSRA pre-award:

☐ FOA announcement and guidelines. ☐ **Grant application package:** Final documents **except science-related ones that can be draft.** ☐ **All following information must be final**
▪ **Final key personnel and final biosketches.** ▪ **Final performance sites.** ▪ **Final budget with justifications** for Weill Cornell Medicine and for the **subrecipient** if applicable: ○ Use the official budget template of Weill Cornell Medicine: see document 3 at the end of the guide and upload it at http://osra.weill.cornell.edu/forms.html ○ Budget justifications for key personnel and other personnel (salary, effort, fringe benefits), supplies, travel, other expenses, subcontracts budgets, indirect costs… ○ Mention other support if applicable.

☐ In case some documents are too heavy to be uploaded on the ERF webpage, please **email all documents of the draft grant application package to your OSRA pre-award specialist** at grantsandcontracts@med.cornell.edu.

☐ Once the draft application package is uploaded to the ERF page, the PI can click on **"Save"** and **"Submit for Review"** (icons on the top left corner). A proxy cannot validate that final submission step.

☐ Once submitted for review, the ERF along with the draft application package will need to be **approved first by the department administrators** before being **reviewed by the OSRA pre-award specialist**.

☐ **OSRA pre-award specialist must received the ERF along with the draft application package at least 7 business days before the sponsor application deadline.**

☐ **Important Notes:**

- ☐ When the ERF involves **multiple PIs** from multiple departments, **an early submission 15 days before the deadline should be considered** to allow time for review, routing and signature by department administrators and chairperson in each department.
- ☐ Each person logged in the ERF system **must log out** (and not just close the window) in order to allow other administrators to be able to log in.
- ☐ When the ERF is delayed for signature by **all administrators**, it is advised to print the ERF which allows to track which department administrator or chairperson has yet to approve the ERF.

2. ERF AND GRANT APPLICATION PACKAGE REVIEW BY OSRA PRE-AWARD

☐ Within 2 days after receipt, the OSRA pre-award specialist thoroughly reviews the ERF and the draft application package submitted by the PI.
☐ Detailed comments and notes are emailed back to the PI and department administrator with advised and/or required modifications.
☐ The PI and the department administrator should address OSRA pre-award specialist's comments for compliance of the grant application package as soon as possible.

☐ **2 business days before the agency deadline**, the PI should submit the final reviewed application by email to the OSRA pre-award specialist, which contains:

- ☐ The non-science documents from the grant application package appropriately revised according to the OSRA pre-award specialist' comments.
- ☐ All of the final science related documents
  - Specific aims.
  - Research strategy.
  - Letters of support.
  - Resource sharing plan.
  - Appendix if applicable.
  - References.
  - Facilities & other resources.
  - Enrollment reports (planned and cumulative ones).

☐ Upon receipt of that final package, OSRA pre-award specialist performs a final review to make sure that the grant application in its entirety is compliant with agency's criteria.

☐ **Delay in internal submission to OSRA pre-award:** If the grant application package is **received late** i.e. less than 7 business days before the deadline **and/or** the final grant package is received less than 2 business days before the deadline, please reach out to your OSRA pre-award specialist to inform her/him about the delay, and be aware that only a **cursory review** of the application may be able to be performed as a result of the delay.

V. Grant Application Submission to the Agency by OSRA Pre-Award

- Before submitting the SF424 (R&R) form application, the OSRA pre-award specialist selects the icon "Check Package for Errors" on the SF424 (R&R) form.

- Once the application is properly completed, the " Save and Submit " icon at the top of the SF424(R&R) form becomes active and can be selected by the OSRA pre-award specialist: the final compliant application is submitted in "Grants.gov" on the investigator's behalf under the authority of the AOR (Authorized Organization Representative) of Weill Cornell Medicine. More information is available at http://osra.weill.cornell.edu/pre_award/institutional_information.html.

- After verification by "Grants.gov", the application is assigned a **tracking number**: GRANTXXXXXXXX.

- The application proceeds through the eRA commons system for additional verification.

A- When no error and no warning are detected in the eRA system

The application is officially submitted to the NIH and the status of the application is updated in the eRA commons to "Submitted".

1. A confirmation email is sent to the PI and to the OSRA pre-award specialist, which can take several minutes to several hours to receive depending upon the number of applications in queue for submission.
2. A grant application compiled image is available on eRA Commons and **MUST** be checked by the PI for any error as soon as possible.
3. If any error is detected and the PI wants to address it, then the application **CAN** be rejected within 2 business days (a justification must be provided in eRA), revised and resubmitted by an OSRA pre-award specialist following the same steps described below.

B- When an error is detected in the eRA system

The PI MUST revise the application to address the error(s).

1. Once revised, the application can be submitted by the OSRA pre-award specialist with the status "Changed" and not "New Application" (Box 1 of the SF424 form). The Grants.gov tracking number from the initial application needs to be included in Box 4c.
2. Upon resubmission, the application will be verified in Grants.gov and in eRA Commons. The final application to the NIH must be compliant and error-free before 5PM on the deadline day.

C- When a warning is detected in the eRA system

It is at the discretion of the PI to address this warning or to process the application as is.

1. The PI can address the warning and the OSRA pre-award specialist will submit the revised application as "Changed" and not as "New Application" (Box 1 of the SF424 form). The Grants.gov tracking number from the initial application needs to be included in Box 4c.
2. Upon resubmission, verification of the application will occur in Grants.gov and in eRA Commons. The final application to the NIH must be compliant and error-free before 5PM on the deadline day.

D- If an application does not obtain the status "no error" before 5PM on the deadline day

The re-submission of the reviewed application will be processed **the next business day** by the OSRA pre-award specialist.

E- NIH policy on late applications

The policy is stated in the SF424 (R&R) and PHS 398 application instructions that can be found at http://grants.nih.gov/grants/forms.htm

- ☐ Permission for a late submission is not granted in advance.
- ☐ In rare cases, late applications will be accepted only when accompanied by a **cover letter** that details compelling reasons for the delay.
- ☐ While the reasons for late submission are sometimes personal in nature, specific information about the timing and cause of the delay should be provided so an informed, objective decision can be made. **Only the explanatory letter is needed; no other documentation is expected**. This letter is available only to NIH staff who have a need to know (such as those with referral or review responsibilities); it is not available to reviewers or other staff.
- ☐ See more at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-035.html

➢ As a general rule, the **earlier** an application is submitted before the deadline, the **more time** can be allocated to fix any detected errors or warning, the **more chance** the application has to be submitted in compliance with the requirements from Grant.gov, eRA and the PI.

VI. GLOSSARY

Co-Investigator
An individual involved with the PD/PI in the scientific development or execution of a project. The Co-Investigator (**collaborator**) may be employed by, or be affiliated with, the applicant/recipient organization or another organization participating in the project under a consortium agreement. A Co-Investigator typically **devotes a specified percentage of time to the project** and is considered senior/key personnel. The designation of a Co-Investigator, if applicable, does not affect the PD/PI's roles and responsibilities as specified in the ***NIH Grants Policy Statement***, nor is it a role implying multiple PD/PI.

Consortium Agreement
A formalized agreement whereby a research project is carried out by the recipient and one or more other organizations that are separate legal entities. Under the agreement, the recipient must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific level of effort from the consortium organization's PD/PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including F&A costs. The relationship between the recipient and the collaborating organizations is considered a subaward relationship. (See the ***NIH Grants Policy Statement***:Â **15** Consortium Agreements).

Consultant
An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. In unusual situations, an individual may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried employee. To prevent apparent or actual conflicts of interest, recipients and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants also include firms that provide professional advice or services. (See ***NIH Grants Policy Statement***:Â **7** Cost ConsiderationsÂ 7.9 Allowability of Costs/ActivitiesÂ 7.9.1 Selected Items of CostÂ Consultant Services)

Facilities and Administrative (F&A) Costs (or indirect costs)
Necessary costs incurred by a recipient for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of F&A (indirect) costs. F&A (indirect) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.

NIH Salary Cap/Limitation
A legislatively-mandated provision limiting the direct salary (also known as salary or institutional base salary, but excluding any fringe benefits and F&A costs) for individuals working on NIH grants, cooperative agreement awards, and extramural research and development contracts. For current and historical salary cap levels, go to Salary Cap Summary at http://grants.nih.gov/grants/policy/salcap_summary.htm.

Pass-Through Entity
A non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program.

Program Director/Principal Investigator (PD/PI)
The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

Subaward
An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. The term includes consortium agreements.

Subrecipient
Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency. The term includes consortium participants.

VII. ACRONYMS

AOR: Authorized Organization Representative
CDA: Career Development Award
COI: Conflicts of Interest
CTA: Clinical Trial Agreement
CTSC: Clinical and Translational Science Center
DC: Direct Costs
DHHS: Department of Health and Human Services
DUNS: Data Universal Numbering System
DOD: Department of Defense
EIN: Employer Identification Number
e.g.: example gratia (latin phrase for "for example")
EHS: Environmental Health and Safety
ERF: Electronic Routing Form
eRA: Electronic Research Administration
FAQ: Frequently Asked Questions
F&A: Facilities and Administrative
FOA: Funding Opportunity Announcement
FY: Fiscal Year
IACUC: Institutional Animal Care and Use Committee
IBC: Institutional Biosafety Committee
IDC: Indirect Costs
IRB: Institutional Review Board
i.e.: id est (latin phrase for " which means" or "that is")
ID: Identification
N/A: Non-applicable
NIH: National Institutes of Health
NoA: Notice of Award
NRSA: The Ruth L. Kirschstein National Research Service Awards
NYSTEM: New York State Stem Cell Science
OSRA: Office of Sponsored Research Administration
PDF: Portable Document Format
PD/PI: Program Director/Principal Investigator
PI: Principal Investigator
PHS: Public Health Service
PMCID: PubMed Central reference Number
RSC: Research Safety Checklist
RFA: Request For Application
SF424(R&R): Standard Form 424 (Research & Related)
SOI: Statement Of Intent

SOP: Standard Operating Procedure
SOW: Scope of work
SSR: Study Specific Report
WCM: Weill Cornell Medicine
WCMC: Weill Cornell Medical College

VIII. SUPPORTING DOCUMENTS

* Document 1: **Most common personnel types in NIH grant applications**. (Page 42)
* Document 2: **OSRA Standard Budget template (as of May 2015).** (Page 43-44)
* Document 3: **Conversion Table between % effort and calendar months**. (Page 45)

* **OSRA SOPs** (Standard Operating Procedures) related to this guide are the following:

  - ☐ Submitting a Competitive Grant Application for OSRA Review at http://osra.weill.cornell.edu/forms/Grants-Submission-to-OSRA.pdf

  - ☐ Electronic Routing Form Review and Approval at http://osra.weill.cornell.edu/forms/ERF+reivew+SOP.pdf

*** For more support:**

  - ☐ Contact your OSRA pre-award specialist assigned to your department. The updated list of OSRA Departmental Assignments is available at http://osra.weill.cornell.edu/about_us/dept_assign_gco.html or call 646-962-8290.

  - ☐ Contact Helene Brazier-Mitouart, Education Manager, Office for Education and Training in Research Administration, Weill Cornell Medicine: email at heb2020@med.cornell.edu or call 646-962-6204.

Document 1: Most common personnel types in NIH grant applications.

Personnel Type	Key personnel	Works at WCM (appointment/ work contract)	Effort at WCM	Listed in the budget	Budget justification	Biosketch Required	Letter of Support	Listed in the Notice of Award (NOA)	Notes
PD/PI	✔	✔ The PD/PI has a primary appointment at WCM. If multiple PD/PI, at least one works at WCM	Max 98%	✔	✔	✔	✖	✔	Each PD/PI of a multiple PD/PI application is defined as PD/PI
co PD/PI	*NON VALID Personnel Type at the NIH*								
Co-Investigator	✔	✔ Or in a subrecipient institution	Usually less % effort than the PD/PI	✔ Unless cost sharing	✔	✔ If key personnel	Usually ✖	✔ Possible	If cost sharing, letter needed
Collaborator	*Used to be a Co-Investigator with low % effort* *Status not USED any more at WCM*						*unpaid collaborator = OSC *paid collaborator at WCM = Co-Investigator *paid collaborator in another institution =Co-Investigator or Subrecipient		
Other Significant Contributor (OSC)	✖	✔ Or in an external institution without a subcontract (because OSC are not paid)	**0% Effort: "as needed"**	✖	✔	✔ Required	✔ Recommanded	✖	Will be listed after all key personnel in SF424(R&R) document.
Consultant	Usually ✖	✖	N/A	✔	With rate of compensation and anticipated time of consultation ✔	✔ If key personnel	✔	✖	An unpaid consultant should be listed an OSC.
Post-doctoral Associate	✔ When post doc fellowship and possible otherwise	✔ Or in a subrecipient institution	Max 98%	✔	✔	✔ If key personnel (rare)	✖	✔ If F32 fellowship	
Graduate Student	✔ Rarely	✔ Or in a subrecipient institution	Max 98%	✔	✔	✔ If key personnel	✖	✔ If F30 and F31 fellowships	
Technician, Research Assistant, Research Coordinator	✖	✔ Or in a subrecipient institution	Max 100%	✔	✔	✖	✖	✖	
Career Development Award Applicant	✔	✔	Usually min 75%	✔	✔	✔	✖	✔	
Mentor of a Career Development Award Applicant	✔	✔ Or in an external institution without a subcontract (because mentors are not paid)	**Usually 0%**	✖	✖	✔	✔	✔ Possible	

Document 2: OSRA Standard Budget Template (as of May 2015)

The OSRA Standard Budget Template establishes a uniform model for use across all sponsored research funding. Use of this template will greatly assist OSRA as they review budget details and create accounts in SAP.

IMPORTANT INFORMATION FOR COMPLETING THIS FORM:

Department/Application Information	
1	In boxes B4, B5, and B6 please include application and departmental information as applicable.

PERSONNEL COSTS	
2	Base salary should equal an employee's current base salary listed in SAP (or an appropriately escalated amount, typically 3% per year, if at the submission stage).
3	If NIH is the sponsor, currently approved salary caps should be employed ($183,300 as of 1/11/2015 - http://grants.nih.gov/grants/policy/salcap_summary.htm).
4	For budget periods spanning part of 2 fiscal years (such as 2016 and 2017, fringe benefit rates must be pro-rated accordingly (FY16 Faculty and Staff 29.5% Postdoc 19%).
5	Cost sharing and any other unique personnel issues should be noted in the yellow box provided.

NON PERSONNEL COSTS	
6	All costs in each non-personnel category must be itemized, sufficient information must be provided for OSRA's review of expenses.
7	Up to date indirect costs rates must be applied to the direct costs base (MTDC), the current rate is 69.5% (http://osra.weill.cornell.edu/pre_award/indirect_costs.html).
8	Unless prohibited by sponsor guidelines, WCMC will collect IDC on the first $25K issued to any consortium site.
9	Typical MTDC omissions include single pieces of equipment over 5K, in-patient care costs in NYP facilities, tuition and related student fees, and consortium costs following collection on the first $25K per site.
10	Any irregularities or exceptional issues should be noted in the yellow box provided.

Document 2: OSRA Standard Budget Template (as of May 2015)

Please expand sections as needed to include sufficient detail

Grant Number/Sponsor:	
Fund Center:	
Prior year WBS (if applicable):	

NOTES (please inform OSRA of any cost sharing, pro-rating, or any other pertinent information regarding this budget):

Project Dates:	

PERSONNEL COSTS

FY 16:
29.5% Faculty & Staff
19% Post Docs

Suggested formula: =C12*E12

Name	Role	Effort	Calendar Months	Base Salary	Requested Salary	Fringe Benefits*	Total
	PD/PI		0				$0
			0				$0
			0				$0
			0				$0
			0				$0
			0				$0
			0				$0
			0				$0
			0				$0
			0				$0
Personnel Subtotal:					**$0**	**$0**	**$0**

Departments must pro-rate benefit costs spanning multiple fiscal years. FY16 rates should be applied to salary requested before 6/30/2016, FY17 rates should be applied to salary requested after 07/01/2016

NON PERSONNEL COSTS (Please include detail)

CONSULTANT COSTS (itemize below)
(Specify as needed)

Total Consultant Costs: **$0**

EQUIPMENT (itemize below)
(Specify as needed)

Total Equipment: **$0**

SUPPLIES (itemize below)
(Specify as needed)

Total Supplies: **$0**

TRAVEL (itemize below)
(Specify as needed)

Total Travel: **$0**

PATIENT CARE (itemize below)
(Specify as needed)

Total Patient Care: **$0**

OTHER (itemize below)
(Specify as needed)

Total Other Costs: **$0**

CONSORTIUM COSTS
Site Name
Direct
Indirect (Rate %)
Total Consortium Costs: **$0**

TOTAL WCMC DIRECT COSTS: **$0**

WCMC MTDC* **$0**

TOTAL WCMC INDIRECT COSTS: **$0**
Current rate is 69.5%

TOTAL COSTS: **$0**

*MTDC or Modified Total Direct Costs includes only those direct costs on which WCMC may collect IDC

Document 3: Conversion between % effort and calendar months.

Convert % Effort to Calendar Months (12-month appointment)	
% Effort	**Calendar Months**
100%	12.00
95%	11.40
90%	10.80
85%	10.20
80%	9.60
75%	9.00
70%	8.40
65%	7.80
60%	7.20
55%	6.60
50%	6.00
45%	5.40
40%	4.80
35%	4.20
30%	3.60
25%	3.00
20%	2.40
15%	1.80
10%	1.20
8%	0.96
5%	0.60
3%	0.36
2%	0.24
1%	0.12
0.5%	0.06

Convert Calendar Months to % Effort (12-month appointment)	
Calendar Months	**% Effort**
12	100.00%
11	91.67%
10	83.33%
9	75.00%
8	66.67%
7	58.33%
6	50.00%
5	41.67%
4	33.33%
3	25.00%
2	16.67%
1	8.33%
0.5	4.17%