



# Weill Cornell Medicine

	<b>SOP #</b>	OSRA0005
	<b>Revision #</b>	2.0
	<b>Implementation Date:</b>	02/15/2015
<b>SOP Owner:</b> Office of Sponsored Research Administration	<b>Last Reviewed/Update Date:</b>	03/01/2016
<b>SOP Contributor(s):</b> Research Departments, OSRA	<b>Approved Date:</b>	03/05/2015

## **Submitting a Progress Report for OSRA Review Standard Operating Procedure**

### **1. Purpose**

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The majority of grant making sponsors require routine progress and performance reports as a condition of receiving a grant award. These reports are often referred to as non-competitive since they do not undergo full sponsor review for funding consideration. Instead, progress reports are a condition of continued funding. Unlike a full grant application, they detail project accomplishments and activity for the reporting period.

Progress report requirements, including content, submission method and deadline frequency, can vary from sponsor to sponsor. Principal Investigators (PIs) and their Departmental Staff are responsible for thoroughly reviewing all award notices for full progress report requirements and details. PIs, or their Departmental Staff on their behalf, must submit all progress report documents to the Office of Sponsored Research Administration (OSRA) for full review and approval. OSRA is responsible for ensuring progress reports meet all requirements listed in award notices and are in compliance with WCM policies prior to submission.

### **2. Scope**

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This standard operating procedure (SOP) should be used by Academic Departments and OSRA when preparing and submitting a progress report for an award sponsor. It outlines the responsibilities of PIs and their Departmental Staff when submitting documents to OSRA for internal review.

While progress reporting requirements can vary depending on sponsor and grant type, this document standardizes the process by which all progress reports should be prepared and submitted to OSRA.

### **3. Prerequisites**

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PI must have an active award containing progress and performance reporting requirements.

### **4. Related Documents**

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*None at this time*



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## 5. Responsibilities

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

## Responsibility Matrix

Process Deliverable (or Activity)	Process Members							
	Chief Administrative Officer - Research & Managing Director of Business Systems and Operations	OSRA Office	OSRA Director	OSRA Specialist	OSRA Research & Financial Administrator	Principal Investigator	Academic Department	OSRA Post Award
Development/Maintenance of SOP	I	R/A	R/A	A	A	I	I/C	
Review Award Terms & Conditions to determine reporting requirements		R		R/A		R	R/A	C/I
Track Progress Report Submission Deadlines						R/A	R/A	
Issue progress report reminders for NIH Awards		R			R/A			
Draft progress report		C		C		R/A	R/A	C
Prepare and route ERF		C			C	R/A	R/A	
Submit all necessary documentation		C		C		R/A	R/A	
Make necessary corrections		C		C		R/A	R/A	
Manage process performance metrics	I	A	R				R	



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## 6. Procedure

Step	Action	Method	Owner	Schedule
<b>Submitting a Non-Competing Progress Report to OSRA</b>				
<b>1.0</b>	<b>Review award terms and conditions to determine reporting requirements and schedule</b>	<b>Award Agreement or Notice of Award (NOA)</b>	<b>OSRA, PI, Academic Department</b>	<b>Upon Receipt of Award</b>
1.1	Upon receipt of a Notice of Award, OSRA, PI and the Department must review the terms and conditions to determine progress report requirements and due dates			
1.1.1	<i>If WCM is not prime, OSRA, PI and Department must review the executed incoming subaward agreement between the Prime Site and WCM to determine reporting requirements</i>			
1.2	PI and Department must track due dates to ensure required documentation is submitted in accordance with sponsor, departmental, and OSRA deadlines			
1.2.1	<i>OSRA will provide progress report reminder email notifications 2 months before deadlines for NIH awards</i>			<i>2 months before report due date – NIH ONLY</i>



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<b>2.0</b>	<b>Prepare Draft Progress Report</b>	<b>Paper Forms, electronic system, eRA Commons (NIH ONLY)</b>	<b>PI and Academic Department</b>	
2.1	PI and Department will prepare a draft progress report in accordance with sponsor guidelines in the required format			
2.1.1	<i>If sponsor requires report submission in an electronic system access should be granted to OSRA</i>			
2.1.2	<i>If NIH, PI or their eRA Commons designee must log into the eRA Commons web site to initiate the draft Research Performance Progress Report (RPPR)</i>	<i>RPPR in eRA Commons (NIH ONLY)</i>		
2.2	If WCM is not Prime and progress report will be submitted by a Prime Site, PI and the Department must prepare progress report documentation in accordance with the executed subaward agreement			
2.3	If a progress report requires a budget for the upcoming award year, PI and the Department must also complete a detailed budget for OSRA review			
2.3.1	<i>Budget must reflect funding amount committed in the award notice and use institutional base salaries reflected in SAP (or a sponsor cap if applicable), current institutional fringe rates and indirect costs</i>			



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	<i>rates</i>			
2.3.2	<i>An indirect costs waiver is not required if a waiver is on file from the initial submission or prior year</i>			
2.4	If award includes consortia, PI and Department must work with each consortium site to obtain progress information			
2.5	If report requires financial reporting requirements, PI and Department will consult with OSRA – Post Award			
<b>3.0</b>	<b>Prepare Electronic Routing Form and Submission to OSRA</b>	<b>ERF, electronic system, eRA Commons (NIH ONLY)</b>	<b>PI and Academic Department</b>	<b>Must be received in OSRA at least 7 business days before the grant report deadline</b>
3.1	Any progress report that requires OSRA approval for submission to the sponsor also requires an ERF for OSRA review and approval. Noncompeting continuations of awards that do not need to be routed through OSRA will require an Annual Compliance Checklist instead.			
3.2	PI or their system proxy must log in and initiate an ERF for the grant submission			
3.3	PI or proxy will populate ERF with all relevant project information and complete the Questionnaire section			



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3.4	PI or proxy will attach draft progress report documents and any required ancillary documents to the ERF			
3.4.1	<i>If progress report is completed in a sponsor's electronic system and cannot be uploaded in ERF, access must be granted to OSRA in the submission system</i>			
3.4.2	<i>For NIH, the PI or their eRA Commons designee must route the draft RPPR to the Authorized Institutional Official</i>	<i>RPPR in eRA Commons (NIH ONLY)</i>		
3.5	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			
3.6	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			
3.7	Key personnel, Divisional and Departmental approvers must log into the ERF system and approve of submission			
<b>Communication and Submitting Final Progress Report Documents</b>				
<b>1.0</b>	<b>Communication with OSRA and Submission of Final Progress Report</b>	<b>Email, electronic</b>	<b>PI and Academic Department</b>	<b>Final reports must be received in OSRA at</b>



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		<b>system, eRA Commons</b>		<b>least 2 business days before the deadline</b>
1.1	Throughout the review process the PI and Department will communicate with their assigned OSRA Specialist and RFA via email			
1.1.1	<i>Email subject line should include sponsor, PI, grant number, and "UPDATE" for updated materials and questions and "FINAL" for final progress reports; The OSRA Specialist and RFA should both be copied on all correspondence</i>			
1.2	PI and Department must review all communication from OSRA during the review process and make all necessary modifications and corrections to progress report			
1.3	PI and Department must submit a final progress report to OSRA via email at least 2 business days before the reporting deadline	<b>email</b>	<b>Academic Department</b>	<b>Must be received in OSRA at least 2 business days before the report deadline</b>
1.3.1	<i>No further changes should be made to the report after submission to OSRA</i>			
1.3.2	<i>If submission is required in a sponsor maintained electronic system, PI and Department must notify OSRA via email when report is final and ready for submission</i>			
1.3.3	<i>For NIH, the PI or their eRA Commons</i>	<i>RPPR in eRA</i>		



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	<i>designee must validate RPPR to ensure all components are complete; following validation PI or their eRA Commons designee must route the final RPPR to the Authorized Organization Representative</i>	<i>Commons (NIH ONLY)</i>		
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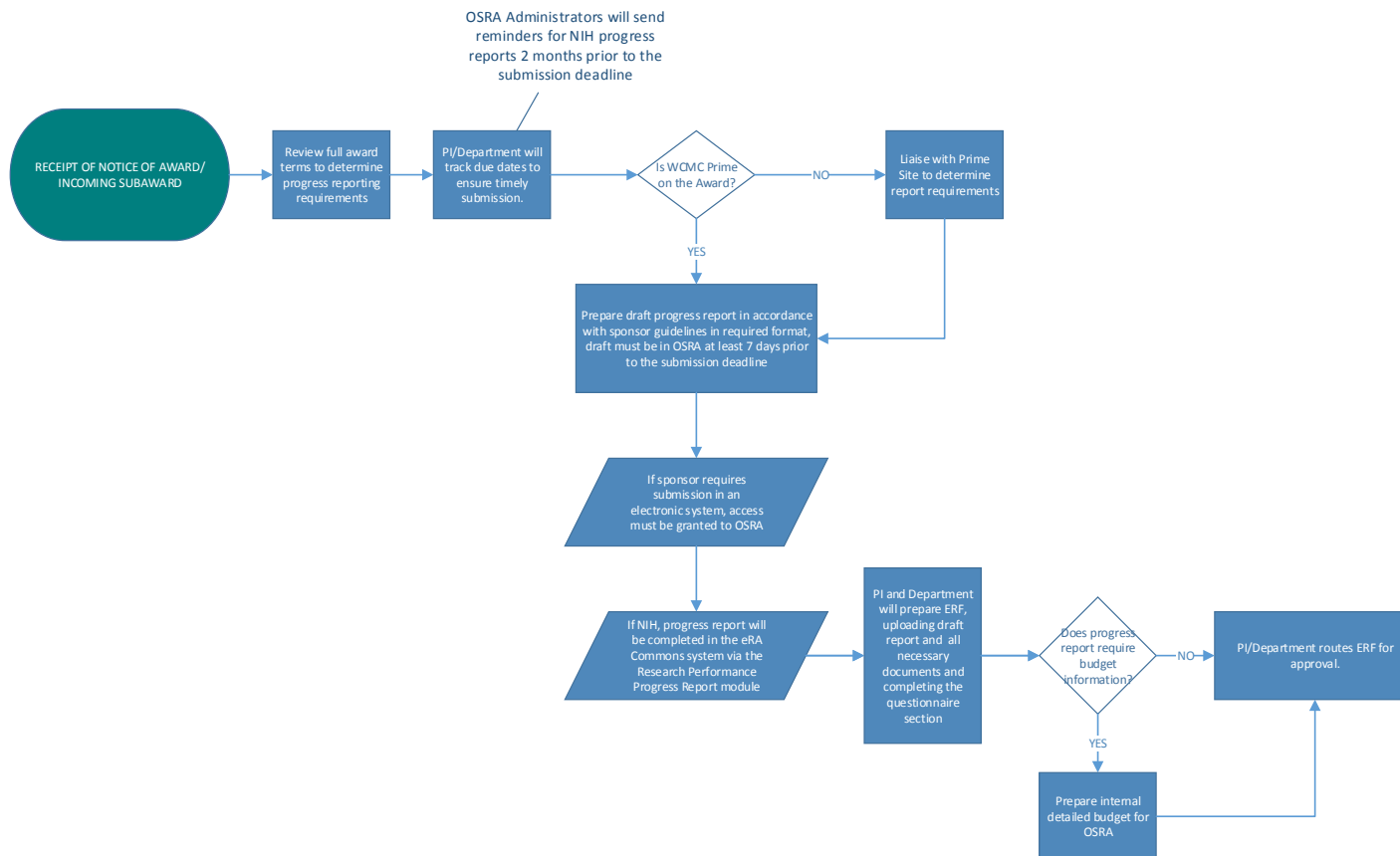
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## 7. Process Maps





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## **8. Process Metrics**

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- Progress reports should be submitted to OSRA via the ERF
- PIs and Departments are expected to meet OSRA submission deadlines:
  - The ERF and draft report are due to OSRA at least 7 business days prior to the sponsor's submission
  - The final report is due to OSRA at least 2 business days prior to the sponsor's submission deadline

## **9. References**

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ERF system and guide: <https://erf.med.cornell.edu/routing/RARFClient/routingClient.html>  
[http://researchintegrity.weill.cornell.edu/forms\\_and\\_policies/forms/ERF\\_User\\_Guide.pdf](http://researchintegrity.weill.cornell.edu/forms_and_policies/forms/ERF_User_Guide.pdf)

eRA Commons: <https://public.era.nih.gov/>

eRA Commons RPPR Guide: [http://era.nih.gov/Docs/COM\\_UGV2630.pdf](http://era.nih.gov/Docs/COM_UGV2630.pdf)

## **10. Definitions**

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**OSRA** – Office of Sponsored Research Administration

**SAP** – Weill Cornell Medicine's financial management system

**ERF** – Electronic Routing Form

**eRA Commons** – Department of Health and Human Services (including NIH) web based grants management system

**RPPR** – Research Performance Progress Report, required format for NIH progress reports

**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**

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None