

**School of Medicine's Office of Grants & Contracts (SOM OG&C)
Policy for Proposals/Progress Report Submission**

Final Proposals: SOM OG&C will only accept/review final and complete proposals/progress reports submitted through the Sparta System.

Review Zone	Review & No Changes Needed	Review & Dept/ PI Changes Needed	Second Review	Ability to Pull Back the Proposal Once	Priority of Review
Green	Review & Submit within 24 hours	Review within 24 hours, submit upon receipt of the final/revised proposal from PI/Dept	Will be performed only on those items identified as needing revision/corrections during the review. If all items are addressed, the proposal will be submitted. If not, it will be provided back to the PI/Dept for revision/correction.	Yes	If a Green Zone corrected/ revised proposal is received at the same time as a yellow and/or red zone proposal(s), the priority is Green-Yellow-Red
Yellow	Review & Submit within 24 hours	Review within 24 hours, submit upon receipt of the final/revised proposal from PI/Dept	Same second review as above	No	Same priority review as above
Red	N/A-Submit without review	N/A-Submit without review	N/A-Submit without review	No	Same priority review as above

OG&C Review	Green - SOM OG&C Review	Yellow - SOM OG&C Review	Red - No SOM OG&C Review
PI	Is the PI on the Sparta budget? Is the same name on the application?	Same review as Green Zone	
Direct Cost Limits/ Opportunity Number**	Are direct costs under the limit set by the FOA?		
Total Funding Requested	Does the \$ match in all places? (application and FP)	Same review as Green Zone	
Project Period Dates**	Validate all dates are consistent in Sparta and application.		
Cost Share	Check for cost share and confirm support if identified.	Same review as Green Zone	
Animals/Humans Compliance**	Validate compliance dates are consistent in Sparta and application		
IDC Rate	IDC rate must be consistent with type of grant and location. If less than our negotiated rate, sufficient documentation or waiver must be provided	Same review as Green Zone	
Fringe Benefit Rate	Must match negotiated rate for anyone on the budget. If lower, documentation from sponsor is needed or dept to cover the difference	Same review as Green Zone	
Budget Type (NIH only)	If modular or detailed is checked, SF424 must match.	Same review as Green Zone	
Sub(s)	All subs require LOI, facepage, and checklist prior to submission. Amounts for all years should match the application. Check IDC for first \$25K	Same review as Green Zone. Except: Grand total should match the application.	
Exclusions	Confirm any exclusions (tuition, equipment and patient care).	Same review as Green Zone	

**Please note these items can result in your proposal being rejected in the system.

Calendar Example of above SOM OG&C Review

	Monday	Tuesday	Wednesday	Thursday	Friday
Week 1					
Week 2			Before 12 pm	Before 5 pm	Before 12pm - Submitted by 3pm
			After 12 pm	After 5pm	After 12pm - Submitted by 5pm

SOM-OG&C Standard Practices

The standard work week for the SOM Office of Grants & Contracts is Monday-Friday, with the office closing at 5:00pm. Therefore, all items needed to be submitted to SOM OG&C in enough time to allow for 5:00pm submission, even if the deadline is later in the day. Any exceptions are only authorized by Vice Dean-Research/Vice Dean Finance-Admin or Dean. On the day of the deadline, to allow for sufficient time and attention to be given to the submission of proposals, individuals will be asked to send an e-mail or leave a telephone message when contacting Pre-Award.

Final Proposals

SOM OG&C will only accept/review final and complete proposals/progress reports submitted through the Sparta System. Items or comments related to the proposal submitted outside of Sparta will not be part of the review.

SOM OG&C Due Date

The SOM-OG&C submission due date is 12pm, two business days (Monday – Friday) PRIOR to the sponsor due date (OG&C Due Date) in order to receive the full review, error correction, and the expertise of SOM OG&C. In example, if the proposal is due on Friday, SOM OG&C would need to receive the proposal(s) before 12pm on Wednesday.

Review Priority

Reviews occur in the order the proposals are received, in the appropriate color zone. If no revisions/corrections are needed, Green and Yellow Zone proposal(s) are reviewed & submitted within 24 hours of receipt by SOM OG&C. If there are revisions/corrections, the proposal is routed back to the PI/Dept. If a Green Zone final corrected/revised proposal is received at the same time as a yellow and/or red zone proposal(s), the priority is **Green - Yellow – Red.**

Red Zone Proposals

These proposals are submitted without review; the PI/Department Administrator takes responsibility for the information provided within the proposal including; the information provided in the proposal is in accordance with Agency/Sponsor Guidelines and CWRU/SOM's guidelines; that if the calculation of the budget, MTDC, salary coverage and/or IDC is inaccurate or results in cost share, that the Department will address/re-budget when/if the proposal is awarded; and finally that the information provided in regards to CWRU employees is also accurate. Additionally, the Vice Deans for Research and Finance and the Dean of the School of Medicine, retain the right to withdraw Red Zone proposals. Red Zones received before 12pm on the Proposal Due Date are submitted by 3pm while Red Zones received after 12pm are submitted by 5pm on the Proposal Due Date.

Just in Times, Supplemental Material & Post Submission Material

Just in times (JIT) and/or supplemental/post submission material routed to SOM OG&C via Sparta before 3pm are reviewed/submitted to NIH by 5pm, while JIT's routed to SOM OG&C via Sparta after 3pm will be submitted by noon of the next business day.

Ability to Pull Back Department NIH Proposals *Once* – Green Zone

If a PI's final and complete proposal is received by SOM OG&C before noon two business days before the Proposal Due Date, the individual will then have the ability to pull back their NIH proposal ***once*** to address warnings/other items prior to NIH noted due date. ***Please note a second review will not be performed of the final revised proposal.*** In example, if the proposal is due on Friday, SOM OG&C would need to receive the proposal(s) before 12pm on Wednesday.

Availability of PI and/or Department/Grant Administrator

It is critically important that once your proposal/progress report has been submitted to SOM OG&C, you or your staff are available to respond to the questions from SOM OG&C or to help fix proposal errors. The more lead time provided for review, results in more time available to make any necessary changes required for SOM OG&C to submit the proposal/progress report and/or address Errors.

If Principal Investigator (PI) and/or the department is unable to get a hold of their Administrator, SOM OG&C will not prepare proposals/make changes due to lack of our Office's knowledge of the proposal and capacity. Therefore, the PI will need to work with whoever in the department is designated as back-up in order to meet the sponsor due date.

Circumstances Beyond our Control

SOM OG&C staff will do everything possible to get the proposal/progress report to the sponsor on time. However, as the amount of time for processing is reduced, the change of insurmountable obstacles increases. Certain parts of the review process lay outside of SOM OG&C and therefore, are subject to the schedules of other offices/external sponsor. When there is sufficient lead time, SOM OG&C staff can compensate for these problems. Therefore, PI's should make every effort to provide the maximum time possible for SOM OG&C to process and adequately review their proposals/progress reports.