

MEMORANDUM

TO: Faculty and Research Administration Staff, School of Medicine
FROM: John Michnowicz
DATE: December 16, 2011
SUBJECT: Office of Research Administration (ORA) Processing Deadline

This memorandum restates the School of Medicine’s policy regarding receipt of completed applications in ORA **no later than seven (7) business days prior to the sponsor’s deadline.**

The final application/proposal must be received by ORA 7 business days in advance to of the sponsor’s specified deadline or 7 business days prior to the date the PI wishes to submit the application/proposal. The application/proposal must be accompanied by required approvals and any special forms, including a signed, dated DPAF with Conflict of Interest declared.

Example:

For a June 15th deadline - ORA 7 business day deadline would be June 6th by 8:00 a.m.

The SPS record must be completely routed to the Pending Central Approval (PCA) state accompanied by the appropriate documentation mentioned above.

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
3	4	5	6	7	8	9
10	11	12	13	14	15	16

The 7 business days allows the ORA staff adequate time to ensure compliance with institutional, sponsor and regulatory guidelines.

- The 7 business day deadline policy applies to all types of applications/proposals, paper, electronic, new and non-competing as well as to all sponsors.
- The 7 business day deadline applies to the administrative and budget sections of the application/proposal, including the budget justification, subaward/subcontract(s) materials, sponsor forms, spec’ed Other Support and all other documents that require institutional review and approval. All required documents must be routed prior to the 7 business days for the application/proposal to be considered complete. All departments/centers/institutes involved in the project must approve the application/proposal and the application/proposal must be fully routed in to ORA to meet the deadline. Many department, centers, and institutes have also established processing deadlines and may require additional time to review and approve.
- Incomplete applications/proposals routed to ORA will be returned for corrections or completion. These applications/proposals will require waivers if re-submitted after the 7 day deadline.

- Applications/Proposals received for the same deadline date will be processed in the order received.
- For new applications/proposals, the PI may continue to work on the scientific sections of the proposal during the ORA review. When ORA has completed the administrative review, the department will be notified. If the application/proposal will be submitted electronically via Grants.duke, the status of the application/proposal will be set to “Awaiting Submission.” If the application/proposal will be submitted via paper, the signed Cover Page will be returned to the Department and the SPS status will be updated to “Submitted”.
- Once ORA has completed its review, any further requests for re-review or additional documentation to sign will be treated as a new review and this policy will apply.
- For NIH Non Competing Continuations: (Applications not meeting the guidelines below will be returned for correction or completion and may require a waiver if re-submitted to ORA after the deadlines outlined below.)
 - SPS record must be routed 7 business days prior to deadline.
 - The eSNAP must be completed in commons with the exception of the PI science 7 business days prior to deadline.
 - PI Science is required to be uploaded in commons 3 business days prior to deadline to for timely submission to NIH. Route eSNAP to ORA research administrator after PI science has been uploaded.

ORA understands that there may be opportunities that require rapid turnaround of applications/proposals. In these circumstances, we will examine the requests on a case-by-case basis and will make every effort to work with you for successful submission. However, if your application/proposal will not be completed and fully routed prior to the 7 business days, evidence of a waiver request will be required prior to ORA processing the application/proposal.

- The Chair/Director and/or Senior Business Manager of the owning organization unit of the application/proposal or his/her designee may request a waiver by completing the waiver request form on ORA’s website (<http://research.som.duke.edu>).
- Waivers for applications will be tracked by individual faculty and departments/centers to identify patterns of use. Reports will be provided to the Dean’s office of evaluation.

The 7 business day deadline represents a minimum requirement for completed applications/proposals to reach ORA in advance of the agency deadline. We strongly encourage you to submit your applications/proposals as early as possible and we will do our utmost to process as quickly as possible. Should you need additional clarification of this policy or assistance from ORA, please contact your assigned ORA Research Administrator or call our main office at 684-5175.