On-Line Grant Request Instructions

Application Access –

In order to use the On-Line Grant Request application, you must first be granted access to it. If you do not currently have access to the application, you must complete a Self-Serve Request Form to request access.

To create a Self-Serve application request, log-in to Self-Serve and click on the “Account_Request_Form” option located under the “Help” menu option. When requesting access to the application it is important that you provide the level of access you require (explained below).

About Access Levels –

There are a number of access levels allowed within the application but only 4 will apply to the majority of users.

** The 4 Access Levels below are based on DEPARTMENT. When requesting access as explained above, it is important you specify which department(s) you will be creating or reviewing requests for. **

DH -Level-1: This access level is for users who will need to create a grant request on behalf of the Principal Investigator(s). This level allows the user to Create, Change, Void, and Submit/Re-Submit a request for processing for all grant requests in the specified department(s). This Level HAS NO electronic signing authority.

DH-Level-2: This access level has the same authority as DH-Level-1 except the user has the additional ability to electronically sign an approval, rejection, or void of a request as the Principal Investigator. This level should be selected for those users who are to have the responsibility of Principal Investigator.

DH-Level-3: This access level has the same authority as DH-Level-2 with the additional ability to electronically sign an approval, rejection, or void of a request as the Department Chair/Co-Chair. This level should be selected for those users who are to have the authority of Department Chair/Co-Chair.

PROXY: This access level is the same as DH-Level-2. The user at this level IS NOT actually a Principal Investigator but is given the rights to sign ON BEHALF of a Principal Investigator.

** The 4 Access Levels below are based on EMPLOYEE ID. Users with application access using one of the levels below will have access to ALL grant requests for ALL Departments. **

MST-Level-0: This level is reserved for I.T. staff.

MST-Level-1: This level is reserved for those users in the Sponsored Programs group.

MST-Level-2: This level is reserved for Robert Quinn, Karen Coty, and any user who will need to review and electronically sign when “Vertebrate Animal Subjects” will be used for the requested grant.

MST-Level-3: This level is reserved for users in Radiology who will need to review and electronically sign requests when “Radiology Services” are required.
Starting The Application –

To start the On-Line Grant Request Application, log-in to Self-Serve and select the “Grant_Requests” option found under the “Applications” Menu. The Grant Requests Dashboard will be displayed.

The Grant Requests Dashboard –

![Grant Request Dashboard](image)

Figure 1 - Grant Request Dashboard

The Grant Requests Dashboard shows all Grant Requests that apply to the logged-in user based upon the access granted to the application. As in the example above (with the exception of “MST” access), only users with access to the OPHTHALMOLOGY Department will see grants in Ophthalmology.

- The columns can be rearranged by using the mouse cursor to drag-and-drop the column(s) in the desired order.

- Rows can be sorted by clicking the desired column and selecting the sort order.

The Dashboard Columns –

**Quick Status:** This is a color code to allow for a quick indication of the current status of a grant request.

- **Orange** – The Form has been created but HAS NOT been submitted for approvals by the other parties who need to review and electronically sign the form.

- **Blue** – The Form HAS BEEN submitted and is waiting for review and signing by the other parties in the process flow.
Purple – The Form has been VOIDED by someone in the review and approval process. Voided forms are not editable and are locked from further processing.

Red – The Form has been REJECTED by someone in the review and approval process. When a form is rejected, there is usually an issue where something needed as part of the request has not been specified or included. When a form is rejected, a reason is required by the user who is rejecting the form. This allows the P.I. to resolve the outstanding issue and RE-SUBMIT the form for continued processing.

Black- The last step in the Approval process is to have review and sign-off by the Sponsored Programs group.

Req. ID: This is the unique numeric identifier of the Grant request.

Deadline: This is the Deadline Date specified when the request was submitted.

P.I. Name: This is the name of the Principal Investigator specified when the request was created.

P.I. Status: This is the current Approval Status of the Principal Investigator.

Department Name: This is the Department specified when the request was created.

Chair Status: This is the current Approval Status of the Department Chair/Co-Chair.

DLAR Status: This is the current Approval Status if “Vertebrate Animal Subjects” is specified on the request.

RAD. Status: This is the current Approval Status if “Radiology Services” is specified on the request.

S.P. Status: This is the current Approval Status of the Sponsored Programs group.

The Dashboard Actions –

- To create a new Grant Request, click the “New Request” button. A blank form will be displayed and the user can begin filling-out the request.

- To open a request displayed on the dashboard, select the desired request and click the “Open Request” button.

- To print a request displayed on the dashboard, select the desired request and click the “Print Request” button. A new window will open showing the details of the grant request form that you can view and/or send directly to a printer.

- To filter the displayed requests, select one of the options from the “Show:” drop-down and the dashboard will automatically re-fresh to show the requests you wish to see.
The Grant Request Form –

**PRINCIPAL INVESTIGATOR INFORMATION**

![Image of Grant Request Form - Principal Investigator Section]

**Figure 2 - Grant Request Form - Principal Investigator Section**

**Request ID:** Once the form is saved for the first time, the request is given a unique ID for easy tracking.

**Principal Investigator:** This drop-down contains the names of those users with P.I. (DH-Level-2) or Chair (DH-Level-3) access for the specific department(s) the user has access to. For example, if a user is creating a request for the Ophthalmology Department, only those names of people with P.I. and Chair level access in Ophthalmology will appear in the list.

**Department:** This drop-down contains the name(s) of the department(s) the user has access to, and associated with, the P.I.’s and Chair’s in the above field.

**SUNY E-mail:** When a Name is selected from the drop-down, the selected person’s E-mail address will automatically display. This field IS NOT editable.

**SUNY Phone:** When a Name is selected from the drop-down, the person’s phone number will automatically display. This field IS NOT editable.

**Alternate E-mail:** If you wish, you can enter an alternate E-mail address for the selected P.I.

**Alternate Phone:** If you wish, you can enter an alternate phone number for the selected P.I.

**Multi-Principal Investigators:** Enter up to 4 Multi-P.I.’s that will be associated with this request.

**Submitter:** Click the appropriate radio-button to indicate who is submitting this request.
Figure 3 - Grant Request Form - Program Details Section

P.I. Effort - Percent: If percentage is required, enter the amount between 0.00 and 100.00. DO NOT include the percent (%) symbol.

P.I. Effort - Months: If number of months is required, enter the amount between 0.00 and 100.00.

Projected Budget: Enter the amount of the project budget for this grant. DO NOT enter commas or the dollar ($) sign.

Sponsor Name: Enter the name of the sponsor of this grant.

Proposal Title: Enter the title of this grant request.

Submission Deadline: Enter (mm/dd/yyyy format) or select the last possible date that this grant request can be submitted.

PA/RFA Name or Number: Enter the PA/RFA Name or number associated with this request.

Application Type: Select whether this request is for a New, Renewal, Resubmittal, or Supplemental project. If you select any option other than NEW, you are required to specify the Project, Task and Award of the existing Project (These items will automatically display for entry).
Proposed Start Date:  Enter (mm/dd/yyyy format) or select the proposed start date for this grant.

Proposed End Date:  Enter (mm/dd/yyyy format) or select the proposed end date for this grant.

Cost Sharing/Matching Funds Incl.:  Select whether Cost Sharing and/or Matching funds are included with this request.

Cost Sharing/Matching Funds Desc.:  If you selected “Yes” to the above field, you will be required to provide a description of the included funds.  This field remains hidden, and is not required, if you select “No” to the above field.

Will any Hospital resources, facilities, and/or services be required for this proposal?:  Select whether you will need any of these services.

Describe the Hospital resources, facilities, and/or services proposed:  If you selected “Yes” to the above field, you will be required to provide a description of the needed services.  This field remains hidden, and is not required, if you select “No” to the above field.

Will Radiology services be required for this proposal?:  Select whether you will need Radiology services for this grant.

Describe the Radiology services proposed:  If you selected “Yes” to the above field, you will be required to provide a description of the needed services.  This field remains hidden, and is not required, if you select “No” to the above field.

Will the proposal require additional space commitment or additional resources from the department or school?:  Select whether you will need additional space and/or resources from the school or department for this grant.

Describe the additional department or school resources required:  If you selected “Yes” to the above field, you will be required to provide a description of the space and/or resources.  This field remains hidden, and is not required, if you select “No” to the above field.

Performance Site(s):  Select all performance sites that apply to this grant.
**POLICY REMINDERS**

**Figure 4 - Grant Request Form - Policy Reminders Section**

This section has links to specific policy documents that you can view and/or print.

**Please indicate all individuals who meet the definition of Investigator:** Enter the names all individuals that will have Project Investigator status on this grant.

**Acknowledgement:** Prior to submitting this request for review and approvals, you are required to acknowledge that ALL project staff will be made aware of proper RCR and COI Training.

**VERTEBRATE ANIMAL SUBJECTS**

**Figure 5 - Vertebrate Animal Subjects Section**

Select whether or not this Grant Request will make use of Vertebrate Animal Subjects. If you select “Yes”, you will be required to specify if the Project has been approved yet and, if so, you will also be required to provide the Project Approval date and the IACUC number. You will also be required to attach (described later) the appropriate Vertebrate Animal document(s) to this request.
Figure 6 - Grant Request Form - DNA / Infectious Agents / Human Tissue / Radioisotopes Section

- If this grant will involve the use of recombinant DNA, select “Yes”.
- If this grant will involve work with hazardous agents, select “Yes”.
- If this grant involves use of human tissue, select “Yes”.
- If this grant involves use of radioisotopes, select “Yes”. If you select “Yes”, you will be required to provide the License number.

HUMAN SUBJECTS

Figure 7 - Grant Request Form - Human Subjects Section

Select whether or not this Grant Request will make use of Human Subjects. If you select “Yes”, you will be required to specify if the Project has been approved yet and, if so, you will also be required to provide the Project Approval date and the IRBNET number.

CLINICAL TRIALS

Figure 8 - Grant Request Form - Clinical Trials Section

- If this grant is for a Clinical Trial, select “Yes”.

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• If this study is currently registered with clintrials.gov, select “Yes”. If you select “Yes”, you will be required to provide the NCT Number.

**SHARED TECHNOLOGIES**

<table>
<thead>
<tr>
<th>SHARED TECHNOLOGIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will any items or technologies be shared with foreign entities or collaborators?:</td>
</tr>
<tr>
<td>○ Yes ○ No</td>
</tr>
</tbody>
</table>

**Figure 9 - Grant Request Form - Shared Technologies Section**

If this grant will be sharing technologies, select “Yes”. If you select “Yes”, you will be required to describe the technologies shared, where those shared technologies will be going and who will have access to those technologies.

**KEYWORDS**

**Figure 10 - Grant Request Form - Keywords Section**

Please provide a list of words that can be used to describe the research proposed and the models or methods used. Please separate the keywords with commas.
ADDITIONAL EXPLANATIONS AND ATTACHMENTS

A box is provided to allow the user to enter any additional changes or explanations that should be part of this request.

Once a request form has been saved for the first time or opened from the Grant Request Dashboard, it will be possible to upload and “Attach” documents of any format to the request.

**Failure to attach the required document(s) can delay the approval of the request**

How To Upload (Attach) / View / Remove Documents –

1. Click the “Browse” button to find and select the document you wish to attach.

2. Once the document has been selected, optionally provide a description of the attached document and click the “Upload” button.

3. Once uploaded, the name of the person who uploaded the document, the upload date, file name, and description (if provided) will appear in the grid and is electronically attached to the request.

   Note: Should a file with a duplicate name already exist in the upload folder, the system will append a sequential number to the end of the file name for you in order to make it unique.

4. To view an uploaded document, select the desired document in the list and click “View Selected”.

5. To remove an uploaded document, select the desired document in the list and click “Remove Selected”.

**CAUTION – if you remove a document, it will be PERMANENTLY DELETED from the Upload folder!**
The Review And Approval Process Flow –

Once a request form has been SUBMITTED form processing (by clicking the “Submit” button) the approval process flow begins.

E-mail notifications are sent to the appropriate individuals in order to make them aware that a request form is in the approval process flow and that it needs to be reviewed and signed; The E-mail notification will contain a direct link to the individual form needing review and action. No notification is sent if information on the form does not apply to the given individual needing to review and sign. For Example: If “NO” is selected for “Vertebrate Animal Subjects”, no notification will be sent to Robert Quinn or Karen Coty. Notice also in the above example the buttons for signing are disabled and cannot be chosen. Also note that the person and date of each of the “Signature” line is recorded and displayed for easier tracking.

There is no specifically defined order to the review and approval process flow except that the “last stage” of the process is the review and signing by the Sponsored Programs group. For Example: Although, logically, the P.I. would review and sign the request prior to the Department Chair, this is not required and the Department Chair COULD review and sign the request BEFORE the P.I.

A Note About Sponsored Programs Access –

Since the Sponsored Programs group has the ultimate authority in moving the grant request through the system and should it become necessary, the users in this group can sign on behalf of any of the line-items listed in this section.
For Example: If time is of the essence for a request and a Department Chair is not available to review and sign it, a user from Sponsored Programs can sign on behalf of the Chair in order to avoid delaying the request.

**What The Buttons Mean –**

**Save:**

Because all of the information needed to complete a grant request may not be readily available, it is possible to create a request and save it for future completion and submission once all of the needed items and/or information has been gathered. If a form is SAVED, it IS NOT ready to be reviewed. No other buttons for signing are displayed until the form has been SUBMITTED.

**Submit/Re-Submit:**

When the form is ready to be reviewed and signed, click the “Submit” button. Unless voided, a form can be edited and “Re-Submitted” at any time. This may be necessary if a form is rejected for some reason. When this button is clicked, a series of checks are performed prior to completing the submission. If errors exist, a message-box listing all errors will be displayed. The form CANNOT be Submitted/Re-Submitted until the noted errors are corrected.

**Approve:**

Once reviewed by the appropriate party and all information is in order, that person approves the request by clicking the Approve button to continue the review process flow.

**Reject:**

If the user rejects a form, that user is required to provide a reason for the rejection so that the issue(s) can be resolved by the form’s creator or the P.I. Once corrected, the form can be re-submitted for appropriate review and approval. If a form is rejected, an E-mail notification is sent to the P.I. noting why the rejection took place. If a form is being re-submitted, the Rejecter will receive an E-mail notification that the request needs to be reviewed again.

**Void:**

If a form is voided, that form is locked and cannot be edited, submitted or re-submitted. However, voided forms CAN be viewed and printed if desired. A confirmation message is shown to ensure that the user wants to void the form. If a form is accidentally voided, it must be manually re-set by I.T. staff or it must be recreated and the approval process will re-start from the beginning. If a form is voided, an E-mail notification is sent to the P.I. noting who voided the form and the date on which the form was voided.