# Sponsored Research Administration (OSRA) Updates



#### Recent Workflow Enhancements

#### Recent Enhancements

- Advance Account Requests
- Indirect Cost Waivers
- Investigator Reports (Industry)

### NIH Updates

NIH Adobe Forms D

# Advance Account Requests



# Advance Account Template

**Current Form** 

Requires
 department to
 complete full
 draft letter
 template

Requires three signatures DEPARTMENTAL LETTERHEAD

#### ADVANCE ACCOUNT REQUEST FORM

[For a PI on a federal or non-federal grant for which funding has been anticipated, but official award notice has not been received by Grants and Contracts nor the investigator, or if a subaward/subcontract is under negotiation and not yet fully executed, access to an advance account is being requested to the Assistant Director of the Office of Sponsored Research Administration. Once you have completed the request below, please scan and e-mail to your grantsandcontracts@med.cornell.edu for processing.]

[Text in square brackets is information for you.]
{Text in curly brackets represents information you must fill in.}

Amy A. Lane

Assistant Director, Office of Sponsored Research Administration 1300 York Avenue, Box 89 New York, NY 10065

Re: Request for <u>Advance Account</u> {Grant or Subaward number} PI Name: Dr. {first and last name}

Dear Mrs. Lane.

I would like to request your approval to obtain an advance account for the above referenced {grant or subaward}.

This request is being made since it is anticipated that the grant will be funded as of {expected start date of grant/subaward} [no more than 90 days before the anticipated start date of the grant/subaward.]

{Reason for request} [Why is it important to obtain the advance account prior to the award being officially issued by the funding agency? For example, there is a high importance for hiring to commence. Effort needs to be allocated to this project immediately. This award involves lengthy negotiation and/or delays in processing agreement].

The department will be responsible for any debt incurred should this award not be funded or award amount is reduced. [Optional additional sentence: In the event that a deficit should occur, Account #\_inumber] should be charged.]

If you have any questions regarding this request, please do not hesitate to contact {Name and contact information}.

Sincerely,

(PI's signature)

{PI's name, title, Division and/or Department}

{Division Chief's signature} {Division Chief's name, title (if applicable)}

{Department Chair's Signature} {Department Chair's name, title}

Approved by:

OSRA

Advance Account Template

**Updated Request Form** 

- Complete form
  - Single signature
  - Quick turnaround from OSRA
  - Valid for 3 months
  - Extended if mitigating circumstances



# Advance Account Template Highlights

- Single page fillable PDF
- Provides two common justification options
- Delayed NOAs
- Delayed incoming subawards
- Requires Fund number
- Removes PI and Chair approval
- Requires only Departmental Administrator/Center Director approval
- Available for New and Non-Competitive creates
- Available for Awards pending compliance approvals

# Advanced Account Template Criteria Checklist

- Application and forms on file with OSRA
- Credible confirmation from Sponsor
- Ensure sponsor does not prohibit advanced spending
- Ensure valid dates
- Ensure expenditures are allowable
- Funds are available within the department to cover the expenditures

# Indirect Cost Waivers



#### Indirect Cost Waivers – Forms Reduction

#### Former Requirement:

 Any award from a sponsor providing an indirect cost rate below the federally approved rate

#### **Updated Requirement:**

 No longer required for awards from sponsors with a published IDC policy and rate

## Published IDC Policy & Rate

#### Bill & Melinda Gates Foundation

#### Maximum Indirect Cost Rates

Indirect cost rates for grants and contracts are subject to the following limitations:

#### 0% rate

Government agencies, Other private foundations, For-profit organizations Up to a 10% rate
U.S. universities,
U.S. community
colleges

#### *Up to a 15% rate*

Non-governmental organizations (NGOs), International organizations, Non-U.S. universities

- Indirect Costs Reimbursements = Rate % \* Total Project Costs (incl. personnel, sub-contracts, supplies, equipment, etc.)
- Rates and limitations apply to both the primary applicant organization and any sub-grantees and subcontractors. Each respective organization may receive indirect costs up to the rate applicable to their organization type.
  - Example: If a U.S. university is the primary grantee and includes an international organization as a sub-grantee, the U.S. university can receive up to a 10% rate, while the international organization can receive up to a 15% rate for indirect costs.
- The rates provided above are the maximum rates allowed under the Foundation's policy. A grantee or
  contractor with an actual indirect cost rate lower than the maximum rate provided above should not increase
  the funding request to the maximum allowed.

## Published IDC Policy & Rate

#### American Heart Association

#### F. INDIRECT COSTS

Indirect costs (may also referred to as Facilities and Administrative, F&A costs or overhead) are real costs incurred by the Institution in support of sponsored activities but cannot be directly identified with a specific Award or contract. If allowed by the program, institutional indirect costs for physical plant costs may be charged up to ten percent (10%) of the total expenditures each year on Awards. Indirect costs charges are for the use of the Awardee Institution and may be taken only at the time an amount is properly charged to the Award.

(Exception: indirect costs are not allowed during the fellowship research training phase of Fellow-to-Faculty Transition Awards).

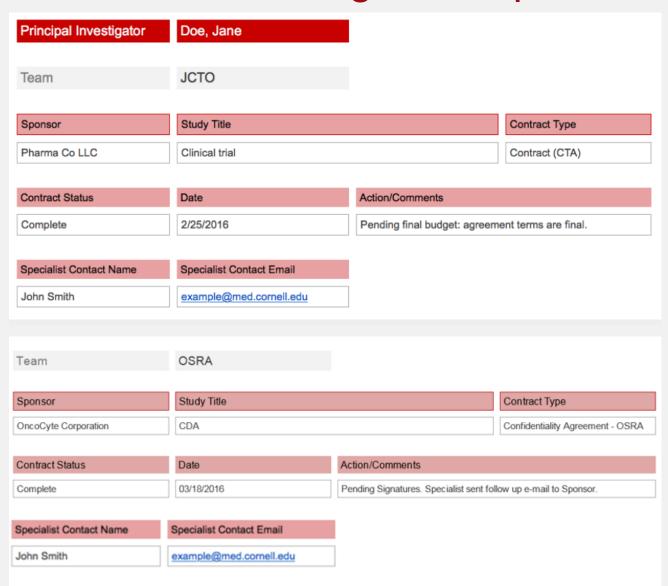
# Investigator Reports Industry Agreements



### **Enhanced Investigator Report**

- Released on March 4th and distributed on Fridays
- Features streamlined format for greater legibility
- Highlights action item cell in yellow when department action is needed
- Pls can review the report easily on a mobile device
- Can contact specialist directly from a hyperlink in the report
- To be added to an investigator's report email: investigatorreports@med.cornell.edu

### **Enhanced Investigator Report**





# **ADOBE Forms D**



#### NIH Website and Adobe Forms D

#### Adobe Forms D

- New program announcements NIH R01 PA-16-160
- New forms/uploads
- Updated instruction documents
- Comprehensive summary of major changes in guide documents

# PHS Assignment Request Form

	PHS Assignment Request Form			OMB Number: 0925-0001 Expiration Date: 10/31/2018		
Funding Opportunity Number:						
Funding Opportunity Title:						
Awarding Component Assignment Reque	est (optional)					
If you have a preference for an Awarding Component (e.g., NIH Institute/Center) assignment, please use the link below to identify the most appropriate assignment then enter the short abbreviation (e.g., NCI for National Cancer Institute) in "Assign to/Do Not Assign To Awarding Component" sections below. Your first choice should be in column 1. All requests will be considered; however, locus of review is predetermined for some applications and assignment requests cannot always be honored.						
Information about Awarding Components can be found here: https://grants.nih.gov/grants/phs_assignment_information.htm#AwardingComponents						
	1	2	3			
Assign to Awarding Component:						
Do Not Assign to Awarding Component:						
Study Section Assignment Request (optional)						
If you have a preference for a study section assignment, please use the link below to identify the most appropriate study section then enter the short abbreviation for that study section in "Assign to/Do not Assign to Study Section" sections below. Your first choice should be in column 1. All requests will be considered; however, locus of review is predetermined for some applications and assignment requests cannot always be honored.						
For example, you would enter "CAMP" if you wish to request assignment to the Cancer Molecular Pathobiology study section or enter "ZRG1 HDM-R" if you wish to request assignment to the Healthcare Delivery and Methodologies SBIR/STTR panel for informatics. Be careful to accurately capture all formatting (e.g., spaces, hyphens) when you type in the request.						
Information about Study Sections can be found here: https://grants.nih.gov/grants/phs_assignment_information.htm#StudySection						
	1	2	3			
Assign to Study Section: Only 20 characters allowed						
Do Not Assign to Study Section: Only 20 characters allowed						



# PHS Assignment Request Form

PHS Assignment Request Form						
List Individuals who should not review your application and why (optional)  Only 1000 characters allowed						
Identify Scientific areas of expertise needed to review your application (optional)  Note: Please do not provide names of individuals						
	1	2	3	4	5	
Expertise: Only 40 characters allowed						

View Burden Statement

#### PHS 398 Research Plan

OMB Number: 0925-0001 Expiration Date: 10/31/2018

Introduction					
Introduction to Application (Resubmission and Revision)		Add Attachment	Delete Attachment	View Attachment	
Research Plan Section					
2. Specific Aims		Add Attachment	Delete Attachment	View Attachment	
3. *Research Strategy		Add Attachment	Delete Attachment	View Attachment	
4. Progress Report Publication List		Add Attachment	Delete Attachment	View Attachment	
Human Subjects Section					
5. Protection of Human Subjects		Add Attachment	Delete Attachment	View Attachment	
6. Data Safety Monitoring Plan		Add Attachment	Delete Attachment	View Attachment	
7. Inclusion of Women and Minorities		Add Attachment	Delete Attachment	View Attachment	
8. Inclusion of Children		Add Attachment	Delete Attachment	View Attachment	
Other Research Plan Section					
9. Vertebrate Animals		Add Attachment	Delete Attachment	View Attachment	
10. Select Agent Research		Add Attachment	Delete Attachment	View Attachment	
11. Multiple PD/PI Leadership Plan		Add Attachment	Delete Attachment	View Attachment	
12. Consortium/Contractual Arrangements		Add Attachment	Delete Attachment	View Attachment	
13. Letters of Support		Add Attachment	Delete Attachment	View Attachment	
14. Resource Sharing Plan(s)		Add Attachment	Delete Attachment	View Attachment	
15. Authentication of Key Biological and/or Chemical Resources		Add Attachment	Delete Attachment	View Attachment	

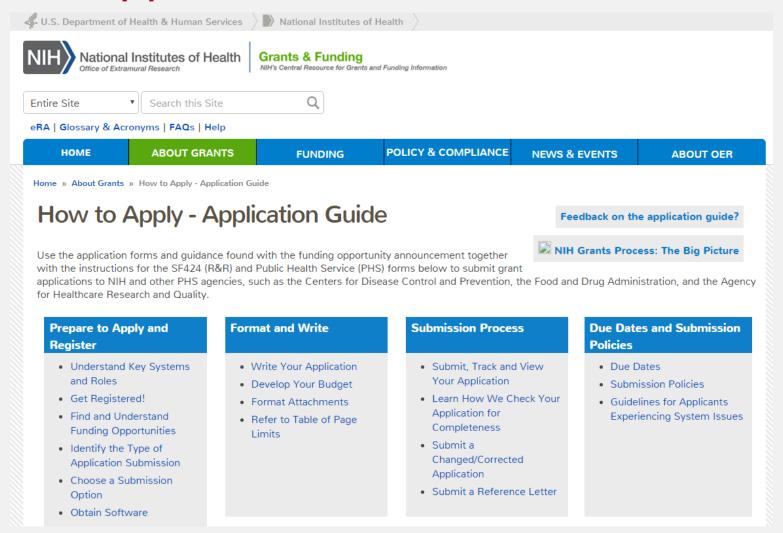
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3. *Research Strategy		Add Attachment	Delete Attachment	View Attachment
4. Progress Report Publication List		Add Attachment	Delete Attachment	View Attachment
Human Subjects Section				
5. Protection of Human Subjects		Add Attachment	Delete Attachment	View Attachment
6. Data Safety Monitoring Plan		Add Attachment	Delete Attachment	View Attachment
7. Inclusion of Women and Minorities		Add Attachment	Delete Attachment	View Attachment
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15. Authentication of Key Biological and/or Chemical Resources		Add Attachment	Delete Attachment	View Attachment

## **PHS Application Guides**



http://grants.nih.gov/grants/how-to-apply-application-guide.htm

