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
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 sub-contractors. 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
- PIs 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

#### Principal Investigator
- **Doe, Jane**

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<th>Team</th>
<th>JCTO</th>
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<tr>
<th>Specialist Contact Name</th>
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<tbody>
<tr>
<td>John Smith</td>
<td><a href="mailto:example@med.cornell.edu">example@med.cornell.edu</a></td>
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#### Team
- **OSRA**

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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

Funding Opportunity Number:

Funding Opportunity Title:

Awarding Component Assignment Request (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.html#AwardingComponents

Assign to Awarding Component:

1 2 3

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.html#StudySection

Assign to Study Section:

Only 20 characters allowed

1 2 3

Do Not Assign to Study Section:

Only 20 characters allowed
PHS Assignment Request Form

List Individuals who should not review your application and why (optional)

Identify Scientific areas of expertise needed to review your application (optional)

Note: Please do not provide names of individuals

Expertise:

Only 40 characters allowed
## PHS 398 Research Plan

### Introduction
1. Introduction to Application (Resubmission and Revision)

### Research Plan Section
2. Specific Aims
3. *Research Strategy
4. Progress Report Publication List

### Human Subjects Section
5. Protection of Human Subjects
6. Data Safety Monitoring Plan
7. Inclusion of Women and Minorities
8. Inclusion of Children

### Other Research Plan Section
9. Vertebrate Animals
10. Select Agent Research
11. Multiple PD/PI Leadership Plan
12. Consortium/Contractual Arrangements
13. Letters of Support
14. Resource Sharing Plan(s)
15. Authentication of Key Biological and/or Chemical Resources
PHS Application Guides