

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 Advance Account {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 # {number} 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



Weill Cornell Medicine

ADVANCE ACCOUNT REQUEST FORM

Complete this form to initiate creation of an advance account. Requests should be directed to the Office of Sponsored Research Administration (OSRA) at grantsandcontracts@med.cornell.edu. For more information please refer to the instructions listed on page 2 of this document.

PI: Department Contact:

Sponsor:

Prime Sponsor (if subaward): Phone:

Expected Start Date: Email:

Grant ID/Number:

Title:

REASON FOR REQUEST:

☐ Delayed/Late Notice of Award

☐ Delays in processing Subaward Agreement

☐ Other: *Why is it important to obtain the advance account prior to official award receipt?*

DEPARTMENT ACCOUNT:

The department will be responsible for any debt incurred if an award is cancelled, the sponsor refuses to honor costs, and/or the award amount is reduced. In the event that a deficit should occur, the account to be charged is:

APPROVAL:

By signing this form, I certify that I am aware of the risks involved with establishing an advance account and accept responsibility for any costs not reimbursed on this project.

Departmental Administrator/Center Director

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

Team JCTO

Sponsor	Study Title	Contract Type
Pharma Co LLC	Clinical trial	Contract (CTA)

Contract Status	Date	Action/Comments
Complete	2/25/2016	Pending final budget: agreement terms are final.

Specialist Contact Name	Specialist Contact Email
John Smith	example@med.cornell.edu

Team OSRA

Sponsor	Study Title	Contract Type
OncoCyte Corporation	CDA	Confidentiality Agreement - OSRA

Contract Status	Date	Action/Comments
Complete	03/18/2016	Pending Signatures. Specialist sent follow up e-mail to Sponsor.

Specialist Contact Name	Specialist Contact Email
John Smith	example@med.cornell.edu

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 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.htm#AwardingComponents

	1	2	3
Assign to Awarding Component:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do Not Assign to Awarding Component:	<input type="text"/>	<input type="text"/>	<input type="text"/>

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: <i>Only 20 characters allowed</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do Not Assign to Study Section: <i>Only 20 characters allowed</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Introduction1. 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

Introduction1. Introduction to Application
(Resubmission and Revision)[Add Attachment](#)[Delete Attachment](#)[View Attachment](#)**Research Plan Section**

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[Add Attachment](#)[Delete Attachment](#)[View Attachment](#)15. Authentication of Key Biological and/or
Chemical Resources[Add Attachment](#)[Delete Attachment](#)[View Attachment](#)

PHS Application Guides

U.S. Department of Health & Human Services > National Institutes of Health

NIH National Institutes of Health
Office of Extramural Research

Grants & Funding
NIH's Central Resource for Grants and Funding Information

Entire Site Search this Site


eRA | Glossary & Acronyms | FAQs | Help

HOME ABOUT GRANTS FUNDING POLICY & COMPLIANCE NEWS & EVENTS ABOUT OER

Home » About Grants » How to Apply - Application Guide

How to Apply - Application Guide

[Feedback on the application guide?](#)

 [NIH Grants Process: The Big Picture](#)

Use the application forms and guidance found with the funding opportunity announcement together with the instructions for the SF424 (R&R) and Public Health Service (PHS) forms below to submit grant applications to NIH and other PHS agencies, such as the Centers for Disease Control and Prevention, the Food and Drug Administration, and the Agency for Healthcare Research and Quality.

Prepare to Apply and Register	Format and Write	Submission Process	Due Dates and Submission Policies
<ul style="list-style-type: none">Understand Key Systems and RolesGet Registered!Find and Understand Funding OpportunitiesIdentify the Type of Application SubmissionChoose a Submission OptionObtain Software	<ul style="list-style-type: none">Write Your ApplicationDevelop Your BudgetFormat AttachmentsRefer to Table of Page Limits	<ul style="list-style-type: none">Submit, Track and View Your ApplicationLearn How We Check Your Application for CompletenessSubmit a Changed/Corrected ApplicationSubmit a Reference Letter	<ul style="list-style-type: none">Due DatesSubmission PoliciesGuidelines for Applicants Experiencing System Issues

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