

INSTRUCTIONS FOR FORM 10

INTERNAL ACADEMIC APPROVAL OF SPONSORED PROGRAMS

The following instructions are intended to clarify information requested on the Form 10, and to answer anticipated questions. The Office of Sponsored Programs (OSP) will continue to modify these instructions based upon your comments and suggestions, so please provide us your feedback: osp-help@cornell.edu.

- ◆ It is very important that you always use the current version of the Form 10 located at: <http://www.osp.cornell.edu/forms/form10/>
- ◆ It is **essential** that the Principal Investigator (PI) and Co-Principal Investigator(s) (Co-PI) read and complete the “Compliance Certifications” section of the Form 10, even if a departmental administrator is completing the remainder of the form.
- ◆ Links in the form *are* active.
- ◆ You must have Adobe Acrobat to save changes to the Form 10.

OSP NUMBER

- ◆ Provide the OSP number for existing projects. If you do not know the OSP number, you may look it up in the Sponsored Projects Portal: <https://portal.research.cornell.edu/>. It is important for OSP to know if the current proposal is linked with an existing project for proper submission.

SPONSOR INFORMATION

- ◆ Provide the sponsor’s submission deadline date and time. Select whether it is a receipt or postmark deadline. If there is no deadline, check the ASAP box.
- ◆ Provide all requested sponsor information including Prime Sponsor information if it is flow-through funds.

SHIPPING INFORMATION

If the proposal is to be mailed to the sponsor, indicate how you wish OSP to send the proposal and what account to charge the shipping cost. Be sure to allow adequate time for final OSP review before the pick-up time. We cannot ship to a PO Box so please provide us a street address and telephone number. Last pick up leaves OSP at 4:30 pm.

- ◆ **If by Federal Express:** provide Federal Express account number; select Priority, Standard, or 2-day.
- ◆ **If by Airborne:** provide Airborne account number; select Priority, Standard, or 2-day.
- ◆ **If by UPS:** provide UPS account number; select Priority, Standard, or 2-day.
- ◆ **If by Certified or First Class mail:** last pick-up leaves OSP at 10:30 AM.
- ◆ **If by Electronic Transmission:** notify your OSP Grant and Contract Officer (GCO) in advance, with either a link to or a copy of the instructions for submission.

PI/PROJECT INFORMATION

- ◆ **Principal Investigator & Title:** Enter the PI name and contact information. This information is used in part to determine eligibility according to Cornell’s PI Eligibility Policy: http://www.research.cornell.edu/VPR/Policies/PI_eligibility_app.html.
- ◆ **Department/Center Administering Project:** Indicate what department or unit will be *administering* the project. This may differ from the PI’s home department.
 - In cases where the Department/Center administering the project differs from the PI’s home department, Director/Chair signatures are required from both units in the “Approvals” section of the form.
 - Enter the three character account code for the department administering the proposal.
- ◆ **Project Title:** It is *critical* that the project title remain consistent from the proposal stage through protocol review by the various CU compliance committees (e.g. IRB) and onto the award stage. When submitting protocols for review to the following compliance committees, provide the same project title as used on the Form 10:
 - Institutional Review Board (IRB); <http://www.irb.cornell.edu>

- Institutional Animal Care and Use Committee (IACUC); <http://www.iacuc.cornell.edu>
- Institutional Biosafety Committee (IBC); <http://www.ibc.cornell.edu>)
- ♦ **Function Code:** Select a function code. If you need assistance, refer to our function code descriptions (<http://www.osp.cornell.edu/Policies/func-codes.htm>). The vast majority of sponsored projects are “Organized Research”. Extension projects are frequently “Public Service.” However, determining the proper function code can be confusing, as in cases when applying for a training grant that provides graduate students with research funding (In this example, the correct Function Code would be “training.”). Please contact your departmental administrator, Sponsored Financial Services (SFS) or OSP if you need assistance. Proper identification is important to determine the correct F&A Cost Rate to be charged to the sponsor. In some cases the proper function code will not be known or may need to be modified when the award is received.

BUDGET INFORMATION

Financial information on the Form 10 needs to match the budget and description information in the proposal.

- ♦ **Period of Performance:** Enter the start and end dates for the *entire project period* covered in this proposal.
- ♦ **First Year \$ Requested:** Enter the Direct, F&A, and Total dollars requested from the sponsor for the first year.
- ♦ **Total \$ Requested:** Enter the Direct, F&A, and Total dollars requested from the sponsor for the Period of Performance indicated above. Note: for College of Engineering proposals: If the proposal is \$3 million or more it must be discussed in advance with the Associate Dean for Research, Graduate Studies and Professional Education in the College of Engineering. His/her signature is required on the Form 10.
- ♦ **Facilities & Administrative (Indirect) Costs:**
 - First Year Rate: Enter the F&A cost rate charged to the sponsor for *the first year only*. We do not need to know if the rate changes over subsequent years, so please do not provide more than one rate in this box.
 - The large text box is to be used to provide explanation regarding the F&A cost rate used, *only if it is not the full rate*. Examples of why the full F&A cost rate is not used may include:
 - The sponsor has a written and consistently applied policy of not paying any F&A costs.
 - Rate reflects the maximum F&A rate allowed by sponsor.
 - F&A costs (full, or any portion thereof) have been waived by the Dean (for statutory units only). In such cases approval must be obtained in advance and indicated by the appropriate signature(s) on the Form 10.
 - A direct payment of a specific amount is being made by the sponsor in lieu of F&A costs.
 - The F&A costs, either full rate or something less than full rate, are being used as cost sharing for this specific project.
 - Not applicable: The proposal contains budget categories that do not generate F&A costs (i.e. equipment grants).
- ♦ **Cost Sharing:** Select the appropriate boxes.
 - Mandatory: These are funds *required* by the sponsor as a condition of obtaining the award. If there is Mandatory cost sharing, select the “Mandatory” box and enter the dollar amount next to the appropriate source of funds (e.g. dept., center, etc.). Send the supporting documentation (e.g. a copy of the sponsor’s provision regarding cost sharing) to OSP. *Only* provide the amount or percentage of cost sharing *required* by the sponsor. If you are providing cost sharing *over and above* that specified by the sponsor, see next bullet.
 - Voluntary Committed: These are funds committed to a project that are *not required* by the sponsor as a condition of obtaining the award. They are reflected in the proposal as quantified contributions, and are binding commitments. If you are including Voluntary Committed Cost Sharing in the proposal, select the “Voluntary Comm.” box and enter the dollar amount next to the appropriate source of funds (e.g. dept., center, etc.).
 - Voluntary Uncommitted: These are contributions that are not quantified or reflected in the proposal. These are non-binding commitments and therefore do not require documentation or reporting. Select the “None” box.
 - If Mandatory and Voluntary Committed Cost Sharing is included in the proposal, both boxes should be selected, with appropriate indication of the amount and source of funds for each.

- Department cost sharing: Signature of Department Chair is required in “Approvals” section of Form 10.
- Center cost sharing: Signature of Center Director is required in “Approvals” section of Form 10.
- College cost sharing: Signature of Dean is required in “Approvals” section of Form 10.
- University cost sharing: Signature of Provost or Vice Provost for Research is required in “Approvals” section of Form 10. Or, attach additional documentation to the Form 10 verifying the commitment.
- Other: Any source not listed above (e.g. in kind contributions, subrecipient contributions). Description of contributions should be easily identified in the proposal. Signature of Department Chair is required in “Approvals” section of Form 10.
- For College of Arts and Sciences proposals: If the proposal includes cost share, faculty leave or release time it must be discussed in advance with the appropriate Dean in the College of Arts and Sciences. His/her signature is required in “Approvals” section of Form 10.
- For College of Engineering proposals: If the proposal incorporates College or University cost-sharing (excluding 50% GRA tuition), it must be discussed in advance with the Associate Dean for Research, Graduate Studies and Professional Education in the College of Engineering. His/her signature is required in “Approvals” section of Form 10.

OTHER RESOURCES SPECIFIED IN PROPOSAL

This section is intended to capture any extraordinary expenses or commitments being made in the proposal. Be sure to attach all necessary approvals, explanations, and signatures if checking a box.

COMPLIANCE CERTIFICATIONS

The PI and all *Co-PIs* are certifying compliance by their signature(s) on this form. They are also certifying that all other key personnel on the project are in compliance. Even if the front page of the Form 10 is completed by department support personnel *it is critical that the investigators read and understand each certification statement* as there are serious ramifications to misrepresenting information on this form.

- ◆ **Disclosure Statement:** Select “yes” or “no”. OSP will not submit proposals or accept an award and release funds for individuals who have not filed an annual Conflict of Interest Disclosure statement. This applies to the PI, Co-PI and Key Personnel. Personnel who have joined Cornell since the latest annual process must complete the disclosure form before submitting any sponsored proposals. See <http://www.oria.cornell.edu/COI>.
- ◆ **Financial Interests:** Select “yes” or “no”. For proposals submitted to PHS (NIH, CDC, ACF, FDA, HRSA) or NSF, the PI, Co-PI and other Key Personnel must agree to abide by the federal financial disclosure regulations summarized at <http://www.osp.cornell.edu/forms/phsnsfdisclosure.pdf>
- ◆ **Human Participants:** Select “yes” or “no”. Enter the protocol number and approval date if you have already obtained approval to use human participants from the IRB for this project. Please provide OSP a copy of the IRB approval letter.
 - IRB approval is generally not required at the time of proposal submission (check sponsor guidelines). However, IRB approval is always required before OSP can accept an award and release funds. Therefore, it is in your best interest to initiate the protocol review process as soon as possible.
 - Remember to use the same project title on your IRB protocol submission as you have used on the Form 10.
- ◆ **Animal Use:** Select “yes” or “no”. Enter the protocol number and approval date if you have already obtained approval to use vertebrate animals from the IACUC for this project. Please provide OSP a copy of the IACUC approval letter.
 - IACUC approval is generally not required at the time of proposal submission (check sponsor guidelines). However, IACUC approval is always required before OSP can accept an award and release funds. Therefore it is in your best interest to initiate the protocol review process as soon as possible.
 - Remember to use the same project title on your IACUC protocol submission as you have used on the Form 10.
- ◆ **rDNA:** Select “yes” or “no”. Enter the MUA number and approval date if you have already obtained approval from the IBC for this project. Please provide OSP a copy of the IBC approval letter. Approval

is not required at the time of proposal submission. However, IBC approval is always required before OSP can accept an award and release funds.

- Check the IBC website, <http://www.ibc.cornell.edu/>, for guidelines regarding notification/approval requirements:
 - Class E and F projects: IBC *notification* required simultaneously with initiation of rDNA work.
 - Class D projects: IBC *approval* required prior to initiation of rDNA work.
 - Class C and above projects: Very rare. Consult the IBC.
- ◆ **Genetically Modified Organisms (GMOs):** Select “yes” or “no”. Enter the Memorandum of Understanding and Agreement (MUA) number and approval date if you have already obtained approval from the IBC for this project. Enter the name of the test organism and the Aphis regulatory status. If you are planning to field-release GMOs, you *must* contact the IBC at cu_ibc@cornell.edu or 255-7219. A MUA must be approved by the IBC prior to the start of experiments.
- ◆ **Radiation:** Select “yes” or “no”. Indicate the type of radioactive materials or radiation-producing equipment to be used. Contact Environmental Health & Safety (EH&S) at 255-8200 for additional information and guidance <http://www.ehs.cornell.edu/>.
- ◆ **Biological Agents and Toxins:** Select “yes” or “no”. A MUA must be approved by the IBC prior to the start of experiments <http://www.ibc.cornell.edu/>. Please provide OSP a copy of the IBC approval letter if you have already obtained approval from the IBC for this project. Approval is not required at the time of proposal submission. However, IBC approval is always required before OSP can accept an award and release funds.
- ◆ **Hazardous Materials:** Select “yes” or “no”. Select all types of hazardous materials that apply to your project. Contact EH&S at 255-8200 for additional information and guidance <http://www.ehs.cornell.edu/>.
- ◆ **Foreign Activities:** Select “yes” or “no”. If the project involves activities conducted outside of the U.S. include the names of the countries.

APPROVALS

- ◆ The PI *and all Co-PIs* are required to sign the Form 10. It is acceptable to print separate copies of the form for separate signatures and submit all to OSP. The signature certifies the proposal, including the scope of work and budget, is true and accurate and does not infringe on the proprietary rights of others. Neither the PI nor anyone proposed to work on this project are, to the best of their knowledge, debarred or suspended by any Federal department or agency.
- ◆ Signatures of Departmental Chairs, Center Directors and Deans authorize commitments of resources and/or waivers of F&A costs indicated on the first page of the form. Adherence to Cornell policies and sponsor’s requirements is also being acknowledged. It is acceptable to print separate copies of the form for separate signatures and submit all copies to OSP.
 - In cases in which the Department/Center administering the project differs from the PI’s home department, Director/Chair signatures are required from both academic units.
 - In cases in which the PI and co-PIs are in different academic units, all respective Department Chairs/Directors/Deans must sign the Form 10.
- ◆ The “Other” signature line is to be used as according to the procedures of individual departments. For example, this might include the Director of Extension for Extension projects, or departmental administrators.

FORM 10 ADDENDUM

- ◆ Some proposals submitted to certain sponsors (e.g. NIH) require a Form 10 Addendum. Please visit: <http://www.osp.cornell.edu/forms/form10/> to determine if your proposal requires a Form 10 addendum or contact your GCO for assistance.

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