



Research
Administration
Support

Form 10 and NFA Form

Office of Sponsored Programs

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Agenda

- Background
- Changes to Form 10 and NFA Form
- Demo
- Questions?

Form 10

What is it and why do we need it?

- Internal routing and approval form for proposals for sponsored projects
- Tool used to communicate project specifics, PI certifications and approvals
 - When and where to submit the proposal
 - Proposed project information(duration, amount requested, etc.)
 - Compliance information (e.g., animal use, conflict of interest, etc.).
 - PI certification (budget and proposal content is true and accurate, responsibility for scientific conduct, not debarred/suspended)
 - Unit approvals – resources, cost share, F&A rate, etc.
- Previous version used for all sponsored projects (financial and non-financial), except for MTAs which were handled via MTA Statement

Form 10 and NFA Form

Why do we need a new Form 10 and a new NFA Form?

- Using the same Form 10 since 2002
- Feedback that Form 10 was burdensome to complete, route and sign
- Additional options for signatures required to streamline approval process
- Many Form 10 questions for non-financial agreements were not relevant (budget, function, F&A, etc.)
- MTA Statement (approval form for MTAs) collected more information than we required for data entry and negotiation

Form 10 Evaluation Process

Spring 2015

Input from Senior Associate Deans, College Business Officers, OSP staff, ORIA

Summer 2015

Recommendations, Redesign

Sept 2015

Feedback from selected Faculty and Staff on first draft

Nov-Dec 2015

Pilot w/ CALS Integrated Plant Sciences, College of Human Ecology

Jan 13, 2016

Form 10 and NFA Form launched

Reduced Number of Forms

Form Type	Previous	New
Form 10	All proposals and agreement types	Financial proposals only
Form 10 Addendum	For proposals submitted < 2 days before deadline	Discontinued
Form 10 PHS Addendum	PHS proposals	Discontinued
Non-Financial Agreement (NFA) Form	N/A	Material Transfer (MTA) Non-Disclosure (NDA) Data Use (DUA or RADS) Other non-financial
MTA Statement	Material Transfer Agreements	Discontinued

Clear Questions, Minimal Information Required

Form 10 Section	Change
Shipping Information Options	<ul style="list-style-type: none">• Eliminated Airborne, UPS, 1st class/certified postal• Kept Electronic or FedEx
Function	<ul style="list-style-type: none">• Added Cooperative Extension, Research Training Grants, Fellowships
Other Resources	<ul style="list-style-type: none">• Revised based on College feedback to include only: Subawards, Staff at Out-of-State Locations, Unusual Equipment, Expanded Network Services, Renovated/Expanded Space, Restricted Access Data
Compliance	<ul style="list-style-type: none">• Revised and shortened compliance questions with input from ORIA and EH&S• Removed foreign activities question

One easy form for all NFAs

- One form to handle all non-financial agreements
- Minimal information required
 - ✓ Sponsor/Provider contact information
 - ✓ PI Information
 - ✓ Description of material or data to be transferred (MTAs and DUAs)
 - ✓ Location of material or data (MTAs and DUAs)
 - ✓ Location of data access (if different from physical location)
 - ✓ Related sponsored award or agreement
 - ✓ Compliance

Facilitated Signatures and Routing

Forms can be signed by the required signatories:

1. digitally or
2. by inserting an image or
3. by clicking and drawing or
4. manually or
5. via email affirmation with the completed Form 10 attached Signatures

can be collected concurrently on separate copies of the form; one document with all signatures is not required. Unit administrators should collate all required approvals into one document and send to OSP. No follow-up signature or paper copy is required and should not be requested.

Form 10 Demonstration

<https://www.osp.cornell.edu/Forms/form10/default.html>

NFA Form Demonstration

<https://www.osp.cornell.edu/Forms/form10/default.html>

Technical Stuff

Browsers:

- Internet Explorer, Mozilla Firefox, Safari recommended
- Chrome NOT RECOMMENDED

Adobe Professional

- now available for all Cornell-owned computers at no cost!
- http://www.it.cornell.edu/services/software_licensing/available/Adobe-Creative-Cloud-Enterprise-Licensing.cfm

Digital signatures

- Follow the prompts in the signature box to create your signature

Questions and Feedback

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