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**Office of Research & Sponsored Programs Endorsement Form**

**Notice: Proposals must reach ORSP at least five working days prior to the sponsor's deadline. Failure to meet the deadline may jeopardize the online submission of the proposal and may result in incomplete review by ORSP. Proposals not meeting the deadline, or lacking full endorsement, may be submitted to the sponsor with provisional approval only. If subsequent review reveals that the proposal is incomplete or does not conform with University or sponsor requirements, ORSP may, on behalf of the University, withdraw the proposal from sponsor consideration.**

<b>1. Proposal Type:</b>  <b>2. Type of Activity:</b>  6. Project Title (100 character max.)  <b>7. Investigator Data</b> PI: _____ Email: _____ Phone: _____ Last                      First                      MI  Salary Account #: _____ Unit Name: _____ Org ID: _____ % of Effort: _____ Non-Faculty  Co-PI 1: _____ Salary Account #: _____ Unit Name: _____ % of Effort: _____ Non-Faculty Last                      First                      MI  Co-PI 2: _____ Salary Account #: _____ Unit Name: _____ % of Effort: _____ Non-Faculty Last                      First                      MI		<b>3. Current RU Account:</b> 4 -  <b>4. Science Codes:</b>		<b>5. Proposal Deadline:</b>  Proposal Submission: _____  Date rec'd. ORSP: _____ ( for ORSP use only )	
				<b>8. Admin unit Information:</b>  Admin. Account #: _____ Admin. Unit Name: _____ OrgID: _____ Admin Contact Name: _____ Email: _____	

**INVESTIGATOR CERTIFICATIONS AND QUESTIONS**

9. Please answer "Y" or "N" to the following as it relates to the PI, Co-PI or key personnel.
- a) Are you presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any Federal department or agency?... Yes No
  - b) Have you or will you lobby any Federal agency on behalf of this award ? (Lobbying is defined as using Federal funds in an attempt to influence - either in the executive or legislative branch - a specific federal award. The term "Federal award" includes grants, contracts, loans, loan guarantees, insurance and/or other assistance programs) ..... Yes No
10. Please answer the following questions as they pertain to the PI, Co-PI, Key Personnel and / or their immediate family members.
- a) Do you have more than 1% ownership interest in the Sponsor, the prime funding source or a subcontractor (whichever applies) ..... Yes No
  - b) Do you have a management role in the Sponsor, the prime funding source or subcontractor? ..... Yes No
  - c) Do you have a consulting arrangement or other personal financial relationship with the Sponsor, the prime funding source or the subcontractor ? ..... Yes No
  - d) Do you have any other relationship relating to this project that may create or be perceived to create a conflict of Interest ? ..... Yes No
11. If answering 'Yes' to either of the following questions, please explain in detail on an additional sheet
- a) Does the project require additional facilities ( space ) outside of your existing facilities? ..... Yes No
  - b) Does the project require additional equipment, renovation/construction/rental of space and/or expanded use of Rutgers' personnel or services? ..... Yes No

Principal Investigator/Project Director:

I agree and certify that I will abide by current University policies on cost sharing, conflict of interest, intellectual property, and the use of human subjects/vertebrate animals in research. I certify that the information contained on this form and within this application is true, accurate and complete and any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. The proposal budget includes all the Cost Sharing, necessary equipment, installation, shipping, new space, renovation and/or facility modification costs; I do not expect Rutgers to share in such costs. If an award is made, I am responsible for compliance with award terms and conditions and University policies and procedures; particularly for the technical conduct of the work, submission of technical reports, regulatory compliance, and financial management. I am not aware of potential sponsor publishing restrictions or sponsor requirements for patent rights, which are in violation of Rutgers policies.

PI Signature: _____ Date: _____  Department Chair Signature: _____ Date: _____  Dean/Center Director/Provost Signature: _____ Date: _____  RU Foundation: _____ Date: _____  Other Approvals: _____ Date: _____	Total Funds requested _____ Copies to ORSP _____  ORSP/OCLTT: _____ Date: _____  Compliance: _____ Date: _____  Comments: _____ _____ _____
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**12. Sponsor Name:**

Is this sponsor a foreign entity: Yes  No  If yes, please list country:

RFP #/Program#:

Program Name:

Sponsor Proposal #:

If RU is a subawardee, please list prime funding source:

**13. Budget Data:**

Graduate Students #:

F/T Equivalent #:

Person Months #:

Sponsor funding	Initial / Continuation Budget Period	Total Budget period
Requested Start Date (mm/dd/yy)		
Requested End Date (mm/dd/yy)		
Total Direct Costs		
Total F&A Costs		
<b>TOTAL COSTS</b>		

**14. Cost-Sharing:**

Cost % or Ratio:

Total Cost Sharing Budget:

Total Direct Costs: \$

Total F&A Costs: \$

Total Costs:

**15. Applicable F&A Costs:**

Rate: %

Base Rate:

On Campus:  Off Campus:

If "other", please define:

**16. F&A exception:** Yes  No  If yes, please attach exception approval or Sponsor Guidelines.

**17.**  Check here if a pre-established F&A cost return is in place. Please attach supporting documentation.

**18. List of Subcontractors/Subawards Budgeted:**

Name: Total Costs: \$  
 Name: Total Costs: \$  
 Name: Total Costs: \$

**19. Special Reviews:** (If answering 'Yes' to a-f, please complete Page 3)

- |                          |  |            |                           |
|--------------------------|--|------------|---------------------------|
|                          |  | Protocol # | Approval/Expiration Dates |
| a. Human Subjects        | Yes <input type="checkbox"/> No <input type="checkbox"/> |            |                           |
| b. Animal Use            | Yes <input type="checkbox"/> No <input type="checkbox"/> |            |                           |
| c. Controlled Substances | Yes <input type="checkbox"/> No <input type="checkbox"/> |            |                           |
| d. Radioactive Materials | Yes <input type="checkbox"/> No <input type="checkbox"/> |            |                           |

- e. Recombinant DNA ..... Yes  No
- f. Biohazards ..... Yes  No
- g. Do you anticipate any Program Income as a result of this project? ..... Yes  No
- h. Does your Budget include "Participant Support Costs" ? ..... Yes  No
- i. Do you intend to have participation by any foreign nationals? (subject to EAR/ITAR regulations or other Sponsor regulations) ..... Yes  No
- j. Do you anticipate any publication restrictions? (as a result of ITAR or other Sponsor regulations) ..... Yes  No
- k. Do you anticipate that any new invention, process, or discovery may arise from this project? ..... Yes  No

**20. Additional Information:**

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## COMPLIANCE

### ANIMAL WELFARE COMPLIANCE

**1. Work being conducted at Rutgers or Elsewhere**

Are **all** elements of the live vertebrate animal work that are conducted by the principal investigator or their research team, whether at Rutgers or elsewhere, approved within the scope of an approved Rutgers protocol?

Protocol #                      Approval/Expiration Dates

Yes:

Additional protocols are associated with this project and are listed on an attachment.

List the title of the protocol(s) *if it is different* from that of the project:

No, but an amendment will be filed to an existing animal protocol. Approval is considered pending. List the relevant protocol number:

No, but a protocol will be submitted in accordance with the protocol submission schedule. It is considered pending.

**2. Animal Work Being Conducted in a Foreign Country**

Is animal work being conducted in a foreign country, whether or not you are directly involved in the research?

Yes, complete information below.                       No

a. The country:

b. Name of institution:

c. Foreign assurance number:

d. Provide the Rutgers approved protocol number which details this work:

**3. Subcontract Work: (including custom work, e.g. antibody production)**

Is animal work being conducted under a subcontract?

Yes, complete information below.                       No

a. List the institution being subcontracted:

b. List the subcontracted institution's assurance number:

c. List the subcontracted institution's protocol number:

d. List the approval date:

e. Attached is the Notice of Approval:     Yes     No

### HUMAN SUBJECTS COMPLIANCE

**1. Work being conducted at Rutgers or Elsewhere**

Are **all** elements of the research involving human participants conducted by the principal investigator or their research team, whether at Rutgers or elsewhere, approved within the scope of an approved Rutgers protocol?

Protocol #                      Approval/Expiration Dates

Yes:

Additional protocols are associated with this project and are listed on an attachment.

List the title of the protocol(s) *if it is different* from that of the project:

No, but an amendment will be filed to an existing human subjects protocol. Approval is considered pending. List the relevant protocol number:

No, but a protocol will be submitted in accordance with the protocol submission schedule. It is considered pending.

**2. Human Subjects Work Being Conducted in a Foreign Country**

Is research involving human participants conducted in a foreign country, whether or not you are directly involved in the research?

Yes, complete information below.                       No

a. The country:

*If applicable:*

b. Name of institution:

c. Foreign assurance number:

d. Provide the Rutgers approved protocol number that details this work:

**3. Subcontract Work**

Is research involving human participants conducted under a subcontract?

Yes, complete information below.                       No

a. List the institution being subcontracted:

b. List the subcontracted institution's assurance number:

c. List the subcontracted institution's protocol number:

d. List the approval date:

e. Attached is the Notice of Approval:     Yes     No

**4. Human Subjects Certification**

a. Have all key personnel involved in the design or conduct of the research working on this project with human subjects, under a Rutgers approved protocol, completed the Rutgers Human Subjects Certification Program?     Yes     No

b. Have all key personnel working on this project with human participants through a subcontract taken a human subjects certification test (either at Rutgers University or at the subcontracting institution)?     Yes     No

### CONTROLLED SUBSTANCES

If not already done so, investigators using controlled substances must complete the controlled substance form found at <http://orsp.rutgers.edu/cs>.

1. List the names of the controlled substances which will be used:

2. a. List the name of the person who holds the DEA and state registration under which the work will be done:

b. List federal DEA registration number:

c. List NJ CDS registration number:

### RUTGERS ENVIRONMENTAL HEALTH AND SAFETY

1. Does the project involve the use of class III or IV lasers, ionizing radiation producing devices and/or radioactive materials, biohazardous microorganisms or agents, recombinant DNA molecules, select agents, chemical carcinogens, or other toxic or hazardous chemicals?

Yes, complete the REHS form found at <http://orsp.rutgers.edu/formsAndInstructions.asp> and attach.

No

On file with REHS.



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Log Number ( For ORSP Use Only )

## ABSTRACT OF PROPOSAL

PI / PD Name:

Last

First

MI

Campus:

Admin Unit:

Agency / Organization to which Proposal is Submitted:

Title Of the Project:

Please provide an abstract of the proposed project in the space below, in terms understandable to an intelligent lay audience. If the project is funded, this abstract will become a public document. Therefore, do not include any data or materials potentially subject to copyright or patent protection, proprietary information from the sponsor, or budgetary or personal data. Please limit your abstract to one page.

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