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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>3. Current RU Account:</b> 4 -		<b>5. Proposal Deadline:</b>	
<b>2. Type of Activity:</b>		<b>4. Science Codes:</b>		Proposal Submission:	
6. Project Title (100 character max.)				Date rec'd. ORSP: _____ ( for ORSP use only )	
<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>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: _____		Total Funds requested _____ Copies to ORSP
Department Chair Signature: _____ Date: _____		ORSP/OCLTT: _____ Date: _____
Dean/Center Director/Provost Signature: _____ Date: _____		Compliance: _____ Date: _____
RU Foundation: _____ Date: _____		Comments: _____
Other Approvals: _____ Date: _____		_____
		_____

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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: \_\_\_\_\_

<p>16. F&amp;A exception: Yes No If yes, please attach exception approval or Sponsor Guidelines.</p> <p>17. Check here if a pre-established F&amp;A cost return is in place. Please attach supporting documentation.</p>	<p>18. List of Subcontractors / Subawards Budgeted:</p> <table border="0"> <tr> <td>Name</td> <td>Total Costs: \$</td> </tr> <tr> <td>Name</td> <td>Total Costs: \$</td> </tr> <tr> <td>Name</td> <td>Total Costs: \$</td> </tr> </table>	Name	Total Costs: \$	Name	Total Costs: \$	Name	Total Costs: \$
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<p>19. Special Reviews: (If answering 'Yes' to A-G, please complete Page 3)</p> <table border="0"> <tr> <td></td> <td>Protocol #</td> <td>Approval/Expiration Dates</td> </tr> <tr> <td>a. Human Subjects ----- Yes No</td> <td></td> <td></td> </tr> <tr> <td>b. Animal Use ----- Yes No</td> <td></td> <td></td> </tr> <tr> <td>c. Human Embryonic Stem Cell Research ----- Yes No</td> <td></td> <td></td> </tr> <tr> <td>d. Recombinant DNA ----- Yes No</td> <td></td> <td></td> </tr> <tr> <td>e. Biohazards ----- Yes No</td> <td></td> <td></td> </tr> </table>		Protocol #	Approval/Expiration Dates	a. Human Subjects ----- Yes No			b. Animal Use ----- Yes No			c. Human Embryonic Stem Cell Research ----- Yes No			d. Recombinant DNA ----- Yes No			e. Biohazards ----- Yes No			<table border="0"> <tr> <td>f. Controlled Substances-----</td> <td>Yes</td> <td>No</td> </tr> <tr> <td>g. Radioactive Materials -----</td> <td>Yes</td> <td>No</td> </tr> <tr> <td>h. Do you anticipate any Program Income as a result of this project?-----</td> <td>Yes</td> <td>No</td> </tr> <tr> <td>i. Does your Budget includes "Participant Support Costs"? -----</td> <td>Yes</td> <td>No</td> </tr> <tr> <td>j. Do you intend to have participation by any foreign nationals? (subject to EAR/ITAR regulations or other Sponsor regulations) -----</td> <td>Yes</td> <td>No</td> </tr> <tr> <td>k. Do you anticipate any publication restrictions? (as a result of ITAR or other Sponsor regulations)-----</td> <td>Yes</td> <td>No</td> </tr> <tr> <td>l. Do you anticipate that any new invention, process, or Discovery may arise from this project?-----</td> <td>Yes</td> <td>No</td> </tr> </table>	f. Controlled Substances-----	Yes	No	g. Radioactive Materials -----	Yes	No	h. Do you anticipate any Program Income as a result of this project?-----	Yes	No	i. Does your Budget includes "Participant Support Costs"? -----	Yes	No	j. Do you intend to have participation by any foreign nationals? (subject to EAR/ITAR regulations or other Sponsor regulations) -----	Yes	No	k. Do you anticipate any publication restrictions? (as a result of ITAR or other Sponsor regulations)-----	Yes	No	l. Do you anticipate that any new invention, process, or Discovery may arise from this project?-----	Yes	No
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20: Additional Information:

# COMPLIANCE

PI Last name

Sponsor Name

Proposal Log Number

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## 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 the 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 *if it is different* from that of the project:

No, but an amendment will be filed in 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 grant 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 grant 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 federal DEA registration number:

b. List NJ CDS registration number:

c. Name of registration holder for "a" and "b":

## HUMAN EMBRYONIC STEM CELL RESEARCH

Are all aspects of the human embryonic stem cell research covered by an Embryonic Stem Cell Research Oversight protocol?

Yes

No, complete the ESCRO application found at <http://cord.rutgers.edu/stemcellcourse/GuidelinesforhESCResearch.php>

## 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, chemical carcinogens or other toxic or hazardous chemicals?

Yes, Approval on file

Pending approval, complete and attach the REHS form found at <http://orsp.rutgers.edu/formsAndinstructions.asp>

2. Are all aspects of any work with biohazardous microorganisms or agents, recombinant DNA molecules, or select agents, approved by the Biosafety Committee?

Yes, list the title of the approved Biosafety protocol.

No, complete the Biological Safety protocol found at [http://rehs.rutgers.edu/lbio\\_forms.htm](http://rehs.rutgers.edu/lbio_forms.htm)



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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.