

# WSU OFFICE OF RESEARCH COMPLIANCE ROUTING FORM

Banner #

GDS:

MAC USERS: Please complete using the latest version of Adobe Reader

**FINAL proposals are due a MINIMUM of 3 business days prior to the Agency Deadline**

**Additional processing time required for paper submissions and proposals which include cost share and/or waived indirects.**

## FINAL MATERIALS DUE TO THE OFFICE OF RESEARCH BY:

Principal Investigator (PI):

Agency Deadline:

Sponsor/Agency:

Solicitation/RFP #:

Project Title:

Please indicate if your project includes any of the following by checking the box:

<input type="checkbox"/>	Human Subjects	<input type="checkbox"/>	Biological Materials	<input type="checkbox"/>	Infectious Agents
<input type="checkbox"/>	Animal Subjects	<input type="checkbox"/>	Clinical Trials	<input type="checkbox"/>	Proprietary Information
<input type="checkbox"/>	Hazardous Chemicals/Waste	<input type="checkbox"/>	Medical Devices/Drugs	<input type="checkbox"/>	Foreign Nationals
<input type="checkbox"/>	Radioactive Materials	<input type="checkbox"/>	Recombinant DNA or RNAi	<input type="checkbox"/>	International Collaborations
<input type="checkbox"/>	HIPPA/PHI/PII*	<input type="checkbox"/>	Subrecipients	<input type="checkbox"/>	Foreign Travel
<input type="checkbox"/>	ITAR/CUI*	<input type="checkbox"/>	Independent Contractors	<input type="checkbox"/>	Foreign Shipping
<input type="checkbox"/>	FERPA	<input type="checkbox"/>		<input type="checkbox"/>	

\***Definitions:** **HIPAA/PHI** – Health Insurance Portability and Accountability Act/Personal Health Information; **ITAR/CUI** – International Traffic in Arms Regulations/Controlled Unclassified Information; **PII** – Personally Identifiable Information.

Please respond Yes or No to the following questions:

Does this project pose a real or perceived conflict of interest for you or any anticipated project member?	<b>Yes</b>	<b>No</b>
Have you or any anticipated project member been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from transactions by a federal department or agency?	<b>Yes</b>	<b>No</b>
Are you or any anticipated project member currently delinquent on any federal debt? (i.e. taxes, student loans, etc.)	<b>Yes</b>	<b>No</b>
Is your project Fundamental Research?  Fundamental research means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.	<b>Yes</b>	<b>No</b>

## RESPONSIBLE CONDUCT OF RESEARCH (RCR)

RCR training is a funding requirement for the National Science Foundation (NSF), the National Institutes of Health (NIH), USDA National Institute of Food and Agriculture (NIFA) and possibly other funders. Researchers applying for, and receiving, support from NSF, NIH or NIFA should be familiar with each agency's requirements with regards to RCR and be prepared to provide documentation of appropriate training. While RCR training should be an ongoing component of any research program, at a minimum, personnel on projects with a research component will need to register and complete the "Externally Funded Researchers" RCR course through the Collaborative Institutional Training Initiative (CITI). All personnel named at the time of award must complete training prior to award set-up. The PI is responsible for ensuring any personnel not named at the time of award complete training prior to receiving salary support.

**CERTIFICATION REGARDING CHINA (applicable to NASA projects)**

By signing this compliance routing form, project personnel represent that they are not China or a Chinese-owned company, and that they will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

**CERTIFICATION REGARDING LOBBYING**

The applicant certifies, to the best of his or her knowledge and belief , that: (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement. (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. (3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**ACKNOWLEDGEMENTS AND CERTIFICATIONS:**

As the Principal Investigator and/or Project Technical/Scientific Lead, I acknowledge that I have reviewed and considered all terms and conditions (including those that must be accessed electronically), and I understand that said terms and conditions are/may be applicable to any and all work performed should the application be successful. My signature indicates my knowledge of the terms and conditions and my willingness/ability to comply therewith. With respect to any invention, discovery, or copyrightable material produced in the course of activities encompassed by this project, I agree that any rights shall be governed by the University policies relating to research, patents and copyrights as described in the WSU Faculty Handbook, and by the patent policy of the Kansas Board of Regents.

As the Principal Investigator and/or Project Technical/Scientific Lead, I hereby certify that: 1) the information submitted within this application is true, complete and accurate to the best of my knowledge; and 2) any false, fictitious or fraudulent statements or claims may subject me personally to criminal, civil or administrative penalties; and 3) I agree to accept responsibility for the scientific conduct of this project and provide the required progress reports if a grant is awarded as a result of this application.

**FORM WILL LOCK ONCE SIGNED BY PI**

**ENSURE YOU HAVE READ, COMPLETED AND UNDERSTAND ALL PRIOR SECTIONS BEFORE SIGNING**

***Signature of the Project Technical/Scientific Lead is required if the PI is delegating authority.***

Principal Investigator (PI):

Project Technical/Scientific Lead:

Signature:

Signature:

PI Printed Name:

Printed Name:

Date Signed:

Date Signed: