

# Proposal Internal Approval Form

## *Instructions*

*IAF-P08*

The *Proposal Internal Approval Form (IAF-P08)* provides a summary of pertinent administrative and fiscal information about a proposed sponsored project. It also provides a record of assurances of Principal Investigator/ Project Correspondent(s) or the Investigator(s) and Campus, Department, College, other academic unit Director(s), or other institutional approvals given to the proposal being processed. An *IAF* must be prepared for all University sponsored projects and the IAF-P08 proposal version must accompany all proposals sent to the Office of Research Affairs (ORA - HMC) or Office of Sponsored Programs (OSP- other locations) for University processing. The *IAF-P08* must have all required approvals prior to proposal submission.

The *IAF-P08* is usually prepared with the assistance of a research administrator in the department, college, or other academic unit. However, it is the responsibility of the Principal Investigator/Project Correspondent(s) or Investigator(s) to provide accurate information and to make all the required assurances.

### Page 1

1. The name of the Principal Investigator/Project Correspondent (PI) should be placed in this box. **Only one name may be entered here.** In those cases in which more than one individual is considered to be primarily responsible for the scientific, technical, and administrative conduct of a project, each person shall be considered a **Co-principal Investigator**. However, only one investigator may be selected as the **"Project Correspondent"** and listed in box 1. The **"Project Correspondent"** is the person to whom official University communication will be sent regarding the proposal. Approvals for the individual listed in box 1 should be given in the *Single Investigator or Project Correspondent Approvals* section on page 2 of this form. Other Co-

Principal Investigators should be listed on page 3 of this form, under the **Additional Investigator Approvals** section. In these cases, be sure to check the **Investigator Status boxes** as either **"Co-Principal Investigator"** or **"Investigator or Associate"**

2. Enter PI e-mail address.
3. Enter College/Unit administering the project.
4. Enter e-mail for the College/Unit Administering the project.
5. The appropriate Department/Subunit for the PI in box 1 should be entered here, or in the case of a consortium/ institute/ center, the administering entity (e.g., Materials Research Institute) should be identified. In the case of a Commonwealth College Campus, the name of the Campus with administrative responsibility for the project should be identified here.
6. Enter the name of the building where the project will be performed. If work will be performed in multiple buildings, only identify the **primary** location.
7. The type of project should be identified by checking **only one** of the boxes shown. Projects fulfilling more than one function should be **identified by the predominant activity** of the project. Below are some definitions that may be helpful:

**Research** - This box should be checked when the project predominantly involves **research, scholarship and other creative endeavors**, such as laboratory research, survey research, research training, exhibits, performances, research dissemination, technology transfer, or economic development activities.

**Instruction** - This box should be checked when the project predominantly involves undergraduate or graduate instruction or instruction-related programs.

**Outreach** - This box should be checked when the project predominantly involves continuing education programs, either credit or non-credit, and any activity that shall use continuing education program services or facilities, such as the Conference Center.

**Service** – This box should be checked when the project predominantly involves service work being performed at Hershey Medical Center.

8. The title of the project should be entered here, exactly as it is listed on the proposal.

9. **Check the appropriate box.** If this proposal is a first time submission of the proposed project to a particular sponsor, then check "New Proposal." If this is a new proposal going to a number of agencies, still check "New Proposal." If the proposal is for a new period under an existing award, check the "Continuation" box. If the proposal is for additional funding for an existing period of award, check the "Supplement" box. If the proposal is a grant transfer, check the "Grant Transfer" box. If the proposal is being submitted for a new competitive cycle for the same project, check the "Renewal" box. If the IAF-P08 is accompanying a revision to a proposal or a revised budget for a proposal that has already been processed through OSP, check the "Resubmission to College Proposal ID No: " box and enter the OSP number of the original proposal. **Other conditions:** If the proposal is a new submission of a revised project that has been previously reviewed by an agency and "approved but not funded" or "not funded," check the "New Proposal" box, but refer to the previous proposal in the *Remarks* section.

10. If this IAF-P08 is accompanying a proposal that is being renewed or continued, insert the **current grant or contract number or PSU Accounting Information** (University budget/fund number), so that OSP can match and link the document with the already existing university project. If the action is for a grant transferring from another institution, do not list

the current number here, but do so with explanation in the *Remarks* section on Page 1 of the IAF-P08.

11. If the proposal will result in a subaward being issued to PSU from another entity, enter the source of the funding for the Prime Award.

12. Enter the **complete identification of the Sponsor**, including a **contact person**. Enter the complete mailing address of the sponsor that the proposal has been or needs to be transmitted to. Overnight courier services (except for U.S. Mail Express) *do not deliver to P.O. boxes*, so if that service is requested a delivery address, including accurate zip code must be given. If the proposal is to be sent to multiple reviewers for the single sponsor (e.g., clearinghouse review, regional office review, and the like), then include a note to that effect in this box and include the other names, addresses, and mailing instructions in the *Remarks* section or on an attached sheet. Add the Contact name and phone number, if known, for Express Delivery.

Enter your Sponsor Protocol Number here.

13. Insert the **CFDA** (Catalog of Federal Domestic Assistance) number. This number is required for all federal and federal flow-through proposals under OMB Circular A-133. The number is usually identified in the sponsor's program guidelines. If it is not available, a call should be made to the sponsor contact point to obtain the number. If the proposal is prepared in response to an RFP (Request for Proposals), an RFQ (Request for Quotation), RFB (Request for Bid), BAA (Broad Agency Announcement) or other formal solicitation mechanism, identify the solicitation number. If the proposal is submitted in response to a specific program opportunity, for example, NSF Career Investigator Awards, identify the name of the special program here.

14. Identify if the proposal is to be submitted by a college with delegated signature authority or by OSP. Add any special instructions to the box as needed; i.e., method of transmission, any special attachments, budget & fund number for postage, etc. Also identify the **method of transmission** of the proposal document that you would like OSP to use. OSP has arrangements with United Parcel Service

(UPS)—the University's approved overnight courier for domestic packages—and with other ground couriers for pick-up and billing, but the use of these services requires the **completion of a University Mail Card**, which must be provided with the *IAF-P08*. If a deadline is missed for these services, OSP will ship overnight packages by UPS or have the college/unit pick up the package for delivery to the Post Office for U.S. Express. Regular mail is transmitted through the University mail service. *Other forms of mailing through the U.S. Postal Service (such as hand-stamped postage marks to meet postmark deadlines) should be completed by the college/unit, so check the "College will transmit" box in these cases.*

15. Insert the **number of copies** to be sent or that have been sent to the sponsor identified in box 12.
16. If the proposal has a **deadline**, put a big **X** in the box marked YES. This will draw attention to the deadline when the proposal reaches OSP. It is also helpful, if the deadline is very close, to use a *highlighter* to mark the due date. **DO NOT SIMPLY DROP OFF RUSH PROPOSALS AT OSP!** Proposals to be processed in a **RUSH** status should be **brought to OSP staff attention via email or phone call prior to bringing the proposal to OSP** for review and submission. Identify the date and/or time the proposal must be received or mailed. If your college/unit has delegated signature authority and the proposal is being submitted by the college/unit, this box does not need to be completed.
17. Identify the **initial period of the proposed project**. This is normally the first year of the project, but in some circumstances may be a feasibility period of a just a few months or a fixed period of up to 18 months.
18. Identify the **total period of the proposed project**.
19. Indicate the appropriate **F&A rates** that apply to the proposal. (If no F&A is applicable check N/A and add an explanation in the Remarks or Special Instructions Section.) **In cases in which the government, a foundation, or other domestic not-for-profit agency, as a matter of written policy, limits the amount**

**of F&A cost recovery or uses a different base, indicate the applicable rates here and explain in the *Remarks* section. Attach a copy of the written policy to the *IAF-P08*.** In most instances, these will be the approved university rates, as negotiated with the Office of Naval Research, which acts as Penn State's cognizant agency on behalf of the U.S. Government. Requests for use of F&A as cost sharing, in cases other than those mentioned directly above, must be formally submitted by writing a letter of request and justification to accompany the *IAF-P08* (see Item 22, below). All such approvals must be submitted well in advance of the proposal deadline and approved by the Assistant Vice President for Research for research projects or the Controller's Office for other sponsored projects. (See RA06 for further details.)

20. Identify the **requested amounts** for the period shown in Box 17.
21. Identify the **requested amounts** for the period shown in Box 18.
22. Check the appropriate boxes to identify the source of **proposed cost sharing**. Please note that certain forms of cost sharing require the completion of additional forms. ***Clearance for institutional cost sharing or the use of F&A costs for cost sharing should be accomplished in advance of the submission of the IAF-P08 and proposal to OSP, so that adequate time for review can be arranged with the appropriate office.*** Cost sharing coming from central university sources, for example a special equipment matching fund in the Provost's office, requires documentation which must accompany the *IAF-P08*. All use of F&A cost recovery for cost sharing outside of normal university policy must be documented by including a letter of request and justification with the *IAF-P08*. The University may not utilize F&A costs for cost sharing when dealing with *for-profit* companies or with foreign governments. (See OMB Circular A-21). In addition, the use of such funds as cost sharing might constitute the improper use of public funds to support a private or non-U.S. interest. Exceptions to the University's policy for the full recovery of F&A costs can be made in those cases in which the primary beneficiary of the waiver can be clearly documented as the

University or the Commonwealth, rather than the company (such as in the case of gifts or unrestricted grants, the support of student research projects, or the support of state or regional governmental economic development projects). Please refer to RA06, RAG04, and RAG10 for further details on F&A recovery and cost sharing.

### Remarks or Special Instructions Section

Indicate any items that require special attention or that can enhance the review process.

## Page 2

### Special Review Checklist -- All boxes must be checked either yes or no.

**Special Note: The Office for Research Protections (ORP)** – This Office coordinates review and approval of academic activities involving animal use (RA15); HIPAA covered data (RA22); human embryonic/stem cell/fetal research; human research participants (RA14); medical surveillance or biological monitoring; radioactive materials; recombinant DNA, select agents, or other biohazards (SY24)., Please refer to applicable University Policies in GURU.. These policies should be used to determine whether the appropriate boxes are checked yes or no. Checking one of these boxes yes invokes the requirement for the PI to submit the material to appropriate offices or committees for review in accordance with each applicable University Policy or Guideline. Most public granting agencies require compliance documentation to accompany grant proposal submissions, and approval by more than one office or committee may be necessary. Printed and electronic review request forms are available. More information may be obtained by calling the ORP at (814) 865-1775 or <http://www.research.psu.edu/orp>.

**Animal Use (RA15)** – All research using vertebrate animals conducted under the auspices of the University must receive a project approval number from the University’s Institutional Animal Care and Use Committee (IACUC) prior to any animal involvement. Failure to obtain proper IACUC project approval may result in the

suspension of privileges for the use of animal facilities controlled by the University.

### **Commitment of University / Investigator Intellectual Property or “Background” Rights** –

Certain projects may carry the potential for committing University intellectual property rights to the sponsor. For instance, the solution to a particular sponsor’s problem may involve the adaptation of technology that has already been developed by Penn State. The use of such pre-existing technology would require the licensing of “background” rights. It is important to identify such potential problems as early as possible so that the Intellectual Property Office can review the situation to determine how best to protect the University’s and Investigator’s proprietary position. Please refer to Research Administration Policy RA11 for further information.

### **Company Confidential Information will be provided to University** –

Certain collaborative research activities have the potential for the transfer of company proprietary or confidential information to University investigators. Normally such transfers require a Confidential Disclosure Agreement (CDA). CDA's must be reviewed and approved by the Penn State Office of Sponsored Programs and executed by an authorized University Official. **They may not be signed by faculty.** These agreements put restrictions on the University's use of proprietary or confidential information, including some limitation on publication rights and the granting of review rights to the company of any publications prior to submission. Handling restrictions may also be placed on the research labs, i.e., locked file cabinets and proper security measures may be required for the confidential information.

### **Continuing and Distance Education Programs (AD-3)** –

All colleges, subunits, and other academic units submitting proposals to conduct educational programs using the name of the University and/or University facilities must check this box yes. OSP will coordinate the review of such proposals with the office of the Vice President for Outreach.

**HIPAA Covered Data Required (RA22)** – The Health Insurance Portability and Accountability Act (HIPAA) of 1996, and its implementing regulations known as the “Privacy Rule” include provisions that protect the privacy of individually

identifiable health information, and govern how health information is used and disclosed, including use and disclosure for research purposes. Use of Protected Health Information (PHI) in a research project must be approved by the ORP.

***Human Embryonic/Stem Cell/Fetal Research (prior approval required)*** – If the proposed research involves human embryos, human stem cells, or human fetuses, the proposal must be reviewed by the Office for Research Protections. Please contact OSP, ORP, or ORA (Hershey), as appropriate, for further guidance and coordination on this proposed research activity.

***Human Research Participants (RA14) (requires specialized training)*** – Federal regulations require that use of humans as subjects of research be reviewed by the Institutional Review Board (IRB). In general, if an activity involves any risk to the subject, or if the results of an activity, including surveys such as questionnaires or interview data, are to be used in any form of publication or formal presentation, that activity should have prior IRB review.

***International Programs*** – The University's International Programs Office monitors and/or manages all international program activity at Penn State. Contact the International Programs Office as early as possible in the proposal development process. This is especially important when student or faculty exchanges are proposed, both of which have legal, liability and visa implications.

***Medical Surveillance or Biological Monitoring Required*** – Certain research projects may necessitate medical surveillance or biological monitoring. Researchers requiring this service should contact the Director of the Occupational Health Program, University Health Services.

***Radioactive Materials*** – The University Isotope Committee (UIC) reviews and makes recommendations for approval of all projects using radioactive materials at the University. UIC approval must be obtained prior to ordering any radioactive materials. Arrangements for the receipt and delivery of all radioactive materials must be made through the Environmental Health and Safety Office.

***Recombinant DNA, Select Agents, or Other Biohazards (SY24)*** – The Institutional Biosafety

Committees (IBC) reviews proposals involving the use of certain biohazardous materials. Research involving recombinant DNA techniques, select agents, pathogens, oncogenic viruses or carcinogen or toxins applied to animal subjects must be reviewed and approved by the IBC. Researchers engaging in the described activities must have their laboratories inspected by the University's Office of Environmental Health and Safety. Approvals are subsequently issued by the Office for Research Protections. Refer to GURU policy SY24.

***Research is Subject to Export Controls (ITAR / EAR) (RA18)*** – The International Traffic in Arms Regulations (ITAR) and the Export Administration Regulations (EAR) govern the export of equipment, materials, services, or information. University implementation of these regulations is in GURU RA18 and RAG11. Export means not only the shipment of items outside the country, but also the transmission of certain information to foreign persons. Most university research, however, is exempted from these regulations because “fundamental research” performed at universities is excluded from controls. However, if publication restrictions or foreign national restrictions are imposed in the sponsored agreement (whether the sponsor is the federal government or a private company or any other entity) then the research no longer qualifies as “fundamental research” and is subject to the applicable export controls. In addition, if it is anticipated that the research will involve the shipment of hardware, software, or materials that are subject to export controls, then an export license will be required prior to the shipment of these items, regardless of whether the research itself is fundamental or not. If a research project is subject to export controls, then certain security steps must be put in place to ensure that a “deemed export” does not occur. This may mean getting licenses for certain foreign persons to work on the project or the exclusion of certain foreign persons. It may also mean that information may not be shared at international meetings. Failure to comply with applicable export control laws can lead to severe sanctions and fines. Please consult with the Office of Sponsored Programs well in advance if you believe your project will be subject to these regulations.

***Restrictions on the University/Investigator Publication Rights (freedom to publish)*** – The *Penn State Faculty Handbook* states: “Freedom to

publish is essential to the fulfillment of the University's responsibility to disseminate the findings of research. The University and the faculty work closely together to preserve this right in grants and contracts. In special circumstances, however, they may agree to restrict or delay publication. For instance, a delay in publication may be necessary in order to seek patent protection. In addition, publications involving new technologies or software may limit discussion to statements of new discoveries and interpretations of scientific facts and need not reveal specific information about processes or methods that are proprietary in nature. Papers describing discoveries often are withheld pending additional confirmations believed to be essential. In those exceptional cases in which researchers are involved in government-classified research (which is permitted only at the Applied Research Laboratory and the Electro-Optics Center), publications are subject to the restrictions imposed by the federal government. However, faculty must realize that publication restrictions beyond those needed to file for patent protection may negate the University's fundamental research exclusion under U.S. export control laws, and thus could raise serious concerns regarding security restrictions and the involvement of graduate students in the covered research projects. Faculty should be very cautious about any situation that might restrict the free dissemination of research results and should always consult with the Office of the Senior Vice President for Research prior to agreeing to any restrictions. As is cited in the *Penn State Faculty Guide to Sponsored Programs*, "Penn State is deeply committed to academic freedom, not only for the sake of the faculty, but for those we serve as well. Ultimately, academic freedom is crucial to our society, for it affords the individual faculty member the opportunity to remain uncommitted to a particular course of action or end result, thus ensuring accurate, objective, and unbiased results." It is also important to ensure that freedom to publish is preserved in sponsored projects in order to maintain our status as a tax-exempt entity. What distinguishes us from businesses that do research is our mission to disseminate that information for the public good. To accept, without extraordinary justification, restrictions on publication could jeopardize our tax-exempt status.

***Restrictions on University's Intellectual Property Rights*** – The University retains ownership to intellectual property developed by University faculty on research projects. The University recognizes,

however, the importance of transferring that technology to the commercial sector. Therefore, the University usually grants sponsors the first option to negotiate a license for technologies developed under the project. In some cases, certain "deliverables," such as reports, raw data, charts and graphs, etc., may be given over to the sponsor's ownership, as long as the University retains rights to publish on the scientific aspects of the research performed and retain copyright to those publications. Generally in doing federally sponsored research, a non-exclusive, royalty-free license is made to the government for its own use. University intellectual property rights must be negotiated by OSP, in conjunction with the University's Intellectual Property Office.

***Retired Faculty Participation (RAG09)*** – Retired faculty and staff can participate or continue to participate in sponsored projects on a compensated or uncompensated basis in appropriate circumstances. Completion of the appropriate agreement(s) is required prior to proposal submission.

***Security classification will be imposed*** – Under unusual circumstances when the University is uniquely qualified to provide, in the best interests of the country, a certain kind of research, the University will accept classified research projects. These research projects may only be conducted in a federally-approved security facility. All classified research at Penn State must be accomplished through the Applied Research Laboratory (ARL) or the Electro-Optics Center (EOC). It must receive formal approval from the University President prior to submission. Investigators will be required to obtain government security clearance prior to starting work on the project. If this box is checked yes the proposal should be submitted through the ARL or EOC Business Office. Please call OSP for further information and guidance if needed.

***Sponsor is Foreign-Owned Company or Foreign Government (RA18)*** – Contractual relationships with foreign entities may be regulated by certain federal laws governing the export of scientific knowledge or technology. They may also require special handling of intellectual property rights to ensure that federally sponsored research is properly managed in accordance with Federal laws and policies. If the research project is with a foreign company or government, appropriate reviews and

approvals must be obtained prior to commencing the research.

***Subcontractors or Subrecipients are proposed*** –

The University has requirements under federal regulations to give proper management to all subcontractual relationships. Collaborations in which a portion of the project is to be performed by non-PSU personnel at a non-PSU facility usually are accomplished via a subcontract (if the prime award is a contract) or a subaward (if the prime is federal assistance, i.e., a grant or cooperative agreement). Similarly, research that is to be performed by a private company as a part of a University project and paid for under a University grant or contract is to be arranged under a subcontract. Subcontracting procedures are governed by Federal regulations (OMB Circulars A-110 and A-133) which require the University to follow rigid standards for competitive or sole-source selection and for writing subcontracts. Subawards are also governed under A-110 and A-133, but require less rigid standards. Both, however, require the submission of a mini-proposal by the subcontractor that becomes a part of our proposal to the sponsor. This document should contain a scope of work for the subcontractor/collaborator, a corresponding budget, and a commitment by an authorized official of the subcontractor to perform the work at the budget specified. If an award is made, the subcontract or subaward will be negotiated with the other party by OSP. Projects which propose the construction or renovation of buildings or facilities are not considered subcontracts for the purposes of this requirement. All contracting for construction and renovation must be approved, prior to submission of the proposal, by the Office of Physical Plant. Please refer to Research Administration Policies RA16 & RA19 for further information.

***Technical Data & Computer Software***

***Restrictions*** – If certain restrictions are placed on the University regarding ownership of materials developed on a project (for instance if FAR clauses 252.227-7013 or -7014 are included), then a special review is needed to determine if special proprietary “markings” need to be placed on the proposal.

***Clinical Trial*** – Instructions under development

Cooperative Groups Trial /Group Name –  
Instructions under development

**Investigator Assurances** --

Federal scrutiny of proposals has been magnified lately because of increasing Congressional pressures and mandates. As a result, federal agencies have adopted assurance and compliance requirements that must be completed by investigators prior to proposal submission. These assurances are summarized here and signed-off for by the investigators as a record to be maintained by the University. In addition, the University also seeks assurances from investigators that their proposals have been prepared to meet Federal standards and requirements, that they comply with generally accepted rules of proper scholarship, that the Investigator has the resources to conduct the proposed project or that appropriate arrangements have been made with departments, colleges, or other academic units for such resources, and that the investigators will carry out the requirements of the grant or contract if an award is made and accepted by the University. The Office of Research Integrity of the Public Health Service has issued a list of integrity issues that investigators should consider as further explication of the assurance regarding "federal standards for the integrity of research." These are:

- "Data and other research products produced under this grant will be maintained in a central location and will be kept in a manner that will allow other qualified scientists to verify the accuracy and integrity of reported results of the research;
- "Individuals supported in whole or in part by this grant and who are in training status will be given explicit training in the responsible conduct of research;
- "Any individual who has a substantive scientific role in the proposed research has been provided a copy of the grant application and has had an opportunity to comment on it;
- "Criteria for authorship of publications resulting from the proposed research have been discussed and agreed to by the professional staff of the laboratory;
- "Scientists who have a substantive scientific role in the proposed research do not have any

financial interests that could affect the objectivity of the research;

- "Any material in the grant application which is a verbatim reproduction of other persons' writing has been identified by quotation marks and properly attributed;
- "The principal investigator has reviewed for accuracy and integrity any data presented in the application that have been provided by others."

## Disclosures & Assurances Section

### **YES/NO – Investigator(s) Review and Understanding of “Special Review Checklist”**

As a result of Federal regulations and increasing pressures and mandates from the U.S. Congress, the University must require that persons submitting proposals for funding (including all investigators and other key faculty and staff who will be working on the project) make certain assurances regarding the submission of the proposal and the conduct of the project, if awarded. In addition, the University has certain requirements which must be met for which assurance is required. **Proposals will not be submitted without the required signatures.** In certain circumstance when an investigator is away from the University, someone may initial or sign for the investigator, as long as documentation is provided (such as emails or faxes) verifying the personal assurances of the investigator.

### **YES/NO – Conflict of Interest Disclosure**

It is vitally important that the University and its researchers maintain their reputations for the *un-biased* conduct of scientific investigation and pursuit of knowledge. Thus, in accordance with Federal regulations, the Principal Investigator/Project Correspondent is required to certify that all investigators have reviewed Penn State’s **Conflict of Interest and Investigator Significant Financial Interest Disclosure Policies (HR91, RA05, RA12, RA20, and RA21)** identified on the *IAF-P08* and have read and completed the Significant Financial or Business Interest

Disclosure Form, pages 6-7 of the *IAF-P08* if this box is checked yes. By Federal regulation, all conflicts must be disclosed **PRIOR TO THE SUBMISSION OF PROPOSALS** and resolved prior to expenditure of funds. University policy requires that *“faculty and staff members shall disclose to the administrative head of the college or other unit in which they are employed, any potential conflict of interest of which they are aware, before a contract or transaction is consummated.”* Initialing this box in the Approvals Section of the *IAF-P08* will serve as partial fulfillment of that obligation. A University policy statement, adopted by the Board of Trustees in July of 1990, further helps to explain conflict of interest in terms of sponsored research: *“Universities conduct research for the purpose of generating new knowledge. The potential for conflict of interest and/or commitment exists when faculty researchers exercise preferential access to knowledge, and/or University resources, for personal gain. The appropriate framework for faculty involvement in enterprises, either commercial or not-for-profit, has to be evaluated on a case-by-case basis in concert with Deans, Department Heads, Program and Center directors, Office directors, etc. (“cognizant University administrators”). ...As a rule, there should be a clean demarcation of both effort and incentive between faculty duties and those activities associated with involvement in personal enterprises.”* Faculty should familiarize themselves with current University and Federal policies governing conflict of interest. Full disclosure of any potential conflict of interest is a faculty member's best protection against real or perceived conflicts of interest. Some activities may require, under University policy, the formulation of a *Memorandum of Understanding (MOU)* to spell out limitations that may be placed upon a project to manage conflicts.

### **YES/NO – Integrity of Research**

Checking this box yes indicates that the proposal submitted herewith is complete in its technical content, adheres to the rules of proper scholarship, including specifically the proper attribution and citation for all text and graphics, complies with federal standards for the integrity of research (e.g., NSF Misconduct in Science Policy, see Penn State Policy RA10), and is in accordance with specifications established by the sponsoring agency.

### **YES/NO Facilities/Space**

Certain proposal submissions require additional University facilities and space to conduct the proposed research. Checking yes to this assurance indicates that provisions have been arranged with the Department/College/Unit to make such space or other University resources available in the event of an award.

### **YES/NO – Federal Representations, Certifications, and Assurances**

Certain proposal submissions require the assurance of the Investigator(s) or Principal Investigator/Project Correspondent that Federal or Principal regulations or laws will be complied with. These are identified on the *IAF-P08*- Federal Assurance Page 5.

### **Approvals Section**

Approvals for a single investigator or the "Project Correspondent" on multiple investigator projects are given in the first approvals section. If the Investigator/Project Correspondent is from a Commonwealth College campus, then a signature from the Campus Executive Officer must be acquired. Department heads, unit directors, deans, or the authorized representatives of these officials must show their approval of the proposal or award document by signing the appropriate boxes. Final University authorization is obtained by OSP. All Co-Principal Investigators, Investigators, Faculty Associates, and other individuals, for which concurrence of other departments, colleges, or other academic units is required, must be listed as additional investigators and appropriate approvals obtained. Use the *IAF-P08* – Additional Approvals Page 3 for Co-Principal Investigators, Investigators, Faculty Associates and other individuals. All investigators make the same assurances listed on Page 2 of the *IAF-P08* and on the Federal Assurances Page 5. Additional investigators must indicate by initialing the proper box whether or not the project represents the potential for a conflict of interest as outlined on page 2 of the *IAF-P08*.