ARL Proposal No.:

PENN STATE UNIVERSITY

PROPOSAL INTERNAL APPROVAL FORM

ARL Proposal No.: _____ Date: _____

INVESTIGATOR DATA

1. Principal Investigator/Project Correspondent	2. PI Notification e-mail
3. College/Unit	4. College/Unit Notification e-mail
5. Department/Subunit (Consortium/Institute/Center, etc.)	6. Project Location/ Building Name: Applied Research Laboratory

PROPOSAL DATA

7. Type of Project ☐ RESEARCH ☐ INSTRUCTION ☐ OUTREACH ☐ SERVICE (Hershey Only)

8. Project Title

9. Type of Submission (Check Applicable)
☐ New Proposal ☐ Continuation ☐ Supplement ☐ Grant Transfer
☐ Renewal ☐ Resubmission to College Proposal ID No: _____

10. If Not New, List Current Grant, Contract or PSU Account Info.
_____

SPONSOR TRANSMITTAL DATA

11. Prime Sponsor:
(Sponsor's Source of Funding)

12. Sponsor Name and Address

Contact: _____

Sponsor Protocol No. : _____

13. CFDA No.: _____

14. Submitted by ARL Proposal Office

ARL Proposal Office Instructions

15. Number of copies sent or to be sent: _____

16. Deadline (Check Box)
☐ YES
Mailing Date: _____
Date Due in Hands of Sponsor: _____

BUDGET DATA

17. **Initial** Start Date:
End Date:

18. **Total** Start Date:
End Date:

19. Applicable F&A Rate(s) or Management Fee:
_____ % _____ % _____ N/A
☐ MTDC ☐ Other _____
☐ TDC
☐ Total Amount

20. **Initial**
Requested Direct: $
Requested F&A: $
Requested Fee: $
Total Requested: $ 0

21. **Total**
Requested Direct: $
Requested F&A: $
Requested Fee: $
Total Requested: $ 0

22. University Cost Sharing: (Check all that apply)
☐ Includes Committed* Cost Sharing
☐ College/Unit Is Providing Cost Sharing (Responsibility of College/Units)
☐ Central Is Providing Cost Sharing (Documentation of Commitment Attached)

*Committed Cost Sharing includes both mandatory (sponsor-required) cost sharing and voluntary cost sharing committed in the proposal (see RAG10).

REMARKS OR SPECIAL INSTRUCTIONS

ARL Proposal No.:

Proposal Internal Approval Form -- Page 2

SPECIAL REVIEW CHECKLIST

The proposal submitted herewith involves the following:

Yes	No		Yes	No		Yes	No	
☐	☐	Animal Use (RA15*)	☐	☐	Human Research Participants (RA14*) (requires specialized training)	☐	☐	Retired Faculty Participation (RAG09*)
☐	☐	Commitment of University / Investigator Intellectual Property or "Background" Rights	☐	☐	International Program	☐	☐	Security Classification will be imposed
☐	☐	Company Confidential Information will be provided to University	☐	☐	Medical Surveillance or Biological Monitoring Required	☐	☐	Sponsor is Foreign-Owned Company or Foreign Government (RA18*)
☐	☐	Continuing and Distance Ed. Prog. (AD-3)	☐	☐	Radioactive Materials	☐	☐	Subcontractors or Subrecipients are proposed
☐	☐	HIPAA Covered Data Required (RA22*)	☐	☐	Recombinant DNA, Select Agents or Other Biohazards (SY24*)	☐	☐	Technical Data & Computer Software Restrictions
☐	☐	Human Embryonic/Stem Cell/Fetal Research (Approval required*)	☐	☐	Research is subject to export controls (ITAR/EAR) (RA18*)	☐	☐	Clinical Trial
			☐	☐	Restrictions on University / Investigator Publication or Intellectual Property Rights	☐	☐	Cooperative Group Trial Group name: _____

Checking this box 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.

PRINCIPAL INVESTIGATOR/PROJECT CORRESPONDENT DISCLOSURES AND ASSURANCES

By signing below (or on the *Additional Approvals Page -Page 3*), I certify that I have read the following statements and those contained on the *Proposal Internal Approval Form -- Assurances Page (Pages 5 and 6)*, and I further certify that the statements contained herein are accurate and truthful to the best of my knowledge and belief:

Yes	No	
☐	☐	• All applicable items contained in the **Special Review Checklist** have been identified. Investigators agree to abide by any obligations that university policies or legal requirements governing these items may evoke (e.g., obtaining approval for protocols, abiding by export laws, maintaining confidentiality, etc.).
☐	☐	• All investigators have **read and understood** Penn State's conflict of interest and Investigator Significant Financial or Business Interests Disclosure Policies (HR91, RA12, RA20, and RA21), have **made all disclosures** required by them, and, *prior to the expenditure of any award funds*, shall have reached an agreement with the University which provides for **conditions or restrictions necessary to manage, reduce, or eliminate conflicts of interest** under University policy.
☐	☐	•The proposal submitted herewith is (i) complete in its technical content, (ii) adheres to the rules of proper scholarship, including specifically the proper attribution and citation for all text and graphics, (iii) complies with federal standards for the integrity of research (e.g., *NSF Misconduct in Science Policy*, see Penn State Policy RA10 and IAF-P08 Instructions), and (iv) is in accordance with specifications established by the sponsoring agency.
☐	☐	•The facilities/space and other University resources necessary to complete the proposed project are available to the project, or provisions have been arranged with Department/College/Unit to make such space or other University resources available in the event an award is made.
☐	☐	•If the proposal submitted herewith is funded and accepted by the University, I will conduct the project in accordance with the terms and conditions of the sponsoring agency and the policies of the University, and I will be fully responsible for meeting the requirements of the award, including, but not limited to, providing the proper stewardship of sponsored funds, submitting all required technical reports and deliverables on a timely basis, properly disclosing all inventions to the University's Intellectual Property Office, and adhering to all federal compliance requirements, (e.g., Export Control, HIPAA, Human Research Participants, etc.).

APPROVALS

(All investigator signatures and initials must be original; *no proxies allowed - see instructions for details.* Use *Proposal Internal Approval Form - Additional Approvals Page*, if necessary.)

Approvals given on the Proposal Internal Approval Form represent general approval of technical merit, allocation of University space/ resources, and fiscal budgeting, but do not represent specific approval of personnel titles, classifications, salary rates, or other issues governed by University policy. Where funds are requested for the purchase of equipment, a determination has been made that no other equipment at the University is available or accessible or suitable for the intended use.

Principal Investigator/Project Correspondent Assurance (**Initial one)**: Project ____**does** ____**does not** require SFBID. Signature Date	ARL Assoc. Director/Office Head Signature Date
ARL Department Head: Signature Date	ARL Director, P. E. Sullivan Signature Date
ARL Asst. Director/Division Head Signature Date	University Authorization Signature Date

PROPOSAL INTERNAL APPROVAL FORM - ADDITIONAL APPROVALS PAGE - Page 3

Investigators Assurance: "By signing below, I certify that I have read the assurance statements contained on the *Proposal Internal Approval Form (Page 2)* and on the *Proposal Internal Approval Form -- Assurances Page (Pages 5,6,7)*, and I further certify that the statements contained therein and below are accurate and truthful to the best of my knowledge and belief."

ADDITIONAL INVESTIGATOR APPROVALS

Investigator Status: ☐ Co-Principal Investigator ☐ Investigator or Associate	Assurances (Initial: Project _____**does** _____ **does not** require SFBID) Signature Date
College/Unit	College/Unit Approval Signature Date
Department	Department/Subunit or Director(s) of Academic Affairs Approval Signature Date
Other Approval	Campus Approval Signature Date
Investigator Status: ☐ Co-Principal Investigator ☐ Investigator or Associate	Assurances (Initial: Project _____**does** _____ **does not** require SFBID) Signature Date
College/Unit	College/Unit Approval Signature Date
Department	Department/Subunit or Director(s) of Academic Affairs Approval Signature Date
Other Approval	Campus Approval Signature Date
Investigator Status: ☐ Co-Principal Investigator ☐ Investigator or Associate	Assurances (Initial: Project _____**does** _____ **does not** require SFBID) Signature Date
College/Unit	College/Unit Approval Signature Date
Department	Department/Subunit or Director(s) of Academic Affairs Approval Signature Date
Other Approval	Campus Approval Signature Date
Investigator Status: ☐ Co-Principal Investigator ☐ Investigator or Associate	Assurances (Initial: Project _____**does** _____ **does not** require SFBID) Signature Date
College/Unit	College/Unit Approval Signature Date
Department	Department/Subunit or Director(s) of Academic Affairs Approval Signature Date
Other Approval	Campus Approval Signature Date
Investigator Status: ☐ Co-Principal Investigator ☐ Investigator or Associate	Assurances (Initial: Project _____**does** _____ **does not** require SFBID) Signature Date
College/Unit	College/Unit Approval Signature Date
Department	Department/Subunit or Director(s) of Academic Affairs Approval Signature Date
Other Approval	Campus Approval Signature Date

ASSIGNMENT OF CREDIT FORM - Page 4

One objective of this form is to assign credit to the home colleges/departments of the PIs and principal contributors on a grant. Shared credit will be assigned to investigators, co-investigators, project directors, and other participants identified in the left hand column of the table below. Credit will be attributed to the home college and department of those individuals in proportion to the percentages appearing in the far right column. These percentages reflect "credit" for intellectual and technical responsibility for the project. They need not represent salary or time distributions for all project participants. No Research Incentive Funds (RIFs) go to the strategic initiative areas, and columnar summations for strategic initiatives do not take credit away from the colleges/departments.

The second objective is to identify connections with a strategic initiative area. The fractions provided in the bottom row associate the project with the University's Strategic Interdisciplinary Research Initiatives (SIRI) areas. The work need not be specifically within or supported by one of the Consortia or Institutes in order to be associated with an SIRI area. If the work is at all related to one or more of the SIRI areas, then the work should be specifically identified as falling within that field. The information collected is, in part, aimed at communicating with those outside of Penn State where we wish to project the full extent of the University's research programs in these key areas. If a project is in the area of Life Sciences, then the individual's percent credit is entered in the Life Sciences column. If this project supports more than one area, the individual's percent credit can be divided between different SIRI. For instance, if this project is partially Materials and partially Computational Sciences, the individual's percentage can be divided between these two areas. Please note that in the annual report, CYF will be rolled up under Social Sciences.

Please take a minute to accurately complete the form -- use whole percentages for all table entries. Data collected provides a global assessment of the size and vitality of the University's research activities in each SIRI area. In addition to providing a gauge on size and growth, the information provided identifies college/ departmental contributions to each area, thereby allowing deans and department heads to assess the extent to which their faculty benefit from participation in each of the Strategic & Interdisciplinary Research Initiatives. Summaries of data collected using this form allow the University to capture the full breadth and strength of its programs in each of the SIRI areas and to subsequently communicate those strengths to potential students, sponsors and faculty recruits.

Investigator Name	Arts & Humanities5	Children, Youth & Families		Energy and the Environment	Life Sciences	Materials	Social Sciences	College-Based or PI Initiatives	**Total**
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
Total	0	0	0	0	0	0	0	0	0 %

CyberSciences

Proposal Internal Approval Form -- Assurances Page - Page 5

Investigator/Project Director Assurances

Certification of Procurement Integrity

(Applicable only if proposal is part of a Federal Procurement and amount proposed or awarded is equal to or in excess of $100,000)

1) By signing the Proposal Internal Approval Form, I certify, to the best of my knowledge and belief, that I am the employee responsible for the preparation of the proposal submitted herewith and that I have no information concerning a violation or possible violation of subsection 27 (a), (b), (d) or (f) of the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 423), hereinafter referred to as "the Act") as implemented in the FAR, occurring during the conduct of this procurement.
2) As required by subsection 27 (e) (1) (B) of the Act, I further certify that, to the best of my knowledge and belief, each employee and consultant who has participated personally and substantially in the preparation or submission of this offer has certified that he or she is familiar with, and will comply with, the requirements of subsection 27 (a) of the Act, as implemented in the FAR, and will report immediately to me any information concerning a violation or possible violation of the Act, as implemented in the FAR, pertaining to this procurement.

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER TITLE 18, UNITED STATES CODE, SECTION 1001.

Certification Regarding Lobbying

By signing the Proposal Internal Approval Form, I certify, to the best of my knowledge and belief, that:

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the [Investigator], 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 intending 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 [Investigator] shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," [to the University].

3) The [University] 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 grants, 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 a civil penalty of not less that $10,000 and not more that $100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters

(Applicable only if proposal is submitted to the Federal Government)

By signing the Proposal Internal Approval Form, I certify to the best of my knowledge and belief, that:

(a) I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against me for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Have not within a three-year period preceding this application/proposal has one or more public transactions (Federal, State or local) terminated for cause or default.

Required Education in the Protection of Human Research Participation

(Applicable to all projects involving the use of human subjects)

By signing the Proposal Internal Approval Form, I certify to the best of my knowledge and belief, that:

All individuals responsible for the design and conduct of the proposed research involving human subjects have completed (or shall have completed by the time of award) the University's required web-based educational program on the protection of human subjects.

Investigator Financial or Business Interest Disclosure Policy

(Summary of Penn State Policy RA20 -- Applicable to all Sponsored Project Proposals)

What is required?

Federal regulations require institutions to have policies and procedures in place that ensure that Investigators disclose any significant financial or business interest that may present an actual or potential conflict of interest in relationship to externally sponsored projects. Such disclosures must be made **prior to the submission of a proposal** for funding,* and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to the expenditure of any funds on an award.

* If a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required.

Who is covered?

"Investigator" means the principal investigator/project director, co-principal investigators, and any other person at the University who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding, by an external sponsor. In this context, the term "Investigator" includes the Investigator's spouse and dependent children.

What must be disclosed?

Each Investigator shall disclose all *significant financial or business interests*:

(i) that would reasonably appear to be affected by the research, educational, or service activities funded, or proposed for funding, by an external sponsor; or

(ii) in entities whose financial interests would reasonably appear to be affected by such activities.

What is covered?

"***Significant financial or business interests***" means anything of monetary value/interest, including, but not limited to, compensation or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options, or other ownership interests); intellectual property rights (e.g., patents, copyrights, and separately, royalties from such rights); and/or holding a management position or playing an advisory or consultative role (whether compensated or not) with a company or on the board of a company. The term **does not include**:

(1) Salary or other remuneration from the University;

(2) Income from seminars, lectures, or teaching engagements sponsored by public entities;

(3) Income from service on advisory committees or review panels for public or non-profit entities;

(4) Income from service on advisory committees or review panels for non-profit entities that are not affiliated with "for profit" companies;

(5) An equity interest that, when aggregated for the Investigator and the Investigator's spouse and dependent children, meets any of the following tests: does not exceed $10,000 (considered as a *de minimis* amount) in value as determined through reference to public prices or other reasonable measures of fair market value, does not represent more than a five percent ownership interest in any single entity, does not involve research with human participants, and will not be affected by the outcome of the study;

(6) Broad based mutual funds;

(7) Other compensation, royalties or other payments that, when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed $10,000 (considered as a *de minimis* amount), does not involved human participants and will not be affected by the outcome of the study.

Financial and business interests in human participants research must be the focus of intense scrutiny. When human participants are involved, no* de minimis *will apply.

Disclosure Procedures:

(1) All Investigators must disclose their significant financial or business interests using COINS (Penn State's electronic Conflict Of INterest System) by following the link: http://coins.psu.edu.

(2) Financial disclosures submitted in COINS will be automatically fowarded to the discloser's Department Head for review.

(3) After Department review, disclosures are electronically routed to the Conflict of Interest Program. Conflict of Interest staff determine whether disclosures can be processed administratively, or if they need to be reviewed by the Conflict of Interest Committee.

(4) A plan to manage any conflicts of interest must be in place prior to the expenditure of any award funds.