

# INTERNAL ACADEMIC APPROVAL OF SPONSORED PROGRAMS

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Office of Sponsored Programs, 206 Miller Building, SUNY Cortland  
Phone: 607 753-2511 Fax: 607 753-5590  
Email: [thomas.frank@cortland.edu](mailto:thomas.frank@cortland.edu) or  
[elizabeth.speziale@cortland.edu](mailto:elizabeth.speziale@cortland.edu)

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This form must accompany all sponsored programs Proposals. Please complete the entire form, print, obtain appropriate signatures and forward to OSP. The proposal must be submitted to OSP at least ten (10) days before the sponsor deadline.

Principal Investigator: \_\_\_\_\_ Co-PI (if any): \_\_\_\_\_

Department: \_\_\_\_\_ School: \_\_\_\_\_

Sponsor: \_\_\_\_\_ Sponsor Deadline: \_\_\_\_\_  Receipt  Postmark

Title of Proposal: \_\_\_\_\_

Project type:  Pre-proposal  New  Continuation (Noncompetitive)  Renewal (Competitive)  Revised

Period of performance: \_\_\_\_\_ Amount Requested: \$ \_\_\_\_\_

***The applicant for all proposals is: "The Research Foundation for SUNY on behalf of and in conjunction with SUNY Cortland"***

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Proposal Preparation Checklist: *Check all that apply*

1.  This project involves the use of Human subjects.
2.  This project uses DNA or RNA molecules, viruses, bacteria, cells, and/or organisms constructed with Recombinant DNA methodology or techniques.
3.  This project uses live vertebrate animals, requiring animal protocol approval.
4.  Neither I, myself, nor any of my immediate household members, nor any key personnel on this project have any financial interests in or managerial responsibilities with the proposed project that could create a conflict of interest. (If yes, attach an explanation.)
5.  This project will involve faculty leave or release time from teaching or other obligation for the following semester(s): \_\_\_\_\_
6.  This project involves curricular proposals.
7.  This project involves foreign travel to: \_\_\_\_\_
8.  This project is a collaborative project with subcontracts.
9.  This project involves soliciting funds from private donors, individuals, foundations and/or corporations.
10.  This project involves the purchase and/or use of specialized computers or other high-tech equipment. (If yes, attach an explanation.)
11.  This project requires substantive faculty effort, space or VP matching funds.

## Matching Funds

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Matching Funds amount: \$ \_\_\_\_\_

Matching Funds Description:

\_\_\_\_\_

**Academic Year Effort:**

The PI will devote \_\_\_\_\_% of the total academic year effort to the project, of which \_\_\_\_\_ % will be charged to the sponsor.

The CO-PI will devote \_\_\_\_\_ % of the total academic year effort to the project, of which \_\_\_\_\_ % will be charged to the sponsor.

**Additional Information/Comments:**

\_\_\_\_\_

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### **All Proposals must be submitted to OSP ten (10) days prior to the sponsor deadline**

*Note: The signatures below denote a commitment to the project (personnel, resources, and space) as well as the cost share identified above. In addition, signatories certify that the project is compatible with the objectives of the State University of New York College at Cortland.*

Principal Investigator: \_\_\_\_\_ Date \_\_\_\_\_

Co-PI (if applicable): \_\_\_\_\_ Date \_\_\_\_\_

Department Chair/Director: \_\_\_\_\_ Date \_\_\_\_\_

School Dean: \_\_\_\_\_ Date \_\_\_\_\_

Office of Sponsored Programs: \_\_\_\_\_ Date \_\_\_\_\_

**Projects that require substantive faculty effort, space, or cost sharing commitments require approval of the Provost and VP for Finance and Management prior to proposal submission.**

Provost and VP for Academic Affairs: \_\_\_\_\_ Date \_\_\_\_\_

VP for Finance & Management/OM: \_\_\_\_\_ Date \_\_\_\_\_

## **Conflict of Interest Form – Annual Disclosure of Financial Interests and Obligations**

Dear Colleagues:

As part of its commitment to promoting objectivity in research and in compliance with federal regulations on conflict of interest, the Research Foundation of SUNY College at Cortland has adopted an Annual Disclosure Policy. ***This policy requires that all faculty/staff submitting a proposal through The Research Foundation of SUNY submit an annual disclosure form*** to ensure that the design, conduct and reporting of sponsored program activity will not be biased by the significant financial interests or obligations of any investigator. To comply with this policy, each investigator must submit an annual disclosure form on or before October 1<sup>st</sup> (attached) for:

- submission of an application to an external sponsor, or
- acceptance of an award where there was no prior disclosure submitted for that work

The submission of this annual disclosure satisfies the requirements of the Department of Health and Human Services (PHS) and the National Science Foundation (NSF). These agencies require that, by the time an application is submitted, each investigator planning to participate in PHS- or NSF-funded research has disclosed his/her known significant financial interests (and those of his/her spouse and dependent children) (42 CFR Part 50 Subpart F and 45 CFR Part 94 and Chapter IV of the NSF Grant Policy Manual). *This policy is being applied to all faculty/staff submitting proposals through the Research Foundation of SUNY at SUNY College at Cortland.*

**Please complete the attached form and submit it in a sealed envelope to the Research and Sponsored Programs Office, 402 Miller Building, attention to the Assistant Vice President of Research and Sponsored Programs, by October 1st.**

Questions concerning this policy or the annual disclosure *should be addressed to the Assistant Vice President of Research and Sponsored Programs, SUNY College at Cortland, 607-753-2511.*

## Conflict of Interest Disclosure Statement

**Upon application for federal funds and annually thereafter during the life of a Research Foundation award**

This statement applies to Investigators submitting proposals and receiving awards from the United States Public Health Services (PHS) or the National Science Foundation (NSF) directly or as a subaward. Investigators must complete this form each time a proposal is prepared or the proposal will not be authorized for submission by RSPO on behalf of SUNY Cortland. In addition investigators must complete this disclosure every October 1st for all PHS and NSF awards.

**Specific Instructions:** Place a check in the appropriate column for each question. Once every question is answered, the investigator must certify the information by signing the bottom of the form. ***The completed conflict of interest disclosure statement should be placed in a sealed envelope, marked confidential, and forwarded to the Research and Sponsored Programs Office (RSPO), 402 Miller Building.***

**Note:** RSPO will not release your award until it has been determined that an up-to-date disclosure is on file.

Investigator Name:		
Department/School:		
Proposal Title:		
Funding Source:		
<b>Questions</b>	<b>Yes*</b>	<b>No</b>
Do you, your spouse or dependent child(ren) hold a position of management, such as board member, director, officer, partner, trustee, employee or consultant with a sponsor, a vendor or (sub) contractor related to the sponsored program activity?		
Do you, your spouse or dependent child(ren) have significant financial interest in a Sponsor, a vendor or (sub) contractor related to your sponsored program activity? Significant financial interest includes stock, stock options, and/or any other ownership interest valued at more than \$10,000 or 5% ownership.		
Is it reasonable to anticipate that your financial interest could be directly and significantly affected by the design, conduct, or reporting of your sponsored program activity?		
Investigator Certification:		
<ul style="list-style-type: none"> <li>• I have read and understood the Conflict of Interest Policy.</li> <li>• I agree to file a new or updated Disclosure Form if the answer to any of the above questions changes.</li> <li>• I certify that the answers to the declaration are accurate and truthful to the best of my knowledge.</li> </ul>		
Signature: _____		Date: _____

\* If the answer to any question is Yes, please contact RSPO prior to submission of this form. RSPO will send you a Disclosure Statement form (RF Exhibit A) to affirmative respondents to report affiliations, nature and source of employment that may reasonably appear to affect the research or educational activities funded, and outline of warrants or stocks and other investment interests that may reasonably appear to affect the proposed research or education activities that are a sum greater than \$10,000.