

Mayo, David J.

From: Mayo, David
Sent: Wednesday, March 20, 2013 7:49 PM
To: Albertson, Pam; Anderson, Caprece; 'Armas, Gina'; Ayala, Elizabeth; Bajaj, Urmila; Besse, Barbara; Black, Irma A.; Boladian, Aleen A.; Brennan, Victoria (Vicky); Brown, Bonita K (Bo); Brown, Marcia; Bubash, Kathy; Burgess, Lynn R.; Carlson, Cynthia L.; Carroad, Paul A.; Carter, Viola; Chik, Mabel K.; Chittum, Jeri; Croomes, Stacey V.; Curtis, Scott D.; Dang, Tuyen Thi; Deniston, Kathy; Ekmekjian, Dolores (Loly); Epalle, Marionne L.; Finigan, Kathryn (Kate); 'Fowler, Marcy'; Gamboa, Cecilia; Garlock, Elyse; Giuliano, Jey; Grancich, Janice A.; Grant, Yvette; Grinols, Jean A.; Hampton, Shirley Denise; Harvey, Ann; Haskell, Janis L.; He, Christina; Hepworth, Martha; Hiroto, Julie C.; Martinez, Linda C.; Hormann, Anne S.; Hoyt, Margot; Hsu, Helen E.; Irwin, Carol H.; Jasnow, Edward J.; Kim, Tiffany; Kirk, Melinda A.; Klotz, Kimberley; Knudson, Aimee; Lester, Sandra K.; Lewis, De Ann M.; Lima, Kathy C.; Lin, Ling; Lindquist, Philip; Lowenthal, Tina; Mack, Judith V.; 'Manoochehri, Cecelia M.'; Marks, Cierina R.; Martinez, Arleen (Lynne); May, Michele T.; McClain, Judy; Miranda, Michael; Mishra, Heather; Mojahedi, Donna; 'Mucha, Susan'; Murdock, Gwenda Pollard; Naing, Su S; Nakashima, Cheryl; Navarrete, Debbie (Kingston); Nelson, Dimity; Nguyen, Kristy T.; Oracion, Karl; Ortiz, William (Bill); Oshima, Nora J.; Pettis, Nannette; Powell, Susan Diane; Rice, Alan P.; Robles, Rosalba (Rosa); Salcedo, Martha E.; Sarafian, Rosine; Schoen, Julie; Shull, Sheila K.; Sikora, Mary; Silberstein, Carol; Sosnowski, Carol Ann; Speaks, Kevin D.; Stanton, Judith; Steele, Heather Guyett; Steenberg, Marlene; Stoll, Sheri K.; Suarez, Lydia; Ta, Marcella; Taweesup, Patama; Theodore, Marie-Francoise; Thompson, Carlette L.; Torres, Alvin; Vine, Michelle J.; Wang, Yuhsien; Weed, Sherri; Wong, Kevin; 'Wood, Elizabeth K.'; Younger, Candace
Cc: Seligman, Richard; Fisher-Adams, Grace C.; Sponsored Research Dept; Koyzis, Pam
Subject: New DAF - required for NSF and NIH proposals received starting Monday, April 1, 2013
Attachments: Division Approval Form for Sponsored Projects (3-2013).pdf; DAF - Expedited Text for NIH and NSF Proposals.pdf

Dear Grant Managers:

Attached, please find a revised Division Approval Form (DAF). The DAF has been updated as part of Caltech's implementation of the Financial Conflict of Interest Regulations (FCOI), as required by NSF and NIH. The primary change is to Box F "Financial Interests"; the other sections have been moved around a bit in order to make room for the additional text required in Box F.

This new version of the DAF, with a revision date of "3/2013", must be used beginning with all proposals received in OSR April 1, 2013 and later. **For proposals requesting NSF or NIH funding, either directly or via a subaward, OSR will not be able to submit the proposal unless Section F of the DAF has been completed and the PI has signed the DAF (a scanned or faxed copy is fine).** We will not be able to accept "per" signatures, or signatures by the Division Chair in place of the PI. The need for a PI to sign the DAF prior to submission has been a requirement for NIH proposals for several years now; due to the FCOI regulations, we now must extend this requirement to NSF.

We understand that it can be difficult to coordinate PI signatures on the DAF due to hectic travel schedules. If it is not possible to obtain the PI's signature on the DAF in time to submit the proposal, we can accept an e-mail or signed fax from the PI that includes the text on the attached page. Please note, however, that only by receiving either the signed DAF or the text below will OSR be permitted to submit a proposal for NSF or NIH funding beginning April 1, 2013. In the event this expedited process is used, a signed DAF must then follow once the PI is available for signature.

This process is not intended to bypass any reviews or approvals required by your Division office prior to proposal submission – PIs must still abide by these.

The revised DAF is also available on the OSR website and will soon be available on the Caltech forms page (forms.caltech.edu).

Please let me know if you have any questions.

Thanks,

David

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The text below is provided in the event that the PI is unavailable to sign the Division Approval Form prior to submission of a proposal for either NIH or NSF funding. In this situation, OSR will be able to accept an e-mail from the PI, or a FAX signed by the PI, that includes the following text. The Division must then follow-up with a signed DAF once the PI is available.

This process is not intended to bypass review requirements imposed by your Division office – you must still abide by those.

FCOI (NSF and NIH)

I, the PI, certify that, I and, to the best of my knowledge, all individuals responsible for the design, conduct, or reporting of results of the proposed research activities:

1) have reviewed all responsibilities with respect to Caltech's Policy on Conflicts of Interest and, if applicable, Caltech's Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors (Caltech's Policies);

2) have disclosed financial interests according to Caltech's Policies; and have completed training in Conflict of Interest, if required (training is required for PHS/NIH proposals).

NIH Certification as to proposal accuracy

I, the Principal Investigator, hereby certify: (1) that the information submitted within the application is true, complete and accurate to the best of my knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and (3) that I agree to accept responsibility for the programmatic conduct of the project and to provide the required progress reports if an award is made as a result of the application.