

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.*