

PROPOSAL CHECKLIST OF FEDERAL AND INSTITUTIONAL REQUIREMENTS

Check all item(s) in both sections to be addressed by the PI that apply to the project. (This form must be uploaded in CAYUSE with other documents in order to process for review and approval)

1. PRIOR TO SUBMISSION

The following items need to be addressed prior to submission.

CONFLICT OF INTEREST

Principal Investigators (PI) and Key Personnel responsible for the design, conduct, or reporting of research must complete a COI form prior to the proposal submission.

Proposals to state or local government agencies or to private entities require completion of the State conflict of interest form 700-U, unless the agency/entity is on the exempt list. Form 700-U is here:

<https://www.cpp.edu/research/sponsored-program/docs/700-u-form.pdf>

Proposals to federal agencies (e.g., NIH, NSF, etc.) require completion of the PHS conflict of interest form (<https://www.cpp.edu/research/sponsored-program/docs/cpp-fcoi-2022.pdf>). PI should also complete the web-based Financial Conflict of Interest courses at CITI Online Training (<https://www.citiprogram.org/default.asp>).

LETTERS OF SUPPORT

Yes No Will you need a letter of support from the campus?

If you will need a letter from the Provost, you should prepare a draft letter on university letterhead so the if the Provost agrees, she will only need to sign the letter. Do not use AdobeSign, and send the draft at least 2 weeks in advance to: provosts_docs@cpp.edu.

CURRICULAR DESIGN AND AGREEMENTS WITH OTHER INSTITUTIONS

Yes No Will your project involve curricular design? Yes No Will it have admissions agreements with other institutions?

Curriculum development may require consultation with other campus programs. Admissions agreements are strictly regulated. In both cases, the PI needs to discuss their plans with the AVP for Research.

INDIRECT COSTS

Yes No Does the sponsoring agency limit the indirect cost (IDC) rate?

If the sponsor limits IDC to a rate less than our negotiated rate (47%), please provide the published documentation. If the sponsor does not allow any indirect costs, you must identify an account that will pay the 4.5% administrative fee charged by the Foundation. We will not proceed without the account information for the admin fee. Please talk with your chair, dean, or AVP as necessary.

2. UPON AWARD NOTIFICATION

The following items are to be addressed upon award notification. However, PI should check off any applicable box during the submission phase.

STRATEGIC ENTERPRISE RISK MANAGEMENT (SERM)

If this item is applicable to your project, please take note that this would have to be addressed prior to initiating the project.

Unusual Risks: Are there unusual risks/"down-sides" for the University (injury, reputational risk, etc.)? Yes No
 If yes, what are they & how are they to be managed?

- Complete a risk assessment: <https://www.cpp.edu/rms/forms/ra-worksheet-for-events-projects.pdf>

ForeignTravel: Are Faculty/Staff, Auxiliary Staff and/or Student(s) on proposal traveling outside of the United States:

Yes No If yes, which country? Does it have travel restrictions? Yes No

If yes, review "restricted" country information (<https://www.cpp.edu/fas/university-accounting-services/travel/international-travel.shtml>). Remember to budget for foreign travel insurance.

Depending on the nature of foreign travel, you may need to take CITI training about Foreign Influence and Practices.

Will this project include sensitive positions (e.g. work with minors)?
 Work with power tools or equipment?
 Driving/operating State vehicles or equipment
 Students participating in grant activities off campus

Scuba Diving
 Activity in correctional facility
 Other: please identify

INSTITUTIONAL AND REGULATORY COMPLIANCE INFORMATION – The PI must complete these prior to initiating the project**Use of vertebrate animals:** Applicable Not Applicable

If you have questions, please contact Maya Monges-Hernandez (mayah@cpp.edu) or consult with the IACUC.

Use of human subjects and/or student data/records:

Do you plan to obtain data from human subjects via surveys, qualitative interviews, clinical studies or human biological materials etc.?

Yes No *If you have questions, please contact Maya Monges-Hernandez (mayah@cpp.edu) or consult with the IRB.*Will you need to obtain institutional data housed within the [Institutional Research, Planning and Analytics](#) Office and/or its [CPP campus partners](#) (information such as transfer student information, enrollment records, student financial aid related information)?Yes No *If you have questions, please contact Joe Hackbarth (jhackbarth@cpp.edu). Student financial aid eligibility information requires pre-approval.***Export Control:** Applicable Not Applicable

Please check "Applicable" if your project (i) involves direct or indirect transfer or transmission of controlled commodities, technology, or software out of the US, (ii) if it is funded by the US DOD, a branch of the armed forces, or a foreign company, or (iii) if it involves foreign nationals. In this case, the PI and other personnel (Co-PI's, post docs, students) must complete the CITI Online Training on Export Control PRIOR to the initiation of the project, and an export control management plan may need to be developed.

CITI Online Training information: <https://www.cpp.edu/~research/research-compliance/ec/about-us.shtml>****NEW** Updated Responsible Conduct of Research (RCR) requirements:**

All PIs and other budgeted personnel (Co-PI's, staff, post docs, students) must now complete the CITI Online Training PRIOR to the initiation of the project. This training includes modules on conduct of research and conflict of interest and is valid for 4 years.

Please visit the [CITI Online Information site](#) to learn how to create a CITI program account and self-enroll in the RCR course:

I have had RCR training within the last 4 years: No Yes (please provide certificate of completion)

FACILITIES PLANNING & MANAGEMENT (FPM) and ENVIRONMENTAL HEALTH AND SAFETY (EH&S)**Facilities Management** Applicable Not ApplicableEquipment requested in the award will connect to infrastructure: building, electric, gas, water line, sewer, storm water, communications. If applicable, contact FPM when preparing budget: <https://www.cpp.edu/fpm/index.shtml>**Environmental Health & Safety** Applicable Not ApplicableIf you have questions, please contact Environmental Health and Safety: <https://www.cpp.edu/ehs/contact-us.shtml>To the best of your knowledge will the proposed research involve any of the following **Restricted Items**:

- Biosafety, Stem Cells, Recombinant DNA, Tissues/Cultures, Nanoparticles
- Radioactive materials, radiation generating equipment, non-ionizing radiation or lasers (Class III or IV)
- Chemicals or Compressed Gas Cylinders
- Shop equipment, tools, laser engravers, saws etc.
- Particularly Hazardous Substances or regulated carcinogen(s) (*reference EH&S Chemical Hygiene Plan, Appendix A*)
- DHHS/FDA/DEA/USDA regulated materials or controlled substances
- Unmanned Aerial Vehicles (UAV's): Drones, remote aircraft, etc.

Approval from Risk Management to ORSP or Research Compliance required prior to initiating the project**CONTROLLED SUBSTANCES**

Controlled Substances (including any biological agents). Applicable Not Applicable

If applicable, please contact Environmental Health and Safety at <https://www.cpp.edu/ehs/contact-us.shtml>**CLASSROOM/LAB SPACE**

Is extraordinary Classroom/Lab space required for the project? Yes No

* If, yes please secure approval from appropriate unit (i.e., email or similar documentation from Dean or Director).

PRINCIPAL INVESTIGATOR STATEMENT: This is to acknowledge that I will comply with the university [Proposal Development and Submission Policy](#), and that I understand that it is my responsibility to read the solicitation guidelines and be aware of all requirements for successful submission.**PI**
Name: **Date:** **Signature:****ORSP Administrator**
Name: **Date:** **Signature:**