

Authorization Form

DUE DATE:**INVESTIGATOR INFORMATION****Principal Investigator:**

Department:

College:

Co-Investigator:

Department:

College:

BANNER Administrator:

College Org No:

Dept Org No:

FUNDING AGENCY INFORMATION**Name of Funding Source:****POC / Email:****Funding Opportunity Title:***RFP No:***Is this a Sub-Award?**

Prime:

PROJECT DESCRIPTION**Title:****Description:****Start Date:****Class:****Type:****End Date:****Agency:****Mechanism:****BUDGET DETAILS****Direct Cost:****Indirect Cost:****Funding Request:****Match:**

Total:

Course Releases:

x

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Notes:

Supplemental Comp.:

Indirect Rate:

COMPLIANCE

NASA Applicants: Recipients of NASA awards must notify OSP within 10 days if any administrative action has been taken against the award recipient which relates to sexual harassment or sexual assault allegations. Effective April 9, 2020.

Federal Applicants: Recipients of most federal awards (NSF, NIH) are REQUIRED to provide training to student researchers, as well as maintain their own credentials, in Responsible Conduct in Research (RCR). A minimum of 8 hours meets federal regulations. The university subscribes to citiprogram modules to support RCR training. See OSP's website or inquire with OSP staff.

<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>

<https://www.hartford.edu/unotes/2020/01/responsible-conduct-in-research-rcr-training-is-available-for-all-students.aspx>

<https://www.hartford.edu/about/campus-leadership/office-provost/faculty-development/human-subjects-committee/>

<https://hartford.edu/about/offices-divisions/office-sponsored-programs/osp-templates/institutional-animal-care-committee.aspx>

CONFLICT OF INTEREST

The University of Hartford requires investigators to disclose financial interests that might reasonably appear to be impacted by externally funded activity. This includes the collaboration of family members, which should be disclosed. For financial conflicts, see the Financial Conflict of Interest (FCOI) requirements of 42 CFR Subpart F for details.

When in doubt, please contact the Office of Sponsored Programs, which can mediate risk to the University.

Extramural work includes all work performed outside the University of Hartford, e.g. consulting.

PI has _____ or has not _____ engaged in any extramural program related to the proposal's subject matter with either a government agency/private firm within the last year *or* PI has consultancy related to the proposal's subject matter.

Co-PI has _____ or has not _____ engaged in any extramural program related to the proposal's subject matter with either a government agency/private firm within the last year *or* Co-PI has consultancy related to the proposal's subject matter.

REQUIRED SIGNATURES

Each undersigned PI or Co-PI affirms to have read & understood the above requirements and the attached "Financial Conflict of Interest Policy". Deans authorize use of resources, e.g. match, course releases, university space, etc.

PI:

Date:

Co-PI:

Date:

Dean:

Date:

Director of OSP:

Date:

MATCHING FUNDS FORM

	BUDGETED MATCH (\$)	NOTES	SOURCE
<u>SALARIES & WAGES</u>			
<u>EMPLOYEE BENEFITS</u>			
<u>OTHER DIRECT COSTS</u>			
<u>TOTAL DIRECT COSTS</u>		Matching funds are subject to audits and therefore must be fully documented. Steps should be taken to ensure the above funds are available at the time of the award.	
<u>INDIRECT COSTS</u>			
<u>TOTAL PROJECT MATCH</u>			

Deans confirm the availability of these resources by signing the Authorization Form

Financial Conflict of Interest (FCOI) Policy

What is required?

Federal regulations (42 CFR Part 50 Subpart F) require institutions to have policies and procedures in place for investigators to disclose significant financial interest that may result in an actual or potential conflict of interest relationship within externally sponsored projects. These standards of disclosure therefore provide a reasonable expectation that the design, conduct, and reporting of research funded under federal grants or cooperative agreements will be free from bias resulting from Investigator financial conflicts of interest.

Such disclosure should be made prior to the submission of a proposal for funding. 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.

Significant financial interest means:

(1) A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities:

(i) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

(ii) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or

(iii) Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.

(2) Investigators also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. The Institution's FCOI policy will specify the details of this disclosure, which will include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution's FCOI policy, the institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes an FCOI.

(3) The term significant financial interest does not include the following types of financial interests: salary, royalties, or other remuneration paid by the Institution to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights; any ownership interest in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization; income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.