

Co-Principal Investigator/Co-Investigator/ Co-Project Director Assurances

Assurances made by the Co-Principal Investigator (Co-PI), Co-Investigator (Co-I), Co-Project Director (Co-PD) when submitting a proposal to an external sponsor (extended list tied to the Sponsored Projects Approval Form)

Background

When a proposal is submitted to an agency for support of research, training, or other sponsored activities, the official authorized to sign the proposal on behalf of the institution is often asked to verify to the sponsor that the University is in compliance with applicable laws and regulations. Further, the authorized institutional representative must ensure that University policies and procedures were followed in the preparation and submission of the proposal.

In certifying this document (and signing the Sponsored Projects Approval Form), the Co-PI/Co-I/Co-PD certifies that they are or will be in compliance with University and sponsor policies as they relate to the proposal being submitted and to a subsequent award. These certifications/assurances are listed below. Additional certifications/assurances may also be required at the time an award is accepted. Many of the following certifications are federal in origin, and the principles behind them may apply to all sponsored activities, regardless of sponsor, in accordance with CSUSM and CSUSM Corporation policies and procedures.

The Co-PI/Co-I/Co-PD certifies to all of the following:

1. That the information submitted within the proposal/application is true, complete, and accurate to the best of their knowledge;
2. That any false, fictitious, or fraudulent statements or claims within the proposal/application may subject them personally to criminal, civil, or administrative penalties;
3. That Co-PI/Co-I/Co-PD is eligible to be a Co-PI/Co-I/Co-PD in compliance with University policy;
4. That if the sponsor follows Public Health Service Financial Conflict of Interest (FCOI) regulations (see agencies that follow these regulations [here](#)), the Co-PI/Co-I/Co-PD has completed the financial interest disclosure. Further, in the event of an award, the Co-PI/Co-I/Co-PD will complete financial conflict of interest training through CITI.
5. That the Co-PI/Co-I/Co-PD will disclose to Grants and Contracts Development (pre-award stage) or Office of Sponsored Projects (post-award stage) when there is potential for conflict of interest related to the employment of a relative on a sponsored project.
6. That the Co-PI/Co-I/Co-PD, where relevant, has disclosed all support following NSF guidance on what to include in the Current and Pending Support Form. Current and pending support information must be provided for "ongoing projects and for any proposals currently under consideration from whatever source, irrespective of whether such support is provided through the proposing organization or is provided directly to the individual." The Co-PI/Co-I/Co-PD will disclose all support following NIH guidance at the Just-In-Time stage. The Co-PI/Co-I/Co-PD confirms that support from foreign entities has and will be disclosed.
7. The reasonableness of the kinds and levels of resources proposed and overall funding for the budget included for any subawardee(s)/subcontractor(s) listed in the proposal;
8. If the Co-PI/Co-I/Co-PD has any budgeted overload/additional employment, that they are aware they may not exceed 125% to effort in all appointments combined, including the proposed sponsored project. Before accepting work, the Co-PI/Co-I/Co-PD will not exceed that combined total (CSU Unit 3 Collective Bargaining Agreement, Section 36.4);

Pre-Award Review and Approval

9. That the Co-PI/Co-I/Co-PD has examined the proposal for completeness and accuracy (including the truthfulness of the scientific claims made, biographical data, and budget estimates);
10. That the Co-PI/Co-I/Co-PD has read and will abide by the University policy on *Misconduct in Scholarship and Research* (<https://www.csusm.edu/policies/active/documents/misconduct-in-scholarship-and-research.html>);
11. That if the proposal is submitted to a federal agency either directly or indirectly through another organization, the Co-PI/Co-I/Co-PD is not currently debarred, suspended, nor proposed for debarment from receiving Federal support for research. Further, he/she will notify Sponsored Programs if any person who will receive or is receiving compensation under the subject award is debarred or suspended from receiving Federal funds prior to the project's expiration date;
12. That if the proposal is submitted to a federal agency either directly or indirectly through another organization, and if the Co-PI/Co-I/Co-PD has engaged in any lobbying efforts for this project, he/she/they have done so on their own time and at their own expense and have not used any federal funds for this purpose. Further, if lobbying activities related to this project have been paid from a non-federal source, the PI/PD will complete and submit Standard Form LLL, Disclosure of Lobbying Activities;
13. That the Co-PI/Co-I/Co-PD will comply with all applicable Campus policies regarding nondiscrimination and harassment; and, where relevant, the PI understands that the institution will comply with NSF (<https://ncesdata.nsf.gov/webcaspar/>) and NIH (<https://www.nih.gov/anti-sexual-harassment/nih-awardee-organizations-those-who-work-there>) terms and conditions on sexual harassment, other harassment, and sexual assault.
14. That Co-PI/Co-I/Co-PD has the technical ability to conduct the project, and that research space, including any special utilities, transportation requirements, or facilities, is available to conduct the project and necessary approvals have been authorized;
15. That the Co-PI/Co-I/Co-PD will keep adequate records related to the activities on this project and is aware that all such records, including laboratory notebooks, must be made available to the University;
16. That the Co-PI/Co-I/Co-PD has considered space needs of the project sought department and college-level support for the allocation or use of space as proposed;
17. That the sponsor or an agent acting on behalf of the sponsor will have access to the facilities where the project is conducted, and be permitted to review technical and financial project records;
18. That if there are proposal statements indicating institutionalization of any project activities, that the Co-PI/Co-I/Co-PD, along with the PI/PD, has made those statements known to the unit/dept/college where the project activities will be based.
19. That the Co-PI/Co-I/Co-PD has an obligation to report inventions developed under federally-funded programs (Bayh-Dole Act Compliance - US Patent Law, 37 CFR 401) to the Dean of Graduate Studies and Research and assign them to the institution; the Co-PI/Co-I/Co-PD will work with the PI/PD to disclose an invention to the federal agency supporting the applicable research program within 2 months after the inventor discloses an invention in writing to the institution;
20. That the Co-PI/Co-I/Co-PD is aware that administering a sponsored project requires a significant amount of time spent on administrative duties outside of the proposed aims of the project.
21. That the Co-PI/Co-I/Co-PD will comply with sponsor and Campus policies, which are subject to change during the award period; and that the Co-PI/Co-I/Co-PD read, and is, or will be in compliance with and abide by all the items included herein.

Co-PI/Co-I/Co-PD certifies he/she/they have read and agree to these assurances:



Pre-Award Review and Approval

Co-PI/Co-I/Co-PD NAME

DATE