

**Hawaii Coral Reef Initiative Research Program  
FY 2009-2010 Administrative Form**

**A. CONTACT INFORMATION**

Principle Investigator: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Department: \_\_\_\_\_

Fiscal Officer: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

\*FO#: \_\_\_\_\_ (for UH proposals only)

Short Project Title: \_\_\_\_\_

**B. PRINCIPAL INVESTIGATOR CERTIFICATIONS – Please check all that apply:**

For non-UH proposals, please obtain equivalent approvals from your home institutions.

**COMMITMENTS:**

- Proposal includes cost sharing or in-kind contributions. If checked, explain or provide details.**  
Percentage: \_\_\_\_\_ Dollar Value: \_\_\_\_\_  
Cost-sharing, cost-matching, or in-kind contributions are legally binding commitments made by UH to the sponsor on behalf of departments and principal investigators. The exact details (who, what, how much, when, etc.) of the commitment(s) should be described and attached in a separate sheet, or in the budget justification. Information on UH's policies on cost sharing/matching can be found in APM A8.947 and A8.951, which can be accessed at the University's website, located at <http://www.hawaii.edu/svpa/apm/sysap.html>.
- Proposal is from UH department(s) other than the UH Social Science Research Institute. If checked, provide appropriate details and approvals on ORS Form 5a (<http://www.hawaii.edu/ors/forms/FORM5a.pdf>)** A letter of commitment signed by the Dean or Director of that department which approves of the specific commitments (who, what, how much, when, etc) being made in support of your proposed activity is required. The letter cannot be vague or overly general (e.g. "I agree to support XYZ project" is too broad).
- Proposal includes commitments from non-University of Hawaii sources. If checked, attach letters of commitment.** If the cost-sharing, cost-matching, or in-kind contributions are being promised by non-University sources, proposal needs letters of commitment from each external source, signed by a person authorized to commit that institution's funds and resources as promised. Again, these letters must specifically identify the exact amounts and types of cost-sharing, cost-matching, or in-kind contribution and not be too general or don't provide adequate assurances that the external source is legally bound to provide the promised commitments.

**CONFLICT OF INTEREST:**

- Potential conflict of interest (financial or otherwise). If checked, provide appropriate details and approvals on ORS Form 5B (<http://www.hawaii.edu/ors/forms/FORM5b.pdf>)** if there is a potential or apparent conflict of interest because of your participation in the proposed activity. An actual or potential conflict of interest exists when a financial or other interest could affect the design, conduct, or reporting of the research. Even a perceived (or apparent) conflict of interest, if not explained, can be damaging to the University and the validity of the research. Check this box any time a reasonable person with knowledge of the relevant facts would question your impartiality in the conduct of the research.
- Proposal for NSF or PHS funding. If checked, provide appropriate details and approvals on ORS Form 5B (<http://www.hawaii.edu/ors/forms/FORM5b.pdf>)**

**PRINCIPAL INVESTIGATOR CERTIFICATIONS (continued) – Please check all that apply:**

For non-UH proposals, please obtain equivalent approvals from your home institutions.

**OTHER CERTIFICATIONS:**

**The use of human subjects?** If checked, you certify that all project personnel have completed the NIH Training Module (find the link at <http://www.hawaii.edu/irb/links.htm>), plus any other training or certifications required by the sponsor, state, federal government, or University for the proposal. If you have questions on what constitutes a human subject or human subjects use, please visit the Committee on Human Studies website at <http://www.hawaii.edu/irb/index.htm> and review the FAQ and Guidelines sections. If checked, you certify that all project personnel have completed the NIH Training Module (find the link at <http://www.hawaii.edu/irb/links.htm>), plus any other training or certifications required by the sponsor, state, federal government, or University for this proposal.

- CHS Pending  CHS Approval/Exemption attached

**The use of Vertebrate Animals.** If checked, obtain LAS cost estimate. If you have questions on what constitutes an animal subject or animal subjects use, please visit the Institutional Animal Care and Use Committee website at <http://webct2.hawaii.edu:8900/public/uhmstylviak1/>. Visit the UH IACUC website: <http://www.hawaii.edu/ansc/IACUC/> for more information.

- Pending  IACUC Approval/Exemption letter attached

**Health and Safety:** The importation of microorganisms, SCUBA diving, or the use of recombinant DNA, radioactive material, biological or chemical material classified as a “select agent,” or other hazardous material. If you have questions on the use of compressed-gas (SCUBA), recombinant DNA, radioactive or hazardous materials, or the importation of microorganisms please visit the Environmental Health and Safety Office website at <http://www.hawaii.edu/ehso/>. If you checked this box, please submit approval of the Environmental Health and Safety Office (EHSO) with your proposal.

- Compressed gas diving  Radioactive material  
 Hazardous material  Pending  
 Other: \_\_\_\_\_

**Export Controls:** Proposed activity includes, or will result in, export-controlled technology or data (ITAR, EAR, etc.). Indications of export controls include sponsor restrictions on disclosure and /or access by foreign nationals.

**Lobbying Efforts:** The proposal was supported by Lobbying Efforts. If checked, attach a separate sheet describing nature and funding source of the lobbying activities.

**Subcontractor Proof of Commitment:** Proposals includes a subcontract to a collaborating institution. If checked, attach commitment letter(s) containing subcontractor’s statement of work and budget that is signed by subcontractor’s authorized institutional representative. This box must be checked if a subcontractor or subrecipient is identified in the budget or proposal. Generally, a subcontractor/subrecipient independently carries out a part of our project or statement of work (as compared to a vendor that simply provides goods or services). The subcontractor would have responsibility for programmatic decision making and their performance would integrally affect the University’s ability to meet the objectives and deliverables of our prime award.

**Risk Management:** This proposal involves research dealing with HIV or other pathogens, hazardous working conditions, or the use of watercraft (research vessels). Provide a memo that states that your project will only use state-owned boats. If boats other than state-owned will be used, submit a copy of insurance policies or other documentation (e.g., a memo that mitigates the risk to the University of Hawaii). Advance warning and knowledge of possible risk factors allow a preliminary assessment of risk and exposure to liability for the UH, which operates primarily on a self-insured basis. It also allows ORS and/or the University’s legal counsel to advise a University program that a proposed project may require the purchase of additional insurance or that a funding agency will be required to indemnify the University if the project is funded.

- Use of watercraft (research vessel)  Research dealing with pathogens  
 Hazardous working conditions  Other: \_\_\_\_\_

**Equipment Screening Certification (needed from UH proposals only):** For equipment with an estimated cost over \$5,000 and less than \$10,000 listed in the proposed budget, an inventory of the department shall be screened for available use. For equipment with an estimated cost of \$10,000 or more listed in the proposed budget, university-wide screening is required for available usage. The following responses were elicited:

Item of Equipment	Department Contacted	Response Regarding Availability
_____	_____	_____

**PRINCIPAL INVESTIGATOR CERTIFICATIONS (continued) – Please check all that apply:**

I acknowledge that my answers to questions B7 and B8 will serve as my proxy for intellectual property and publication issues if my proposal is funded. I understand that if for some reason the questions are not answered, 1) there could be delays in the processing of my award if ORS is unable to contact me regarding my position on these terms and conditions, and/or 2) the University may make unilateral changes to an award in order to meet a sponsor's deadline.

- Intellectual Property:** I hereby waive and relinquish my rights in intellectual property if the funding agency's terms and conditions require it. Please be advised that UH holds the title to intellectual property developed at the University and will not relinquish its ownership except in exceptional circumstances. The University's policies concerning ownership of intellectual property created or developed by University employees and those who use University facilities can be found at <http://www.otted.hawaii.edu/faculty/policies.html>. In general, the University owns all intellectual property (except copyrights) developed by faculty and other University employees. However, because faculty-inventors retain some beneficiary rights, ORS will need to know if the faculty-inventor is willing to relinquish some or all of those rights if required by the award terms and conditions. If you have any reservations about giving up your intellectual property rights, do not check this box. However, all applicants for federal funding should note that any intellectual property developed with federal funding is automatically subject to a non-exclusive royalty-free license to the U.S. government.
- Publications:** I am willing to accept sponsor's terms and conditions that restrict, limit, or prohibit publication. In general, the University discourages the practice of accepting publication restrictions which limit the dissemination of information or compromise the integrity of the findings, however, as the copyright holders of their research publications, the decision is left to the individual faculty. Check this box only if you have no intent to publish, or if you are willing to accept any and all sponsor restrictions on publication.
- Background Intellectual Property:** This proposal involves the use of pre-existing intellectual property. Please identify all such intellectual property and the owner(s) (UH, sponsor, or other) by attaching a separate sheet with details. Will the proposed activity utilize intellectual property developed in previous projects? If yes, identify the pre-existing intellectual property and its original source of funding (NSF, DOD, private...). Attach a separate sheet with supporting details.

Check if any of these attachments are submitted (or its equivalent from non-UH institutions):

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> ORS Form 5A   | <input type="checkbox"/> Human subject approval     | <input type="checkbox"/> EHSO approval                                       |
| <input type="checkbox"/> ORS Form 5B   | <input type="checkbox"/> Vertebrate Animal approval | <input type="checkbox"/> Watercraft memo (or copy of boat insurance)         |
| <input type="checkbox"/> Subcontract letter including statement of work and budget | <input type="checkbox"/> Dive Safety Approval       | <input type="checkbox"/> Collecting permit or other necessary agency permits |

I certify that, to the best of my knowledge, the above information is accurate and complete and that this project will be conducted in accordance with Federal, State, and University requirements and policies.

P.I. Signature \_\_\_\_\_ Date \_\_\_\_\_

NO "PER" SIGNATURE ALLOWED

**DEPARTMENT FISCAL OFFICER:**

I certify I have reviewed all budgets and resource commitments and have found that they comply with Federal, State, Sponsor, and University requirements and policies.

Reviewed by: \_\_\_\_\_ Date \_\_\_\_\_

Signature - Fiscal Officer