**UNIVERSITY OF ILLINOIS AT SPRINGFIELD**

**INTERNAL CLEARANCE FORM**

**UIeRA Assigned Number**

Submit one original Internal Clearance Form fully complete with grant/contract application to external funding sources.

**Sponsor Deadline**:       Date of:  Postmark  Receipt  Electronic submission due

**Supports a program of**: Basic Research Applied Research Public Service  Instruction  Academic Support

Training Student Services Product Development Other (describe)

**Proposal type:**   New Renewal Continuation Revised Proposal or Budget Supplement

For renewal or continuation, provide previous UIeRA#      , sponsor or grant/contract #     , and current Grant Code

**Project Information:** **Banner Organization Code:**

Principal Investigator Name:

*Last* *First and Initial UIN Initiating Dept. /Division Name E-mail Address Phone Number*

*Co-Principal Investigator(s):*

*Fiscal Officer:*

Project Title:

Campus Unit:       College (if applicable):       Division:

Proposed Start Date:       Proposed End Date:

**Sponsor Information:**

Sponsor/Agency Name:

*(If an incoming subaward, specify the name of originating sponsor in parentheses after the Prime Recipient’s name)*

Sponsor/Agency Mailing Address

*(If needed for proposal submission)*

Sponsor Contact Name            Phone

Type of Sponsor:  Federal Government  State of Illinois  State program w/federal funds  Other Govt.

Not-for-Profit  For Profit  Other (describe)

Proposal is:  Unsolicited  Solicited If solicited, URL:

(*Or attach copy of sponsor guidelines*)

**PRINCIPAL INVESTIGATOR RESPONSIBILITY:**  It is understood that if an award results from this application, the principal investigator will perform the administrative duties normally associated with the project. The principal investigator assures that he/she makes this submission with the understanding that any resulting award will contain no provision restricting the University’s right to publish research results, and that if any question of such restriction arises in subsequent negotiation he/she will assist in arranging the further review that will be required.

**Note to Project Directors/Principal Investigators and Co-Directors/Investigators:** By signing below, you certify that (1) the information submitted herein is true, complete and accurate to the best of your knowledge, (2) you acknowledge that any false, fictitious or fraudulent statements or claims may subject you to criminal, civil or administrative penalties, (3) you agree to accept responsibility for the scientific conduct of the project and to provide progress reports, (4) you attest that you have submitted a report of non-university activities that accurately lists your financial and other relationships (and those of your spouse, domestic partner, parents, siblings, and dependent children) that might reasonably appear to be affected by the research being proposed, and (5) when required under sponsor regulation, you further ensure that all personnel proposed under this submission are current in such disclosures of know significant financial interests.

**SUBMISSION APPROVALS[[1]](#endnote-1):** (Sign and date**)**

Project Director/Principal Investigator Date Co-Project Director/Investigator Date

Director, Dept. Chair, or Unit Head Date Exec Dir., Center for State Policy & Leadership (if applicable)Date

Dean of College/Library/VC Student Affairs Date Vice Chancellor for Academic Affairs Date

Grants and Contracts Date Other (if required) Date

(Rev 04/14)**Budget Information**:

UIS\*       + Sponsor\*\*       + Other       = Total

**Attach a spreadsheet with budget details, including amount and source of any cost sharing and the sources of Other Funds committed to the project.**

**Cost Sharing**: (leave blank if there is not cost-sharing)

Required by sponsor?

Yes

No

Informal Request of Sponsor

Voluntarily Committed

**Identify in the detailed budget the party providing cost-sharing.**

$      from Campus/Central Administration

$      from College

$      from Department

$      from other campus sources (specify)

$      from off-campus sources (specify)

If the project is funded, the unit must establish a separate account(s) in which to record these cost-sharing commitments. (See Chapter 16.1 of Business and Financial Policies and Procedures for complete policy on cost-sharing).

**\* All cost sharing offered in the proposal must be documented should an award be received, and will be tracked in accordance with OMB circular A-21.**

\*\* **If proposal application is to a Non-Federal Sponsor, are federal funds involved?**  Yes  No

**Indirect Costs to be Recovered**:      % or fixed amount $

**If none, please explain:**

Sponsor will not pay indirect costs (**attach documentation from the sponsor**)

UIS match is required and indirect costs can be used

Other *(please explain*)

**NOTE: Proposals that do not use the UIS federally negotiated rate or the maximum rate allowed by the sponsor must be accompanied by a written request to waive indirect cost recovery. Only the Provost can approve such a waiver.**

Please add any information that would aid in review of this project, e.g. prior funding, collaboration with faculty from other programs or campuses, justification for non-mandatory cost share, etc.

**Proposal Characteristics, Compliance, and Other Approvals:** (check all that apply)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Human Subjects |  | Bio-toxins |  | Extremely toxic gasses |
|  | Use of Live vertebrate animals |  | Dioxins |  | Explosives |
|  | Human primate materials |  | Human pathogens |  | Discharge of unusual pollutants in waste water |
|  | Non-Human primate materials |  | Animal pathogens |  | Requirement for Environmental Statement |
|  | Human stem cells |  | Plant pathogens |  | Other safety or health hazard |
|  | Non-Human stem cells |  | Chemical hazard |  | Use of proprietary or confidential information |
|  | Recombinant DNA |  | Biological hazard |  | Copyright issues |
|  | Transgenic animals |  | X-Ray or Laser Registration |  | Patent considerations |
|  | Transgenic seeds |  | Corrosive gases |  | Intellectual Property considerations |
|  | Transgenic plants |  | Pyrophoric gases |  | Export Control considerations |
|  | Consultant |  | Subaward (include Scope of Work & Budget) |  | None of the above |

**Health and Human Services (HHS) Financial Conflict of Interest (FCOI) Requirements**

Effective August 24, 2012, HHS issued new regulations requiring detailed financial disclosure for Public Health Services (PHS)-funded investigators. An “investigator” is defined as the project director or principal investigator and any other person, regardless of title or position who is responsible for the **design, conduct, or reporting** of research funded by the NIH, or proposed for such funding. PIs, co-PIs, post docs, research scientists, research assistants, and others who play a key role (regardless of their source of funds) are included in this disclosure requirement.

1. All investigators submitting proposals to PHS funding sources or to sponsors who have adopted the HHS regulations must update their financial disclosures of significant financial interest (SFI) for all investigators included in the proposal. The investigator(s) must complete the PHS Investigator Financial Disclosure Form, which can be downloaded at [www.uis.edu/grants/conflictofcommitmentandinterest/financialdisclosureforphs-fundedinvestigators/](http://www.uis.edu/grants/conflictofcommitmentandinterest/financialdisclosureforphs-fundedinvestigators/) and submit it to their Primary Reviewer for Report of Non-University Activities (RNUA) for disclosure and management. The University *Policy on Conflict of Commitment and Interest* is also available at <http://www.uis.edu/grants/about/ConflictofCommitmentandInterest.html>. Significant financial relationships or changes in the reported relationships must be reported to the RNUA Primary Reviewer for your Department within 30 days of any newly acquired or discovered significant financial relationships. A list of Public Health Service Agencies and Organizations Requiring PHS Compliance is available on the UIS Grants website at [www.uis.edu/grants/conflictofcommitmentandinterest/financialdisclosureforphs-fundedinvestigators/](http://www.uis.edu/grants/conflictofcommitmentandinterest/financialdisclosureforphs-fundedinvestigators/).

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1. In addition, all investigators must complete training on the new regulations and University policy. Links to the training and all necessary forms can be accessed at [www.uis.edu/grants/conflictofcommitmentandinterest/financialdisclosureforphs-fundedinvestigators/](http://www.uis.edu/grants/conflictofcommitmentandinterest/financialdisclosureforphs-fundedinvestigators/) . Upon completion of the required training all investigators must submit the completed Investigator Training Document Form and the National Institute of Health tutorial Certificate of Completion to Kathleen Furr, Assistant Director of Research Administration at Office of Grants, Contracts, and Research Administration, MS PAC 525 for review. The Investigator Training Document Form must be signed by the investigator.
2. Significant Financial Interests (SFI) includes:
   1. Greater than $5,000 remuneration by or equity interest in an external entity (e.g., consulting or other payments, stock, stock options)
   2. Any payment from or equity interest in a non-publicly traded company
   3. Any externally reimbursed or sponsored travel (academic and government sponsors are exempted, but not non-profit organizations).
3. Anyone in the research group with responsibility for the design, conduct, and analysis of PHS-funded research must undergo HHS regulatory training every four years. Should this proposal be funded such training must occur prior to initiating any activities.

**Subrecipients**

If the proposal includes a subrecipient relationship with a third party, the subrecipient must provide a letter of support signed by the authorizing agent for the entity at the proposal submission stage. The letter shall include a certification that the subrecipient shall, at the time of award (1) have in place a conflict of interest policy that is compliant with the HHS regulations, or (2) agree to adopt and abide by the UIS conflict of interest policy. Proposals that include subrecipients cannot be processed until such a letter has been submitted.

Please contact Kathleen Furr at [Kathleen.Furr@uis.edu](mailto:Kathleen.Furr@uis.edu) or 217-206-7409 if you have questions.

***Grants Accounting Use Only*:**

|  |  |
| --- | --- |
| Title |  |
| Chart of Accounts |  |
| Grant code |  |
| Fund |  |
| Organization |  |
| Program |  |
| Index Code |  |

**Definitions for UIS Internal Clearance Form**

1. **Definitions**

***Basic Research***: Original investigation for the advancement of scientific knowledge not having a specific commercial objective.

***Applied Research***: Investigations designed for practical or commercial objectives.

***Instruction***: Curriculum development, summer institutes, or other instructional activities aimed at enrolled UIS students.

***Product Development***: Funds to support investigations to advance specific technological inventions or innovations

1. **Proposal Types**

***Renewal***: Beginning of a new award, which follows a previously awarded project.

***Continuation***: Annual application within a multiple year award.

***Supplement***: New funding for new work under an existing project. Period of performance is continuous or starts prior to the expiration of the existing project.

**(3) Approval Signatures**

* Proposals which require facilities or staff of more than one department or college must be approved by all departments and deans concerned. Attach additional sheets as needed.
* All signatures must be secured prior to the submission of a proposal to an outside entity, whether that submission be electronic or hardcopy. The Project Director will be notified by the Pre-award Grants and Contracts Office when the proposal is cleared for submission. A minimum of three business days is required by the Pre-award Grants and Contracts Office to review proposals and obtain the necessary approvals.
* Proposals that are submitted to external sponsors without first completing the internal clearance process may be withdrawn at the discretion of the Provost.

1. [↑](#endnote-ref-1)