ORP PI Proposal Initiation Packet

SUNY RF
The Research Foundation for
The State University of New York
College of Environmental Science and Forestry

Principal Investigator Information

Principal Investigator: _____

CoPrincipal Investigator: _____

CoPrincipal Investigator: _____

CoPrincipal Investigator: _____

CoPrincipal Investigator: _____

Do any PI/CoPIs currently hold an H1B Visa?   No   Yes

If yes, please enter their names: _____

Proposal Information

Final Title: _____

Project Period: _____

Direct Sponsor: _____

Prime Sponsor: _____

Funding Opp No. or Link: _____

Proposal Deadline: _____

Field Discipline Code: _____

Subrecipients

Subrecipients Contact/PI: _____

Email/Phone: _____

Subrecipient Organization: _____

Required

Please enter a brief project ABSTRACT/SUMMARY and associated key words.

Enter any budget notes:

Compliance Protocols

For the item listed below, indicate if it is involved in the project:

Human Subjects: Yes   No

If Yes, to Human Subjects:

Have you received CITI Training?   Yes   No   If Yes, Date:_____

Is project exempt from Federal Regulations?   Yes   No

If Yes, check appropriate exemption Number: 1   2   3   4   5   6

If Approval, Assurance No: _____   Approval Date: _____

If No, Is IRB review pending?   Yes   NO   IRB Application Date: _____

Vertebrate Animals: Yes   No

If Yes, to Vertebrate Animals:

Have you received CITI Training?   Yes   No   If Yes, Date: _____

Is IACUC review pending?   Yes   No

IACUC Application Date: _____

IACUC Approval Date: _____

Animal Welfare Assurance No: _____

For the item listed below, indicate if the following are involved in the project:

Recombinant DNA: Yes   No   Hazardous Materials: Yes   No

Radioactive Materials: Yes   No   Radioisotopes: Yes   No

Human Stem Cells: Yes   No   DURC Select Agents: Yes   No

If Yes, is answered for any of the above, is the research related to this project approved by the IBC or pending review?

    Approval   Pending

If approved by IBC, enter date of approval: _____

IBC Protocol #, if available: _____

Export Controls

1.0_Does the project involve export restricted science or engineering areas (including but not limited to military/defense items or information; weapons; satellites or other space technology; new drugs; high performance computers or encryption technology)?

The federal regulations apply special rules to the shipment or transfer of certain goods, services and information to non-US persons. US Persons are any US citizen, permanent resident or individual protected under US immigration law (e.g. refugees).

    Yes   No

2.0_Does this project involve the use of equipment software, services or technical data (information) that is on the United States Munitions List (USML) under the International Traffic in Arms Regulations (ITAR)?

Projects and any resulting agreements for research in export restricted science or engineering areas should be carefully reviewed to ensure that all compliance obligations are met.

    Yes   No

3.0_Does the project provide any service or information related to an ITAR defense article to a non-US person or are you providing any data or information to a foreign national or foreign entity for a military or defense application?

Access to items subject to the ITAR by non-US persons may require an export control license, even if the items are being utilized in the course of fundamental research of an individual's regular work.

      Yes   No

4.0_Do you anticipate receiving any Proprietary Information from the sponsor and/or a third party?

      Yes   No

(If yes, answer part 2 below)

Has a Non-Disclosure Agreement been signed?

      Yes   No

An export control license is required prior to providing any ITAR defense service a foreign national or foreign entity. Also an export control license is required prior to transferring military or non-military items or information for certain prohibited end-uses.

5.0_Do you or your study team, as part of this project, anticipate transferring or providing access abroad by any means, to any software, laboratory equipment, biologics, materials, or any other commodity such as laptop, cell phone, cameras to any individual (e.g., subcontractor, consultant, colleague or sponsor)?

      Yes   No

The taking or sending of any software or commodity abroad is NOT covered by the Fundamental Research Exclusion. Any items being taken or transferred, even temporarily off campus, will be reviewed for export control compliance and applicability of a Material Transfer Agreement or additional certifications.

6.0_Does this project provide data, services or conduct any transaction with or in an embargoed country as defined by the Office of Foreign Asset Controls such as North Korea, Iran, Cuba, Syria or Sudan?

      Yes   No

An export control license may be required prior to conducting any transaction or providing any data or service to a sanctioned country.

7.0_Results of Fundamental Research are not controlled because they are intended to be published and shared widely. Is there any reason that you do not intend to publish or share your results?

      Yes   No

Restrictions to publications or foreign national participation may disqualify the project as fundamental research. Projects that do not qualify as fundamental research may require approval and/or the implementation of a technology management plan.

8.0_Do you anticipate that this project will involve restrictions to the dissemination of results, involvement of foreign nationals or any other export controls related concerns?

   Yes No

Restrictions to publications of foreign national participation may disqualify the project as fundamental research. Projects that do not qualify as fundamental research may require approval and/or the implementation of a technology management plan.

9.0_Does this project involve any non-US persons or organizations, including students if known? If yes, please list the person(s) name and affiliated organization.

   Yes No

Enter the individual's name and organization:

Non-US persons should be reviewed for export control compliance and the applicability of a Memorandum of Understanding and/or Material Transfer Agreement. International collaborators should be reviewed against the federal denied entity lists.