

PARS Submission No. _____

PI Certification Statement

As Principal Investigator I agree:

a) Conduct
If the proposal is funded to i) accept responsibility for the scientific and ethical conduct of the project, ii) conduct the project in accordance with the terms and conditions of the sponsoring agency and the policies of the University, and iii) be fully responsible for meeting the requirements of the award, including providing proper stewardship of sponsored funds and submitting all required technical reports and deliverables on a timely basis.
b) Financial Conflict of Interest
Having taken the required on-line CITI Conflict of Interest training and reviewed <UMaine's Policies and Procedures for Financial Disclosures and Conflicts of Interest> :
<input type="radio"/> I DO NOT have a significant financial interest in the proposed project.
<input type="radio"/> I DO have a significant financial interest in the proposed project AND will prepare a <Significant Financial Interest Disclosure Form> and submit it to the Office of Research Compliance (ORC). I understand this information must be received by ORC before a proposal will be submitted by the Office of Research Administration.
c) Debarment and Suspension
I will disclose to the Office of Research Administration, in writing upon immediate notice of the official action, if I am presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department or agency as described in <2 CFR §200.213 Suspension and debarment> .
d) Mandatory Disclosures
I will disclose to the Office of Research Administration, in writing within 14 days of the official action, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting a Federal award in compliance with <2 CFR Part 200.113 Mandatory Disclosures> .
e) Federal Debt Delinquency
No individual listed in the proposal, including myself, are presently delinquent in repaying any Federal debt such as Federal income tax obligations or a loan from a Federal Agency in compliance with the Federal Debt Collection Procedure Act, 28 U.S.C. 3201(e).
f) Lobbying Disclosure
For Awards with total costs which exceed \$100,000, no individual listed in the proposal, including myself, has or will lobby any Federal Agency on behalf of the award, continuation, renewal, amendment or modification.
g) Award Management
If funded, I will abide by all policies and procedures as detailed in the document Award Management: Role and Responsibilities of a Principal Investigator at the University of Maine

By submission of this Certification, I certify that I have reviewed, understand and agree to comply with the above policies.

Principal Investigator Signature: _____ **Date:** _____

Printed name of Principal Investigator: _____

Dept Chair, School/Institute/Center Director Signature: _____ **Date:** _____

Printed name of Dept Chair, School/Institute/Center Director: _____

PI Certification Statement Guide

Each PI and Co-PI certifies with every proposal submission that all information provided is true and complete and that the proposal conforms to the University policies and procedures applicable to sponsored activities. In addition, each PI or Co-PI must confirm that he/she will comply with all regulatory compliance directives; that all information submitted within the proposal is true, complete, and accurate to the best of his/her knowledge; that any false, fictitious, or fraudulent statements or claims may subject the investigator(s) to criminal, civil, or administrative penalties; and that the investigators(s) agree to accept responsibility for the conduct of the project and to provide all required reports as applicable if a project is awarded as a result of the proposal.

a) Conduct

Standards for the responsible and ethical conduct of research are set forth by Federal and State regulations, institutional policies, professional codes of conduct, and personal convictions. At the Federal level (Refer to [42 CFR Part 93](#)), the U.S. Department of Health & Human Services [Office of Research Integrity](#) (ORI) is vested with the authority to develop policies, procedures, and regulations for the detection, investigation, and prevention of research misconduct. Incorporating ORI's principles, the policies and procedures of the University of Maine System and the University of Maine reflect a strong institutional commitment to fostering an environment in which the highest ethical standards in the conduct of research and other scholarly activities are not only expected, but required. Primary responsibility for maintaining such standards in the pursuit and dissemination of knowledge rests with the faculty, collaborating staff members, and students. Every individual engaged in research and other scholarly activities is expected to be fully aware of the regulations and ethical guidelines governing his/her discipline. Failure to comply can result in penalties ranging from administrative to civil or criminal for both the institution and the individual(s).

For more information:

<https://umaine.edu/research-compliance/responsible-conduct-research/>

b) Financial Conflict of Interest

Federal regulations require institutions to have policies and procedures in place to ensure that investigators disclose any significant financial interest that may present a conflict of interest in relation to externally sponsored projects. Such interests can threaten –or seem to threaten – the integrity of educational programs and research agendas, the free dissemination of scholarship, and the appropriate use of public resources for public benefit. Disclosures of this nature must be made PRIOR to the submission of a proposal for funding and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced or eliminated prior to acceptance of an award.

Responsibilities of UMaine 'Investigators':

- Understand the University of Maine's Definitions, Policies and Procedures
- Prior to submitting a request for extramural funding, successfully complete the required FCOI training, and certify whether or not you have a significant financial interest related to the proposed activity.
- Any 'investigator' having such an interest must complete a *Significant Financial Interest Disclosure Form* and in certain circumstances follow an approved Conflict Resolution Plan.

For more information:

c) Debarment and Suspension

The federal government-wide debarment and suspension system requires grant applicants to certify that, to the best of their knowledge and belief, that neither they, their principals, including PIs and other key personnel are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal Agency or department. The debarment and suspension process, (as noted in [2 CFR §200.213 Suspension and debarment](#)) protects the federal government from fraud, waste and abuse by using a number of tools to avoid doing business with non-responsible contractors. Suspensions and Debarments are the most widely known tools as these actions are visible to the public via SAM (www.sam.gov). Principal Investigators are required to notify the Office of Research Administration if they are debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department or agency as described in this section. Failure to declare has several consequences, which will ultimately result in funding being withdrawn and proposals in submission not being reviewed. Non-federal entities are also subject to the non- procurement debarment and suspension regulations (implementing Executive Orders 12549 and 12689, [2 CFR part 180](#)). These regulations restrict awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs or activities.

d) Mandatory Disclosures

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in [2 CFR § 200.338 Remedies for noncompliance](#), including suspension or debarment.

For more information:

https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1113&rgn=div8

e) Federal Debt Delinquency

The Federal Debt Collection Procedure Act, [28 U.S.C. 3201\(e\)](#), provides that an organization or individual that is indebted to the United States and has a judgment lien filed against it is ineligible to receive a Federal grant. Before a grant can be awarded, the applicant organization must certify that neither it nor any person to be paid from grant funds is delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal Government, the federal funding agency may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, the funding agency will still take that delinquency into account when determining whether the applicant would be responsible with respect to a grant, if awarded.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for grant support until the judgment is paid in full or is otherwise satisfied. No funds may be re-budgeted following an award to pay such an individual. The federal funding agency will disallow costs charged to awards that provide funds to individuals in violation of this Act.

f) Lobbying Disclosures

Recipients of Federal grants, cooperative agreements, contracts, and loans are prohibited by, [31 U.S.C. 1352](#) *Limitation on Use of Appropriated Funds to Influence Certain Federal Contracting and Financial Transactions*, from using Federal (appropriated) funds to pay any person for influencing or attempting to influence any officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress with respect to the award, continuation, renewal, amendment, or modification of any of these instruments.

Applicants for awards with total costs expected to exceed \$100,000 are required to certify that they (a) have not made, and will not make, such a prohibited payment; (b) will be responsible for reporting the use of non-appropriated funds for such purposes; and (c) will include these requirements in consortium agreements and contracts under grants that will exceed \$100,000 and obtain necessary certifications from those consortium participants and contractors. The signature of the authorized institutional official on the application serves as the required certification of compliance.

Federal appropriated funds may not be used to pay the salary or expenses of an employee of a grantee or contractor or those of an agent related to any activity designed to influence legislation or appropriations pending before Congress or any State legislature. This prohibition extends to the use of funds for publicity or propaganda purposes, including the preparation, distribution, or use of any kit, pamphlet, booklet, publication, radio, television, or video presentation designed to support or defeat legislation pending before Congress or a State legislature except in presentation to the Congress or State legislature itself or as part of normal, recognized legislative-executive relationships.

For more information:

<https://lobbyingdisclosure.house.gov/lda.html>

g) Award Management

The process of managing sponsored projects is a shared responsibility between the PI, the department, and the Office of Research Administration (ORA), and each has unique areas of responsibility.

ORA staff assist PIs to manage sponsored projects by providing services which include but are not limited to:

- a comprehensive review of sponsor award terms and conditions, which includes negotiation and formal acceptance of the award
- subaward negotiation and acceptance
- project account set-up
- project invoicing and draw down of funds
- financial reporting
- time and effort reporting
- project close out

The PI has primary responsibility for accomplishing the technical goals of the project, while also complying with the Financial and administrative policies and regulations associated with the award. PI's should meet with their department administrative and/or financial manager to review charges in a timely manner. The fundamental responsibilities of the PI include:

- execute the project as outlined in the approved award
- authorizing only those expenditures that are reasonable and necessary to accomplish the project goals and are consistent with the sponsor's terms and conditions
- monthly reviews of project budgets; addressing budget discrepancies and errors promptly
- reporting project progress to the sponsor as outlined in the terms of the award
- complying with all University policies and procedures related to project management and personnel practices
- complying with all applicable sponsor rules, regulations and/or terms and conditions of the award

For more information:

<http://www.pars.umesp.maine.edu/ORAWeb/Policies/PIResp.pdf>