



Change of Principal Investigator/ Department

Date of Request: Original Principal Investigator/Department:
Proposal or Account Number: New Principal Investigator/Department:
Sponsor/ Prime Sponsor: Effective Date of Change:
Project Title: Sponsor Approval Required: Y N
Reason for the Request: (OSP determines)

Disclosures and Assurances:

All Investigators must comply with University and federal financial disclosure regulations found at
http://www.brown.edu/research/about-brown-research/policies/conflict-interest-policy-officers-instruction-and-research

An "Investigator" means the Principal Investigator and any other person responsible for the design, conduct, or reporting of research.
For the purpose of reporting a significant financial interest, "Investigator" includes the Investigator's spouse and/or dependent children.

1. Have you filed the annual Assurance of Compliance form and if necessary, a disclosure as required by the University's Conflict of Interest Policy for Officers of Instruction and Research (https://coi.brown.edu/coi_form.asp?- Brown Password required)

Yes No

2. Do you have a significant financial interest related to your professional expertise or institutional responsibilities?

Significant financial interest means an investigator's financial interest (and those of the Investigator's spouse and dependent children) that is directly or indirectly related to the Investigator's University responsibilities or professional expertise, when:
(1) the aggregated value of any equity interest in and remuneration received from a publicly traded entity in the preceding twelve months exceeds \$5,000; or
(2) the aggregated value of any remuneration received from a non-publicly traded entity in the preceding 12 months exceeds \$5,000; or
(3) the Investigator (or the Investigator's spouse or dependent children) owns any equity interest in a non-publicly traded entity; or
(4) the income received from intellectual property rights and interests (e.g., patents, copyrights) from Brown or another entity in the preceding twelve months exceeds \$5,000.

(The term significant financial interest does not include income from investment vehicles such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.)

Yes No

3. Do you have a significant financial interest that is related to this project?

Yes No

4. Have lobbying activities been conducted on behalf of this project?

Yes No

[If you answer “Yes” to this question you will need to file the necessary Disclosure of Lobbying Activities Form (SF-LLL).]

Signatures/Certification:

Investigator: I certify that the information contained herein is true, complete, and accurate to the best of my knowledge and belief and that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. I agree to accept responsibility for the scientific and technical conduct of this project, to provide the required technical reports, and to administer the project in accordance with the policies of the sponsor and the University.

The undersigned Certify that neither the Investigator nor anyone proposed to work on this project are, to the best of my knowledge, excluded from participation in federally funded activities as a result of government-wide suspension or debarment.

In accordance with the University’s Invention Policy, all personnel on this project, including postdocs, students, and visiting scientists, will have signed Patent and Invention Agreements under External Grants and Contracts prior to the initiation of this project. For information on invention, patents, and copyrights see <http://research.brown.edu/pdf/newpatent%20policy.pdf>.

PI Signature

Date

University Approvals:

Department Head/Designee: This action is approved. The activity is related to the programs of the Department. The time/effort of the PI and facilities are available to accomplish the proposed research. Cost sharing has been approved by the appropriate University office and the project budget is accurate and correct to the best of my knowledge. Any applicable Sponsor Regulations and University policies are followed.

Department Chair/ Designee Signature

Date

Office of Sponsored Projects Signature

Date

*Note that *final approval* is granted by the Sponsor. Additional data such as Biosketch and Current/Pending Support may be required.