



University of Puerto Rico at Cayey
Office of Sponsored programs and Research

INSTITUTIONAL NOTICE OF INTENT (NOI)

Application Type:

New

Renewal

Resubmission

To comply with the sponsor's deadline, the NOI must be submitted to the Office of Sponsored Programs and Research at least twenty-one (21) prior to the funding agency's submission deadline.

1.	TITLE OF PROPOSAL:				
2.	NAME OF PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR AT UPR-CAYEY: DEPARTMENT:				
3.	TYPE OF GRANT:	Grant	Subaward	Contract	Prime Awardee if Subaward or Contract:
4.	FUNDING AGENCY:	Federal	State	Private	
5.	NAME OF FUNDING AGENCY:				
6.	TITLE OF PROGRAM SOLICITATION (RFP/NOFO/FOA):				
7.	CFDA NUMBER (If applicable):				
8.	SUBMISSION DEADLINE (Agency specified) (mm/dd/year):				
9.	BRIEF PROJECT SYNOPSIS:				
10.	PROPOSED STARTING DATE (mm/dd/year):		PROPOSED ENDING DATE (mm/dd/year):		
11.	ESTIMATED DIRECT COSTS (\$):		12.	PROGRAM INCOME: Yes No	
	INDIRECT COSTS PERCENT : % INDIRECT COSTS AMOUNT (\$):		13.	EXPORT CONTROLS: Yes No	
14.	IS RELEASE TIME BEING REQUESTED? Yes No		If yes, indicate: % Credits		
	SOURCE OF FUNDS :				
15.	IF THE PROJECT WILL REQUIRE ANY OF THE FOLLOWING, PLEASE IDENTIFY THE RESOURCES NEEDED, ESTIMATED COSTS & SOURCE OF FUNDS.				
	Matching Funds	Source of funds:	Estimated Cost (\$):		
	Renovation, construction or renting of Space	Source of funds:	Estimated Cost (\$):		
	Maintenance of equipment NOT included in the proposal	Source of funds:	Estimated Cost (\$):		
	Disposal of Chemical/Biological waste	Source of funds:	Estimated Cost (\$):		
	Institutional commitment once the proposal has concluded (e.g., institutionalization of program activities)	Source of funds:	Estimated Cost (\$):		
	Are expanded utility or network services to support proposal, additional equipment, e.g., computers, fume hoods, air conditioning being requested? Specify below.				

	DOES THE PROJECT INVOLVE THE USE OF HUMAN OR ANIMAL SUBJECTS	Yes	No
a.	If yes, indicate which:	Animals	Humans Both
b.	If yes, has the protocol been reviewed and approved by the Institutional Review Board for Human Subjects or an Animal Care & Use Committee ? IRB No. In process		
c.	IACUC approval process must be made between PI/PD and the Institution that hosts animal facilities. Host Institution: IRBPH IACUC		
17.	Does the PI/PD perform tasks for other projects in the Institution or within the UPR System?	Yes %	No
18.	In compliance with the institutional policies: "Conflicts of Interest and Disclosure of Financial Interest in Research and Other Sponsored Programs": (Cert. Núm. 8, 2012-2013, JG), I certify that I have read, completed and signed the "Disclosure of Investigator's Significant Financial Interest, FORM 1.A".		
I certify that this project has been discussed with my Department Chair. I have not committed the Institution to expenses which are not covered in the grant except for the ones specified in section 10 of this document.			
PI/PD:		Date:	
Department Chair/Institute Director:		Date:	
Academic Dean (or corresponding Dean):		Date:	
Chancellor:		Date:	

Instructions

1. All questions must be answered in the NOI.
2. All signatures are required.
3. Return the completed form to the Office of Sponsored Programs and Research with a draft or synopsis of the proposal and Disclosure of Investigator's Significant Financial Interest (FORM 1.A on pages 3-5)
4. The Office of Sponsored Programs and Research will contact the PI/PD upon final approval of the documents.
5. It is important to remember that the final proposal must be submitted to the Office of Sponsored Programs and Research including any original agency forms or certifications required by the agency.
6. For further support, contact: vibha.bansal@upr.edu or maria.santiago25@upr.edu.

Revised: Sep 2024

University of Puerto Rico
Disclosure of Investigator's Significant Financial Interest
FORM 1.A

*42 CFR Part 50 Subpart F – Title 42: Public Health; Part 50: Policies of General Applicability;
 Subpart F: Promoting Objectivity in Research*

Date of this Disclosure: _____ **New** **Update**

Investigator Collaborator or Consultant at University of Puerto Rico _____ Campus

First Name	Middle Initial	Last Names

Office phone: _____ **E-mail address:** _____

If you answer **Yes** to any of the following questions you may have a significant financial interest in an entity and should file Form B. A *significant financial interest* means a financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities.

ANSWER THE FOLLOWING QUESTIONS	Yes	No
<p>(i) Over the past 12 months, have you received remuneration from any publicly-traded entity, and/or do you or your family members have any equity interest in that entity, the value of which exceeds \$5,000 when aggregated?</p> <p>For this question:</p> <p>“Remuneration” includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);</p> <p>“Equity interest” includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.</p> <p>“Entity” means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an</p>		
<p>(ii) With regard to any non-publicly traded entity, did you receive any remuneration from the entity in the twelve months preceding this disclosure, that when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest)?</p>		

University of Puerto Rico
Disclosure of Investigator's Significant Financial Interest
FORM 1.A

<p>(ii) Over the past 12 months, have you received remuneration from any non-publicly traded entity that exceeds \$5,000 when aggregated, and/or do you or your family hold any equity interest in such entity? For this question:</p> <p>"Remuneration" includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);</p> <p>"Equity interest" includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.</p> <p>"Entity" means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.</p>		
<p>(iii) Do you receive income from intellectual property rights and interests (e.g., patents, copyrights), not assigned to the UPR?</p>		
<p>(iv) Do you hold a position giving rise to fiduciary duty (e.g., director, officer, partner, trustee, employee, or any position of management) in a publicly or non-publicly traded entity?</p>		
<p><u>(v) For Investigators applying for or conducting research funded by the Public Health Service(PHS): Have you had any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to your institutional responsibilities?</u></p> <p>This disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. The Institution's FCOI policy specifies the details of this disclosure, <u>and the institutional official(s) will determine if further information is needed.</u></p>		

The evaluation of these forms by the Financial Conflict of Interest (FCOI) institutional officer will determine if you have a financial conflict of interest that may bias the result of your scientific research and to establish any pertinent actions to mitigate or eliminate the effect of such conflict in the results of the research.

Financial Interests means anything of monetary value, whether or not the value is readily ascertainable, in any one of the following categories: compensation, compensation for management, advisory, or consulting roles; gifts, services, loans; payments or in-kind gifts for services; licensing, patent, royalty, and other intellectual property agreements; equity interests in a public or private company (e.g., stocks, stock options, bonds, property interests, dividends, convertible securities, or other ownership interest); a position in an external entity giving rise to a fiduciary duty such as director, officer, partner, trustee, employee or any position of management; or, for researchers with funding from the Public Health Service, any reimbursed or sponsored travel.

A **financial conflict of interest** exists when a financial interest, or other opportunity for personal financial gain, is likely to compromise or influence the objective design, conduct, reporting, or direct administration of funded research.

Institution means any domestic or foreign, public or private, entity or organization (excluding a Federal agency) that is applying for or that receives research funding.

University of Puerto Rico
Disclosure of Investigator's Significant Financial Interest
FORM 1.A

Investigator means the project director or principal investigator and any other person, regardless of title or position, who is responsible and has the authority to make independent decisions related to the design, conduct, reporting or direct administration of University research funded by the federal sponsor, or proposed for such funding, which may include, for example, sub grantees, contractors, collaborators or consultants.

Entity means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.

The term **significant financial interest** (SFI) includes remuneration and anything of monetary value or potential monetary value held by an investigator (and by the investigator's spouse and dependent children), and that reasonably appears to be related to the investigator's institutional responsibilities. Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship), and equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

An SFI **does not include** salary or other remuneration paid by the University to the investigator if the investigator is currently employed or otherwise appointed by the University; income from investment vehicles; income from seminars, lectures, teaching engagements, or travel reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, medical center, or research institute affiliated with an institution of higher education; or, income from service on advisory committees or review panels for a federal, state, or local government agency or institution of higher education.

This disclosure is applicable to any Investigator planning to participate, or participating in the Research, independently of its source of funding. *However*, several provisions of the University of Puerto Rico's Policy and Guidelines on Financial Conflict of Interest (Certification Number 8 (2012-2013) from the Board of Trustees) apply only to investigators applying for or conducting research funded by the Public Health Service (including the National Institutes of Health) and must be enforced by each Institution that is applying for, or that receives, PHS research funding by means of a grant or cooperative agreement and each Investigator who is planning to participate in, or is participating in, such research. This does not apply to SBIR Program Phase I applications.

I agree to abide by the UPR Policy and Guidelines on Financial Conflict of Interest. I certify that the above information is true to the best of my knowledge and that it has been submitted as required by law, regulation, contract, and by *42 CFR Part 50 Subpart F*. I understand and agree that if there is any change in my financial status, I must submit a new disclosure and attachment within 30 days of that change.

Print name:

Date:

Signature:

Proposal Title:

Agency:

Department Head or Unit Supervisor:

Signature:

Date: