

**PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR (PI/PD) ASSURANCE AND  
CERTIFICATION INSTITUTIONAL COMPLIANCE REQUIREMENT FOR SUBMITTING AN  
APPLICATION TO THE PUBLIC HEALTH SERVICES (PHS)**

**Reference – NIH Notice Numbers:**

- [NPT-OD-06-054](#): NIH Announces Change in Business Process: Replacing the Principal Investigator Signature on Grant Applications, Progress Reports, and Prior Approval Requests with an Institutional Compliance Requirement
- [NOT-OD-06-55](#): NIH/AHRQ Announce Change in Business Process Concerning eRA Commons Verification of Electronically Submitted Applications
- [NOT-OD-06-056](#): NIH Announces Interim changes to the PHS398 Application and Instructions
- [NOT-OD-06-057](#): NIH Announces Changes to the SF424 (R&R) Instructions

**Purpose:**

Effective May 10, 2006 and thereafter, the signature of the PI/PD is no longer required as part of a new, revised, competing, or non-competing application. Instead, a new compliance requirement has been implemented whereby the applicant organization agrees to secure and retain a written assurance prior to submitting an application to the PHS. Therefore, this form will be retained in the Office of Sponsored Programs for provision, upon request, to the sponsoring agency or other authorized Health and Human Services (HHS) or Federal officials.

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Sponsoring Agency: \_\_\_\_\_  
Funding Opportunity Number: \_\_\_\_\_  
Agency Due Date: \_\_\_\_\_  
Proposal Title: \_\_\_\_\_  
PI/PD: \_\_\_\_\_  
Department/College/Center: \_\_\_\_\_

As a PI/PD of this project, I certify that the information submitted within the application (PHS-398, SF-424, or PHS-2590) is true, complete and accurate to the best of my knowledge.

I also accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application. In addition, I accept the obligation to comply with all other Public Health Services terms and conditions in the event the proposal is funded.

I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

Furthermore, I am aware of my responsibilities under the NIH Public Access Policy, which requires that all final peer-reviewed articles arising in whole or in part from NIH funding that are accepted for publication on or after April 7, 2008 (including those for which I am not an author or co-author) be electronically submitted to the PubMed Central digital archive upon acceptance for publication and be accessible to the public on PubMed Central no later than 12 months after publication. **Reference:** <http://publicaccess.nih.gov/index.htm> NIH Public Access web site; [NOT-OD-08-119](#): *Reminder Concerning Grantee Compliance with Public Access Policy and Related NIH Monitoring Activities*; [NOT-OD-08-033](#): *Revised Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research*

PI/PD Signature: \_\_\_\_\_ Date: \_\_\_\_\_