

**Statement of Responsibility for Securing  
Institutional/Governmental Authorizations  
for Studies Involving Microorganisms,  
Plants, Animals, or Human Subjects**

With respect to the conduct of any study involving microorganisms, plants, animals, or human subjects (the "Study"), The Rockefeller Foundation (the "Foundation") requires the grantee (the "Grantee"), and by signing below, the Grantee agrees, to take full and complete responsibility for obtaining and maintaining at each site where the Study will be conducted all required and relevant institutional and governmental authorizations, licenses and permits, all compliance, site and subject monitoring, and all safety assessment requirements. Further, the Grantee agrees to fully comply with all applicable governmental laws, regulations and guidelines relating to Studies involving Microorganisms, Plants, Animals or Human Subjects, including as to the submission of fully accurate, complete, and timely submissions, records or reports to Governmental Authorities. To the extent that the Study involves Human Research Subjects, Grantee shall obtain and maintain from all research subjects, or where applicable, their legal guardians, adequate signed informed consent of the risks of the Study, and, where required, prior to initiation of the Study or enrollment of any subjects into the Study, shall obtain review and approval of the research protocol, and all related documents, by an appropriately qualified Ethics Committee. The Grantee also agrees to conduct all human research Studies under the generally accepted principles of "Good Clinical Practices" as defined by the ICH E6 standard or comparable standards used by the Governmental Authorities in the countries in which the Study is conducted. The Grantee also agrees to fully comply with all applicable privacy laws and to have adequate systems in place to protect the privacy and prevent the improper disclosure of individually identified protected health or personal information collected, maintained and stored during or after the Study.

Please have both the head of the institution (or other authorized officer) and the principal investigator (or project lead) sign and return this statement, affirming that, if funding is approved, the Grantee agrees not to use, or permit any sub-grantee (or other third party) to use, any Foundation funds for such research or field testing until it has secured the relevant authorizations.

*Signatures on next page*



420 Fifth Avenue, New York, NY 10018-2702

Agreed: \_\_\_\_\_  
**HEAD OF INSTITUTION**  
*(OR OTHER OFFICER AUTHORIZED TO SIGN ON BEHALF OF  
INSTITUTION)*

Title: \_\_\_\_\_

Institution: \_\_\_\_\_

Date: \_\_\_\_\_

Agreed: \_\_\_\_\_  
**PROJECT LEAD**

Title: \_\_\_\_\_

Institution: \_\_\_\_\_

Date: \_\_\_\_\_