

Research Contract Authorization Form

Office of Research Services (ORS)

Purpose:

This form should be completed to open, close, or amend research contract accounts. This form may also be used for grants that include overhead or require a budget breakdown. Normally, the grant-holder or principal investigator on a contract will be the account holder (i.e., will have primary signing authority on the account).

Important Information:

Administration and finance – Consult http://www.unb.ca/research/ors/financial.html for the administrative and financial policies and procedures related to research grants, agreements and contracts.

Research contracts – A formal agreement between the university and a third party (or parties) for conducting designed research in exchange for payment. Consult http://www.unb.ca/research/_assets/documents/ors/contracts_6jun16.pdf for more information on research contracts (i.e., types of contracts, budget formulation, etc.).

Agency/Funder Name – The contracting agency name who is providing the funding. This may be a private industry, a government agency, or a non-profit entity (e.g. McCain Foods, NB Dept, of Health, Fredericton Foundation).

Clearances – These may include Ethics, Safety, Biohazards, Radiation, or Animal Care, among others.

As per UNB's obligations under the Agreement on the Administration of Agency Grants and Awards by Research Institutions, grant and award holders may **not** conduct research with human participants without a valid ethics protocol (<u>Institutional Agreement - Section 3.4</u>) or research with animals without a valid Animal Care Certificate (<u>Institutional Agreement - Section 3.5</u>). If your research changes such that there are new or emerging ethics or Animal Care requirements for this project, you **must** notify the Office of Research Services immediately. Once this new requirement has been identified and you wish to retain access to your funds, you must provide ORS with an approved Research Ethics Board certificate, an approved Animal Care certificate, or an approved Request for Partial Release of Funds form. If this documentation is not received, access to your funds will be restrained.

Information respecting an application to the Research Ethics Board can be found at http://www.unb.ca/research/vp/ethics.html and information respecting Animal Care and Biohazards can be found at http://www.unb.ca/research/ors/animal-care--biohazards.html.

For Animal Care forms and protocols, contact the Director of Animal Care at (506) 452-6293 or benfey@unb.ca.

To request a Partial Release of Funds form, contact ORS at ors@unb.ca.

Fringe Benefits – All applications and proposals for grants, agreements, and contracts that include salary payments must include a provision for fringe benefits. Consult http://es.unb.ca/apps/policy-repository/ resources/php/download-policy.php?id=YZug.

General Research Trust (GRT) account – A GRT account allows for the transfer of Principal Investigator (PI) fees from research contracts to a special account to cover ongoing research expenses, and therefore not to be recorded as personal income. Consult http://es.unb.ca/apps/policy-repository/_resources/php/download-policy.php?id=YZuh.



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Budget Breakdown – This page provides ORS with details for how the contract or contribution agreement is to be spent. Please complete all sections. (Exception can be made for contribution agreements between UNB and ACOA. In this case, please provide a copy of the detailed budget from the ACOA proposal instead of submitting this 'Budget Breakdown' form.)

Principal Investigator Fees – Enter a breakdown of the fees for each investigator; you must include the number of days/hours/months and the rate, and specify the type of rate by choosing from the drop-down list provided. The total will calculate automatically. You must indicate whether or not you are waiving your PI Fees by checking off the appropriate box. *If waiving your fees*, you must complete a wavier form and submit it with the contract authorization form *at the beginning* of the project. You cannot waive a portion of PI Fees on a project – it must be all or none.

Salaries and Stipends – For each applicable position, enter the number of hours/days/months/weeks and the rate, and specify the type of rate by choosing from the drop-down list provided. The total will calculate automatically.

Overhead – Overhead is the cost, also referred to as an indirect cost, that is not included in the Direct Costs and that often is not attributed to a university research project but that are real costs to the university, such as office and laboratory space and their on-going operation and maintenance, insurance (liability, general building and other coverage to the benefit of UNB as a whole), library resources, unquantified consumables, utilities and the provision of related professional services such as project documentation, accounting and audit supervision, payroll, personnel and purchasing services.

In this section, fill in the overhead calculation as it is applicable to your project. There are several options available. If you need to submit further detail, please feel free to add information manually.

Signatures – Your signature certifies that you have read the policies and procedures related to the University, the proposal/contract, and the budget.



person being replaced.

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(Check Only One) ☐ Open ☐ Close, or ☐] Amend, Account Number	LOC	UNIT	FD F
1. Project Title:				
2. Principal Investigator:		/Funder Name:		
Academic Unit:				
their terms and conditions as Department and Faculty for p	st for New Account: ne accompanying proposal/contract as well as the applicable policies of the provision of necessary University facequests the opening of a restricted further stricts and the stricts of the stricts	e University and ilities and/or ser	has arranged with vices.	the
Date:Prince	cipal Investigator Signature		Email	
Other Account Signing Authoriti Co-Principal Investigator:	ies: Signature		Email	
Other:	Signature		Email	
4. Contract Account Approvals:	of Faculty/Director:Exec Director/Manager Pre-Awa			
Date:	Manager (Finance & Admin)	(For UNBSJ		
Date:	Research Funds, ORS	•	,	
5. Financial Services Office Only:				
Account Name:				
Account Number Issued:	Issue	ed By:		
HST Rebate	Clearances: E A	.С Швн Ш и	NS None Requ	ıired
Director, Financial Accounting & Repe	orting Approval:			Data
Date Account: Opened	Signature			Date
Note: The Principal Investigator(s) on				ity of New
Brunswick. The names of all the princ proposal is initiated. In the event that memorandum is to be sent by the princ	sipal investigators are to be listed abo t during the project a change is requi	ove and submitte ired in the list of p	ed to ORS at the ti principal investigat	me the ors, a

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Research Contract Budget Breakdown

Contract Budget – Internal Use Only
A formally signed agreement budget will take precedence where any differences occur

For ACOA projects - submit detailed budget from the proposal instead of this form

I PRINCIPAL INVESTIGATOR FEES (each PI must complete)

If waiving PI Fees to a General Research Trust (GRT) account please complete the "Waiver of Entitlement to Principal Investigator Fees" form, below, and submit with this Research CAF at the **start** of the project.

(GRT Policy: http://es.unb.ca/apps/policy-repository/ resources/php/download-policy.php?id=YZuh)

	Name			PI Initial			
	# of hours/days/months					-	
	@ ;	\$per _		=		\$	
	Do you wish to waive y	our PI Fees to a G	eneral Researd	ch Trust Accour	nt?	Y 🗌 N 🗌	
	Name			PI Initial		_	
	# of hours/days/months					_	
	@ \$					\$	
	Do you wish to waive y	our PI Fees to a G	eneral Researd	ch Trust Accour	nt?	YLNL	
II SA	LARIES AND STIPENDS Position Title		its if applicable) /s/hours/mont	hs & rate			
A.			@ \$	per	=	\$	
В.			@ \$	per	_=	\$	
C.			@ \$	per	_=	\$	
D.			@ \$	per	=	\$	
	Fringe Benefits included (Fringe Benefits: http://es.						
III NO	ON-SALARY (Include tax b	ourden)	Sub-total Sala	aries and Stipenc	ls	\$	
	Supplies			\$		<u></u>	
	Equipment			\$			
	Travel & Subsistence			\$		<u> </u>	
	Other (Specify:)	\$			
			Sub-total No	on Salary		\$	
IV O	VERHEAD	٥/ ۴		Ф			
	P.I. Fees	% on \$		_ =\$			
	Salaries/Stipends	% on \$		_=\$		<u> </u>	
	Other	% on \$		_=\$		<u> </u>	
			Sub-total Ov	verhead		\$	
			BUDGET	TOTAL		\$	

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OFFICE OF RESEARCH SERVICES (ORS)

WAIVER OF ENTITLEMENT TO PRINCIPAL INVESTIGATOR FEES

Submit this form ONLY IF your budget includes PI Fees and you are choosing to waive them to a General Research Trust Account

	Date:
(if known)	
The contract covering the project entitled:	
	ny services as the Principal Investigator. It is my express desire
to explicitly waive my rights to the receipt of my p	portion of this fee as income and to transfer that amount to:
Check one:	
General Research Trust account #_by the University, or	(if already established) to be administered
	rch Trust (GRT) account in my name. (Note that there
	lished for each researcher. The account number enced for all future requests of the same).
assigned should therefore be referenced it is understood that these fees are sufficiently acknowledge that the University policy entitled Geometrian States of the General Foundations in that policy. A copy of the General Foundations in that policy.	
assigned should therefore be referenced it is understood that these fees are sufficiently acknowledge that the University policy entitled Geometrian States of the General Foundations in that policy. A copy of the General Foundations in that policy.	enced for all future requests of the same). bject to University policies related to overhead accumulation. I eneral Research Trust Account applies and that I understand the Research Trust Account Policy may be obtained from the ORS
assigned should therefore be referenced by the street substance of the street	enced for all future requests of the same). bject to University policies related to overhead accumulation. I eneral Research Trust Account applies and that I understand the Research Trust Account Policy may be obtained from the ORS
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assigned should therefore be referenced by the street substance of the street	bject to University policies related to overhead accumulation. I eneral Research Trust Account applies and that I understand the Research Trust Account Policy may be obtained from the ORS ository/_resources/php/download-policy.php?id=YZuh.* Signed: Principal Investigator

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in part from the Trust Account, be submitted to ORS beforehand.