

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 (Institutional Agreement - Section 3.4) or research with animals without a valid Animal Care Certificate (Institutional Agreement - Section 3.5). 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 waiver 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.



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(Check Only One) Open
 Close, or Amend, Account Number

LOC	UNIT				FD	FU

1. Project Title: _____

2. Principal Investigator: _____ Agency /Funder Name: _____

Academic Unit: _____

3. Project Authorizations & Request for New Account:

- A. 1.) The undersigned has read the accompanying proposal/contract and budget, agrees with and will adhere to their terms and conditions as well as the applicable policies of the University and has arranged with the Department and Faculty for provision of necessary University facilities and/or services.
- 2.) The undersigned herewith requests the opening of a restricted funds account for conduct of the project.

Date: _____ Principal Investigator Signature _____ Email _____

Other Account Signing Authorities:

Co-Principal Investigator: _____ Signature _____ Email _____

Other: _____ Signature _____ Email _____

- B. 1.) The undersigned have read the accompanying proposal/contract and budget, approved the participation of the P.I. and approved the provision of University facilities and/or services.
- 2.) The undersigned approve the request for an account with the above-noted signing authorities.

Date: _____ Chairperson of Academic Unit: _____

Date: _____ Dean of Faculty/Director: _____

4. Contract Account Approvals:

Date: _____ Exec Director/Manager Pre-Award, ORS _____

Date: _____ Manager (Finance & Admin) _____

(For UNBSJ Accounts)

Date: _____ Research Funds, ORS _____

5. Financial Services Office Only:

Account Name: [Grid of 20 boxes]

Account Number Issued: [Grid of 10 boxes] Issued By: _____

HST Rebate _____ Clearances: E AC BH NS None Required

Director, Financial Accounting & Reporting Approval: _____
Signature Date

Date Account: Opened _____ Amended _____ Closed _____

Note: The Principal Investigator(s) on a research contract must hold an academic appointment at the University of New Brunswick. The names of all the principal investigators are to be listed above and submitted to ORS at the time the proposal is initiated. In the event that during the project a change is required in the list of principal investigators, a memorandum is to be sent by the principal investigator to both Financial Services and ORS indicating the name of the person being replaced.

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 & rate _____
 _____ @ \$ _____ per day _____ = \$ _____ 0.00
 Do you wish to waive your PI Fees to a General Research Trust Account? Y N

Name _____ PI Initial _____
 # of hours/days/months & rate _____
 _____ @ \$ _____ per day _____ = \$ _____ 0.00
 Do you wish to waive your PI Fees to a General Research Trust Account? Y N

II SALARIES AND STIPENDS (include fringe benefits if applicable)

	Position Title	# of days/hours/months & rate			
A.	_____	@ \$ _____ per day	=	\$ _____	0.00
B.	_____	@ \$ _____ per day	=	\$ _____	0.00
C.	_____	@ \$ _____ per day	=	\$ _____	0.00
D.	_____	@ \$ _____ per day	=	\$ _____	0.00

Fringe Benefits included (if applicable): _____% on A; _____% on B; _____% on C; _____% on D
 (Fringe Benefits: <http://es.unb.ca/apps/policy-repository/resources/php/download-policy.php?id=YZug>)

Sub-total Salaries and Stipends \$ _____ 0.00

III NON-SALARY (Include tax burden)

Supplies \$ _____
 Equipment \$ _____
 Travel & Subsistence \$ _____
 Other (Specify: _____) \$ _____
 Sub-total Non Salary \$ _____ 0.00

IV OVERHEAD

P.I. Fees _____% on \$ _____ = \$ _____ 0.00
 Salaries/Stipends _____% on \$ _____ = \$ _____ 0.00
 Other _____% on \$ _____ = \$ _____ 0.00
 Sub-total Overhead \$ _____ 0.00

BUDGET TOTAL \$ _____ 0.00

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

Research Contract Account # _____ Date: _____

(if known)

The contract covering the project entitled:

Includes a provision for the payment of a fee for my services as the Principal Investigator. It is my express desire to explicitly waive my rights to the receipt of my portion of this fee as income and to transfer that amount to:

Check one:

General Research Trust account # _____ (if already established) to be administered by the University, or

a newly established General Research Trust (GRT) account in my name. (Note that there will only be one GRT account established for each researcher. The account number assigned should therefore be referenced for all future requests of the same).

It is understood that these fees are subject to University policies related to overhead accumulation. I acknowledge that the University policy entitled General Research Trust Account applies and that I understand the conditions in that policy. A copy of the General Research Trust Account Policy may be obtained from the ORS website: http://www.unb.ca/secretariat/policy-repository/_resources/php/download-policy.php?id=YZuh.*

Date: _____

Signed: Principal Investigator

Approved: Chairperson

Approved: Dean, Director

Office of Research Services

*** Among other provisions, the policy requires that a Summary of any research projects to be funded in whole or in part from the Trust Account, be submitted to ORS beforehand.**