

The Research CONTRACTS Approvals Form and Research GRANTS Approvals Form must be submitted for new research projects. Which approvals form to choose depends on the funding obligations: any time you are applying for a research grant, such as any of the tri-council funding agencies, you must submit a research grants approvals form and any time you are entering into a funding agreement, you must submit a contracts approvals form. These forms can be found at the Romeo Researcher Portal here: <https://upei.researchservicesoffice.com/Romeo.Researcher/>

You must have a Researcher Portal login to get access to these forms. For information on how to sign up and access the researcher portal, please refer to section two of the [Research Start-Up Guide](#), or email researchservices@upei.ca with any questions.

These forms contain tabs seen across most applications; these include 'Project Info,' 'Project Team Info,' 'Project Sponsor Info,' 'Attachments,' 'Approvals,' 'Logs,' and 'Errors.' For more information about these tabs, please see the [Romeo Portal Instructions](#). This document will only discuss items specific to grants/contract applications, found in the 'Research Grants Approvals Form' or 'Research Contracts Approvals Form' tab.

The new Research CONTRACTS/GRANTS Approvals Form (rev. August 2022) were designed as a shortened version of their predecessors with the intent of streamlining the application process. For consistency across the application processes, each application form mirrors one another with minor differences between the two. This document will touch on each section within the applications.

All questions and tabs marked by * indicate there are mandatory fields that must be answered before the application can be submitted. If you are still unsure of what information you are missing, check the "Errors" tab along the top for a summary of missed information.

Sponsor Application Deadline (Grants Only!)

This section is only found in the Research GRANTS Approvals Form. Here, you must specify if there is a grant submission deadline by the funder, and what that deadline is.

If there is a sponsor deadline, indicate "Yes" followed by the date. Otherwise, please select "No" in the mandatory field.

The screenshot shows the 'Research GRANTS Approvals Form (rev. July 2022)' with the 'Sponsor Application Deadline' tab selected. The form contains the following elements:

- Navigation tabs: Project Info, Project Team Info, Project Sponsor Info, **Research GRANTS Approvals Form (rev. July 2022)**, Attachments, Approvals, Logs, Errors.
- Sub-section tabs: *** Sponsor Application Deadline**, * Compliance, * Resources & Facilities, * Conflict of interest, Other Parties, * Project budget information, * PI Declaration.
- Text: Enter the Sponsor Application Deadline Information.
- Question 1.1: **1.1) * Is there a Sponsor Application Deadline?** with a dropdown menu currently set to '-Select-'.
- Question 1.2: **1.2) Please enter the Sponsor Application Deadline (if applicable):** with a text input field and a calendar icon.
- Yellow callout box: **All applications submitted must meet the internal deadlines. Most grants must be submitted a minimum 3 business days in advance. Review the UPEI Research Services Grant Submission and Deadline Information in the "Useful Links" on the UPEI Researcher portal home screen.**

Please note that grant applications must be submitted no less than three business days in advance of the funding agencies deadline for approval through the Office of Research Services. For more information, please see the following: [UPEI Research Services Grant Submission and Deadline Information](#).

Compliance

This section pertains to certifications required for this research project. If you answered yes to either of these questions, you are required to submit the appropriate ethics, biohazard or animal use protocol application along with this contracts/grant's approvals form, or hold the necessary licenses for radioactive materials, controlled substances/goods. If you have already submitted this ahead of your contracts/grant's application, please note the status of them, and the file number, when you submit your file.

If either question 2.1 or 2.3 are relevant to your application, please select "Yes" and explain. Otherwise, please select "No" in the mandatory field.

The screenshot displays the 'Research GRANTS Approvals Form (rev. July 2022)' with the 'Compliance' tab selected. The form includes several sections:

- 2.1) * Does the proposed work involve the use of human subjects, animals and/or biohazards?** This question has a dropdown menu currently set to '-Select-'.
- 2.2) If 'yes' then provide information about the status of your permit(s).** A yellow callout box specifies: 'Your response must include the following information: a. date of application(s) submission; b. current status of the application(s) (pending or approved); c. title of the application(s) and the Romeo file number.' Below this is a large text input area.
- 2.3) * Does this work involve the use of radioactive materials, controlled substances, or controlled goods?** This question has a dropdown menu currently set to '-Select-'.
- 2.4) If 'yes' then provide information about the permits/license.** A yellow callout box specifies: 'Your response must include the following information: a. date of application submission; b. current status of the application (pending or approved); c. acknowledgement of registration with the Controlled Goods Directorate (if applicable).' Below this is a large text input area.

If you have any questions about compliance, please contact the Research Compliance Coordinator at researchcompliance@upei.ca

Resources & Facilities

This section asks whether the research project related to this contract/grant may affect the normal, day-to-day operations in your department, faculty, or university as a whole, and will be especially relevant to your department chair or dean when approving this project. This includes whether you will need time away from teaching courses, or whether *additional* lab/office space will be required aside from the space your typically already have access to.

The screenshot shows a web-based application form with a navigation bar at the top containing tabs: Project Info, Project Team Info, Project Sponsor Info, Research GRANTS Approvals Form (rev. July 2022), Attachments, Approvals, Logs, and Errors. Below the navigation bar is a sub-menu with tabs: Sponsor Application Deadline, Compliance, Resources & Facilities (highlighted), Conflict of interest, Other Parties, Project budget information, and * PI Declaration. The main content area contains the following text and questions:

Approval by the Department Chair and/or Dean indicates awareness of the research project and acknowledgement that the academic unit/faculty/school will be able to accommodate the project if funded (including any space, facilities and personnel requirements).

Approval by the Dean also indicates acceptance of the proposed overhead rate, and acknowledgement that any variance in overhead rates applies first to that component distributed to the Faculty/School.

i 3.1) * Does this work require course release time, additional access to physical space, additional UPEI lab or office space?
-Select- ▾

i 3.2) If Yes, please provide details.

i 3.3) If new construction, equipment, installation or renovation is required, please provide a description of the new construction, equipment, installation or renovation(s) that is required.

If any of the points in question 3.1 (2.1 on the contracts application) are relevant to your work, please select “Yes” and explain below. Otherwise, select “No” in the mandatory field.

Conflict of Interest

This section pertains itself with conflicts of interest that may arise when conducting a research project. It’s important to be aware of the universities [Conflict of Interest Policy found here](#), and to be transparent about any potential conflicts of interest when entering into agreements. Section 10 of the policy discusses conflicts of interest in research, which includes example situations of this and how the university approaches resolving these conflicts.

If a conflict of interest is present, please select “Yes” and explain. Otherwise, please select “No” in the mandatory field.

Other Parties

In this section, please list any other organizations that will be involved in this project that you have not already included in the Project Sponsor Info tab. This may include additional organizations that will be funding this project, or even those you will be submitting additional funds to or utilizing for services (eg. Fee for Service).

Project Budget Information

This section regards itself with the funding of the research project, and any money coming into, or out from, UPEI for the purposes of research. In question 6.1 (5.1 on the contracts application), please indicate the total amount of funding requested. This includes the sum value if there are multiple funders for a project. Please be sure to also include this information in the Project Sponsor Info tab that you would have filled out earlier.

Question 6.5 (5.5 in the contracts application) is verifying that you have attached a budget to this application. A blank draft can be found in the attachments tab. Make sure you fill out this information and attach it to your application.

* Project Info * Project Team Info Project Sponsor Info * Research GRANTS Approvals Form (rev. July 2022) Attachments Approvals Logs Errors

Sponsor Application Deadline Compliance * Resources & Facilities * Conflict of interest Other Parties Project budget information * PI Declaration

Funding information, including the name of the sponsor/agency, program, funding details must be entered in the 'Project Sponsor' tab.

6.1) * Total funding requested:
 If no funding is associated with this application then add 'n/a'

6.2) If there a funding commitment (cash and/or in-kind) from UPEI, please describe the commitment, source (cash and/or in-kind) and the unit(S) providing the commitment, including account number(s) where applicable.

6.3) If the research project is leveraged/matched with other funding, please explain below, including account number(s) where applicable.

6.4) * If the sponsor/agency has a maximum (%) allowable overhead, please specify the amount below.

6.5) * A table identifying indirect and overhead costs is attached in the 'Attachments' tab. Please complete it and attach it to this application. Have you completed and attached?
 Please note the following:
 1. Overhead is not charged on student stipends/salaries/benefits and equipment, and only 10% is charged on travel.
 2. Proposed overhead rates that differ from UPEI policies require approval from your Dean and/or the VP Academic and Research.
 See the UPEI Contract Research Policy for more information about overhead rates
 Grants such as tri-agency, Mitacs, and CFI do not permit overhead, thus the table is not required. Please select (n/a-Tri-council/Mitacs/CFI) from the drop down in these instances

PI Declaration

The declaration tab is meant to receive acknowledgement from you, the PI, that your research will be in accordance with UPEI policies and procedures, that your work will be conducted ethically, and that you assume responsibility for financial aspects of your work. It is also meant to serve as a 'checklist,' that you have included all necessary information, and what approval on your application means.

* Project Info	* Project Team Info	Project Sponsor Info	* Research GRANTS Approvals Form (rev. July 2022)	Attachments	Approvals	Logs	Errors
* Sponsor Application Deadline	* Compliance	* Resources & Facilities	* Conflict of interest	Other Parties	* Project budget information	* PI Declaration	

• Please ensure that you include all investigators and their role in this application in the tab 'Project Team Info'

• Please ensure that you include all Sponsor information in the tab 'Project Sponsor Info' (Note: if the Sponsor agency is not listed, please select "Sponsor Not Listed" and include the sponsor names in the comments section)

• Approval by the Department Chair and/or Dean indicates awareness of the research project and acknowledgement that the academic unit/faculty/school will be able to accommodate the project if funded (including any space, facilities and personnel requirements). Approval by the Dean also indicates acceptance of the proposed overhead rate, and acknowledgment that any variance in overhead rates applies first to that component distributed to the Faculty/School.

• Approval by the VP Academic and Research indicates that the University will administer the project in accordance with the terms and conditions of the agreement, the sponsor's guidelines, and the University's policies, practices and guidelines, and indicates the overhead rate that will be used.

Please review the following statements and indicate your acceptance by selecting the appropriate response.

7.1) The work described in this proposal will be conducted in accord with the various regulations governing such work.

7.2) The work described will be carried out within the established budget of the proposal.

7.3) All research activity will be undertaken in accordance with the policies and procedures of the University of Prince Edward Island and the terms and conditions of the Sponsor, as approved by the designated signing officer of the University.

7.4) I accept responsibility for any over expenditure on the award and for reporting any changes or delays in the research or research expenditures.

7.5) * I will complete and/or assist the University in completing all reporting required by the sponsor on time.

-Select-