

## **ORS CHECKLIST**

### **Information and Instructions on Completing the ORS Checklist**

#### **ORS Grant Applications**

Three weeks before the agency's deadline (or the deadline required at a lead applicant's institution), bring a copy of your application to your Faculty-based Research Officer (RO). The RO will review your application and provide feedback. Two weeks before the agency's deadline (or the deadline required at a lead applicant's institution), bring a copy of your application to the Office of Research Services (ORS), along with a completed ORS Checklist. ORS will review the application to ensure that the agency's guidelines and York's commitments have been met. Please ensure that all required signatures have been obtained, both on the application and this checklist. The Research Officer will assist in obtaining required signatures from the Dean and ORS will facilitate institutional signatures. For on-line submissions you will be required to submit a hard copy to ORS for review.

#### **Hard Copy Submissions:**

Before the agency's deadline (at least 48 hours except for the most common tri-council grants, see Signature Policy section below for more information), bring the agency's required number of copies plus one additional copy to ORS. ORS will apply institutional signatures and then forward the application and copies directly to the agency or return them to you to be sent. Please indicate your preference on the checklist.

#### **On-Line Submissions:**

Once ORS has approved the application for submission, ORS will advise you to proceed with the electronic submission if you have not done so already. Once you have electronically submitted your application, ORS will electronically approve your application.

#### **ORS Research Agreement Applications**

The Office of Research Services (ORS) or Faculty-based Research Officers should be involved at the proposal stage in order to appropriately develop and advise on project budgets. Finalized contracts or responses to Requests For Proposals (RFPs) which have not been reviewed by ORS and approved may not be signed by the institution. Please note that a cost centre will not be provided until ORS has an executed contract and a signed ORS Checklist.

In consultation with the PI/Consultant, ORS will review the contract and will negotiate terms and overhead with the sponsor. Once both the PI and ORS are satisfied with the agreement, ORS will facilitate institutional signatures. Please note that PIs, Deans, Chairs and ORU Directors do not have the authority to sign research agreements.

#### **Signature Policy**

Please note that except for the most common Tri-Council grants, ORS has a strict 48 hour (two working days) signature practice for all grant applications and contract proposals. More info can be obtained at the following link:

<http://www.yorku.ca/research/documents/SignaturePolicyMemos.pdf>

# ORS CHECKLIST

**This form must be completed by all York faculty members submitting hard copy or on-line applications as either principal investigators or co-investigators and by all York faculty members entering into research contracts, sub-contracts and agreements.**

For hard copy grant application submission, please check your preference of the following two options:

- ◆ Return to PI to send to agency (or specify other \_\_\_\_\_) or ◆ ORS will send grant application to agency

**Please complete the following twelve questions (continued on page 2).**

1. Name ..... **Role:** Principal Investigator ◆ Co-Applicant ◆
2. Faculty..... Department.....Address.....
3. Telephone.....Fax..... E-mail.....
4. Project Title.....
5. Name(s) of all Co-Investigators (indicate external PI if applicable) .....
6. Agency and Program.....
7. Deadline.....
8. By checking the “Yes” or “No” columns in the table below, please indicate whether or not your research involves:

	YES	NO
<b>Human Participants:</b> Research that is subject to review includes, but is not limited to surveys, questionnaires, interviews, participant observation, research involving human remains, cadavers, human organs, tissues and biological fluids, embryos or fetuses and secondary data analysis. See: <a href="http://www.yorku.ca/research/support/ethics/humans.html">http://www.yorku.ca/research/support/ethics/humans.html</a>		
<b>Vertebrate Animals.</b> See: <a href="http://www.yorku.ca/research/support/ethics/animals.html">http://www.yorku.ca/research/support/ethics/animals.html</a>		
<b>Biohazards</b> (viruses, cells, microbes, recombinant DNA, lab animals, human/animal body fluids and/or their tissues). See: <a href="http://www.yorku.ca/dohs/prog-biosafety.html">http://www.yorku.ca/dohs/prog-biosafety.html</a>		
<b>Controlled Goods</b> (e.g. Firearms, Ammunition, Munitions, Goods and Technologies that guide weapons systems, etc...). See: <a href="http://www.yorku.ca/research/support/controlledgoods.html">http://www.yorku.ca/research/support/controlledgoods.html</a>		
<b>Purchases of goods and services (including consultants) of \$10,000 or more.</b> See: <a href="http://www.yorku.ca/univsec/policies/document.php?document=58">http://www.yorku.ca/univsec/policies/document.php?document=58</a>		

9. Some grants allow for the inclusion of overhead (e.g. indirect costs, FFA and others) and all contracts must include overhead in the budget. Have the appropriate overhead charges been included?  
(See: [http://www.yorku.ca/research/documents/Overhead\\_Guidelines\\_19June12.pdf](http://www.yorku.ca/research/documents/Overhead_Guidelines_19June12.pdf) ) ◆ Yes ◆ No, please explain  
..... ◆ Ineligible

10. If you are paying salaries, have fringe benefits been included in your estimates? (Please contact your Research Officer for the applicable rates) ◆ Yes ◆ No ◆ Not applicable

11. Are you requesting course release/buy-out? ◆ Yes ◆ No If you are requesting course release/buy-out, what percentage of the total cost is being paid by your Faculty? .....% ◆ Not Applicable

Please indicate how much course release/buy-out is requested and in which years.....

12. Does your proposal commit the University to contributing resources above and beyond the regular operating infrastructure available to you? If so, please provide details below (specify dollar value if applicable):

Resource Contribution		Source of Resource Contribution			
		Department	Faculty	ORU	VP Research
Administrative Support (e.g. secretarial, technical)	Cash				
	In-kind				
Space (e.g. laboratory, office, studio)	Cash				
	In-kind				
Equipment	Cash				
	In-kind				
IT (e.g. software, hardware, support)	Cash				
	In-kind				
Cash (unrestricted)					
Other (please explain):	Cash				
	In-kind				

**Please complete/obtain the signatures below.**

By signing this checklist, I am confirming that I and my co-applicants (if any) have the time and capacity to carry out the research and that if funded the project will be carried out in compliance with sponsor guidelines and York University regulations and policies as identified on the following web site: <http://www.yorku.ca/secretariat/policies/index-policies.html>

Applicant's signature:..... Date:.....

<p>If you are processing this application through a Faculty, this checklist must be signed by the Department Chair (or equivalent) and Faculty Dean.</p> <p>By signing this checklist, I am confirming that I have read the application, that I approve the commitments, if any, from my Unit, and that the applicant has the necessary time and facilities to carry out the research.</p> <p>Chair's Signature: .....</p> <p>Chair's Name: .....</p> <p>Date: .....</p> <p>Dean's Signature: .....</p> <p>Dean's Name: .....</p> <p>Date: .....</p>	<p>If you are processing this application through a Research Centre or Institute, this checklist must be signed below by the Centre's/Institute's Director. If this application contains course release/buy out, this checklist must be signed by both Dean/Chair and ORU Director.</p> <p>By signing this checklist, I am confirming that I have read the application, that I approve the commitments, if any, from my Unit, and that the applicant has the necessary time and facilities to carry out the research.</p> <p>Director's Signature: .....</p> <p>Director's Name: .....</p> <p>Name of ORU: .....</p> <p>Date: .....</p>
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