

**Meanings of Signatures on OR-5 Form, Applications and Proposals  
July 16, 2019**

All signatures on the OR-5 Form signify awareness and approval of the proposed research moving forward in the application/approval process.

Individual Signing	Signature meaning
Principal Investigator (PI)	<p><b>Accuracy:</b></p> <ol style="list-style-type: none"> <li>1. The application/proposal is complete (i.e., the OR-5 form is accompanied by the application/proposal and budget), and accurate to the best knowledge of the PI</li> <li>2. The necessary facilities/space/equipment are or will be available to complete the research, and any necessary approvals required to acquire access to needed infrastructure will be obtained</li> </ol>
	<p><b>Fiscal responsibility:</b></p> <ol style="list-style-type: none"> <li>3. The budget includes all direct costs of research plus applicable indirect costs</li> <li>4. The PI will assume financial responsibility for the funds awarded and will manage and monitor expenditures to stay within the approved budget and within the scope of expenses that are eligible under the agreement</li> <li>5. If new construction, equipment installation or renovations are required, Physical Resources policies and procedures have been followed and associated costs are covered</li> <li>6. All confirmed or expected-to-be-confirmed sources of matching/leveraged funding have been disclosed</li> </ol>
	<p><b>Due diligence:</b></p> <ol style="list-style-type: none"> <li>7. The proposed research will be conducted and administered in accordance with the University's research procedures and policies, and Sponsor's guidelines/policies</li> <li>8. The PI will obtain all approval(s)/certifications necessary to conduct the research</li> <li>9. The PI has considered <a href="#">graduate student rights and treatment of intellectual property</a></li> <li>10. The PI has declared/disclosed any real or perceived conflict(s) of interest to the University (UGFA faculty - see <a href="#">UGFA collective agreement</a>; other non-UGFA employees - see <a href="#">general conflict of interest policy</a>; all researchers see - <a href="#">University of Guelph Responsible Conduct of Research Policy</a>)</li> <li>11. The PI has declared/disclosed any additional, previously-signed agreements which may impact the current application/proposal (e.g., terms on intellectual property)</li> <li>12. The PI understands and agrees to fulfill the reporting obligations and assumes responsibility for meeting all other obligations of the research agreement</li> <li>13. The PI will notify the Department Chair/School Director of any change in their employment status</li> </ol>

<p>Department Chair/ School Director (and/or Campus Director for OAC- see Annex A)</p>	<p><b>Accuracy:</b> 14. Departmental/school physical resources and space, as requested or described in the application/proposal, are or will be available to complete the research</p>
	<p><b>Fiscal responsibility:</b> 15. If the proposal includes the use of departmental resources, the appropriate fees and charges for use of personnel, equipment and facilities are included in the budget 16. They will assume financial oversight for the funds awarded 17. If the proposal includes fees payable to the PI (salary top-up or reimbursement), they will ensure that such PI fees are eligible in accordance with applicable employee collective or association agreements and terms of employment letters</p>
	<p><b>Due diligence:</b> 18. They will provide the necessary administrative, financial and infrastructure support 19. They will notify their Dean/ADR upon becoming aware of a change in employment status of the PI</p>
<p>College Dean/ ADR</p>	<p><b>Accuracy:</b> 20. They have confirmed the PI's eligibility to apply for and hold research funding 21. College-wide physical resources and space, as requested or described in the proposal, are or will be available to complete the research</p>
	<p><b>Fiscal responsibility:</b> 22. Budget <i>approval</i>, indicating that the College is fiscally responsible to the University for the project 23. The Dean/ADR is responsible for resolving account deficits and any over-expenditures</p>
	<p><b>Due diligence:</b> 24. They agree to faculty release time that may be included in the proposal 25. The application/proposal is in accordance with the minimum processing times of the Office of Research (Note: If the application/proposal does not provide Office of Research staff with the minimum time required to process the application, the Dean/ADR must submit an explanation to the AVPR) 26. Any conflict of interest disclosed by the PI has been managed; a conflict of interest management plan template and guidance regarding the process is available through the Research Services Office 27. The Dean/ADR is willing to work with the Department Chair/School Director as necessary to resolve issue(s) with respect to administrative, financial and infrastructure support 28. The Dean/ADR will notify the Office of Research if there is a change in status of the PI</p>

AVPR- Research Services Office	<b>Accuracy:</b> 29. The proposal has received administrative review by the Research Services Office
	<b>Fiscal responsibility and Due diligence:</b> 30. The University agrees to carry out its obligations under the research agreement, including administering the funds, if awarded, in accordance with Sponsor and University policies and procedures 31. The University will notify the Sponsor when it becomes aware of any change in status of the PI, if required 32. The University will not authorize release of funding to the PI until all applicable approvals/certifications of the Sponsor and the University have been met

### Annex A – Ontario Agricultural College (OAC) Regional Campus Signatures

For UGFA Unit 2 employees stationed at OAC Ridgetown Campus, the Campus Director’s signature will replace that of the Department Chair/School Director in the table above. For UGFA Unit 1 employees stationed at the Ridgetown Campus the signatures of both the relevant Department Chair/School Director and Campus Director are required and they denote approval as shown in the table below:

OAC Department Chair/School Director	<b>Accuracy:</b> 33. To the best of his/her knowledge, the PI is eligible to apply for and hold research funding (i.e., has an appropriate academic appointment with their unit covering the period of the proposed grant or contract)
	<b>Due diligence:</b> 34. They will notify their Dean/ADR upon becoming aware of a change in status of the PI
OAC Ridgetown Campus Director	<b>Accuracy:</b> 35. Departmental/school physical resources and space, as requested or described in the application/proposal, are or will be available to complete the research
	<b>Fiscal responsibility:</b> 36. The budget is realistic (with respect to anticipated increases, rates, user fees, matching funding, etc.) 37. They will assume financial oversight for the funds awarded
	<b>Due diligence:</b> 38. They will provide the necessary administrative, financial and infrastructure support

Approved by VPAC on Feb 19, 2013 with minor revisions approved by email by March 19, 2013.  
 Approved by Research Services Council on February 26, 2013.  
 Sent to UGFA for comment (none received) on June 12, 2013.  
 Revision: CARG changed to UGFA Unit 2 on September 1, 2016.  
 Revision: Bullets 17 and 24 above added and approved by Research Services Sub-Committee on July 16, 2019