Introduction to Research Administration For New Administrators

Research Administration Day RAD 101
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Megan McDougald
Research Facilitator (Acting)
School of Business
WHAT ARE THE OBJECTIVES OF THIS WORKSHOP?

- Review role of the Research Services Office
- Provide a broad overview of the funding cycle
  - i.e. Life of a Grant
WHAT DO THOSE ACRONYMS MEAN?

- RSO (Research Services Office)
- RF (Research Facilitator)
- PI (Principal Investigator)
- ADR (Associate Dean Research)
- LOI; NOI (letter of intent; notice of intent)
- CIHR: NSERC; SSHRC, AHFMR

Good Sources of Information include:

- RSO website: www.rso.ualberta.ca
- University of Alberta Financial Management Guide
RESEARCH AT THE UNIVERSITY OF ALBERTA

- Attracted $536 million in external research funding in 2010-2011
- One of top 5 institutions in Canada in attracting research funding
- Over 10,000 project accounts
- RSO: 90 staff members
- Central office (222 Campus Tower) and distributed offices in Faculties
- Vice-President (Research) Portfolio
- [http://www.research.ualberta.ca/OfficeoftheVPR.aspx](http://www.research.ualberta.ca/OfficeoftheVPR.aspx)
RESEARCH SERVICES OFFICE

- Vision “To provide the University of Alberta research community with the best research administration services in Canada”

- Mission “To provide the University’s research community, partners and sponsor with professional client-focused research administration through central and distributed services while meeting the requirements of research funding sponsors and supporting the University’s vision and mission.”
WHAT ARE THE PRIMARY ACTIVITIES OF RSO?

Funding Opportunities

Applying for Funding

Negotiating Sponsored Research Agreements

Managing Research Funding
RSO Teams

- Health Sciences Team
  - Provides end-to-end research services for standard grants & agreements associated with the health sciences-related Faculties

- Natural & Social Sciences Team
  - Provides end-to-end research services for standard grants & agreements associated with the natural & social sciences-related Faculties

- Partnership Programs Team
  - Provides end-to-end research services for more complex agreements, often involving multi-sponsors and multi-Faculties

- Institutional Programs Team
  - Provides end-to-end research services for institutional awards associated with the Canada Foundation for Innovation (CFI), the Canada Research Chairs (CRC) program
RESEARCH SERVICES OFFICE

- **HR & Administrative Services**
  - Handles the HR, budget & reception activities of the RSO
  - Coordinates training of RSO staff
  - Coordinates training of external clients on various aspects of research administration

- **RSO Legal Counsel**
  - Provides dedicated legal advice on various aspects related to research administration e.g. development of research agreements
  - Facilitates the review & development of various research agreement templates

- **Research Facilitation Offices**
  - Part of both the Health Sciences Team and the Natural & Social Sciences Team; located in the Faculties
  - Provide first point of contact for researchers and administrators
  - Facilitate the development of research applications & proposals
  - Provide a range of Faculty-specific research administration-related services
  - Perform a “triage” service to determine the appropriate RSO Team for coordination of various research proposals & agreements
  - “Trouble shoot” issues raised by Faculty researchers
LIFE CYCLE OF A GRANT

1. Seeking Funding
2. The Application, Contract or Agreement
3. Approvals & Submission
4. The Sponsor’s Decision
5. Project Set-up
6. Doing the Research
7. Managing the Research Funds
8. End of the Project
HOW DO I FIND RESEARCH FUNDING OPPORTUNITIES?

- Target Point:
  - Monthly newsletter of funding opportunities;
  - Compiled by RSO staff;
  - Subscribe online at:

http://www.rso.ualberta.ca/Funding/TargetPoint.aspx
COMMUNITY OF SCIENCE PIVOT (COS PIVOT)

- Comprehensive, international database totaling over $33 billion
- Private foundations, public agencies, national and local governments, corporations, etc.
- Physical sciences, social sciences, life sciences, health & medicine, arts & humanities
- Research, travel, conferences, fellowships, equipment etc.
- [http://www.rso.ualberta.ca/Funding/COSPivot.aspx](http://www.rso.ualberta.ca/Funding/COSPivot.aspx)
ARE THERE OTHER SOURCES OF FUNDING OPPORTUNITIES?

- Opportunities received from sponsors
- Opportunities received from researchers
- RSO website has a “Funding Opportunities” document that links to internal and external sources of research funding
  - [http://www.rso.ualberta.ca/~media/University%20of%20Alberta/Administration/Research/Research%20Services%20Office/Funding_Opportunities.pdf](http://www.rso.ualberta.ca/~media/University%20of%20Alberta/Administration/Research/Research%20Services%20Office/Funding_Opportunities.pdf)
WHAT ARE SOME STANDARD WAYS OF APPLYING FOR RESEARCH FUNDING?

- Registration with sponsor
- Notice of intent to apply (NOI)
- Letter of intent (LOI)
- Application/proposal – result in grant/contract
- CV requirement (PI/Team)
WHAT ARE SOME COMMON SPONSOR TERMS AND CONDITIONS – APPLICATION/PROPOSAL STAGE?

- Deadlines (open/closed/time zones)
- Eligibility (PI, co-applicants, collaborators, partners, institution)
- Eligibility (Research activity)
- Eligibility (budget/indirect costs)
- Format requirements
- Signatures
What are some common U of A Terms and Conditions at the Application/Proposal Stage?

- Internal deadlines (RSO/Faculty/Department)
- Graduate student rates
- Salaries/benefits of research personnel
- Signatures
- UAPPOL (Includes policy guidelines on Eligibility/PI, Co-applicants, Indirect Costs, Travel Expenses (per diems, cell phones, etc)

https://policiesonline.ualberta.ca/Pages/default.aspx
WHAT ABOUT THE APPROVAL AND SUBMISSION OF APPLICATIONS?

- What signatures are required on application/proposals?
- Two sets of signature requirements
  - Sponsor (signature requirements vary by sponsor)
  - University of Alberta
WHAT ARE THE SIGNATURE REQUIREMENTS FOR THE U OF A?

- **Only** apply to **U of A** principal applicants and co-applicants
- **U of A** signature page
  - [http://www.rso.ualberta.ca/Applying/ApplicationsProposals/~/media/University%20of%20Alberta/Administration/Research/Research%20Services%20Office/Forms/form_supplementary_signature_page.pdf](http://www.rso.ualberta.ca/Applying/ApplicationsProposals/~/media/University%20of%20Alberta/Administration/Research/Research%20Services%20Office/Forms/form_supplementary_signature_page.pdf)

Order of signatures is important:

I. **U of A Principle Investigator and U of A Co-applicants**
II. Chair of Department Administering Award
III. Dean/ADR
IV. RSO
SIGNATURE REQUIREMENTS – U OF A - LETTERS OF INTENT

Ask yourself these questions:

✓ Does the Sponsor require U of A signature?
✓ Are funds coming to the U of A?
✓ Is the University the applicant?

❖ If the answer is **YES** to any of the above, obtain U of A signatures (PI, Chair, Dean/ADR)
WHAT DO THE U OF A SIGNATURES MEAN?

Principal Investigator/Co-applicants signatures:

- Abide by sponsor and University policies and procedures:
  - certifications
  - eligibility of expenses
  - documentation supporting expenditures
  - conflicts of interest
  - research reports
  - milestones
Chair and Dean Signatures:

- Eligibility of PI/Co-applicants
- Willingness to administer research funds
- Availability of resources to carry out the research
- Budget information appropriate, realistic and contains indirect cost where appropriate
WHAT DO THE U OF A SIGNATURES MEAN? (cont.)

Institutional Signature:

- Release funds once certifications are in place
- Administer funds on behalf of the PI
- Ensure compliance with sponsor terms and conditions
- Ensure compliance with U of A policies and procedures
SPONSOR’S DECISION?

- Adjudication process and timelines vary by sponsor
- RSO is usually the first point of contact for competition results
- However, some results are sent directly to the researcher
- RSO notifies PI of decision and those involved in the administration of the award (ADR/Dean, Chair, RF, administrators)
WHAT HAPPENS IN AWARD FINALIZATION AND PROJECT SET-UP?

- Review the terms and conditions
  - e.g. start and end dates, indirect costs, reporting requirements, payments, residual funds, eligible/ineligible costs, intellectual property, publication rights
- Research involving human subjects, animals, biohazards, human embryonic stem cells
  - all require a current certification
- RSO finalization of project set-up
- RSO staff set up a project in the U of A financial system
- RSO sends researcher and administrator an advice notice
- Advice notice provides the project ID and speed code
WHAT ARE CONSIDERATIONS IN MANAGING RESEARCH FUNDING?

- Sponsor guidelines/policies
- Memorandum of Understanding (Tri-councils)
- University of Alberta Policies and Procedures Online (UAPPOL)
  - [https://policiesonline.ualberta.ca/Pages/default.aspx](https://policiesonline.ualberta.ca/Pages/default.aspx)
- Personnel, purchasing, travel, signing authority, documentation, conflict of interest, over expenditures, etc.
OTHER CONSIDERATIONS IN MANAGING RESEARCH FUNDING?

- Reconciliations (use eTRAC – electronic tracking of research awards and contracts)
- Researcher Home Page
- Subgrants: [http://www.rso.ualberta.ca/FormsCabinet.aspx](http://www.rso.ualberta.ca/FormsCabinet.aspx)
- Change of PI, Change to co-applicants
- Transfer of award to new institution?
- Amendments to award (end date extension, increase to awarded amount, sponsor approved changes to research)
CONSIDERATIONS AT PROJECT END DATE?

- Over expenditures?
- Residual funds in project?
- Deliverables (financial reporting; research reports)
- Telephones, payroll; standing orders
- Retention of documentation
THINGS TO REMEMBER

- Research Facilitation Office should be your first point of contact
- A good reference is the RSO Website
  - [http://www.rso.ualberta.ca](http://www.rso.ualberta.ca)
- Questions?
- Evaluation Forms