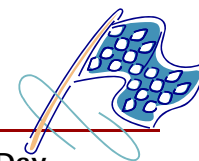




Introduction to Research Administration For New Administrators

Research Administration Day RAD 101
May 31, 2012

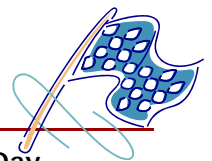
Megan McDougald
Research Facilitator (Acting)
School of Business





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



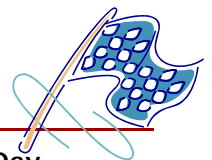


WHAT DO THOSE ACRONYMS MEAN?

- ❖ 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:

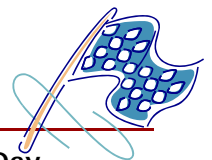
- ❖ RSO website: www.rso.ualberta.ca
- ❖ University of Alberta Financial Management Guide
- ❖ <http://www.financial.ualberta.ca/GuideToFinancialManagement.aspx>





RESEARCH AT THE UNIVERSITY OF ALBERTA

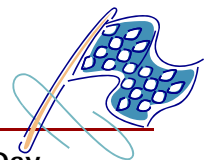
- ❖ Attracted \$536 million in external research funding in 2010-2011
- ❖ One of top 5 institutions in Canada in attracting research funding
- ❖ Over 10,000 project accounts
- ❖ RSO: 90 staff members
- ❖ Central office (222 Campus Tower) and distributed offices in Faculties
- ❖ Vice-President (Research)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





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



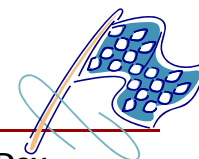
Applying for Funding



Negotiating Sponsored
Research Agreements



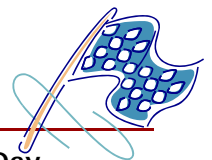
Managing Research Funding





RSO TEAMS

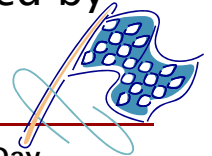
- ❖ Health Sciences Team
 - ◆ Provides end-to-end research services for standard grants & agreements associated with the health sciences-related Faculties
- ❖ Natural & Social Sciences Team
 - ◆ Provides end-to-end research services for standard grants & agreements associated with the natural & social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





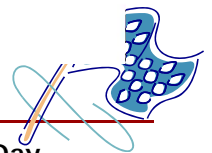
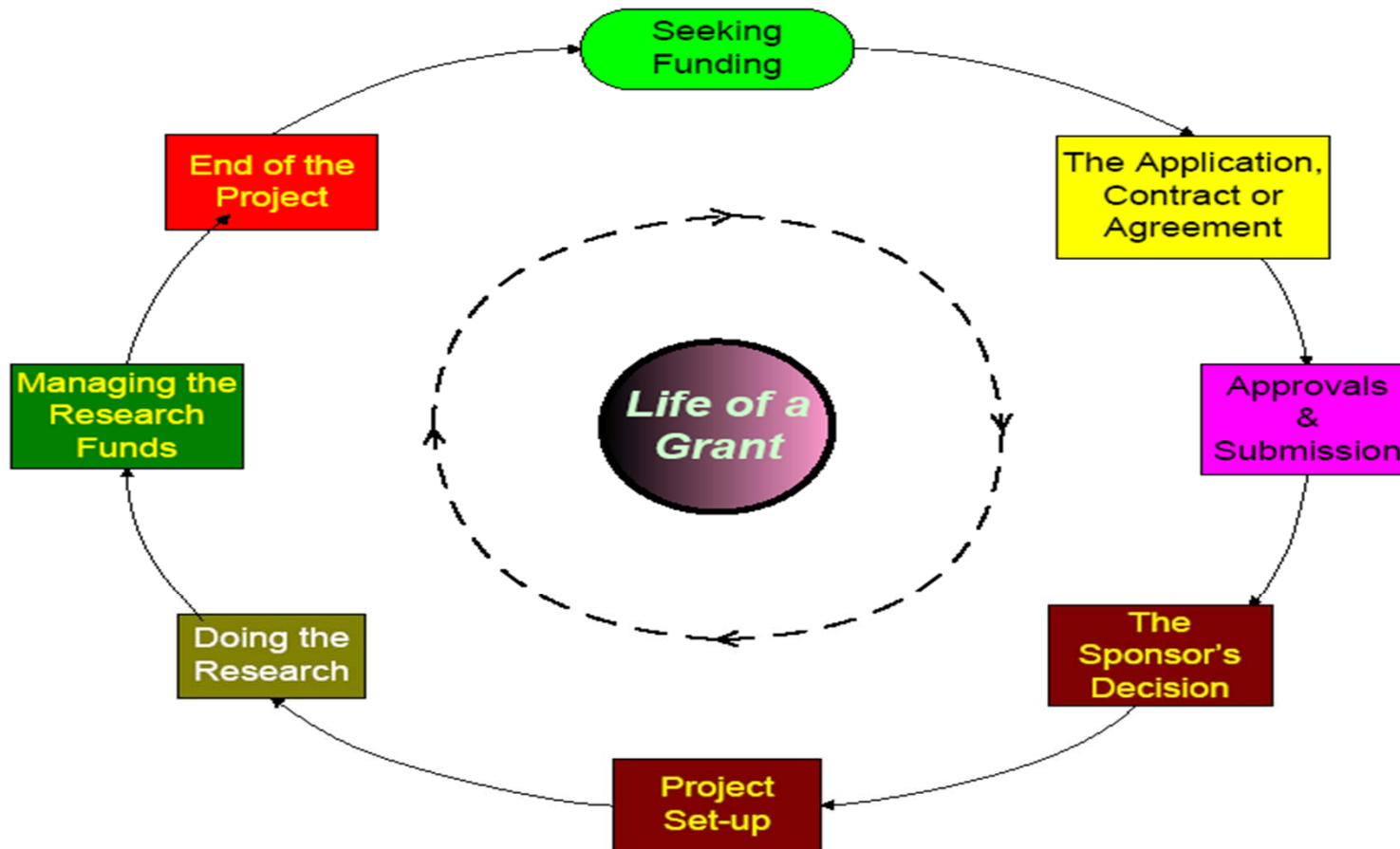
RESEARCH SERVICES OFFICE

- ❖ 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



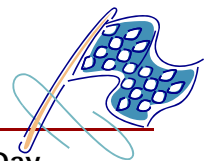


HOW DO I FIND RESEARCH FUNDING OPPORTUNITIES?

❖ Target Point:

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

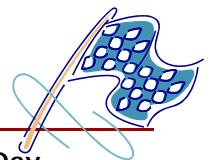
<http://www.rso.ualberta.ca/Funding/TargetPoint.aspx>





COMMUNITY OF SCIENCE PIVOT (COS PIVOT)

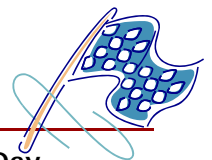
- ❖ Comprehensive, international database totaling over \$33 billion
- ❖ Private foundations, public agencies, national and local governments, corporations, etc
- ❖ Physical sciences, social sciences, life sciences, health & medicine, arts & humanities
- ❖ Research, travel, conferences, fellowships, equipment etc.
- ❖ <http://www.rso.ualberta.ca/Funding/COSPivot.aspx>





ARE THERE OTHER SOURCES OF FUNDING OPPORTUNITIES?

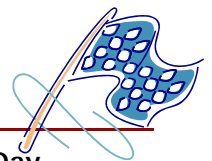
- ❖ Opportunities received from sponsors
- ❖ Opportunities received from researchers
- ❖ RSO website has a “Funding Opportunities” document that links to internal and external sources of research funding
- ❖ http://www.rso.ualberta.ca/~media/University%20of%20Alberta/Administration/Research/Research%20Services%20Office/Funding_Opportunities.pdf





WHAT ARE SOME STANDARD WAYS OF APPLYING FOR RESEARCH FUNDING?

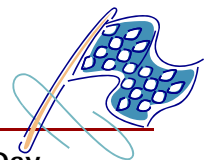
- ❖ Registration with sponsor
- ❖ Notice of intent to apply (NOI)
- ❖ Letter of intent (LOI)
- ❖ Application/proposal – result in grant/contract
- ❖ CV requirement (PI/Team)





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

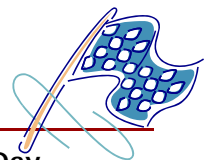




WHAT ARE SOME COMMON U OF A TERMS AND CONDITIONS AT THE APPLICATION/PROPOSAL STAGE?

- ❖ 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)

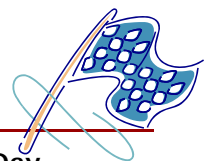
<https://policiesonline.ualberta.ca/Pages/default.aspx>





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



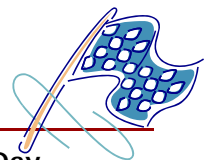


WHAT ARE THE SIGNATURE REQUIREMENTS FOR THE U OF A?

- ❖ **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/Fo rms/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

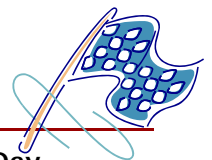




SIGNATURE REQUIREMENTS – U OF A - LETTERS OF INTENT

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)

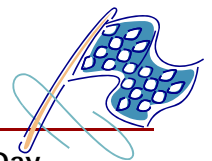




WHAT DO THE U OF A SIGNATURES MEAN?

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

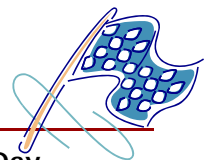




WHAT DO THE U OF A SIGNATURES MEAN? (cont.)

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

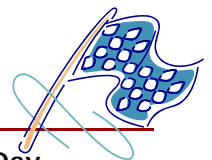




WHAT DO THE U OF A SIGNATURES MEAN? (cont.)

Institutional Signature:

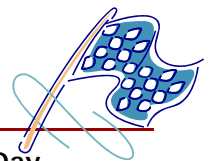
- ❖ Release funds once certifications are in place
- ❖ Administer funds on behalf of the PI
- ❖ Ensure compliance with sponsor terms and conditions
- ❖ Ensure compliance with U of A policies and procedures





SPONSOR'S DECISION?

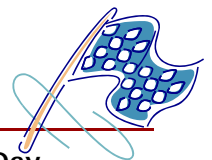
- ❖ Adjudication process and timelines vary by sponsor
- ❖ RSO is usually the first point of contact for competition results
- ❖ However, some results are sent directly to the researcher
- ❖ RSO notifies PI of decision and those involved in the administration of the award (ADR/Dean, Chair, RF, administrators)





WHAT HAPPENS IN AWARD FINALIZATION AND PROJECT SET UP?

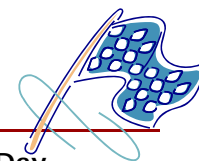
- ❖ Review the terms and conditions
 - ◆ e.g. start and end dates, indirect costs, reporting requirements, payments, residual funds, eligible/ineligible costs, intellectual property, publication rights
- ❖ Research involving human subjects, animals, biohazards, human embryonic stem cells
 - ◆ all require 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?

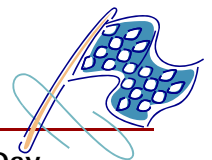
- ❖ Sponsor guidelines/policies
- ❖ Memorandum of Understanding (Tri-councils)
- ❖ http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/MOURoles-ProtocolRoles/index_eng.asp
- ❖ University of Alberta Policies and Procedures Online (UAPPOL)
- ❖ <https://policiesonline.ualberta.ca/Pages/default.aspx>
- ❖ Personnel, purchasing, travel, signing authority, documentation, conflict of interest, over expenditures, etc.





OTHER CONSIDERATIONS IN MANAGING RESEARCH FUNDING?

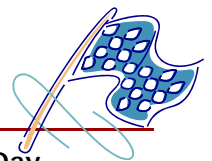
- ❖ Reconciliations (use eTRAC – electronic tracking of research awards and contracts)
- ❖ Researcher Home Page
- ❖ Subgrants: <http://www.rso.ualberta.ca/FormsCabinet.aspx>
- ❖ Change of PI, Change to co-applicants
- ❖ Transfer of award to new institution?
- ❖ Amendments to award (end date extension, 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>
- ❖ Questions?
- ❖ Evaluation Forms

