Research Administration & Management:
Your Guide to Successful Collaboration & Researcher Mobility

Claire Chen, NCURA
Deborah Watt, UBC, CARA

NCURA
Supporting Research...*together*™

ACCARACAR

Session Outline:

1. International Research Collaboration

2. NCURA

3. CARA

4. What's research administration/management/development?

5. Research Administrator/Manager's/Developer's role in pre-award (proposal development and submission)

6. Research Administrator/Manager/Developer role in post-award (award acceptance/negotiation/reporting)

7. Case studies

8. Q&A

What's International Research Collaboration?

Research that is conducted by more than one researcher, or research team, either within their institution or with colleagues in other institutions, or countries, towards a common goal.

At its most basic level, collaboration occurs when researchers engage informally in consultations, provide advice, participate in site visits or conferences, or create complementary research agendas. Other, deeper forms of cooperation include joint research projects, the sharing of research facilities and major infrastructure, allowing access to research data and discoveries, and the linking of research centers and virtual networks.

*Source: International Research Collaboration, Association of Universities and Colleges of Canada, 2009

NCURA serves its members and advances the field of research administration through

❖ education and professional development programs

❖ sharing of knowledge and experience

❖ fostering a professional, collegial, and respected community.

CARA is a national voice for research administrators in Canada. The purposes of the Association are:

❖ to foster research administration and management expertise in Canada by facilitating a strong and vibrant community

❖ to provide and facilitate robust career and professional development programs and services for members;

❖ to enable synthesis and dissemination of information/knowledge on research administration and management with a view to developing individual and organizational excellence.

What do research administration and management professionals do?
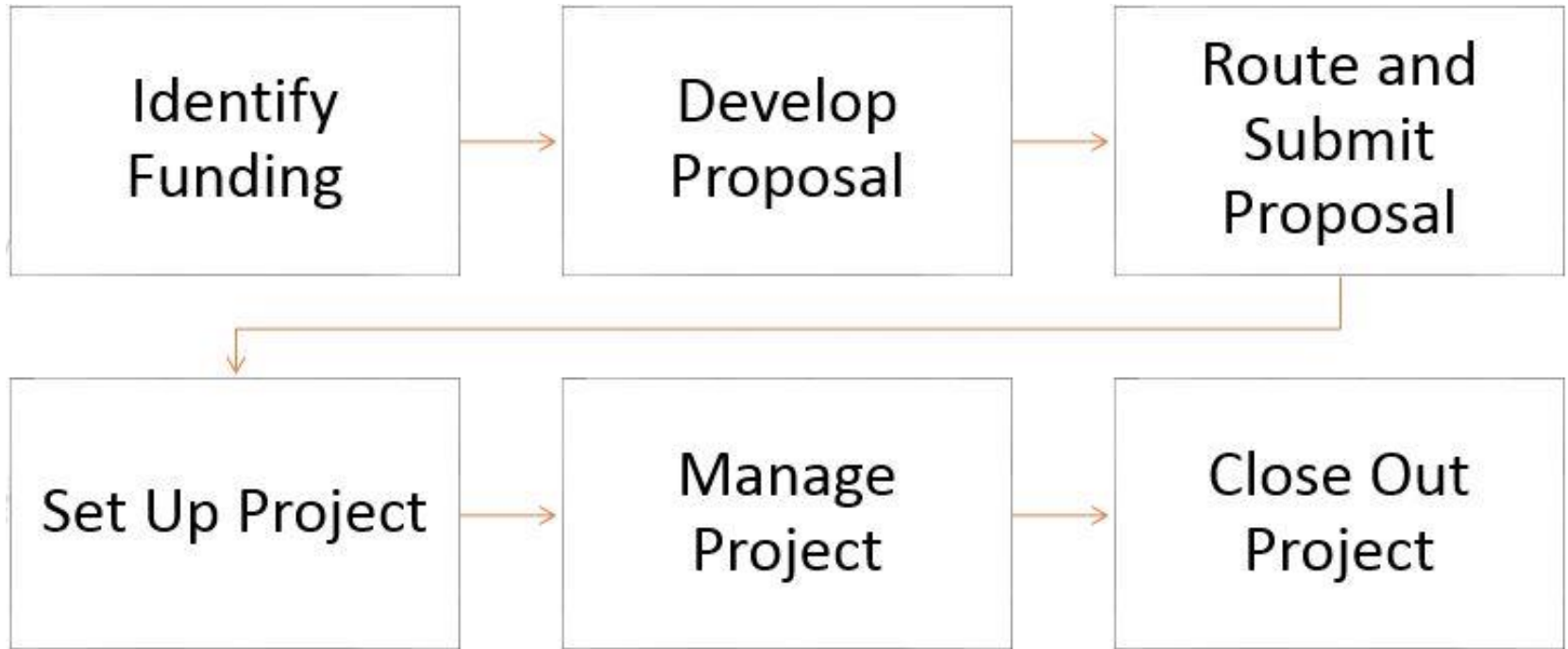
Identify & Communicating Funding: International Funding Opportunities

- **CHALLENGE:** How to match opportunities to appropriate faculty members / groups for targeted communication (avoiding mass-email communication)

  - **Tactic(s):**
    - Create network of department and faculty based research developers
    - Leverage institutional research data (in any way possible) ☺

- **CHALLENGE:** Added complexity of international requirements

  - **Tactic(s):**
    - Create a reference 'playbook' for different international funding mechanisms
    - Foster a 'community of practice' and / or peer mentoring network (research management professionals and faculty)

NCURA
Supporting Research... *together*™

Identifying & Communicating Funding Opportunities: pre-proposal considerations

Ask 'the usual' questions:
- Does you research idea match the strategic vision of the sponsor?
- Are you eligible, or is your institution eligible to accept?
- What are the risks?
- Do you have time?

Identifying & Communicating Funding Opportunities: pre-proposal considerations

Ask additional questions / raise precautions specific to international work

- What are the risks specific to this collaboration?
  - Financial? Scientific? Administrative? Reputational?
- Eligibility (of institution(s) and researcher(s)
- Currency exchange / budgeting
- Communication planning & expectations
- Partner expectations
- Is there enough time to collaboratively develop a proposal?
- Travel requirements/ restrictions
- Data management rules / regulations
- …..and more

Develop the project or proposal: initial steps

- Identify / confirm **collaboration requirements**
    - Leverage existing collaborative networks
    - Enhance existing collaborative networks
    - Find new collaborators
        - Bibliometric approaches
        - Others?
- Establish contact & relationship with program officer

Develop the project or proposal: budget considerations

- Cost sharing/matching
  - Watch out for differing terminology!
- Limitations (e.g. salary cap, overhead, restrictions on certain costs)
- Fringe benefits
- Effort reporting!
- How will grant funds be paid?
- Can budget be amended?
- Are no cost extensions allowable?

Develop the project or proposal: other key considerations

- Develop plans for responsible conduct of research
    - Data security, safety and monitoring
    - Data management and sharing
    - Understand sub-award & consortium agreements
    - Ethics (human or animal subjects) in all participating jurisdictions
    - Hazardous materials
    - Travel requirements or restrictions (visas, permits etc)
    - …any other restrictive language and / or unusual requirements?

Develop the project or proposal: submission process(es)

- Review the sponsor's submission requirements
- How will the proposal be submitted?
    - electronically?
    - hard copy?
- Provide proposal and submission checklist through your ORS
- Are signatures, letters of support or letters of commitment required?
- DEADLINE!
    - Be mindful of timezones!

Developing the proposal: A case study in supporting faculty wishing to identify new collaborators

UBC Support Programs to Advance Research Capacity (SPARC) Office

- Core competency is in research development with an emphasis on proposal development and editing

- Recent and developing institutional priorities for research have started pushing the boundaries of traditional research development activities
  - Grants for Catalyzing Research Clusters
    - Centrally supported seed funding program with a 'grand challenges'
  - Recent tri-council co-funded "ERA-NET" opportunities
  - Targeted mobility funding to catalyze collaboration with researchers at the University of Washington in Seattle

Developing the proposal: UBC SPARC-sponsored workshop focused on identifying new international collaborators

UBC Support Programs to Advance Research Capacity (SPARC) Office

- Environmental scan of international research support and needs of faculty in 2017 identified "finding international collaborators" as a key barrier to pursuing more international funding opportunities

- 2017 & 2018 ERA-NET opportunities co-funded by CIHR & NSERC
- 2018 & 2019 internal seed and mobility funding
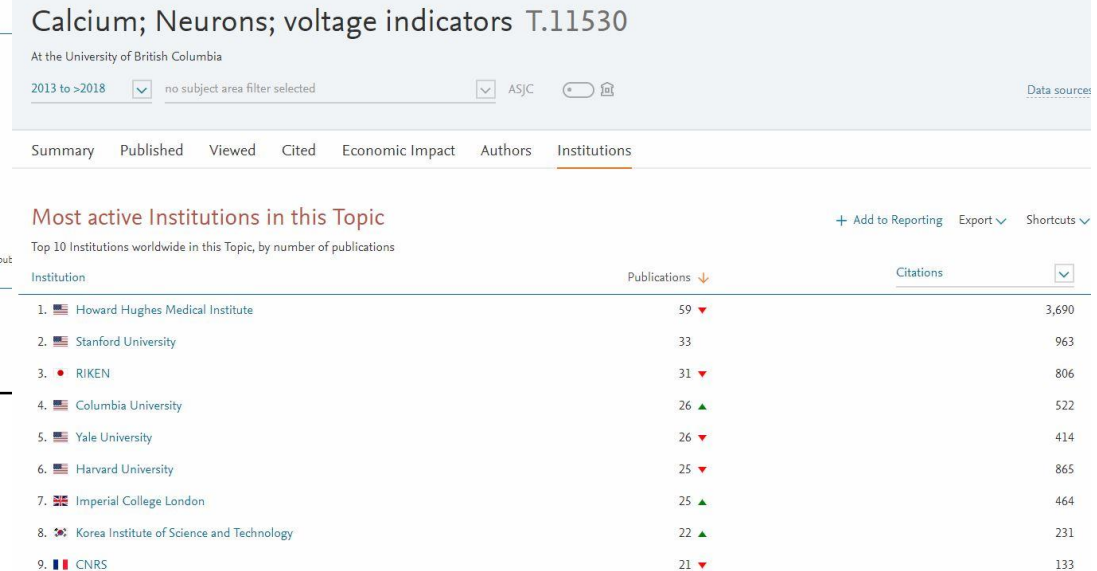   - How can I help?
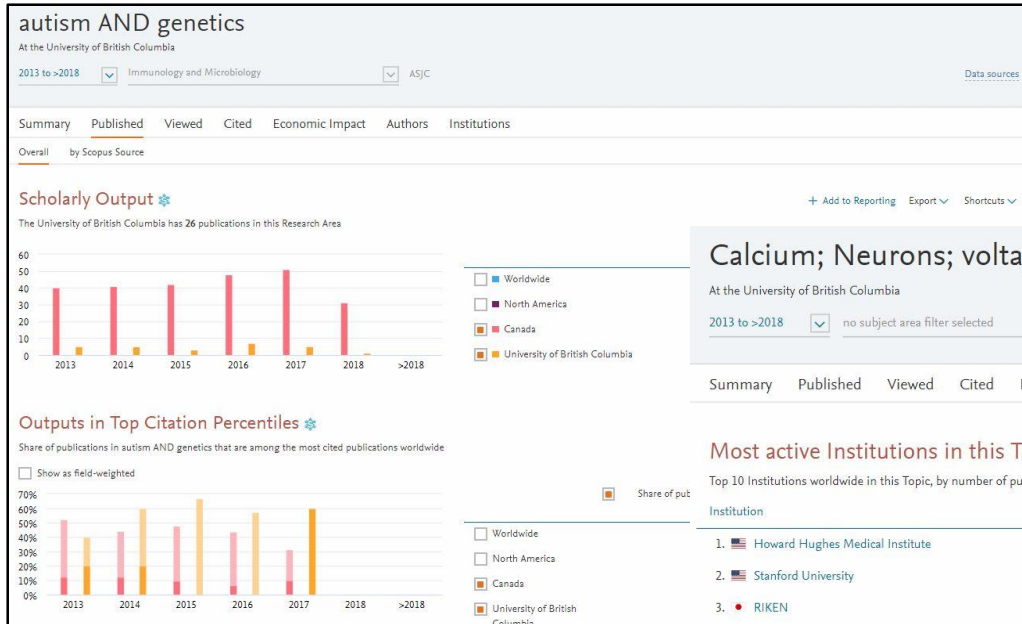   - What tools can we leverage on campus?

Developing the proposal: UBC SPARC-sponsored workshop focused on identifying new international collaborators

- 90 minute hands-on workshop for faculty & research development personnel with declared interest in increasing international collaboration

    - Leveraged research metrics database SciVal

    - Participants prepared in advance by identifying research area(s) and potential funding opportunities

Developing the proposal: UBC SPARC-sponsored workshop focused on identifying potential international collaborators

Developing the proposal: UBC SPARC-sponsored workshop focused on identifying potential international collaborators

Intended Outcomes
- Increase awareness of research information / systems on campus
- Create community of practice specific to international research development
- Research Impact

Unintended Outcomes
- Increased interest in research metrics ☺
- Soft metrics (eg. equity, diversity, inclusion)

Managing International Collaboration

General Award Management:

- Sponsoring Agency
- Interim & Final Reporting
- Scheduled Deliverables
- Intellectual Property Provisions
- No-cost extension?
- Award period

Managing International Collaboration

Post-award Research Administration:

- Review post-award policies and procedures
- Subcontracts and consultants
- Cost-sharing

Research Compliance Requirements:
- IRB/IACUC/BIC Requirements
- Export Control/OFAC Consideration
    - Foreign sponsor?
    - Foreign sub-contractors?
    - Foreign nationals working in the team?
- Conflict of Interest
- Other Funder specific regulations
    - NIH
    - NSF
    - US Department of Defense

CHECKLIST FOR ESTABLISHING EXTRAMURAL AGREEMENTS

SUMMARY OF AWARD ATTRIBUTES:

Expense Account Number: _____

Award Number: _____

PI: _____

Awarding Agency: _____

Agency Award Number: _____

Date of Award: Begin _____   End: _____

Project Title: _____

Amount of Award: $ _____

Date final technical reports are due: _____

CGA Fund Manager: _____

Phone: _____   E-mail: _____

REVIEW AWARD AND HIGHLIGHT PERTINENT INFORMATION:

- ❑ Award number
- ❑ Agency name and address
- ❑ Agency contact, telephone number and/or e-mail address
- ❑ Principal Investigator (PI)
- ❑ Award project period
- ❑ Award budget period (if different from project period)
- ❑ Are these Federal or Federal Flow Through funds? What is the CFDA number?
  https://www.cfda.gov/
- ❑ Invoicing/reporting provisions (i.e., format, frequency)
- ❑ Regulatory guidelines (i.e. Agency-specific regulations)
- ❑ Rebudgeting provisions (i.e., allowed up to 10% or 20%, allowed if scope is not changed)
    Is prior approval required on rebudgeting?
- ❑ Cost Sharing – Amount, source of match (i.e. F&A), account number where match will occur, timing of submission (i.e., monthly, quarterly, annually)
    - o Special reporting requirements and frequency (i.e., technical/progress reports)
    - o Special terms and conditions (i.e., specific requirements associated with equipment/travel)
    - o Audit requirements
- ❑ Closeout reports submission deadlines (i.e., 30 days, 45 days, 60 days, 90 days)
- ❑ Is award subject to any of the following compliance areas:
    - o Injury Prevention Program
    - o Federally Regulated Drugs
    - o Pathogenic Agents
    - o Production of Medical Waste
    - o Carcinogens
    - o Radiation
    - o Recombinant DNA
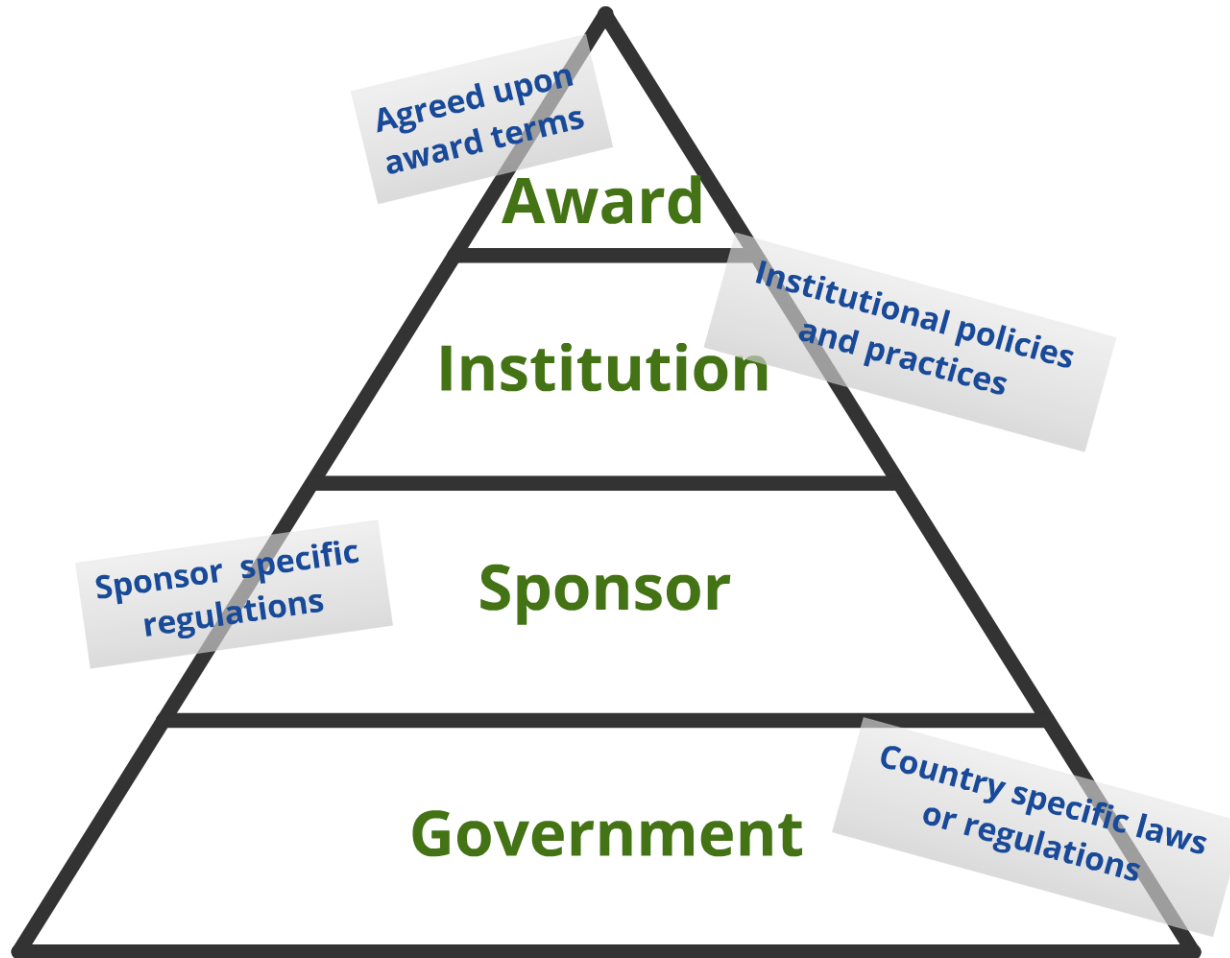   - o Vertebrate Animals
    - o Human Subjects

ESTABLISH EXPENSE ACCOUNT/PERSONNEL ACTIONS/BILLING IDs:

- ❑ Establish expense account number by clicking on the link in the e-mail from Kuali, or by searching for the Award and clicking on the "Create EX Account" link
- ❑ Complete Account document required fields (leave Account Expiration Date blank)
- ❑ Enter the UC Account Number that properly represents the Higher Education Function of agreement
- ❑ Enter the PI as the Project Director on Account Document
- ❑ Establish/change appointment and distribution lines in PPS and set up Billing ID numbers
- ❑ Verify PI effort commitment in the on-line Effort Commitment System and enter any other commitments for Key Personnel
- ❑ Set up cost sharing commitment in the on-line Cost Share Tracking System if you receive the email indicating that the fund has been set up - If you do not receive an email but have a cost sharing commitment, contact the CGA Fund Manager
- ❑ Monitor cost sharing transactions monthly
- ❑ If Federal or Federal Flow Through, effort reports will be produced in the on-line Effort Reporting System and effort must be certified on an annual basis

Source: UC Davis Award Review Checklist

Understand the Policy Pyramid

Award — Agreed upon award terms

Institution — Institutional policies and practices

Sponsor — Sponsor specific regulations

Government — Country specific laws or regulations

NCURA
Supporting Research...*together*™

ACCARA
CAR

Some tips for Successful International Collaboration

- Peer mentoring
  - Identify faculty who have had successes with different sponsors
- Repository of successful proposals
- Engage your research administrator during proposal development
- Review the requirements of the notice of award
- Work closely with the collaborator to understand the funder's requirements

Case Study 1

Your institution is awarded a $5 million dollar project to train international government administrators on conflict resolution. The Project calls for mandatory participation of all collaborators in a project kick-off conference. However, 5 of the 75 international collaborators are denied visas two months prior to the conference and cannot participate.

What is the role of the research administrator?

What is the role of the research administrator?

- Why are the visas denied?
- Can the sponsor assist in securing the visas?
- Should you retain legal counsel to assist?
- Are the 5 denied parties required to participate?
- Can the conference be moved to another country?
- Can the denied parties participate via satellite?

Case Study 2

Your project has an international subawardee who has failed to submit their annual technical report. The project's sponsor is adamant the technical report be submitted or the subaward be terminated. Your lead investigator informs you the subawardee is critical to completing the entire project and termination is not an option.

What is the role of the research administrator?

What is the role of the research administrator?

- Do you have any leverage over the subawardee?
- Have all invoices been paid?
- Can you withhold future funding allocations?
- Can the subaward's top official assist in any way?
- Is there another solution?

NCURA
Supporting Research...*together*™

ACCARAAR

Final Thoughts

"Beyond providing knowledge and applications to benefit human welfare, scientific cooperation is a useful part of diplomacy—scientific cooperation to work on problems across borders and without boundaries, cooperation made possible by the international language and methodology of science, cooperation in examining evidence that allows scientists to get beyond ideologies and form relationships that allow diplomats to defuse politically explosive situations."

Source: Rush Holt, "Scientific Drivers for Diplomacy," Science & Diplomacy, Vol. 4, No. 2 (June 2015). *CEO of the American Association for the Advancement of Science

Thank You!

Contact:

Deborah Watt, deborah.watt@ubc.ca
Claire Chen, chen@ncura.edu