

Administrative Unit Review of the Office of Research Services, University of Regina

Submitted: May 2007

Review Process:

This review was conducted by a panel of three reviewers on April 12 and 13, 2007 at the University of Regina. The review was based on written material provided to the Review Team prior to the visit and a series of meetings with faculty and staff during the visit. The report by the Review Team is for the use of the Vice President, Research and International.

Review Team Members:

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Background Materials Provided to the Review Team:

“Terms of Reference, Administrative Unit Review of the Office of Research Services, University of Regina”. Appendix 1

“Self Evaluation Report”, Office of Research Services. Appendix 2

Sample Job Profile for a Director of Research Services from Brock University. Appendix 3

“NSERC and SSHRC Financial Monitoring Visit December 4-9, 2005 – Initial Report”.

“The University of Regina Strategic Research Plan for the Canada Research Chair (CRC) Program and the Canadian Foundation for Innovation (CFI), 2006-2010”. <http://www.uregina.ca/presoff/vpresearch/documents/index.shtml>

Job Fact Sheets for the Manager, Research and Ethics Officer and Contracts Officer

Table of Funding Statistics for the Fiscal Year 2005/06

EXECUTIVE SUMMARY

The UR has a stated goal of increasing sponsored research funding by 50% by 2012. In order to realize this goal, senior administrators at the UR are working to raise the institutional research profile and embrace a culture of research. A properly resourced ORS is critical in facilitating the attainment of this goal. Given the complexities of current research funding arrangements, research offices cannot operate in isolation to facilitate the research enterprise but rather must (in consultation with researchers) increasingly engage with other administrative units on campus, including Risk Management, Campus Infrastructure, Financial Services and Human Resources.

The research community is looking to the ORS to assume a leadership role in advocating the facilitation of research at UR. Thus, ORS should be viewed as the central administrative “service” unit that will proactively advocate on behalf of researchers with stakeholders, both internal and external to the institution, in order to guide researchers through the regulatory maze that often accompanies research funding. While it is essential that the ORS work closely with the Office of the VPR&I, the VPR&I must clarify its role as distinct from that of the ORS. Other administrative units (given the above-stated complexities) must also shoulder some of the responsibilities associated with managing research funding at the institution.

In all, the Review Team has made 36 recommendations in the following three areas: ORS Role and Staffing; Relationships with Other Units; and Databases and Tracking Systems. What follows are the primary recommendations under these areas.

ORS ROLE AND STAFFING

Primary of 21 Recommendations:

1. Engage HR to conduct an external scan of comparable offices of research administration in order to compare staffing levels, position profiles and salary bands. The Manager/Director, in consultation with HR, would then implement the necessary changes, based on the scan. In doing so, this will ensure that UR will be able to recruit and retain sufficient and effective staff.

6. The Director needs to play a strategic and advocacy role in research matters both internally and externally. Such a manager would provide leadership in structuring the office, setting priorities, assigning work tasks, defining job descriptions and information technology requirements. In order for the Director to effectively manage these

activities, many of the duties currently carried out by the Manager will need to be reassigned.

7. Effort needs to be undertaken by senior administration to clarify and distinguish its role in policy creation, communication, and advocacy from that expected of ORS. Such clarification should be communicated to ORS, other administrative units and to the broader community.

10. ORS should participate in or coordinate a new faculty orientation program that includes discussion of the resources available for locating funding information and procedures, such as the research handbook and the various mailing lists offered by ORS. Furthermore, ORS should ensure that the ongoing maintenance required for the currently planned research handbook (both electronic and hard copy) be factored into workload assignments because such tools lose their usefulness if not constantly revised and updated.

14. A network of grant facilitators (on a thematic or Faculty basis) should be established to help ensure that applications coming forward for signature have received editorial scrutiny and that ORS provide its own value added to the review process, in a timely and effective manner. Collaboration among all parties should result in better service to grant applicants and consistency in applying university policy at the application stage.

RELATIONSHIPS WITH OTHER UNITS

Primary of 7 Recommendations:

23. Clarity must be provided as to the role of each of the units reporting to the VPR&I and in particular, where the Contracts Officer fits in with respect to ORS and UILO. Researchers and administrators must be clear on the procedures regarding contract and industry research. If the responsibility for this portfolio is with ORS then all contract and industry research projects must be consistently routed through ORS, as opposed to the UILO or VPR&I office.

25. While it may be appropriate for ORS to assist with post-award issues in the capacity of liaising between the researcher and the funding body, the financial responsibility for the administration of research funds, and the reporting thereof, should lie squarely under the VP Finance. There is a clear need for more financial analysts who are fully dedicated to, and responsible for, the financial administration of sponsored research funding. One of these positions should focus on

financial accounting issues associated with CFI/CRC and this position must liaise closely with the appropriate ORS staff.

28. A Research Liaison Officer from each faculty/unit must be assigned to facilitate communication to researchers. The appointment of an Associate or Assistant Dean (Research) in every Faculty is recommended for this position. These ADRs would act as the main conduit into each Faculty for ORS, UILO, VPR&I etc. to communicate, policy, procedural, program and deadline information. The VPR&I should hold bimonthly or other regularly scheduled meetings with the ADRs and professional staff from ORS and UILO in order to ensure the lines of communication (in both directions) are wide open and that a regular opportunity for consultation is available to the group.

DATABASES AND TRACKING SYSTEMS

Primary of 8 Recommendations:

29. Based on the experience of the Review Team, high priority must be given to the development or purchase of an effective database as this is crucial to facilitating workflow and to providing management information. This work should proceed under the leadership of the new Director. Retroactive population of data into the database is not recommended.

30. ORS and Research Accounting together should be provided with the requisite resources to develop a proper database for the tracking of application and award data. This system should be able to transfer award data to the financial system such that the amount of duplicate data entry is minimized and consistency is maximized. The database would enable reporting on funding application and award data across the institution.

34. The application and awards database should be linked with the tracking of requisite certification data on funded grants and contracts. This would help to ensure compliance with the Tri Council MOU etc.

36. ORS should consider purchasing access to the SPIN database offered by InfoEd. The per annum cost is minimal, particularly for a three year subscription. On-line access to this database will be of value to researchers and grant facilitators in locating funding opportunities. The COS database, while more expensive, can also be subscribed to and its use monitored to ensure its cost effectiveness.

FULL REPORT

BACKGROUND

The University of Regina (UR) Office of Research Services (ORS) was formally established under the portfolio of the Faculty of Graduate Studies and Research in 1985, with support from the Province. The first permanent staff member was hired in 1988 with full staff complement of one research administrator and one clerk. Research revenue for 1988-89 was \$2.5M.

In the 1980s and 90s, offices of research administration were largely charged with the oversight of all things research related. With research revenue of \$2.5M and comparatively fewer funding sources available during that period, one or two staff members were adequate to the needs of the day including help with identification of funding opportunities and grant application assistance. Statistical reports in the form of static, paper based annual summaries and lists were adequate for institutional as well as external needs.

Many changes began to affect the scope of responsibilities assigned to the research administration portfolio across Canada, particularly with more stringent compliance requirements and new funding from agencies such as the Canada Research Chairs Program (CRC) and the Canada Foundation for Innovation (CFI). A fundamental task expected from research administration offices became the communication of agency and institutional policies and procedures as they relate to funding applications.

UNIVERSITY OF REGINA ORS ROLE AND STAFFING

As stated in the "UR ORS 2007 Unit Review" document: "The primary function of ORS is to encourage, assist and support faculty in obtaining financial support for their research activities via grants and contracts, with a secondary objective to ensure there is responsible administration of such monies within all the regulatory requirements set by our funders."

With the establishment of a UR Vice President, Research and International (VPR&I) in 1991, ORS became an independent entity. As complexities and programs grew, responsibility for research necessarily became decentralized and multiple administrative units were charged with increasing responsibilities pertaining to research. By 2005-06 when research revenue had grown to \$22M and requirements concerning application and use of funds had increased in complexity, ORS consisted of five positions: Manager; Ethics; Contracts; Grant Facilitator; and an Administrative Assistant.

At UR the change in the scope of responsibility of research administration from the 20th to the 21st century resulted in increased staffing; however, it appeared to the Review Team, that staff were hired and assigned duties in emerging areas in the absence of a management plan for workflow and growth considerations. Looking at each position's current levels of responsibility and relative salary grade, there appears to be no apparent relationship between complexity of work and salary grade placement within the unit. This observation was reinforced during specific interviews with non ORS staff.

As the research environment has become more complex, the processes that supported the work of the UR ORS in the 90s have not been updated. Systems that were efficient when dealing with small numbers, have become cumbersome with the continual increases in complexity and volume. New duties have been assigned to ORS with limited framework for assessing extra staffing needs. Administrative staffing with respect to Animal and Human Ethics, CFI, CRC, grants facilitation, and communication has been assigned to ORS. Despite increased numbers of staff, the Review Team was repeatedly told of the need for improved access to information and support services that are currently not being provided.

It was the view of the Review Team that the greatest impediment to meeting the needs of the UR research community is the current workload of the ORS staff, both in terms of staff complement and allocation of responsibilities. This is despite the best efforts and the dedication of the ORS staff to provide the best possible service. The Review Team wants to be clear that many of the recommendations made in this report cannot be realized unless ORS is provided with an appropriate and adequate level of staffing.

Recommendations:

1. Engage HR to conduct an external scan of comparable offices of research administration in order to compare staffing levels, position profiles and salary bands. The Manager/Director, in consultation with HR, would then implement the necessary changes, based on the scan. In doing so, this will ensure that UR will be able to recruit and retain sufficient and effective staff.

2. Once the current profiles/positions have been assessed and revised, new positions created to accommodate increased workloads need to be established and filled. All ORS position profiles should be reassessed regularly by the Director, who should have the authority to hire temporary assistance, reassign work, or determine what simply cannot be accomplished within the current structure. Any changes in staffing (who's responsible for what) must be communicated to the researcher community.

3. Once the requisite ORS staffing levels are realized, consideration should be given to facilitating some ORS staff retreats with a professional facilitator to work on team building exercises (i.e. Stephen Covey Resiliency session and/or “The Seven Habits of Highly Effective People”), resulting in the creation of mission, values and goals for the ORS.

4. Regular ORS staff meetings are required to open up the lines of communication amongst the staff. Members from senior administration or other units should be invited to attend on an occasional basis to explore timely issues.

5. Ongoing professional development opportunities for the ORS staff must be encouraged and supported.

The Review Team was given to understand that work assignments to individual staff can come from any one of several senior administrators in addition to the Manager. This is counterproductive and places the already overloaded staff in a most awkward position with respect to establishing workload priorities and feeling a consistency of purpose reflected from senior management.

Recommendation:

6. The Director needs to play a strategic and advocacy role in research matters both internally and externally. Such a manager would provide leadership in structuring the office, setting priorities, assigning work tasks, defining job descriptions and information technology requirements. In order for the Director to effectively manage these activities, many of the duties currently carried out by the Manager will need to be reassigned.

The Review Team heard from many of the interviewees of the need for ORS to play an advocacy and educational role on behalf of the researchers with other Administration units. From the comments received, there appeared to be little understanding of institutional governance. New and existing institutional policies/procedures, were mistakenly attributed to ORS, e.g. indirect costs policy and allocation; UR’s decision to discontinue research utilizing animal models affecting UR’s hiring procedures for research staff; accounting and purchasing procedures. Basic levels of support for research programs appear to be poorly understood by units in Administration or viewed as inadequate to the needs of particular units.

Recommendation:

7. Effort needs to be undertaken by senior administration to clarify and distinguish its role in policy creation, communication, and advocacy from that expected of ORS. Such clarification should be communicated to ORS, other administrative units and to the broader community.

It became apparent to the Review Team that the community views ORS as responsible for the lack of clear and readily accessible information concerning grant account administration and other financial oversight activities. This may be a result of ORS's current responsibility of approving purchases on research accounts. This and similar misperceptions weaken the profile of ORS in the university community.

Recommendation:

8. The ORS's role with respect to the research environment needs to be clarified for the community. For example, ORS is responsible for the implementation and interpretation of policy not the creation of policy.

The Review Team heard from those who expressed a need for ORS to play an advocacy role in the following areas: advocate implementing improvements in procedures affecting researchers; effectively communicating established university policy; providing assistance in research team building, partner identification and matchmaking (researchers and facilities).

Recommendation:

9. It is the recommendation of the Review Team that the Manager position of ORS be placed out of scope and at the "Director" level. A Director's mandate is to provide vision, leadership, and long-term perspective in building relationships amongst researchers and administrative units, both internal and external. This leader should act as an ambassador for ORS and for the UR research enterprise as a whole. The role of the position should be to act as the "key" link between the ORS and the VPR& I in communicating and facilitating all aspects of research administration at the UR. This position needs to have extensive administrative experience, preferably in a university setting. (See Appendix 3 for the recent Brock University Director posting for an overview of a typical Director position description.)

Based on views expressed to the Review Team, UR needs to improve communication to new researchers in matters pertaining to their applying for and holding research funding, both in the areas of grants and contracts.

Recommendation:

10. ORS should participate in or coordinate a new faculty orientation program that includes discussion of the resources available for locating funding information and procedures, such as the research handbook and the various mailing lists offered by ORS. Furthermore, ORS should ensure that the ongoing maintenance required for the currently planned research handbook (both electronic and hard copy) be factored into workload assignments because such tools lose their usefulness if not constantly revised and updated.

One of the key roles of an office of research administration relates to the review, and sign off on funding proposals. The establishment by ORS of internal deadlines for the purpose of orderly processing should not be viewed as unreasonable. Several interviewees expressed suspicions about the purpose and value of the current ORS review process and one month lead time. The Review Team was told that delays in turn around of up to three weeks had occurred, with little, if any, value added to the application.

Recommendations:

11. The nature and purpose of the ORS review prior to signature needs to be communicated more clearly and the one month lead time made optional for pre-review purposes. The Director's role in this area should be limited. The review of standard grant applications should be performed by someone other than the Director, who would normally provide assistance only in the development of large complex initiatives. Primary responsibility for the balance of these activities should rest with the Grants Facilitator(s) or the Research Grants Officer.

12. The current one month prior to submission rule, needs to be revised for optional pre-review purposes only and not be mandatory. The imposition of this deadline seems to have resulted in some researchers going elsewhere to obtain the requisite institutional approval. Estimated turn around times for the review and signing of proposals needs to be clearly stated to researchers (and met).

The primary responsibility for content review of research proposals is currently taken on as a responsibility by ORS for historical reasons going back to the days when far fewer applications were being submitted and knowledge concerning the competitions was not always well known.

Recommendations:

13. Decentralization of responsibilities for review and approvals can be obtained through Departmental and Faculty sign off forms (signatures

not to be delegated to administrative assistants) and responsibilities at all levels identified.

14. A network of grant facilitators (on a thematic or Faculty basis) should be established to help ensure that applications coming forward for signature have received editorial scrutiny and that ORS provide its own value added to the review process, in a timely and effective manner. Collaboration among all parties should result in better service to grant applicants and consistency in applying university policy at the application stage.

15. These grant facilitator positions could be joint ORS/Faculty positions and as such, the funding for the positions would be shared. If hiring more grant facilitators is not possible, consider the creation of an Research Grants Officer (RGO) position (Internal grants and External grants i.e. Tri Council, Gov't grants and grants from the non-profit sector) to work in parallel with the Contracts Officer – each to coordinate with any Research Facilitator(s) to ensure consistency and eliminate duplication.

There is a legitimate role for ORS in post award administration. It is appropriate that accounts are set up only with the prior approval of ORS to ensure appropriate compliances are in place. Communication and cooperation between ORS and research accounting is essential for the good of the entire operation.

Recommendation:

16. Both the ORS and the research accounting group need to collaborate closely and in greater awareness of issues of concern to the other. Professional staff in the research accounting group need to develop the insight, experience, and authority to provide helpful advice in areas that will impact successful financial management, particularly of funding arrangements that will eventually require complex financial reporting.

Communication of funding opportunities is a primary function of any office of research administration. The office website and the office's use of communication technologies to convey information are important in carrying out this function and establishing credibility in the research community.

Listserves currently mentioned on the ORS website, with the exception of the health list, are not being used by ORS staff for the purpose of targeting communication of grant opportunities to specific research areas. Policies and procedures pertaining to research are not consistently linked to the ORS website. Old or incomplete information is left on the website due in part due to workload pressures.

Recommendations:

17. The ORS website structure and overall content should be the responsibility of the Manager/Director who should determine what the website is to offer its visitors and who is responsible for ensuring the content is maintained to be useful, timely, and accurate. Staff responsibilities in this regard should be clarified and duties assigned accordingly.

18. Workshops on successful grant application writing are valuable in achieving better participation and success rates. They also allow ORS staff an opportunity to communicate institutional requirements, policies, and procedures to prospective applicants at the application preparation stage. ORS should continue to offer grant application workshops and use these events to communicate institutional and office policies and procedures to prospective grant applicants in a timely manner.

19. ORS should facilitate mentoring activities including grantsmanship, internal peer review, matching of experienced researchers with new faculty etc.

20. Mailing lists should be implemented and promoted as the primary vehicle used by ORS to publicize funding opportunities. The organization of mailing lists needs to be simplified to fewer and broader categories, such as health, social sciences/humanities, etc.

21. The Contracts Officer should contribute explanatory articles for the ORS website and should consider offering workshops to inform researchers of issues and policies associated with contract research.

RELATIONSHIPS WITH OTHER UNITS

The current three offices reporting to the VPR&I are ORS, UILO and OICD. Gathering from statements made to the Review Team, it appeared that many researchers and administrators are unclear as to the distinction between the roles of these units, especially in terms of contract research. Some contracts seem to be going through the UILO while others go through ORS – this is confusing and inconsistent.

Recommendations:

22. ORS, UILO and OICD should co-locate and consider sharing administrative resources such as a clerk/ receptionist and perhaps a communications officer. The current space occupied by ORS is

insufficient for the present staff complement and leaves no room for growth. Privacy and confidentiality are difficult in the present physical layout of the office. In considering the co-location of these units, accessibility to the researcher community as well as the needs of a growing staff complement must be taken into consideration.

23. Clarity must be provided as to the role of each of the units reporting to the VPR&I and in particular, where the Contracts Officer fits in with respect to ORS and UILO. Researchers and administrators must be clear on the procedures regarding contract and industry research. If the responsibility for this portfolio is with ORS then all contract and industry research projects must be consistently routed through ORS, as opposed to the UILO or VPR&I office.

The area of research compliance is now at the top of the agenda of the federal granting councils. Universities are being challenged to close any gaps in their internal processes relating to the issuance and renewals of certifications (ethics, animal care and biohazards), and to ensure no funding is released until all requisite approvals are on file (both for new and renewal awards). Currently, administrative support for the UR approval process for human ethics and animal care is housed within ORS while the Environmental Health and Safety portfolio is within HR.

Recommendation:

24. Consider the creation of a new full-time position within ORS that would coordinate all regulatory/research compliance processes in support of the human ethics, animal care and biosafety committees. If biosafety committee support functions remain in HR rather than moving to ORS, a bridging communication process must be developed between those two offices.

During our interviews, we heard numerous concerns that researchers are not always able to obtain accurate and timely budget information pertaining to their research accounts. Additionally, there are mixed messages in terms of CFI reporting requirements – some of this reporting seems to be done at the Faculty level and some centrally.

The delineation of responsibility between ORS and Finance for post-award administration is blurred.

Recommendation:

25. While it may be appropriate for ORS to assist with post-award issues in the capacity of liaising between the researcher and the funding body, the financial responsibility for the administration of

research funds, and the reporting thereof, should lie squarely under the VP Finance. There is a clear need for more financial analysts who are fully dedicated to, and responsible for, the financial administration of sponsored research funding. One of these positions should focus on financial accounting issues associated with CFI/CRC and this position must liaise closely with the appropriate ORS staff.

We heard requests for more coordination and development of infrastructure in support of research (e.g. sufficient, consistent and reliable power source, safe and secure parking for research vehicles, and computing needs). We also heard from researchers and administrators concerning confusion and lack of information around HR's hiring procedures on grants and contracts.

Recommendation:

26. With the complexities associated with research funding and CFI in particular, research administrative offices must work closely with many other units on campus. Some of these units may not be familiar with research or the research culture. Consider the creation of joint positions with ORS and key units i.e. Physical Plant – where the cost of the position is shared and all benefit from the joint knowledge that is brought to the table. Otherwise, a responsibility of the Director should be the education of other units affecting the UR research environment.

Concerns were expressed around the general lack of communication regarding research policies and procedures, both top-down and across the institution. Some Faculties expressed that their needs are not well understood by senior administration. They are looking for leadership and consultation on national initiatives, e.g. WestGrid and TRILabs. As well, they are looking for understanding as to why "Institutional" Centers are treated as the responsibility of Faculties.

Another example of this lack of communication was expressed through researchers' requests to the Review Team that ORS develop an institution-wide compendium of resources and expertise to facilitate multi- and inter-disciplinary research matchmaking within the institution.

Recommendation:

27. There would be a strategic benefit to the institution to build on and promote on-going understanding of its collective capabilities, thus the development of an institution-wide compendium of research resources and expertise is recommended. Consideration should be given to assigning this task within the ORS portfolio, albeit with attention to overall workloads and the requirement to keep such information current.

Responsibility for the research enterprise at any institution is shared by a number of players, but the bottom line responsibility rests with the VPR&I. In day to day practice, much of this responsibility is carried out by ORS as the administrative arm of the VPR&I. It is important therefore, that the lines of communication between the VPR&I and ORS are open and are two way. In addition, it is essential that pertinent information also be communicated to Faculties, Departments and researchers.

Recommendation:

28. A Research Liaison Officer from each faculty/unit must be assigned to facilitate communication to researchers. The appointment of an Associate or Assistant Dean (Research) in every Faculty is recommended for this position. These ADRs would act as the main conduit into each Faculty for ORS, UILO, VPR&I etc. to communicate, policy, procedural, program and deadline information. The VPR&I should hold bimonthly or other regularly scheduled meetings with the ADRs and professional staff from ORS and UILO in order to ensure the lines of communication (in both directions) are wide open and that a regular opportunity for consultation is available to the group.

DATABASES AND TRACKING SYSTEMS

In any 21st century office of research administration, the grant applications and awards database is an essential tool not only for record keeping and management information, but also for internal communication and workflow control. In the University of Regina's ORS, the information required for tracking, reporting and analyzing application and award data, and processing grant information is not readily available. Nor is there an easy way to provide information to management such as where, what, and who the funding is coming from. Currently, basic data such as name, department, dollar amount, is tracked in ORS and is then re-keyed into the financial system. ORS is maintaining Excel spreadsheets to track application and award data. Staff members manipulate data in order to extract reports – this is not sustainable. The Review Team was informed that IT staff had been deployed to develop a grants database, but that the Manager has not had the time to work on this activity so that it appears not to be moving forward.

Recommendation:

29. Based on the experience of the Review Team, high priority must be given to the development or purchase of an effective database as this is crucial to facilitating workflow and to providing management information. This work should proceed under the leadership of the new

Director. Retroactive population of data into the database is not recommended.

It was suggested to the Review Team that financial functions having to do with research should be moved into the ORS domain as a way to ensure the accounting staff's full attention to research matters, and to harmonize post award activities performed by ORS and research accounting. However, it is the view of the Review Team that simply putting accounting staff in with ORS is not sufficient. A university that intends to receive a fifty percent increase in research funding within five years will need full time staff performing research accounting under professional management with sufficient resources. (See recommendation 25).

Underlying the necessary collaboration of ORS with Research Accounting is the development of a database based on the requirements of both areas. Such a database would document a seamless workflow from application to completion, leaving behind a record of actions and reporting data.

Recommendation:

30. ORS and Research Accounting together should be provided with the requisite resources to develop a proper database for the tracking of application and award data. This system should be able to transfer award data to the financial system such that the amount of duplicate data entry is minimized and consistency is maximized. The database would enable reporting on funding application and award data across the institution.

There is an expectation placed on ORS to play a leadership role in network development, in identification of available research facilities, and in ensuring that funding opportunities are made known on a timely and targeted basis.

Recommendation:

31. ORS should play a role in the development of an information/database of expertise on campus – who works in what area etc. and provide a “match making service”.

32. Included in the grant tracking database under development, consideration should be given to adding searchable database fields that would capture researcher expertise to facilitate research networking etc. Funding agencies often require that applicants identify, in the grant application, the keywords pertaining to their proposed area of research. Such information could be captured in the ORS grant tracking database to allow for quick searches and activity reports.

ORS is required to ensure that funding is not released prior to a grantee's obtaining requisite certifications. Recording certification requirements in a tracking database would ensure that staff who approve funding release can only do so after the approval certificate date and number have been recorded in the electronic record. Although the Review Team did not investigate data processing systems used to track certification applications, approvals, and annual reviews, an assumption is made that there is room for technology improvements in this area.

Recommendations:

33. A review of the Human Ethics, Animal Care, and Biosafety application data processing requirements should be undertaken simultaneously with the development of an application and awards database.

34. The application and awards database should be linked with the tracking of requisite certification data on funded grants and contracts. This would help to ensure compliance with the Tri Council MOU etc.

ORS deploys staff time to creating and maintaining a list of research funding opportunities organized by month. Such website maintenance is time consuming. It should be noted that some larger universities hire full time staff for such purposes. For example, Target Point (<http://www.rso.ualberta.ca/targetpoint.cfm>) is the University of Alberta's Research Services Office's monthly newsletter of funding opportunities. It provides links to funding opportunities and the Community of Science (COS) searchable database and is available to anyone by subscription.

Currently offered, but under-utilized, are mail lists offering funding opportunities organized under the topics of culture/heritage, energy/environment, health, informatics, social justice. Some thought should be given to the rationale behind this organization of topic interest. In fact, SSHRC opportunities would appear on all five lists and some other funding sponsors might not show up on any of them.

Currently, researchers at the University of Regina have no direct access to commercially available funding opportunity databases. Instead, they depend solely on ORS staff to provide this information via a general mail list or on the ORS website, neither of which breaks down opportunities by research area.

The Review Team heard many comments that the ORS web pages were not meeting their needs. There are negative consequences to purporting to offer a service and then doing it less than adequately.

Recommendations:

35. In the context of revising job descriptions, consideration must be given to the level of effort involved in posting application deadline information on the ORS web site, the usefulness to the research community of the current presentation, the availability of similar information on other websites, and the priority given to this activity against the other duties assigned to the Grants Facilitator.

36. ORS should consider purchasing access to the SPIN database offered by InfoEd. The per annum cost is minimal, particularly for a three year subscription. On-line access to this database will be of value to researchers and grant facilitators in locating funding opportunities. The COS database, while more expensive, can also be subscribed to and its use monitored to ensure its cost effectiveness.

Appendix 1

TERMS OF REFERENCE ADMINISTRATIVE UNIT REVIEW OF THE OFFICE OF RESEARCH SERVICES, UNIVERSITY OF REGINA

Statement of Purpose of Unit Review

The fundamental purpose of a unit review is to provide information, both qualitative and quantitative, and recommendations that can serve as a basis for strategic planning. The review is intended to identify strengths and weaknesses and ultimately serve as a stimulus for program development and refinement.

The University's review processes, for both academic areas and administrative services, are essential components of the University's overall quality assurance and improvement strategy. They are designed not only to support a continuous cycle of planning, monitoring and improvement but also to fulfill the University's requirement for both internal and external accountability.

In the context of administrative units, the general aim of the unit review is to enhance and improve the University's administrative services, programs, activities, and improvement processes that support them. A central focus of the review process will be the way in which the administrative service contributes to the achievement of the University's goals. The review process will also aim to insure that best management practices accepted as standards for Offices of Research Services at other Canadian universities serve as a benchmark for ORS practices at the University of Regina. Feedback from users of ORS services will be an important component of the review process.

The more specific aims of the administrative unit review process are to:

1. identify and appraise the quality (of deliverables) of services, programs and activities relative to purpose in the context of best management practices for research services;
2. examine how well service, programs and activities meet objectives specified in the University's strategic plan; and
3. evaluate all processes currently undertaken which assure quality and improvements for service, programs and activities.

The review should consider the mandate and history of activities of the unit in the context of current and anticipated needs of the institution. The unit review is not intended to assign blame for any perceived gaps or inadequacies associated with the unit. On the contrary, the review should be seeking to provide positive and constructive recommendations for improvements.

Note that the timing of the Unit Review occurs while ORS is preparing for a move of its office to the first floor of the Lab Building Addition (LBA). That move is anticipated to occur no sooner than the end of June 2007. Discussions are occurring with Physical Plant

regarding space needs and architectural drawings are being prepared. While ideally there would be a close fit between the recommendations of the Unit Review regarding staffing and space needs and the development of space to match those recommendations, given the timing of both the move and the Unit Review, these two processes will have to occur in a parallel but linked fashion.

General Principles for the Unit Review Process

The review process should be an open and collegial process that benefits the UofR ORS and contributes to the sharing of good practice and ongoing quality improvement. The University of Regina requires that Review Teams will act ethically and according to the principles of natural justice, equity and fairness. They will not include members of staff from within the function or unit under review or who have any other conflicts of interest.

Review Team Membership

The composition of the review team is vital to the success of the process. All members must have credibility both inside and outside the unit under review. The size of the review team is normally determined by the size and complexity of the unit under review. Members of the review team should be chosen to avoid any appearance of conflict of interest.

The Review Team is composed of three members external to the University of Regina and reports to the VP (Research and International). All members are knowledgeable in regard to the administration and practices of a Canadian University Office of Research Services. The University of Regina is classed as a medium-sized comprehensive university¹. To provide a variety of perspectives, that the review team therefore consists of one member associated with a larger, comprehensive university and two members represent medium comprehensive universities.

Committee members (in alphabetical order) are:

Barbara Crutchley, Director of Research Grant & Contract Services of ORS at the
University of Manitoba (UofM)

Lori Foster, Director of Research Grants and Administration of ORS at the University of
Calgary (UofC)

Ellen Loosley, Director of ORS at Simon Fraser University (SFU)

Note that the UofR has assigned clerical support to insure that minutes of meetings and all appropriate travel arrangements are made and Review Team expenses are dealt with in an expeditious manner.

Terms of Reference (TofR) of Review Team

¹ A comprehensive university displays significant amount of research activity and a wide range of programs at the undergraduate and graduate levels, including professional degrees.

1. To appraise the role and key service processes of the UofR ORS and how these contribute to the University's strategic goals;
2. To evaluate the effectiveness and co-ordination of service structure, delivery processes including staffing, resources, activities planning, communication, training and development as well as service outcomes including potential and existing client expectations and satisfaction;
3. To assess processes that insure consistency and reliability of services and areas of improvement, innovation and impediment.
4. To provide guidance and recommendations on improvements in any area of service structure and delivery that would be consistent and supportive of a fifty percent increase in research funds to the UofR by 2012.

Time-line for the Unit Review

Start Date: January 2, 2007

Completion Date: June 30, 2007

Pre-Review Visit

1. The UofR ORS will provide a self-evaluation report (SER) (see Appendix 1) to the Vice-President (Research and International) no later than February 28, 2007 as background documentation for the Review Team.
2. The Review Team will receive the UofR ORS self-evaluation report (SER) no later than March 3, 2007. Included with the SER will be an example in pdf format of ORS research spreadsheets. The Review Team will also receive
3. The Review Team will consult as necessary with UofR senior managers responsible for the service to insure that the process for the review and deliverables associated with the review are clearly outlined.
4. The Review Team will convene as necessary its own committee briefing by teleconference to discuss process and approach to the review.
5. The Review Team will develop questions based on discussion of the SER among members of the Review Team and hold a pre-review discussion of those questions prior to the Review Visit.

Review Visit

A Review Visit conducted over a two day period will be held April 12-13, 2007. The Review Team is expected to consult as widely as necessary within the UofR with members of the ORS, the Senior Management Team and other individuals internal and external to the UofR who influence or are influenced by the activities of the ORS. For example, it is expected that the Committee would, to the extent possible, meet with representatives of: Donor Relations, the Faculty of Graduate Studies and Research, Human Resources, the Research Ethics Board, Supply and Management Services, a subset of key researchers, Deans and the Vice-president (Research and International).

The visit of the Review team is to be advertised widely to the UofR community with an invitation for those who have a vested interest in the activities of the ORS to contribute a written brief to the Review Team that will be submitted to the VP (Research and International) one week prior to the date of the Review Team on-site visit. Such briefs are

for the use of the Review Team and will be held in confidence by members of the Review Team.

The on-site consultations will include a business dinner hosted by the UofR Administration and end with an exit interview with the VP (Research and International), VP (Academic) and Dean of Graduate Studies and Research.

1. In-camera meeting of Review Team to finalize and allocate questions to members for meeting.
2. Review Team meets with senior UofR administrators.
3. Review Team meets with ORS staff.
4. Working dinner hosted by UofR Administration.
5. Review Team meets with stakeholders and clients.
6. In-camera meeting of Review team to address issues arising from meetings and prepare remarks for oral summary report.
7. Exit interview - Review Team provides oral summary report to UofR senior administrators.

Post-Review Visit

While preparing the report, the VP (Research and International), VP (Academic) and Dean of Graduate Studies and Research will be available to provide any additional information requested. The findings and recommendations of the Review Team will be presented in the form of a brief, concise, written report (with an executive summary) which will be received by the VP (Research and International). Provided that matters of individual sensitivity or confidentiality are handled with appropriate discretion, the report (in its entirety) will be made available to ORS and other interested parties. Normally the report will be considered a public document and at the completion of the review process will be available to members of Executive of Council along with the response of ORS.

1. No later than May 15, 2007, the Review Team will provide the UofR VP (Research and International) a draft report of the audit visit².
2. No later than June 15, 2007, the Review Team will provide the final report including areas of good practice (commendations) and recommendations for improvement.
3. VP (Research and International) will provide the Review Team Final Report to ORS who will provide comments within one week (no later than June 22, 2007) of receiving the report.
4. No later than August 17, 2007, the VP (Research and International) will provide an implementation plan to respond to the audit recommendations.
5. Within one year of the unit review, the VP (Research and International) will provide an update on the actions and outcomes achieved in response to recommendations.

² Note that the Review Committee will have the opportunity to meet at the CAURA Conference in Montreal and take additional time there to work on the report. The additional day's expenses will be reimbursed by UofR.

Appendix 1. Table of Contents for UofR ORS Self-Evaluation.

The Unit self-evaluation report (SER) should address such aspects as the mandate, history, current status, pending changes, future prospects and opportunities. Strengths and limitations of the Unit's mandate, structure and activities should also be critically examined. The report should also contain a profile of the staff. All members of the Unit should participate in examining pending changes and future prospects and opportunities.

In general, the focus for the SER should be on key issues. This requires a frank but balanced consideration of both strengths and areas for improvement, and strategies for future changes. It is also essential that the self-study take into consideration the larger institutional issues and the vision, mission, goals and priorities of the UofR. The result of the self-evaluation is a report that serves as a primary document for the external Review Team. The goal is to provide the Review Team with sufficient information to have a broad understanding both of the unit and the context in which it operates without burdening them with excessive information.

A suggested format for the self-evaluation report is as follows:

1. Mandate and purpose of the UofR Office of Research Services, and its place in the continuing development of the UofR.
2. Brief History of the UofR ORS
3. An overview of the unit's staffing profile, administrative structure and resources and infrastructure.
4. A description and analysis of the ORS research program administrative support activities.
5. A critical analysis of the unit's strengths, weaknesses and areas of potential development.
6. A description of the unit's future plans and program directions within the context of the university's vision, mission, goals and priorities, and the development of the discipline itself.
7. A list of other units at UofR with which ORS must closely interact in order to successfully carry out its mandate and a description of those interactions with comments as to their effectiveness and areas of potential improvement.

Appendix 2

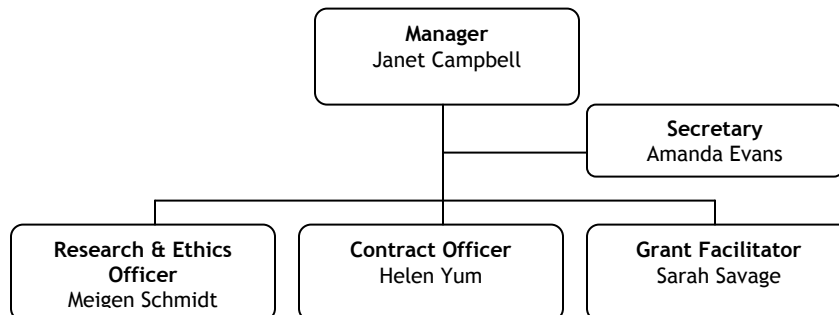
UNIVERSITY OF REGINA OFFICE OF RESEARCH SERVICES 2007 UNIT REVIEW

HISTORY

The Office of Research Services was established as an entity within the Faculty of Graduate Studies and Research on January 1, 1985, under the terms of an agreement between the University and the Government of Saskatchewan (Department of Science and Technology, now Saskatchewan Industry and Resources). The Department provided money for the first three years of operation to hire administrative and clerical staff on the understanding that the University would then assume fiscal responsibility for the operation of the office. The current Manager of the Office of Research Services was hired as the first permanent staff member (with the title of Research Administrator) in June of 1988 and the Faculty of Graduate Studies and Research provided half-time clerical assistance. Research revenue for 1988/89 was \$2,523,607.

An independent Office of Research Services was created in 1991, with the appointment of a Vice-President Research and International. At that time, the staff included a full-time clerical position and a Research Officer. At this writing the office comprises a Manager, a Research and Ethics Officer (title changed to reflect the fact that we inherited the Research Ethics Board from the Faculty of Graduate Studies and Research), a Contracts Officer, a Grant Facilitator, and one full-time clerical position. Funding for half of the Grant Facilitator's position is provided by the Saskatchewan Health Research Foundation, so half of the duties of that position are dedicated to health research.

STAFF AND ORGANIZATION



Manager (APT Grade 9): Management of ORS; signing authority for grants and contracts; CFI and CRC liaison; policy development and implementation; liaison with

Financial Services, Human Resources, Supply Management Services, etc.; database system development; liaison with First Nations University of Canada as it establishes its own Office of Research Services; statistical reporting, including Macleans; post-award administration.

Research and Ethics Officer (APT Grade 4): Administrative support to the Research Ethics Board and the President's Committee on Animal Care; management of all internal grant processes; development and management of the Tri-Council Indirect Cost grant application; narrative reporting to the Indirect Costs program, CRC and CFI, as well as to the provincial government's Innovation and Science Fund (matching funds); post-award administration; with Grant Facilitator, maintain Office Web-site.

Contracts Officer (APT Grade 6): Review, preparation, and negotiation of contracts and agreements for sponsored research, including related legal documents to support intellectual property protection and processes such as confidential exchange of information or materials transfer; assist in review and development of policies or agreements related to research activities; liaison with University Industry Liaison Office, Financial Services, researchers, and industry; limited post-award administration.

Grant Facilitator (APT Grade 3): Promotion and development of research capabilities, with a significant emphasis on health research; pre- and post-award administration; organization of all grant information sessions; maintenance of research listservs that disseminate information about funding opportunities; assistance with grant applications, especially those involving E-submission; database system troubleshooting (liaison with Information Services); with Research and Ethics Officer, maintain Office Web-site.

Secretary (CUPE Grade 4): General clerical functions, including data entry and file maintenance; clerical support to the Research Ethics Board and the President's Committee on Animal Care; maintenance of Access database for tracking annual review of Ethics and Animal Care protocols; post-award administration.

MAJOR OBJECTIVES

The primary objective and function of the Office of Research Services at the University of Regina is to encourage, assist and support faculty in obtaining financial support for their research activities via grants and contracts. A secondary objective is to ensure that there is responsible administration of such monies within all of the regulatory requirements set by our funders.

MAJOR ACTIVITIES

Proposal Development, Review and Sign-off

The Manager and the Grant Facilitator are involved in the development of research proposals. The Manager signs all grant applications (with the exception of CFI, CRC and Indirect Costs program). If the grant application form itself does not have a sign-off for Department Heads, Deans, Co-applicants and their Department Heads and Deans, an internal form must be submitted to ORS before the application goes forward.

The level of support for grant development varies dramatically between the faculties. Grant facilitators are not present at the faculty level. Not all faculties have a dedicated Assistant or Associate Dean (Research), so the level of mentoring, especially for new faculty members, is inconsistent. The ORS will coordinate internal peer review if applications are submitted in a timely manner and will assist in any way possible to enhance the application's chance of success. This includes review for compliance with both the University's and funding agency's policies.

Post-award Administration

Authorization for account set-up is handled by the Manager and the Research and Ethics Officer. Approvals for account set-up are not given until all necessary documentation is filed: executed contract, notification of award, ethics or animal care approvals, suitable budgets, etc.

Once accounts are created, most of the post-award administration is handled by the Manager and the Research and Ethics Officer. They serve as resource persons to faculty and staff for interpretation of funding agency regulations, troubleshoot if necessary with Supply Management Services and Human Resources, and assist grantees in the management of multi-institutional grants and projects. The Research and Ethics Officer handles all Tri-Council and CIDA sub-contracts, with the exception of CIHR, which is handled by the Grant Facilitator.

Post-award administration activity has dramatically increased in scope since the introduction of institutional grants through such programs as the CFI, CRC and Indirect Costs Program and since the introduction of accountability frameworks. The Manager, as CFI and CRC liaison, has to be concerned with obtaining approval for changes in equipment lists or variances in budget. Both the Manager and the Research and Ethics Officer are engaged in complicated financial and narrative reporting, with narrative reporting continuing for years after final holdbacks have been released.

Contract Review and Negotiation

The Contracts Officer is accountable for a variety of duties and responsibilities which include: reviewing, preparing, and negotiating collaborative, multi-party/consortia research agreements and related legal agreements such as confidentiality, non-disclosure, material transfer and intellectual property. The position also works closely with the Director of the University Industry Liaison Office, and collaborates with the Office of the Vice-President (Research and International) and the Associate Vice-President Research

to develop agreements for new projects and initiatives. At the latter's request, the Contracts Officer also reviews and prepares research-related policies and documents.

The Contracts Officer provides advice to the University and researchers on various issues, in order to protect the University from legal liabilities as a result of research activities conducted by faculty members, research staff and students, and also ensures that research contracts comply with the appropriate University policies (i.e. indirect costs provisions, intellectual property, publications rights, etc.).

As per University policy, contracts valued at \$150,000 or less are signed by the Manager. All others require the signature of the Vice-President (Research and International).

Policy Development

The Manager serves on the President's Research Committee, which has responsibility for policy development as it relates to research. Part of that role includes anticipating Tri-Council MOU requirements and other new policy development trends, and keeping the Vice-President (Research and International) apprised of them. The Research and Ethics Officer has similar obligations with the President's Committee on Animal Care and the Research Ethics Board.

The Contracts Officer also works on review and development of policies as requested, most recently the new draft policy on university research institutes and centres.

Communication

The communication function of the ORS is complex and essentially falls into four categories. There is an obligation to maintain knowledge of current funding opportunities and to communicate them to faculty as effectively as possible, whether it be via workshops, website or listservs. The ORS encourages all faculty members, and in particular, new faculty members, to subscribe to the research listserv. This listserv provides information on upcoming funding opportunities, funding updates and educational workshop details. All messages are archived on the University of Regina website for those who wish to review them at a later date. Individual listservs concerning our five thematic research areas (i.e. Culture and Heritage, Health, Informatics, Energy and Environment and Social Justice) are in various stages of development, with the Health and Energy and Environment listservs being the furthest along at this time.

In addition to keeping faculty members apprised of research funding opportunities, there is an obligation to celebrate their successes. At one time, External Relations was readily available to assist with press conferences, newspaper articles, etc. That service was lost as they became increasingly involved in University fundraising. However, a recent unit review there has led to a re-examination of their role and we now have a communications officer assigned to us (not exclusively, unfortunately). We have held several meetings with the communications officer and are exploring the means by which we can generate more coverage of our accomplishments.

The third communication need is for effective literature that can be shared with potential funders. Although a series of brochures have been completed over the years, most are now dated. ORS has recently contracted with an independent firm for a new brochure.

Lastly, ORS needs to ensure that our faculty members understand the regulatory environment in which they work. Ideally, we would hold regular workshops that will also involve Financial Services, Human Resources and Supply Management Services.

Internal Grants Administration

The Research and Ethics Officer serves as a resource to the President's Grant/SSHRC General Research Grant Committee, which is fully administered within ORS. In addition, we provide administrative services to other internal grant processes, including the President's Scholar Program in the Office of the Vice-President Research and International, the Research Trust Fund, Sabbatical Research Grants, International Strategic Opportunity Fund and the Conference Fund, the Technology Enhanced Learning Content Development Fund, the Indigenous Peoples' Educational Projects Fund (currently suspended and under review) and the Transdisciplinary Fund (currently suspended and under review) in the Office of the Vice-President Academic.

Information Processing

At this writing, ORS tracks all research funding through a series of Excel spreadsheets. We are currently working with Information Services to convert the Excel spreadsheets to a new research funding database which will have an increased ability to provide varied statistical information. The new database is being developed in a manner that will, if we so wish in the future, allow us to add additional fields (e.g. keywords). The provision of this type of assistance by Information Services is new. ORS has not had the resources to implement this initiative sooner, although we have long been aware of the need.

Research Ethics Board

ORS is responsible for the administration of the University of Regina REB. This includes administrative and clerical support for the functioning of the Board and its regular meetings. Responsibilities include researching and drafting policies, recruiting new members (five of whom must be from the community), educational orientation for members and researchers, and interaction with various groups on ethical matters. In addition, we are responsible for liaison with external federal organizations such as the National Council on Ethics in Human Research, the Panel on Research Ethics and the Canadian Association of Research Ethics Boards. We also liaise with REBs at other institutions to find scholarly reviewers for high risk applications. Currently the REB manages between 180-195 new protocols a year.

President's Committee on Animal Care

ORS serves as the administrative office for the President's Committee on Animal Care (PCAC). Duties include research and preparation of formal responses to requests for policies, facilitation for faculty and staff in the preparation of protocols, liaison with the contracted consulting veterinarian and volunteer community members, and interaction with faculty, staff, students and external organizations on animal care and use matters. ORS also serves as the liaison for PCAC and federal organizations such as the Canadian Council on Animal Care (CCAC). This includes organizing and hosting the CCAC assessment visits, which occur every two years.

INTERACTION WITH OTHER UNITS

Financial Services

Everyone in ORS is involved in post-award administration, and this is primarily contact with Financial Services. In addition, the Manager of ORS is a member of three ad-hoc committees. One is developing a stronger policy statement on overspent accounts; the group comprises the AVP Finance; the Assistant Director, Financial Services; the Manager, ORS; and the financial analyst who has responsibility for research trust accounting, the lead on the project. The second ad-hoc group is meeting to continue to address some of the issues raised by a recent Tri-Council audit. The membership is the same as the overspent policy group, but also includes the Manager of Supply Management Services and the Manager of Human Resources Information and Systems. The third group is examining the issues that constantly arise from the lack of clarity about the distinction between contract personnel and tendered services. It includes the AVP Finance, the AVP Research, the AVP Human Resources, the Manager, ORS and the Manager, Supply Management Services, and the Manager, Employment and Organizational Development.

University Industry Liaison Office

The UILO and ORS both report to the VP Research and International. The personnel of UILO have offices in a separate physical location from the main ORS office, but make use of the ORS office for mail box and photocopying services. The Contracts Officer works closely with UILO in negotiating and drafting research contracts on which UILO has taken the lead. Discussions are currently underway to explore a contiguous space for the offices, and to further develop the relationship between the two offices.

Office of Resource Planning

ORS works closely with the Office of Resource Planning (ORP). ORP has responsibility for all of the Macleans statistics, and the Manager of ORS, with the financial analyst, provides the research statistics. In addition, we occasionally respond to other types of

statistical queries. ORP has responsibility for various performance measures and indicators.

General Administrative Systems Planning Sub-Committee (GASP)

This is a newly established Committee (two meetings to date). The Chair is the Assistant Director of Customer Applications in Information Systems and the membership consists of one representative from each administrative department and each of the assistant directors of Information Systems. The Manager, ORS, is a member. The Committee has a very challenging mandate: oversee coordination and implementation of University Information Technology Steering Committee (UIT - AVPs and VPs) prioritized administrative technology projects; oversee coordination of testing, application updates, and upgrades to existing administrative technologies, oversee the integrity of enterprise administrative systems; oversee the integration of administrative systems, etc. Full terms of reference are available upon request.

INTERACTION WITH EXTERNAL PARTIES

External Funding Sponsors

ORS is in regular contact, as necessary, with NSERC, SSHRC, CIHR, CFI, CRC and the Indirect Costs Program. These contacts vary, from advising the Common Administrative Directorate at NSERC on eligibility issues, to seeking program information from SSHRC project officers, to frequent interaction with our institutional representative at the CFI.

There is also contact, as necessary, with federal contractors. The Manager, ORS, regularly interacts with Natural Resources Canada, Environment Canada, etc. This responsibility will be moved to the Contracts Officer in the near future.

The Manager, ORS, also regularly interacts with some of our funding partners. We are involved in several unique partnerships, in two of which the University is an incorporating member, the Petroleum Technology Research Centre and Communities of Tomorrow. Both hold grant competitions that award contracts to our researchers. The third group, the International Test Centre for CO₂ Capture (ITC), is a multi-partner consortium that directs millions of dollars in research funding into the University.

The Contracts Officer, sometimes in liaison with UILO, frequently interacts with private industry members who sponsor research at the University. In these cases, the Contracts Officer reviews contracts and agreements to identify concerns, and requests or negotiates changes with the sponsors, or their lawyers, for the purpose of arriving at satisfactory terms on matters such as financial support, intellectual property, license revenue and publication, and to minimize the University's risk and liabilities in such arrangements.

National and Provincial Organizations

ORS hosted the CAURA West conference in November 2006. The Manager, ORS, served a three-year term on the CAURA executive. The Research and Ethics Officer is currently serving on two committees (Professional Development and Nominating) of the Canadian Association of Research Ethics Boards (CAREB). The Grant Facilitator currently sits on the Health Research Advisory Committee led by the University, the Saskatchewan Health Research Foundation – Bibliometric Committee, the Inter-professional Education and Research Committee, and the Provincial Health Database Committee.

Appendix 3

Detail Position Description Director of Research Services Brock University

Scope:

Under the direction of the Associate Vice President of Research Services, the Director of Research Services (DRS) is responsible for assisting with ORS planning, strategic management, setting of department goals and objectives. The Director is responsible for the day-to-day operation of ORS including the management and organization of financial and human resources.

Primary Responsibilities:

In consultation with the AVP Research, the Director directs the day-to-day operation of ORS and plans and directs the activities of the Office of Research Services while ensuring that the research services agenda at Brock is fulfilled. He/she:

- Oversees the development and effective administration of the ORS operating budgets;
- Acts as the liaison with the Office of the AVP-Research on budgetary matters;
- Provides AVP with information and assistance on matters of policy and procedures;
- Acts as liaison with the Associate Vice-President Research, providing information, documentation, and assistance;
- Participates in the communications initiatives and strategy of ORS;
- Represents the AVP Research as required.

Directs ORS staff to ensure the:

- 1) Dissemination of accurate and timely information about funding opportunities;
- 2) Compliance with university, government, and agencies research policies and procedures;
- 3) Development, implementation, and maintenance of procedures, systems and processes for research file management, retention policy, release of information guidelines, and department operating procedures;
- 4) Development and delivery of research information sessions and workshops;
- 5) Timely submission of applications; and
- 6) Dissemination of accurate information on awards to faculty.

Human Resources Administration:

In consultation with the AVP Research and the Human Resources Department, and in keeping with budgetary constraints, the DRS, is responsible for the human resources management and administration of the Office. He/she:

- Assesses the needs of the department;
- Approves position descriptions; oversees and ensures appropriate staffing, scheduling, workload and workflow;
- Oversees the development of a department strategy for staff training and development, using both university and in-house training resources;
- Recommends training and development strategies and programs and discusses budgetary implications with the AVP;
- Assists in undertaking hiring decisions;
- Ensures that the appropriate collective agreements are adhered to;
- Keeps informed of changes in human resources policies and practices, collective agreements, and federal and provincial legislation;
- Provides AVP with regular reports on status of staffing, and budget-related issues related to human resources;
- Ensures effective labour/management relations are maintained (i.e., disciplinary action, tracking, etc.); represents department at grievance meetings;
- Ensures compliance with occupational health and safety act;
- Oversees the management of research contracts and sponsored research negotiations including contribution agreements;
- Oversees administration of contracts and sponsored research agreements including contribution agreements;
- Oversees management of SSHRC, NSERC, CFI, CIHR etc. and supports applicants during the application process;
- Oversees the maintenance of accurate and up to date files and records;
- Oversees compliance with all reporting requirements;

Data/Database Management:

In consultation with the AVP Research, and appropriate staff in ORS and IT, the DRS oversees the development, management, and administration of an interactive database of research related information and statistics that is dependent upon budgetary constraints but at a minimum should oversee activities related to:

- 1) Tracking the progress of applications that come into the ORS office;
- 2) performance such as a comparison of Brock's performance over time and with other universities; and
- 3) Data collection for an annual report, strategic plan review, Macleans, etc.

In conjunction with the AVP Research, the DRS works to:

- 1) Develop and maintain a broad database for research policy and analysis that will be used by a wide-variety of audiences for diverse purposes;
- 2) Provide in-depth analysis which will support a wide range of decision making in the office; and
- 3) Identify data to be collected and maintained;

Promotion of Research activities at Brock University:

In consultation with the AVP Research, and appropriate staff in the Communications office and ORS, the DRS will oversee a communications strategy through:

- The creation and maintenance of a communications plan;
- The creation of various products and materials aimed at communicating the work being done by Brock faculty to a varied and wide audience; and
- Ongoing liaison with federal and provincial granting agencies, government departments, foundations and private industry.

Facilitating faculty success in obtaining external research funds:

In consultation with the AVP Research, and various granting agencies, the Director will oversee the work of the ORS Grants Facilitators, the Finance Officer and other administrative staff to:

- Ensure timely, accurate and useful information is communicated to Brock faculty;
- Ensure appropriate communications are maintained between ORS and various granting agencies and councils;
- Ensure the creation and implementation of appropriate work plans by all staff; and
- Ensure faculty, Deans and Chairs are receiving appropriate assistance with the grant application process, both pre and post award.

Creation and Maintenance of the Web Site:

In consultation with the AVP Research, and appropriate staff, the DRS will:

- Ensure that the materials placed on the web site are timely, appropriate, up-to-date and easy to access; and
- Ensure employees of ORS are aware of their role in maintaining the web site.

Administration of the Research Ethics Board:

In consultation with the AVP Research and the Research Ethics Officer, the DRS will:

- Oversee the staffing of a Research Ethics Board;
- Oversee the creation of forms, policies and procedures for research ethics at Brock;
- Oversee the communication of ethics issues to faculty, staff, students and the broader community; and
- Ensure the Board has needed resources, within budgetary constraints.

Special Projects:

Assists the AVP Research with special projects and initiatives including;

- The coordination of special projects;

Acting on behalf of the AVP, ORS by representing the AVP at a variety of meetings, conferences, panel discussions, and on committees, as assigned.

Knowledge: Knowledge of research processes, human resource management, office systems, and issues specific to academia.

Education: University degree required. PhD preferred.

Experience:

Six-eight years of managerial experience in human service management obtained through employment in a research administration environment in a university or government agency.

Excellent understanding of the university's research strategies and mission. Six-eight years experience in writing and evaluating proposals and related experience in research and development.

Skills:

Excellent communication skills, both oral and written. Demonstrated analytical, research, interpretive and evaluative skills. Project management skills. Superior organization and leadership skills to achieve goals and objective in a changing, high volume, high pressure work environment.

Demonstrated consensus building skills. Proficient in database management, excellent computing skills (WORD, Excel, PowerPoint). Flexibility, discretion, diplomacy and tact.