



It's complicated!

41th Annual Conference of CAURA Charlottetown

Preliminary Program

Saturday, May 5, 2012

14:00 – 18:00 **Registration**

Sunday, May 6, 2012

07:30 – 17:00 **Registration**

09:00 – 17:00 New Administrators Workshop Maximum: 40

Speakers: Dominique Bérubé, Université de Montréal
 Robert Dirstein, Dirstein Consulting

This workshop focuses on the needs of individuals within their first 24 months of taking up a position in Research Administration. Discussion will cover many of the challenges facing us in this changing research environment as increased reporting and complexity of funding have made a significant impact on how we do our work. We'll highlight the importance of understanding the role of the research administrator within the institutional, local, national and international funding environment and how you can be perceived as a resource to your institution's community. The presenters will impart the basics of the research administration responsibilities as well as sharing with you helpful experiences and "tricks of the trade".

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Sunday, May 6

09:00 – 17:00

Workshop

Jack and Jane of All Trades – Small Institutions

Maximum: 30

Panelists: Sally Gray, Wilfrid Laurier University
Javaid Iqbal, Thunder Bay Regional Research Institute
Tamsin Miley, Miley Law
Michael Owen, University of Ontario Institute of Technology
Lisa Pender, University of Northern British Columbia
Deborah Zornes, Royal Roads University

This workshop will look at the world of research administration from the small university's perspective and the need for Research Services staff to sometimes be all things to all people. Facilitators will share past experiences and best practices from their perspective, and practical, hands on tasks/opportunities will be provided.

Morning sessions focus on 'pre-award' activities

Part 1 9:00 – 10:15 - Business / Industry / community liaison strategies

- Funding searches
- Community connections
- Relationships internally with other departments (finance, HR, etc.)
- Research Services Team
- Relationship building with faculty
- Collaboration with other universities

Part 2 10:45 – 12:00 - Proposal development

- Top 10 proposal tips
- Working through an actual SSHRC proposal
- Working through a non-tri council proposal

Afternoon sessions focus on 'post-award' activities

Part 3 1:30 – 2:30 - Monitoring, tracking, reporting

- Project management/oversight
- Progress reporting
- Financial monitoring and reporting

Part 4 3:00 – 4:30 - The bigger picture

- Research outcomes
- Research communication (to/with media, with funders, internally, externally, etc.)
- Importance of research to the university
- Research measures

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Sunday, May 6

09:00 – 17:00

Workshop

Maximum: 40

Introduction to Project Management

Speaker: Sunny Marche, Dalhousie University

There are many things one might learn from a business school that might be useful in the workplace. Finance. Accounting. Taxation. Economics. Managing people. For any given person, some of these will be more relevant than others. But there is one topic that virtually **everybody** who works in a professional environment can benefit from – project management. The modern university is full of projects. Administrative ones. Pedagogical ones. And of course the research enterprise is almost done exclusively in project mode. What could be more universally useful than project management skills, whatever the discipline?

While covering the project management skills and challenges is well beyond what a one-day workshop might allow, there are a small number of critical knowledge and skill areas which deserve attention by everyone involved in projects: 1) the project-strategy connection; 2) project planning; and, 3) effective project meetings. We will engage these three major concerns while we deepen our understanding of what “project” means and what “management” means.

09:00 – 12:00

Workshop

Contracts I: Fundamentals of Research Contract Administration

Speaker: Laurie Vaughan- Evans, Queen’s University

This session is geared to those new to research contract administration and will provide an overview of basic concepts, including contract terminology and key terms of various types of agreements. In addition, checklists and other tools for everyday use will be discussed.

The session will incorporate interactive learning which will allow participants to apply the concepts presented through short group exercises.

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Sunday, May 6

09:00 – 12:00

Workshop

Research Finance - Introduction

Speakers: Sandy Bligh, University of Victoria
Laurie Chochinov, Carleton University
Angela Zeno, York University

The first hour of this workshop will provide an introduction to the general processes/procedures within a central research finance department for people new to this area. The remaining time will involve an interactive session on a variety of issues likely to be encountered in typical (and so not so typical) post award scenarios. Topics will include items such as: what we need to know about HR and payroll; spending prior to the official award confirmation and how to deal with this; acceptable documentation for tracking in-kind contributions, compliance and reporting issues, etc.

Part of this workshop will be in a presentation format and attendees will add to the session through their questions and shared experiences. Significant time will be allocated throughout the session for questions, answers, and a general discussion.

Registered attendees will be emailed prior to the workshop to have the opportunity to submit questions and topics that they would like covered during the workshop discussion related to Research Finance.

09:00 – 12:00

Workshop

Grant Writing - Intermediate

Speaker: Larry McEnerney, University of Chicago

Do you receive the research funding and recognition you deserve? Does your grant application grab your reader's attention from the very first sentence? You are invited to this unique workshop, which will provide participants with a self-diagnostic tool to examine their own writing style as well as equip them with tools to take their writing skills to the next level.

This workshop will be taught by Larry McEnerney, Director of Writing Programs at the University of Chicago. He offers writing courses to students from the Graduate Divisions, the Graduate School of Business, the Law School, post-graduate institutes, and the undergraduate College. He works throughout the US and around the world as a consultant for writing to professional firms, universities, academic societies, businesses, and governments.

12:00 – 13:30

New Administrators Lunch – Meet the Executive

12:00 – 13:30

Lunch – Workshop Attendees

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Sunday, May 6

13:30 – 17:00

Workshop

Contracts II - Intermediate

Speaker: Neil Campbell, University of Calgary

This session is intended to be an intensive investigation of some of the most challenging legal issues emerging in the management of research agreements in a University environment. The program will involve an expert panel that will tackle a case study followed by a fast paced discussion of several thorny issues that routinely come up in contract negotiation.

13:30 – 17:00

Workshop

Research Finance - Intermediate

Speakers: Deanne Babcock, University of Western Ontario
Lynn Burgess, Dalhousie University
Caroline Lachance, Université de Montréal

This session will be divided into small discussion groups and participants will have an opportunity to join the discussion of two listed topics during the workshop. Time will be allotted at the end of the workshop for each group to provide a summary of discussions with the larger group.

Discussion topics will include:

- CFI administration
- Tri-council compliance and monitoring visits
- A discussion forum to collect ideas on what key points members would like CAURA Executive to focus on when working with agencies (mainly tri-council) on financial matters.

15:00 – 15:30

Coffee Break

18:00

Welcome Reception

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Monday, May 7, 2012

07:30 – 08:30 **Breakfast**

09:00 – 10:00 **Plenary Session**

Speaker: *To be announced*

Abstract: To be announced

10:00 – 10:30 **Coffee Break**

10:30 –12:00 **Tri-Agency Monitoring Process**

Speakers: Robert Potvin, NSERC/SSHRC
 Ian Raskin, CIHR

The three granting agencies are modernizing the financial monitoring review function to reduce costs, to increase efficiencies and to increase the value of function for internal and external stakeholders. In order to achieve the objectives of the modernization exercise, the strategy proposes a new approach based on three monitoring streams that rely on the institution's internal controls and its related compliance verification.

The presentation will focus on the three streams and their implications for institutions that administer grant and award funds made to recipients within their jurisdiction.

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Monday, May 7

**10:30 –12:00 Maximizing the Research Effort:
Developing Winning Strategies**

Speakers: Marlene Hoff, University of Ottawa
Jo Ann Lévesque, McGill University
Marie Nadeau, Université Laval

Canadian universities are continually seeking to maximize their research revenues through different strategies such as increasing the number and amount of grants, research contracts and funding through foundations, both within Canada and at the international level. Competition between universities and research institutes is fierce, in part due to the increase in the number of applications submitted to, and a decrease in the success rates from funding agencies, both at the provincial and federal levels. How can research administrators thrive in these circumstances? How can we turn an unsuccessful application into a funded one – or more specifically, how can we help maximize the research efforts of our faculty? This session will present strategies that have proven to be effective in the development of research grants, contracts and in securing funds from foundations, all while clarifying the conditions for success. At the end of this session, each participant - whether from a college, small or large university or research institute – will leave with a set of strategies for efficient and effective interventions that will enhance their approach to developing research initiatives with their researchers and that will redefine their role in this process.

**10:30 –12:00 Investigator-Initiated and Industry Sponsored Research:
Important Distinctions for Agreements, Budgets
and Investigator Responsibilities**

Speakers: Janet Gallant, Capital District Health Authority
Sheila MacLeod, Capital District Health Authority
Jennifer Thurlow, Capital District Health Authority

Part 1

This session will begin with an overview of the process for testing and approval of drugs in Canada. The regulations and guidelines which apply to drug research in Canada will be reviewed focusing on investigator responsibilities. Investigator-initiated research requires the investigator to assume the responsibilities normally assumed by industry sponsors. Understanding how these responsibilities differ is essential to contrast the requirements and considerations for creating agreements and budgets in each of these situations.

Part 2

This session will continue with an overview of the definitions of Industry and Investigator Initiated/Sponsored Clinical Research; commonly referred to as Contracts or Grants. The similarities and differences of both types of Clinical Research will be discussed; specifically: Clinical Research Agreements clauses and terms with an emphasis on parties and titles, intellectual property, liability and insurance, and budgets. While the differences between industry and investigator sponsored studies are few, it is very important that research administrators understand these in an effort to successfully facilitate, negotiate and finalize clinical research agreements on behalf of the institution and investigators.

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Monday, May 7

10:30 –12:00 *Special Interest Group – Project Management*

Speakers: Dean Strickland, Memorial University
To be announced

The Project Management SIG has been active for over a year and is constituted of a diverse, dedicated, and accomplished group of individuals.

This SIG session will permit the membership to get together as a group for the first time and provide us with an opportunity to explore matters of great significance as well as to network with one another. Participants will rotate through a series of four or five topics or questions and explore them through discussion with peers. These discussions shall provide invaluable guidance to the evolution of the SIG over the next few years.

12:00 – 13:30 *Lunch and Awards*

**13:30 – 15:00 *Harmonization Update:
State of the Art for Funding Agency Systems***

Speakers: David Baker, CASRAI
Christina Casey, CIHR
Bruce Langevin, NSERC/SSHRC

In a knowledge-based, globalized economy, Canada's competitive advantage has a lot to do with its capacity to advance knowledge and innovate. That is why Canada needs the Natural Sciences and Engineering Research Council (NSERC) and the Social Sciences and Humanities Research Council (SSHRC) to serve as world-class examples for promoting and supporting advanced research, training and innovation.

To continue to serve as that example, the councils must lever modern information technologies to transform external services and internal operations. It is precisely for this reason that SSHRC/NSERC have undertaken to harness the power of Collaboration and Case Management best practices to inform the design of a state of the art platform for the delivery of our programs.

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Monday, May 7

**13:30 – 15:00 The CFI, the Strategic Roadmap and
the Management of CFI projects: Shaping the Future**

Speaker: Guy Levesque, Canada Foundation for Innovation

The recently launched CFI strategic roadmap provides a window into the future of CFI, its funding architecture and activities. This is an opportunity for participants to find out where the roadmap may lead us, provide feedback and share your thoughts and opinions. Emerging trends and changes in the public, post-secondary and research environments that will shape future CFI program architecture will be examined and discussed.

Some institutions have started to take advantage of a risk-based approach for managing CFI-funded project. The CFI, in its oversight role, is also reconsidering its requirements and activities following such an approach. How can the CFI and institutions collectively work together to ensure requirements, practices and procedures are in line with the level of risk of each project? How can risk be managed more effectively and efficiently to ensure expected results are achieved? Are there opportunities to reduce activities in areas of lower risk, allowing us to focus our limited resources in areas of greater risk and importance?

This two-part interactive session will provide an opportunity for participants to share their feedback and insights on the CFI strategic roadmap, and exchange on best practices and learn about a variety of risk-based approaches for managing CFI-funded projects.

13:30 – 15:00 Going Beyond the Numbers to Find Research Impact

Speakers: Eva Kmiecic, United Way Canada
David Phipps, York University
Sophie Theriault, Three Oaks Innovations & UPEI

How many times have you heard your communications office ask for stories and how many times does the story end up being about your numbers? We tell our numbers well – we all know our rankings by heart, our research income by heart and some even know their performance on the Thompson Indices - but we don't tell our stories. Technology transfer and knowledge mobilization are research services that connect research to industry or community or government and through them we connect to consumers and citizens. Technology transfer and knowledge mobilization also have numbers but we are starting to tell our stories. Come and hear stories of how research has benefited Canadians in ways that the 'Benefit to Canada' sections in your grant applications never anticipated.

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Monday, May 7

13:30 – 15:00 **Special Interest Group – Grants**

Speakers: Drew Gyorke, University of Toronto

Tri-council Matters: NSERC, SSHRC, CIHR – CAURA Synergy and a professional voice

Our common experiences provide members of the GRANT SIG, and the wider CAURA community with the basis for dialogue and a professional voice into the councils. As things evolve with the three councils, and we see movement towards greater harmonization, efficiencies, and greater expectations of accountability, research administration professionals face challenges individually and collectively, which gives us opportunities to offer positive and constructive feedback and ideas. The purpose of this session is to discuss the focus of the GRANTS SIG, where the SIG has had input in its early days, and our collective interests and objectives to pursue and communicate on with the broader CAURA Community and the three councils.

15:00 – 15:30 **Coffee Break**

15:30 – 17:00 **The Value of Partnering; Academic-Industry Collaborations**

Speakers: *To be announced*

Academic-industry research collaborations are becoming more frequent and extensive. When partnering, both academic and industry partners contribute to the success, or failure, of a collaborative project. During this session, four panel members will present their perspective:

- Dean of Research and Graduate Studies
- Industry Liaison Officer/Manager
- University researcher
- Industry partner

Each panelist will present and discuss their perspective on how they found a collaborator, the benefits of collaborative research and how they overcame specific challenges.

15:30 – 17:00 **SSHRC**

Speakers: *To be announced*

Abstract: To be announced

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Monday, May 7

15:30 – 17:00 Challenges of Inter-Institutional Agreements

Speakers: Jennifer Freeman, University of Ontario Institute of Technology
 Jody Rice, Dalhousie University
 Jennifer Thurlow, Capital Health

Abstract: To be announced

15:30 – 17:00 *Special Interest Group - Grant Writers / Facilitators*

Speakers: Frances Chandler, University of British Columbia
 To be announced

The session will focus on providing opportunities to network and discuss topics of importance to this group. Employing a “cracker barrel” format to promote knowledge sharing in a small group format, three topics will be highlighted:

1. What makes a good Grants Facilitator/Writer and what are the various tasks that these individuals assume in offices across Canada?
2. What constitutes a good international proposal and how do research administrators assist with the development of international collaborative ventures?
3. What tools and activities have research administrators developed over the years to assist faculty members with ensuring their collaborative teams are successful?

18:15 – 19:00 Cocktail reception

19:00 – 22:00 Dinner

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Tuesday, May 8, 2012

07:30 – 08:30 **Breakfast**

9:00 – 10:00 **Plenary Session**

Speakers: *To be announced*

Abstract: To be announced

10:00 – 10:30 **Coffee Break**

10:30 – 12:00 **NSERC**

Speakers: *To be announced*

A variety of topics will be covered in this session, with a focus on recent activities at NSERC. Representatives from NSERC will provide information on new initiatives that have been launched over the last year. NSERC representatives will also update session participants on the recent competition results.

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Tuesday, May 8

10:30 – 12:00 **Managing the Complexity of Large, Multi-institutional Projects with Centralized, Shared Infrastructure**

Speakers: Rob Mackey, CMC Microsystems
Kelly McGarry, Queen's University
Peter Stokes, CMC Microsystems
Gail Wood, Queen's University

This session will explore administrative challenges and solutions associated with large and/or particularly complex multi-institutional CFI research infrastructure projects. The \$50M Embedded Systems Canada project CFI #20314 involving 37 institutions in 9 provinces and hundreds of researchers will be the example used. All attending are encouraged to participate by sharing their experience and advice on this and any similar projects. Short presentations will begin the session. We'll then identify challenges, solutions and workarounds. Topics for exploration include:

- Inter-institutional agreements in large and/or particularly complex projects
- Procurement with funds from multiple sources/provinces, and within multiple policy/guideline contexts
- Supplier and industrial partnerships in a public tendering context
- Challenges of large, multi-year commitments of in-kind by suppliers
- Financial and impact reporting in a multi-institutional context
- Purchase documentation duplication and retention
- Challenges associated with shared access to equipment across institutional boundaries

10:30 – 12:00 **SSHRC / CIHR Transition**

Speakers: Drew Gyorke, University of Toronto
To be announced

Last year's SSHRC to CIHR Transition session at CAURA Ottawa focused on funding opportunities at CIHR for the Social Sciences applicant, and advice from a SSHRC and CIHR funded panelist who has served on SSHRC and CIHR adjudication committees. One year later, CAURA Charlottetown is an opportunity to talk about how things are going. Panelists will present their respective institutions' strategies and success stories on the programs applied to at CIHR, as well as challenges in facilitating social sciences applicants to CIHR. The goal is to share with our peers a broad understanding of practices that enable (successful) applications while identifying common challenges that we can probe collectively.

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Tuesday, May 8

10:30 – 12:00 **Special Interest Group - International**

Speakers: Jacqueline Smit, University of British Columbia
To be announced

This session will facilitate networking and information-sharing for those who are managing and supporting international research and engagement. International SIG participants will share successes and best practices, as well as discuss challenges and risks associated with international engagement. A focus will be on identifying opportunities that promote effective internationalization, including: research applications, international development, joint degrees, graduate student mobility, risk management etc. The session will be used as an opportunity to identify priority areas for the International SIG to address for the upcoming year.

12:00 – 13:30 **Lunch and AGM**

13:30 – 15:00 **Being the 'Little Guy' in a Bigger World**

Speakers: *To be announced*

This session will share ideas around building relationships with organizations of various sizes when you're the 'little guy' in the mix. Specifically the session will look at three distinct stakeholders: 1) business and industry; 2) communities; and 3) other institutions (universities, colleges). The session is expected to be more of a conversation to share ideas, best practices, tips and techniques, rather than a series of panels. We are hoping to have participation from small, medium and large institutions to gain the perspectives of all three.

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Tuesday, May 8

**13:30 – 15:00 Career Establishment and
Progression in Research Administration**

Speakers: Susan Brown, Memorial University
 Sarah Lampson, Juravinski Cancer Centre
 Katie Porter, Hamilton Health Sciences
 Dean Strickland, Memorial University

Research administration can be fertile ground for the development of an exciting and rewarding career. This session will focus on both 'push' and 'pull' opportunities and strategies that individuals and institutions can pursue to build a dynamic career environment and satisfy needs for critical capacity.

From a 'push' perspective, Sarah Lampson and Katie Porter will share professional development tips on navigating the opportunity-rich world of research administration based on their 2011 book "Steer Your Career: A Research Administrator's Manual for Mapping Success" and other recent publications. This will be an exciting session covering the Habits of Highly Effective Research Administrators. They will also lead a networking game and provide attendees with a toolkit to help them raise the bar on their performance.

Susan Brown and Dean Strickland will share their collective experience and knowledge about Memorial University's Succession Planning Program; a 'pull' strategy. Memorial has developed a succession strategy that is both transparent and inclusive. The program focuses on creating a diverse talent pool of high potential employees who are able to move into any number of job areas. The succession planning process is supported by other strategies of Memorial University including the strategic plan, employee relations, recruitment, learning and development and risk management. Now entering its third year, the program is continuing to evolve and grow. Susan will talk to you about the development of the program and where it stands today; Dean will discuss with you his first-hand experience as a participant of the program.

13:30 – 15:00 CRC

Speaker: *To be announced*

Update on the Indirect Costs of Research Program, the Canada Research Chairs Program and the implementation of the second Canada Excellence Research Chairs Program competition.

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Tuesday, May 8

13:30 – 15:00 **Special Interest Group - Finance**

Speakers: Deanne Babcock, University of Western Ontario
To be announced

CAURA has encouraged and supported the formation of several *Special Interest Groups* (SIG's) this year and the Finance group was formed for those members involved in post-award administration, as it applies to financial monitoring, compliance, reporting and audits. Our primary purpose is to connect this peer group and to enable an exchange of best practices, to become helpful reference points for each other and to provide a forum for discussion. This SIG will also provide a mechanism for connecting with the CAURA executive and with the CAUBO organization.

This networking session will provide an opportunity for the Finance SIG to meet with their counterparts from across the country. We will identify several key focus areas for the group (compliance issues, monitoring visits, CFI administration, reporting research dollars, sharing templates and documents), discuss common challenges and chart our path for the next year.

15:00 – 15:30 **Coffee Break**

15:30 – 17:00 **Canadian Institutes of Health Research - CIHR**

Speaker: Kelly VanKoughnet, CIHR

In its second strategic plan, *Health Research Roadmap: Creating innovative research for better health and health care*, CIHR recognized that changes were needed to enhance the way it funds investigator-initiated health research and knowledge translation to fulfill both the broad spectrum of CIHR's mandate and sustain the Canadian health research enterprise. Since that time, CIHR has solicited, received and analyzed feedback from the research community about CIHR's programs and has taken steps to address some of the current challenges. Earlier this year, CIHR released a design discussion document highlighting proposed changes to CIHR's open suite of programs and enhancements to the peer review process and solicited feedback from the research community. Come and learn more about these upcoming changes and how CIHR intends to implement them during this presentation.

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Tuesday, May 8

15:30 – 17:00 **The Compliance Officer Role in Post-Award Research Administration**

Speaker: Deanne Babcock, University of Western Ontario

The regulatory and reporting regime of research funds entrusted to our institutions is becoming increasingly complex and prescriptive. How do we ensure adherence to the ever changing and increasing requirements? In response, over the past few years many institutions have developed compliance officer roles, and in some cases teams, to develop processes that monitor adherence to all related policies and guidelines and to ensure that their community understands their financial and administrative accountabilities.

In essence, the compliance officer is responsible for identifying and monitoring risk, and implementing measures to mitigate this risk across the institution. Representatives from two universities will discuss the compliance officer roles at their institutions, as they relate to post-award administration. This will be an informative session that takes us through identifying the need for such a role, securing the resources, determining the reporting structure, designing the role and its responsibilities, and monitoring the impact and effectiveness of the role.

15:30 – 17:00 **What Kind of Service Is this Anyway?**

Speakers: Nancy Hayter, Dalhousie University
Julia Taylor, Capital Health

Has your office ever considered/evaluated changing the services it provides to the research community? What baseline services do we give to our institutions & researchers now and are they the services that are needed? Research administrators from universities, hospitals, low and high volume, grants and contracts offices discuss what they have done to assess the needs of their research community and how they balance the constraints imposed by regulations and the facilitation and support of research in this climate of increased accountability where the tension between those who dream and those who are held accountable is growing.

15:30 – 17:00 **Special Interest Group – Small Institutions**

Speakers: Deborah Zornes, Royal Roads University
To be announced

This session will have 3 'sub-sessions'. The first sub-session will include a panel focused on the Tri-Councils and our experiences with recent calls, changes to SSHRC's architecture, upcoming changes at CIHR, NSERC, etc.. The second sub-session will be focused on the structure/set-up of research services in small institutions (i.e., how skills are developed, how you recruit when you want someone who is both a generalist and a specialist, how the roles are structured, etc.). The third sub-session will provide time for all participants to mingle in small groups and discuss areas of interest – e.g., strategic research plan development (what's happening at universities, how plans are developing, key areas of focus, etc.); 'cracking the big nuts' (strategies for getting funding from large funders such as CIDA, major foundations, etc.); etc.

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Wednesday, May 9, 2012

Breakfast on own

09:00 – 12:00 Tri-Agency

Speakers: Francis Savage, CIHR
 Susan Zimmerman, Secretariat on Responsible Conduct of Research

This session will cover the following topics:

1. Update on the development of the *Agreement on the Administration of Agency Grants and Awards by Research Institutions* (previously called *Memorandum of Understanding on the Roles and Responsibilities in the Management of Federal Grants and Awards*);
2. Update from the Secretariat on Responsible Conduct of Research;
3. Update on other tri-agency initiatives.

A “Question and Answer” period will follow.

**09:00 – 10:30 Commercialization and IP:
 Impacts on Research Contracts**

Speakers: Neil Campbell, University of Calgary
 To be announced

We have now had nearly two decades of emphasis on the commercialization of research and IP management. Most of the research funding opportunities have economic development (via commercialization) as one of the criteria, if not the most important criterion, for success. This session will explore the impact this has had on research contracts. How do we strike the balance between the objectives of the researcher, the Contracts Office and the Technology Transfer Office.