

**University of Windsor
Senate**

5.10: **Report of the Vice-President, Research and Innovation**

Item for: **Information**

Forwarded by: **Chris Houser**

Research, scholarship, and creative activity are critical to the reputation of the University of Windsor and have a significant influence on our ability to recruit and retain undergraduate and graduate students.

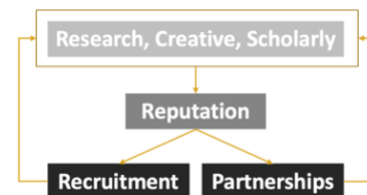
Canada Research Chairs: As discussed at an earlier Senate meeting, the University of Windsor has several open (3) and expiring (4) Canada Research Chairs (CRCs) available over the next couple of years. A request for proposals was distributed to the campus community in Fall 2022 and the 29 submitted proposals were reviewed and ranked by the Executive Leadership Team (ELT), Deans, Associate Deans of Research and the Office of Research and Innovation Services. Based on this review, the following 3 CRCs were deemed to be a strategic opportunity for the University of Windsor:

- **Health Disparities and Public Health-** Faculty of Arts, Humanities and Social Sciences
- **Health Biostatistics-** Faculty of Human Kinetics
- **Environmental/One Health Genomics-** Faculty of Science

These CRCs leverage on the of the Windsor-Essex County Health Unit (WECHU) to campus next year. The searches will start in July 2023 so that the incoming Vice President for Research can chair the search committees. The successful proposals for the remaining (expiring) chairs will be announced by the incoming VPRI next fall.

WE-SPARK Think Tank: The WE-SPARK Health Institute hosted a Think Tank with the Windsor-Essex County Health Unit (WECHU) on April 21st. A summary of the Think Tank Outcomes is provided in the adjacent graphic.

Lean Audit of Research: As previously noted, we conducted a Lean Audit of research services, to ensure that our research process, from the announcement of a grant to the closure of a research account is effective and supports research, creative and scholarly activity. Faculty from across campus with different levels and types of research were invited to participate in a workshop to determine how we can further support research and ensure that our processes are effective. The outcomes of the Lean Audit are appended to this report, and it will guide the incoming VPRI on how to improve research services in the future.



APRIL 21, 2023

63
PARTICIPANTS

10
ORGANIZATIONS

14
DISCIPLINES

THINK TANK OUTCOMES

1.) UPDATES WERE PROVIDED
LED BY: LISA PORTER, PH.D., WE-SPARK HEALTH INSTITUTE, EXECUTIVE DIRECTOR

- WE-SPARK HEALTH INSTITUTE OVERVIEW & RESEARCH TOOLS
- UPCOMING EVENTS AND ANNOUNCEMENTS
- PREVIOUS THINK TANK SUCCESSSES
- FUNDING OPPORTUNITIES (PROVIDED BY INGRID QEMO, PH.D.)

2.) PRESENTATIONS & DISCUSSIONS

DARCIE RENAUD
WINDSOR ESSEX COUNTY HEALTH UNIT
INTEGRATING HEALTH EQUITY & POPULATION HEALTH APPROACHES IN WINDSOR & ESSEX COUNTY

RAMSEY D'SOUZA
WINDSOR ESSEX COUNTY HEALTH UNIT
PREDICTIVE MODELLING FOR FOOD-BORNE ILLNESS IN WINDSOR & ESSEX COUNTY USING ACES DATA

GORDON THANE
WINDSOR ESSEX COUNTY HEALTH UNIT
DRUG CHECKING SERVICES IN WINDSOR & ESSEX COUNTY

3.) FEEDBACK FROM PARTICIPANTS

4.4/5

PARTICIPANT RATING (AVG)

- "HAVE THINK TANKS MORE OFTEN!"
- "EXCELLENT CONVERSATIONS WITH MANY DISCIPLINES IN A RELAXED FORMAT"
- "GREAT, SUPPORTIVE ENVIRONMENT."

#WESPAKHEALTH

INTERESTED IN LEARNING MORE? WANT TO PRESENT AT THE NEXT THINK TANK?
 CONTACT WESPARKHEALTH@UWINDSOR.CA



University
of Windsor

Research Administration Process Focus Group Report

Marcela Ciampa M.A., B.Ed.
Director, Organizational & Leadership Development

April 2023

**Office of the Vice-President, Equity, Diversity and
Inclusion**

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Introduction

Dr. Chris Houser, Interim Vice-President, Research and Innovation, requested the design and facilitation of focus groups to identify opportunities to enhance the efficiency and supports associated with the research administration process. The research administration process provides a range of grant facilitation supports/services to scholars at the University of Windsor from the identification of funding opportunities through to post-award administration. **Appendix A** includes a high-level overview of the activities in the form of a research administration flowchart.

Focus groups were designed and facilitated by Marcela Ciampa, Director, Organizational & Leadership Development in the Office of the Vice-President, Equity, Diversity and Inclusion.

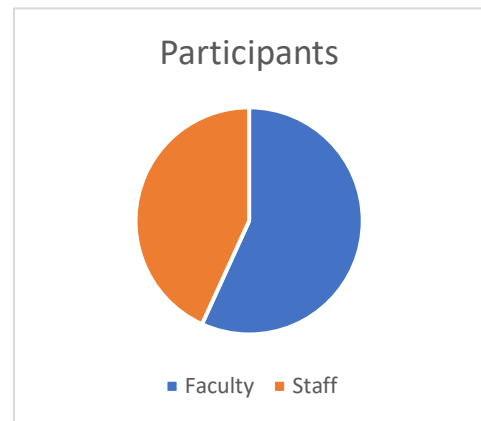
Goals of the Focus Groups

The focus groups were designed to:

- Take stock of bottlenecks, pressure points, and challenges associated with the current research administration process.
- Identify opportunities to build a more supportive research culture.

Participants:

A total of 25 faculty members at various stages of their careers and 19 staff from Research Finance, Office of Research & Innovation Services (ORIS), Office of the Vice-President, Research and Innovation, Animal Care, Research Ethics, and Research Finance Research Ethics, Animal participated in 6 focus groups that were held in February and March 2023 (4 faculty focus groups, 2 staff focus groups).



Methodology:

The focus groups consisted of the following key activities:

1. A flowchart of the research administration process was posted on the wall.
2. Participants were provided 10 Post-It notes and asked to write on each a pressure point, bottleneck, and/or challenge associated with any of the steps of the Research Administration Process flowchart and to post them on the wall below the relevant step of the flowchart.
3. Participants participated in a roundtable discussion to share 1 of the pressure points, bottlenecks, or challenges that they had posted.
4. Participants were then provided 4 dot stickers and asked to review the items posted and place the dots on the items that from their perspective were the most critical.
5. Participants were then asked to identify strategies/supports to tackle current challenges and/or enhance a supportive research culture.

Please note that the first focus group with researchers followed a slightly modified facilitated process.

Data Analysis

A thematic analysis of the data emerging from the 6 focus group activities was conducted. As part of this process, broad categories/themes were identified. Ideas were then summarized and grouped by theme, duplicate items were removed, and like items combined.

This report includes the data emerging from the data analysis.

Section 1 – Research Administration Process – Current Realities

Participants were provided with Post-It notes and asked to write on each one a pressure point, bottleneck, and/or challenge associated with any of the steps of the Research Administration Process flowchart and to post them on the wall under the corresponding step of the process flowchart. This was followed by a priority-setting exercise using dot stickers to identify the areas that participants felt were the most critical.

This section presents a summary of the analysis of the data gathered through the activities conducted at the focus group sessions organized by step of the Research Administration Process and divided by participant group (Researchers, Staff).

1. Focus Groups - Researchers

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
Identify funding opportunities	Need for enhanced supports to identify and diversify funding opportunities.	<ul style="list-style-type: none">• Inadequate support to build research collaborations/teams to apply for grants and to identify funding opportunities in general.• Not receiving the required information to apply for large grants.• Not receiving funding deadline reminders.• Not enough support to connect humanities to funding opportunities.• Lack of influence/connections with Tri-Council and other government agencies.• Not pursuing major gifts, fundraising to fund research.• University's reputation impacting ability to secure grants.• Lack of an industrial liaison to connect researchers to industry/private sector to expand research funding opportunities.• Too much focus on the 'big three' funding sources (SSHRC, CIHR, NSERC).• Not focusing on international grants.
Develop and submit the	Need for more specialized and other supports to	<ul style="list-style-type: none">• Lack of a dedicated team of grant writers to

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
funding proposal	prepare competitive funding proposals.	<p>provide enhanced assistance to preparing funding proposals.</p> <ul style="list-style-type: none"> • Lack of critical feedback on proposals submitted. • Internal deadlines are too early. • Delays in confirming course releases and capping releases to 1 per year even for large collaborative grants. • Lack of specialized support to develop collaborative/team/multi-institutional grants. • Insufficient support for coordinating the administrative components of applications, including lack of templates that researchers can use to streamline these components of applications. • Lack of assistance with CCV submission to funding agencies. • Redundant forms/paperwork. • Securing ‘in kind’ contributions is inconsistent/unclear. • No support for securing certifications required for some grant funding.
Receive notification that proposal was successful	Lack of notification and public funding announcement protocols and lack of alignment with opening of accounts.	<ul style="list-style-type: none"> • No notification protocols for external grants. • No alignment between notification of funding and opening of accounts. • Lack of clarity regarding public announcements.
Set up the research project	Insufficient mentorship and training, increased workload and backlogs, and lack of integration of systems and suitable space for conducting research.	<ul style="list-style-type: none"> • Lack of mentorship and training provided beyond grant development. • Increased workload: administrative tasks consume a large portion of time. • Lack of clear and consistent course release policies across faculties and departments. • Space restrictions: lack of space for personnel and/or inappropriate space. • Backlogs across the various components of the research administration process negatively impacting short-term grants particularly. • Lack of integration and technical support for systems associated with research administration (i.e., ORACLE, ERSO, Centre Suite).

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
	<p><u>Establish the Grant:</u> Research Finance processes and system create challenges.</p>	<ul style="list-style-type: none"> • Delays in opening grant accounts resulting in late payroll and/or missing deadlines. • Lack of Research Finance transparency and accuracy of reports. • Large percent overhead charged. • Issues associated with the handling of MITACS and escrow. • Challenges associated with UWinsite Finance system and associated processes increasing administrative workload. • No easy way to distribute funds over multiple grants.
	<p><u>Hire Personnel:</u> Need for enhanced hiring supports and streamlined recruitment and hiring processes.</p>	<ul style="list-style-type: none"> • Hiring processes are not streamlined and are too complex. Lack of clear processes and steps for completing hiring processes (i.e., how to hire on contracts, how to hire research employees for longer term, information on labour policies, roles, taxes, immigration/visa, etc.). • Barriers/challenges paying individuals for services provided (i.e., short contracts, Indigenous Elders, community members). • Tuition fees make UWindsor less competitive, and therefore it is difficult to attract research associates, graduate students, etc. • Lack of support for increasing salaries of highly qualified personnel (HQP), including research-based international graduate students. • Lack of support to orient and train new hires. • Challenges recruiting research personnel particularly in fields that are of high demand (i.e., nursing).
	<p><u>Purchase Materials:</u> Delays with purchasing of materials, reimbursements, lack of guidance and administrative processes associated with UWinsite Finance.</p>	<ul style="list-style-type: none"> • Delays with purchasing-related processes and travel reimbursement. • Issues with expense reimbursement approval process and delays at the faculty/department level. • Lack of guidance regarding reimbursing travel for graduate students. • Restrictions on spending leading to inability to spend all research funds. • P-Card challenges, including limits on

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
		<p>purchases, allocation of expenditures to accounts, etc.</p> <ul style="list-style-type: none"> • Challenges associated with RFQ process, including control over purchasing large items and sole-source purchases. • Lack of dedicated administrative support to navigate systems and processes and process expenses. • Insufficient training to enhance proficiency in UWinsite Finance.
	<p><u>Meet Compliance Requirements:</u> Compliance requirement delays, lack of clarity and supports.</p>	<ul style="list-style-type: none"> • Need a shift in culture – from compliance culture to more of a research supportive culture. • REB process challenges (i.e., clearance delays, lack of transparency, consistency, clarity, accessibility, irrelevant revision requests). • Too many audits. • Insufficient safety and research security guidance provided. • Little support to obtain Health Canada /Government of Canada certifications. • Research Safety Committee delays, overly detailed process.
<p>Manage/monitor research grant</p>	<p>Accuracy and timeliness of finance reports to support managing/monitoring grants.</p>	<ul style="list-style-type: none"> • Not receiving regular financial updates and inability to easily access all transaction details. • Inaccurate balance of accounts: financial statements provided are either not up-to-date or are incorrect. • Long delays in the allocation of funds and difficulties getting up-to-date financial data close to the end of grants, resulting in unspent funds. • Issues associated with inter and intra university fund management and transfers negatively affect University reputation with partners. • Lack of clarity of Research Finance policies: no consistent answers provided. • No support for grant amendments.
<p>Disclose IP and manage commercialization</p>	<p>Lack of information/education and discipline-specific support.</p>	<ul style="list-style-type: none"> • No IP-related education provided. • IP disclosure is easy but advancement to patent slow.

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
of technology		<ul style="list-style-type: none"> Lack of discipline-specific knowledge at ORIS to support IP and commercialization.
Close the grant/project	Lack of notifications and support to close grants and for knowledge mobilization.	<ul style="list-style-type: none"> Lack of advance notification of deadlines, lack of clarity regarding handling of unspent funds, and no notification of end of contracts. Lack of support for knowledge mobilization Lack of assistance completing non-technical details of reports. Many grants are not closed by Research Finance and therefore stay “empty” in the system.

Of the theme descriptors outlined above, the following were brought forward the greatest number of times by participants.

- REB process challenges.
- Lack of up-to-date financial information (balance account and financial statements).
- Lack of notification of grant-related timelines and clarity regarding handling of unspent funds.
- Delays with purchasing and reimbursement of expenditures.
- Difficulty navigating hiring and other HR-related processes.
- Challenges associated with the UWinsite Finance system and related processes.

The following were identified as the top 3 in criticality through the priority-setting exercise:

- Challenges associated with UWinsite Finance system and associated processes increasing administrative workload.
- Hiring processes as not streamlined and complex. Lack of clear processes and steps for completing hiring processes (i.e., how to hire on contracts, how to hire research employees for longer term, information on labour policies, roles, taxes, immigration/visa, etc.).
- Delays in confirming course releases and capping releases to 1 per year even for large collaborative grants.

2. Focus Groups – Staff

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
General - applies to various steps	Lack of resources, policy interpretation alignment, and accountability.	<ul style="list-style-type: none"> No consequences when processes/timelines are not followed. No policy interpretation alignment across research leadership. Lack of resources to properly support researchers post-award. Increase in number of faculty hired but not in the number of positions to support research activity.

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
Identify funding opportunities	Lack of diversity of funding opportunities, reliance on Tri-Agency, and lack of up-to-date information.	<ul style="list-style-type: none"> • Lack of time for ORIS staff to proactively search for funding opportunities beyond the Tri-Agency /University’s focus on Tri-Agency. • Inconsistent processes across faculties with respect to internal competitions and lack of UWindsor grant-eligibility policy. • Inability of some faculty (typically women and racialized individuals) to apply for internal grants to build a track record for external grants. • No longer hosting research town halls for new hires. • Distribution lists are not up-to-date. • Internal grant programs do not always loop in ORIS.
Develop and submit the funding proposal	Lack of support to develop proposals and inability to enforce deadlines.	<ul style="list-style-type: none"> • Inability to enforce internal deadlines to give research coordinators adequate time for a thorough review. • Lack of support provided to researchers, including orientation to the research-administration process. • Lack of consistent process for applying to grants and seeking internal review of applications.
Receive notification that proposal was successful	Notifications of approved funding not always communicated.	<ul style="list-style-type: none"> • ORIS does not always receive notification of successful proposals. • ERSO records are not created for sub-awards, research coordinator not always notified prior to submission.
Set up the research project	Lack of orientation to the research-administration process.	<ul style="list-style-type: none"> • Lack of a checklist, orientation package, video, training, PPT to better support and guide researchers. • Lack of clarity regarding processes such as non-disclosure agreements, material transfer agreements, etc.
	<u>Establish Grant:</u> Lack of communication, database inefficiencies, and inaccurate information creating delays.	<ul style="list-style-type: none"> • Backlogs associated with not opening grants until all required certifications are obtained. • Lack of accurate grant information to open an account. • Lack of communication between ORIS and Research Finance (i.e., internal funding accounts, transfers into lab accounts). • Research Finance not properly resourced to

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
		support research activity.
	<u>Hire Personnel:</u> Lack of knowledge of processes and requirements, challenging to navigate and lengthy hiring processes.	<ul style="list-style-type: none"> • Lack of understanding of hiring processes, completing hiring forms, timelines for submitting paperwork, understanding of maximum hours allowed, knowing where to start and who to contact. • Hiring processes take too long. Students/staff often start working before hiring is finalized. • Extremely challenging to navigate HR processes and advise faculty about it. • No one person is responsible for helping researchers hire research personnel.
	<u>Purchase Materials:</u> Lack of knowledge of processes, allocation of expenditures, and other challenges.	<ul style="list-style-type: none"> • Lack of a transparent purchasing policy. • Long backorders due to COVID. • Expenditures posted are not always clear to Research Finance (i.e., expenses not always charged to the correct accounts). • P- Card expenditures are not always allocated to appropriate accounts. • Space/equipment challenges.
	<u>Meet Compliance Requirements:</u> Not enough resources and internal processes to support compliance requirements.	<ul style="list-style-type: none"> • Lack of orientation/education to understand evolving requirements. • Lack of resources to support compliance checking, data management, enhanced security, and education. • ERSO portal challenges (i.e., does not satisfy both REB and ORIS needs, time consuming, not user friendly, inadequate for current needs). • Reactive reporting (when issues arise) • Research Finance and ORIS are not notified of approved certifications, leading to delays and/or holds on grant accounts. • Lack of direction for applications that require REB, ACC, and RSC clearance. • Lack of focus on research security. • REB applications received are not always ready for review. • Lack of researcher understanding of the REB process. • ORIS is not notified of the outcome of REB review.
Manage/monitor	Lack of timely and accurate	<ul style="list-style-type: none"> • Researchers do not have access to accurate

Research Administration Process Step	Emerging Theme	Summary of Theme Descriptors
research grant	information and support staff to manage grants.	<p>information to review financial grant information, monthly reports are not timely or accurate.</p> <ul style="list-style-type: none"> • Faculty are not aware of who to contact to access funds, make account amendments, transfer money, etc. • Not always clear who is responsible for post-award reporting to funders. • Not enough staff to support project management.
Disclose IP and manage commercialization of technology	Knowledge and understanding of IP and commercialization process.	<ul style="list-style-type: none"> • Lack of knowledge and understanding of IP and commercialization process.
Close the grant/project	Lack of notification procedures and knowledge mobilization supports.	<ul style="list-style-type: none"> • Closure of grants and timelines are not clear. Lack of notifications to all involved. • Funds are not always fully spent at the time of closure. • No knowledge-mobilization supports provided.

Of the theme descriptors outlined above, the following were brought forward the greatest number of times by participants.

- ERSO portal inefficiencies.
- Lack of understanding of complexities associated with the hiring of research personnel.
- Lack of resources to properly support researchers throughout the research administration process and for knowledge mobilization.
- No accountability for adherence to timelines and processes.

The following were identified as the top 3 in criticality through the priority-setting exercise:

- Lack of understanding of hiring processes, completing hiring forms, timelines for submitting paperwork, understanding of maximum hours allowed, knowing where to start and who to contact.
- ERSO portal challenges (i.e., does not satisfy both REB and ORIS, time consuming, not user-friendly, inadequate for current needs).
- Lack of resources to properly support researchers post-award. Increase in number of faculty hired but not in the number of positions to support research activity.

Section 2 – Strategies/Suggestions to Create a More Research-Supportive Culture

Participants were asked to identify strategies/supports to tackle current challenges and to enhance a supportive research culture.

This section presents a summary of the analysis of the data gathered through the activities conducted at the focus-group sessions organized by participant group (Researchers, Staff).

1. Focus Group – Researchers

- Review all supports provided to ensure they advance a research supportive culture and shift from a compliance culture to a more supportive research culture.
- Enhance research grant-development supports/writing.
- Provide education and mentor researchers on all aspects of the research administration process and better support faculty to navigate the processes.
- Provide course-release time, particularly to support collaborative research grants. This would also help to recognize research efforts.
- Ensure clarity and transparency of Canada Research Chair process.
- Give researchers greater control over spending associated with their grants.
- Ensure that Research Finance is well resourced (personnel) to adequately support researchers.
- Address the issues associated with UWinsite Finance system and related processes.
- Address issues associated with REB process.
- Ensure reminders of grant deadlines.
- Provide permanent administrative research support within faculties/departments.
- Enhance financial support of research-based international students.
- Support knowledge mobilization.
- Promote research taking place across all faculties, not only high-profile research.
- Allocate more suitable space for research.
- Streamline hiring processes for research personnel.
- Move to a decentralized model (research administration managed by faculties)
- Provide incentives to increase research intensity.

2. Focus Group – Staff

- Invest in databases, tracking systems, research portals, and other software to better support research activity.
- Ensure offices associated with the research administration process are well resourced to enhance research support.
- Introduce accountability mechanisms (processes and timelines) and strict guidelines for researchers.
- Update policies and procedures and ensure accessibility.
- Introduce processes to ensure regular, timely, and consistent communication with all stakeholders.
- Ensure research-related websites are easy to navigate and include clear procedures and contacts.
- Improve internal forms (electronic).
- Provide training sessions and other information-sharing processes to provide researchers and research personnel with the knowledge required to navigate the research administration process.
- Establish a dedicated administrative position in ORIS to triage inquiries and connect the researcher to the correct position/department to address their inquiry and follow up on referrals.
- Enhance transparency of research processes and introduce a master checklist of all requirements.
- Ensure staff/departments are equally supported.

- Support the hiring of administrative staff at the faculty/department level to support administrative financial aspects of the research administration process and provide training on UWinsite Finance.
- Enhance collaboration between all offices reporting to the VPRI.
- Introduce a finance system that is appropriate for managing research grants.
- Provide professional-development opportunities for staff, enhance equity and access to promotion opportunities.
- Champion research as a critical revenue stream.

Section 3 - Additional Feedback

During some of the focus group sessions, participants expressed the desire to bring forward positive feedback. Below is a summary of items brought forward:

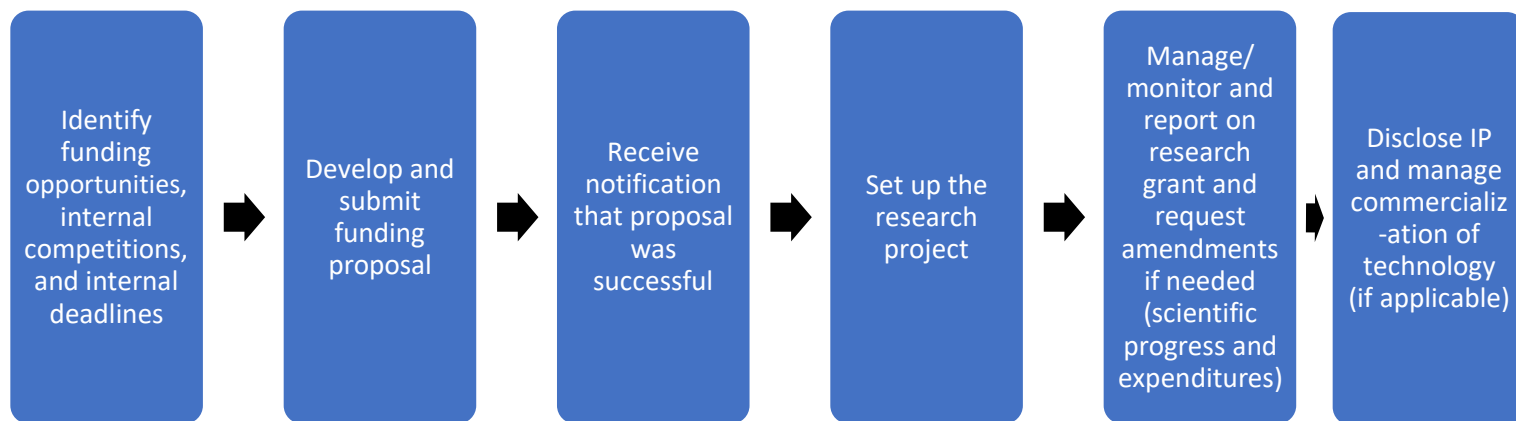
- The staff is excellent, committed but under resourced.
- Outstanding Scholars program
- Leadership response to questions and concerns
- Flexibility in paying and journaling for HQP.

Section 4 – Parking Lot

At the conclusion of each focus group session, participants were provided with an opportunity to bring forward items that were outside the area of inquiry but from their perspective needed to be considered in future discussions. The following is a summary of the items brought forward:

- Process for appointment of REB.
- Metrics to measure success.
- Celebrating achievements.
- Meaningful engagement of researchers in the Research and Innovation strategic plan.
- Establishing a clear mission, vision, and guiding principles for ORIS.
- Incentives for doing research.
- Incoming VPRI listening exercise and staff engagement.
- Communication between faculties and VPRI.
- Animal facility space.
- Inadequacy of office space for ORIS and Research Finance staff.
- Office location of VPRI (negative optics not being located at Assumption with other VPs)

Appendix A – Research Administration Process Flowchart



A Deeper Look at Each of the Steps in the Flowchart

Step	Summary of Key Actions
Identify funding opportunities, internal competitions, and internal deadlines.	<ul style="list-style-type: none"> ORIS communicates call and internal deadlines for the submission of proposals to Research Coordinators, Plugged into Research newsletter and/or through social media as well as instructions for proposal/notice of intent submission to relevant faculty via mass email.
Develop and submit funding proposal.	<ul style="list-style-type: none"> Faculty confirm space availability for research program (HQP) and associated infrastructure. Faculty confirm need for and secure cash and in-kind contributions as well as submit ORIS External Funding Checklist approved by Department Head and Dean via the ERSO Researcher Portal by the internal deadline with draft proposal attached (in case of contracts, the ORIS External Checklist is submitted with contract signed by designated University representative). Faculty submit draft proposals to Research Coordinator for review by internal deadline. Research Coordinators provide feedback to faculty, including suggestions for strengthening project outlines, budgets, and budget justifications. Faculty make suggested revisions to the proposal and resubmit to Research Coordinator for follow-up review. Faculty or Research Coordinator (where required) submit final proposal to funding agency.
Receive notification that proposal was successful.	<ul style="list-style-type: none"> If researcher has received the Notice of Award directly, they notify the respective Research Coordinator. Research Coordinator coordinates announcement of award where applicable.
Set up the research project	<p>Establish grant (open research account)</p> <ul style="list-style-type: none"> Upon receipt of the Notice of Award, ORIS coordinates with Research Finance to establish grant(s) based on approved budget. Separate accounts are established for agency and internal-match funding. Research Finance notifies faculty of grant account number. <p>Hire Personnel</p> <ul style="list-style-type: none"> Faculty determines the correct avenue to appoint personnel (students, post-docs, research assistants, etc.) using their grant funding.

Step	Summary of Key Actions
	<ul style="list-style-type: none"> • Faculty recruit candidates and submit student appointment forms to HR for any registered UWindsor student. • Faculty submit Request for Research or Postdoc Appointment Form and accompanying documentation for authorization for any non-student (where the position is primarily engaged, not simply supporting, research) to the Department Head, Dean, Research Finance, and OVPRI. <ul style="list-style-type: none"> ○ Faculty submit all required forms and documentation at least one month prior to start of appointment. ○ OVPRI issues letter of appointment to appointee. ○ Appointee returns signed form and required documentation to HR before appointment takes effect. ○ Where the individual is a foreign national and a work permit is required, the faculty member submits additional information to the OVPRI and provides funding to support submission of an Offer of Employment to Immigration, Refugee, and Citizenship Canada (IRCC). The OVPRI sends the appointee information needed to apply for a work permit, and the appointee applies for and submits a work permit to HR before appointment takes effect. ○ Faculty member contacts OVPRI in the event of any changes or concerns relating to the appointment or appointee. ○ Faculty member begins renewal process at least one month prior to the end of the appointment where applicable. • Faculty member recruits candidates and contacts HR for part-time positions that are technical in nature and support research for appointment as non-union contract positions. • Faculty member contacts HR, develops job description, has position evaluated, submits required requests, confirms funding, interviews, and hires candidate for UNIFOR full- and part-time positions that are clerical and administrative in nature or CUPE full-time positions that are technical in nature that support research. • Faculty member completes steps necessary to on-board appointees, including requesting an UWin ID and email address, keys, and telephone and computer access. <p>Purchase materials, supplies and equipment.</p> <ul style="list-style-type: none"> • Faculty member submits Grant Signing Authority Form to Research Finance to add research team members who can approve expenditures from their grant account. • Faculty member applies charges to grant account via UWinsite Finance, including expense reports related to travel and supplies, payment of invoices, and purchase orders. • Faculty member may apply for a Purchasing Card attached to their grant or, where faculty member already possesses a purchasing card, move expenses to their grant via CentreSuite. <p>Meet compliance and certification requirements.</p> <ul style="list-style-type: none"> • Following receipt of Notice of Award, faculty member applies for all required clearances: <ul style="list-style-type: none"> ○ <u>Animal Care</u>: Faculty member submits an Animal Utilization Project Proposal (AUPP) and any other required forms to the Animal Care Committee for review. <ul style="list-style-type: none"> ▪ Faculty and all members of the research team complete Animal Training Modules and, where applicable, Laboratory Animal

Step	Summary of Key Actions
	<p>Student Training, and provide proof of completion prior to final approval of AUPP.</p> <ul style="list-style-type: none"> ▪ Animal Care Committee or, where AUPP and forms have been submitted outside of meeting deadlines, the Chair of the Animal Care Committee reviews AUPP and forms and issues approval. ▪ Faculty member applies for release of partial research of funds if applicable. ▪ Office of Animal Care notifies faculty member of outcome of Animal Care Committee review. <ul style="list-style-type: none"> ○ <u>Research Ethics</u>: Faculty member submits an application and any other required forms to the Research Ethics Board for review. <ul style="list-style-type: none"> ▪ Faculty and all members of the research team complete TCPS2 training and submit certification with application. ▪ Applications are reviewed within four weeks, and feedback is provided. ▪ Faculty make any required adjustments to their application and submit for follow-up review where required. ▪ Faculty member applies for partial release of research funds if applicable. ▪ Office of Research Ethics notifies faculty member of outcome of Research Ethics Board review. ○ <u>Research Safety</u>: Faculty working with biological materials, lasers, X-Ray devices, and/or radioactive materials submit a safety permit application for review through the ERSO Researcher Portal <ul style="list-style-type: none"> ▪ Safety permit applications are reviewed by a safety officer who then advises faculty member of any applicable issues/concerns that may need to be addressed. Faculty then submits the application to the Research Safety Committee for review and approval. ▪ Faculty member applies for partial release of funds if applicable. ▪ Office of Research Safety notifies faculty member of the outcome of the Research Safety Committee review. <ul style="list-style-type: none"> • ORIS is notified by ACC/REB/RSC of clearance and communicates with Research Finance to release full funding.
<p>Manage/monitor and report on research grant and request amendments when needed (scientific progress and expenditures)</p>	<ul style="list-style-type: none"> • Faculty member monitors grant funding using UWinsite Finance and statements circulated by Research Finance and notifies Research Finance of any discrepancies. • Faculty member monitors grant progress and submits any required progress reports to funding agency (and requests assistance from Research Coordinator where applicable). • Research Finance prepares and submits Form 300 where applicable annually following faculty review and sign-off. • In the case of projects requiring Research Ethics clearance, faculty must submit progress reports to the Office of Research Ethics annually.
<p>Disclose IP and manage commercialization of technology (if applicable)</p>	<ul style="list-style-type: none"> • Faculty member discloses any new technology and/or patent applications to the Research Partnerships Office. • Research Partnerships Office works with faculty member to protect and commercialize IP where applicable.
<p>Close the grant/project (final scientific and financial reporting,</p>	<ul style="list-style-type: none"> • Research Finance sends faculty member final statement of account and closes the grant. • In the case of projects requiring Research Ethics clearance, faculty member

Step	Summary of Key Actions
handling of unspent funds, outstanding financial issues, etc.)	submits a final report to the Office of Research Ethics upon completion of data collection.