



**STAR** | STRENGTHENING  
ADMINISTRATION  
OF RESEARCH

Workshop Series



STAR Workshop 11

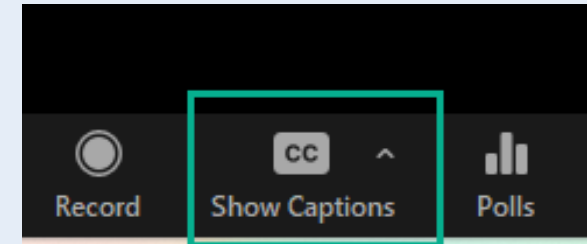
# Research Administration Basics

Thursday, October 10, 2024

- 
- **Drew Gyorke**, Director, Agency & Foundation Funding, VPRI
  - **Loredana Polidoro**, Manager, Partnerships, VPRI
  - **Nadia Saracoglu**, Research Systems Technology Manager, VPRI
  - **Olga Ledeneva**, Director, Research Financial Reporting & Audit, VPRI
  - **Rames Paramsothy**, Senior Business Analyst - Training, Financial Services
  - **Scott Wilson**, Research Compliance Manager, VPRI

# Reminders

- Please mute your audio and turn off your video.
- We will have time for questions at the end of the session. **Please type your questions into the chat box.**
- **Turn on captioning** if needed.
- We will be **recording** today's session.
- Slides and recording will be shared following the session.
- **Minimize distractions** to focus on learning!
- As needed, move your body (stretch, stand up) so that you can stay focused.



# Access Check

Access is a shared responsibility between everyone in this space. In doing this together, we strive to welcome disability, and the changes it brings into this space for learning and growth.

If there is anything that may affect your participation in this session, please use the Zoom chat to send a private chat message to **Won Yoo**

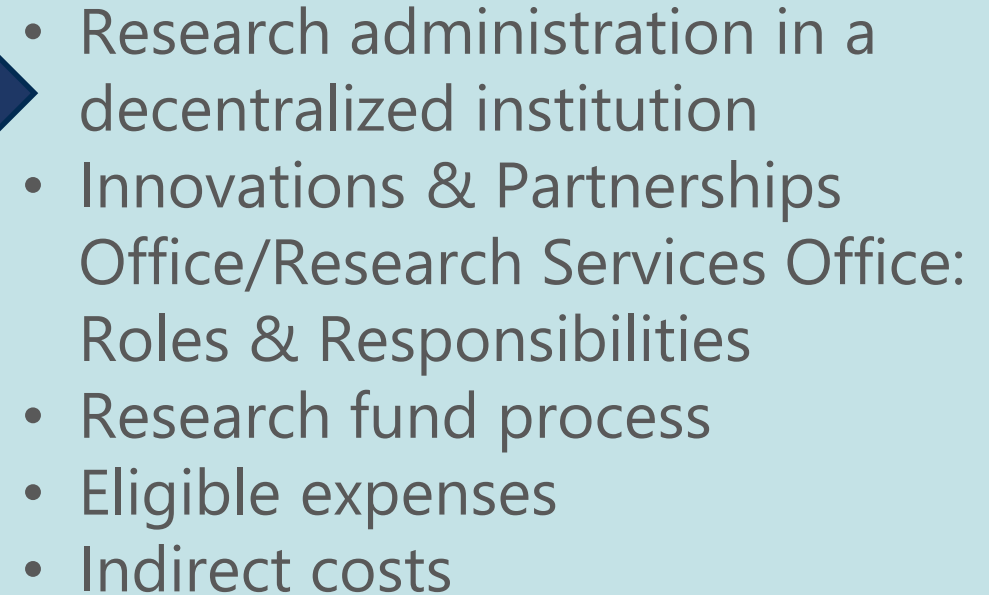
# Land Acknowledgement

"I (we) wish to acknowledge this land on which the University of Toronto operates. For thousands of years it has been the traditional land of the Huron-Wendat, the Seneca, and the Mississaugas of the Credit. Today, this meeting place is still the home to many Indigenous people from across Turtle Island and we are grateful to have the opportunity to work on this land."



# AGENDA

1. Overview: Research Funding at U of T
2. My Research Systems
3. F.A.S.T. Team
4. Environmental Health & Safety
5. Research Financial Reporting & Audit
6. Questions & Answers

- 
- Research administration in a decentralized institution
  - Innovations & Partnerships Office/Research Services Office: Roles & Responsibilities
  - Research fund process
  - Eligible expenses
  - Indirect costs

# Zoom Polls: Let's Try It!

**What do you enjoy about the autumn season?**

(Select all that apply)

1. Walking in the crisp air
2. Looking at the autumn colours
3. Wearing cozy clothes like sweaters/scarves
4. Relaxing with a hot drink



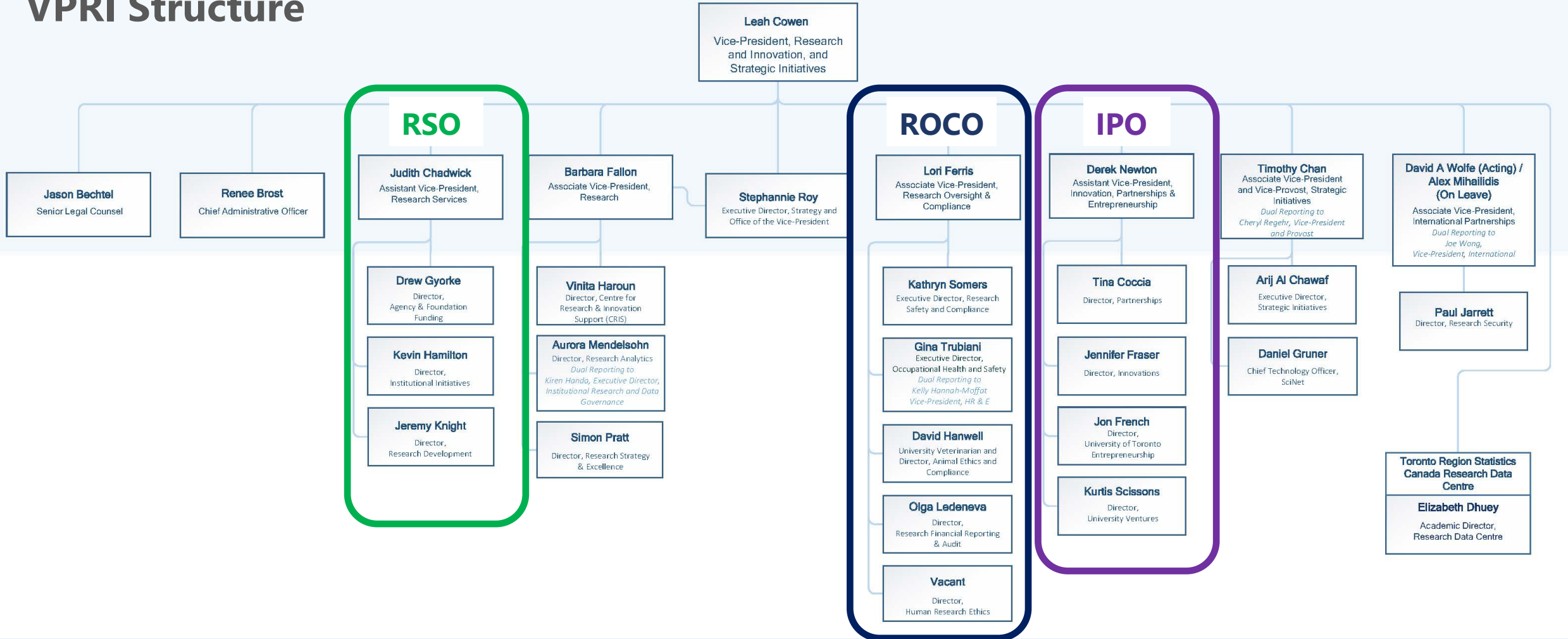
Credit: Opinion icons created by noomtah



# Overview: Research Funding at U of T

# How U of T handles research funding: **Basic overview**

## VPRI Structure



# How U of T handles research funding: **Basic overview**

## **Core administrative factors in research funding**

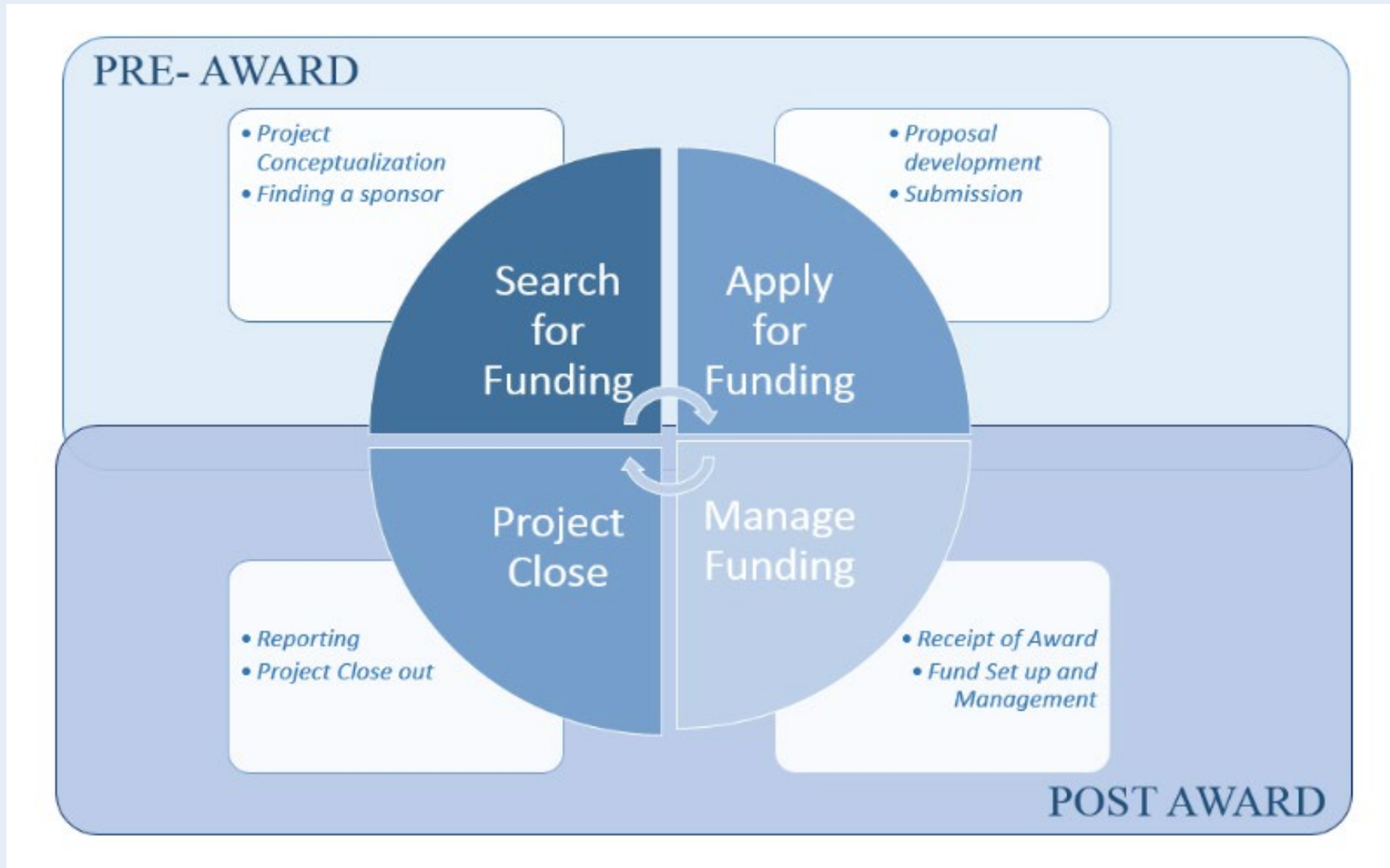
- In a decentralized university, like U of T, there is a **collaborative administrative relationship** where the centre manages the institutional level services, supports, and requirements, and the Divisional or Departmental administrators (Deans and Vice-Deans, Chairs, and Financial / Business Officers) manage matters closer to the PI (Principal Investigator) and the research funding activity
- [Roles & Responsibilities in Accountability, Compliance & Spending](#)

# How U of T handles research funding: **Basic overview**

## **VPRI Administrative functions: Pre- & Post-Award**

- Institutional authority to approve applications:
  - Confirmation of PI eligibility of the applicant
  - One of the reasons for MRA (My Research Applications & Agreements)
- Review, negotiation and execution of agreement terms and conditions, including IP (Intellectual Property), Publication, indemnification, etc. *in collaboration with the PI*
  - Guided by University policies, sponsor policies (including inter-institutional agreements)
- Central fund management, integration with financial systems, financial reporting and audit

# How U of T handles research funding: **Basic overview**



# How U of T handles research funding: **Basic overview**

## **Policies & guidelines governing research administration @ U of T: Fund focus**

- **Research Administration Policy**
  - Describes the responsibilities of each role (PI, Administering Unit, Office of the VPRI)
- **Publication Policy**
  - No restrictions on research dissemination
- **Inventions Policy**
  - Disclosure of inventions using university resources and joint ownership
- **Policy on Approval and Execution of Contracts and Documents**
  - who can sign what
- **Guideline on Full Cost Recovery in Research**
  - Principles and rates

# How U of T handles research funding: **Basic overview**

## Research Funding Types managed by VPRI:

1. **Program funding (RSO mostly, some in IPO):** PI-driven applications to funding programs with open calls by federal and provincial governments, foundations and not-for-profit organizations. Includes internal funding programs.
2. **Private sector / industry funding (managed solely in IPO):** Private sector or industry association funding normally linked to research that advances private sector objectives.
3. **Institutional program funding (managed solely in RSO):** Infrastructure grants, specialized programs (Canada Research Chairs, CFREF, CFI etc. ) that are normally high value, draw on institutional commitments and / or are tied to an institutional allocation.
4. **Non-Funded agreements (managed solely in IPO):** Non-Disclosure, Material and Data transfer, non-funded collaboration and other agreements that are intended to support research activities

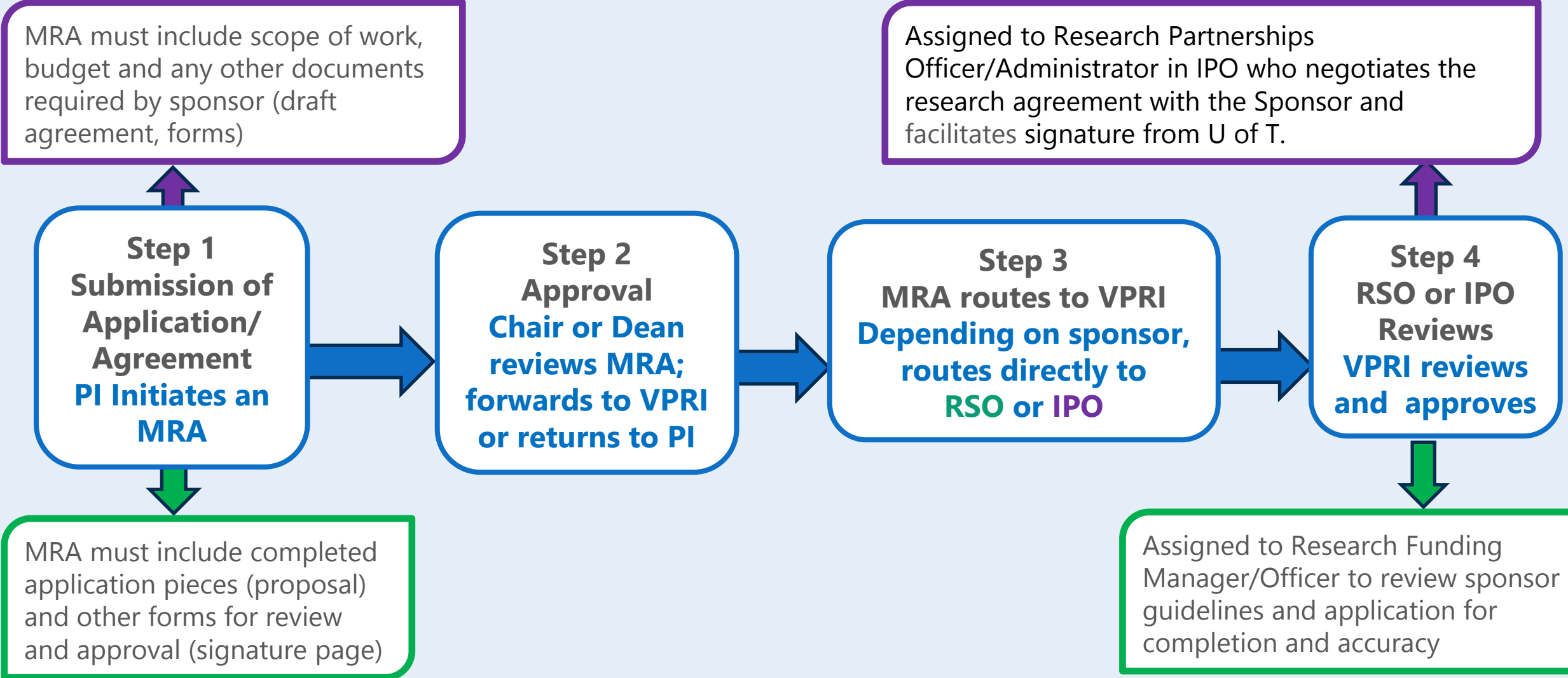
# How U of T handles research funding: **Basic overview**

## **Other Research Funding Types *not managed by VPRI:***

- **Donations / Philanthropy.** *Generally,* donations are made for a specific type of research or to a researcher and are often the result Central or Divisional Advancement team efforts and/or a relationship between PI and donor. These funds may have more open terms and are often managed in a Trust Account.
- **Divisional or Departmental Funds.** Some divisions offer various types of funding, including "bridge funding", and these are managed entirely by the Division or Department that offers the funds.



# How U of T handles research funding: **Pre-Award**



# How U of T handles research funding: **Post-Award**

## **Creation of UTRAC (restricted research fund)**

IPO/RSO Staff will create a UTRAC which includes all the information in the award letter/agreement including:

- link to research protocols/permits
- payment schedule
- budget breakdown
- deliverables schedule
- financial reporting
- copy of award letter/agreement

## **Fund maintenance**

IPO/RSO staff (listed in the UTRAC) manages the fund until it ends. Updates or maintenance of the fund include:

- "no post" for expired ethics/protocols
- extending funds for department or research accounting
- Amendments
- Budget releases/adjustments
- Communicating with sponsor
- Liaising with department and research accounting on use of funds

# Research Administration: **Eligible Expenses**

- Sponsor guidelines determine **eligibility and ineligibility** of expenses

## **Generally eligible expenses:**

- Salaries or stipends for students and postdoctoral fellows
- Salaries (where permitted) for non-student personnel
- Travel expenses including airfare, accommodation, meals
  - Sponsors have specific rules
- Dissemination costs
- Equipment necessary for the research activities

# Research Administration: **Ineligible Expenses**

- Sponsor guidelines determine eligibility and ineligibility of expenses.

## **Generally ineligible expenses:**

- Entertainment expenses including alcohol, tobacco (whether legal or not)
- Tuition fees
- First class / Business class travel (exceptions apply)
- Expenses not needed for the conduct of research and/or expenses that the institution may already cover.
  - Rental of office space
- Generally anything that results in personal gain

# Research Administration: Indirect Costs

- Indirect costs are those the university incurs to support research, including but not limited to:
  - Infrastructure: building upkeep, power, communications network
  - Common equipment depreciation, life cycle costs
  - Environmental and safety monitoring, security, hazardous waste disposal
  - Ongoing regulatory and certification requirements (i.e. ethical review, biohazard or radiation safety, environmental assessments)
  - Financial and agreement management
  - Insurance

**U of T policy:** 40% of direct costs, provided the sponsor permits them and they have not prescribed a rate. Any variation between the rate permitted by the sponsor and the amount requested can only be approved by the academic division.

**Sponsor rules:** if the sponsor will not permit indirect costs, they cannot be requested.

# Poll 2

VPRI's role in research funding administration includes:  
(Select all that apply)

1. Confirming Principal Investigator eligibility
2. Developing cost thresholds for the procurement of research equipment
3. Centralized management of research funds
4. Setting the indirect cost rate for all research funds



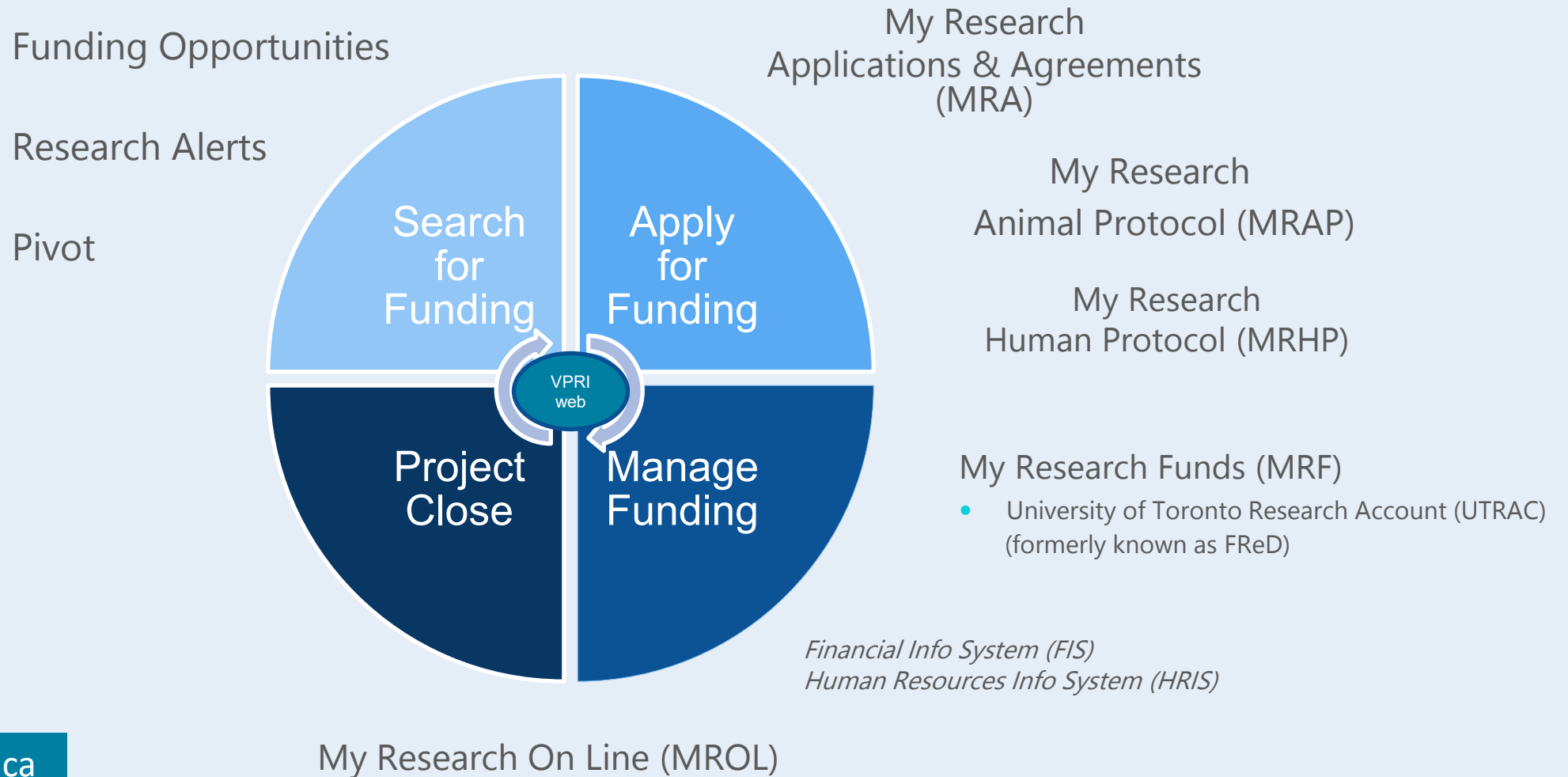
Credit: Opinion icons created by noomtah

# My Research Systems

- Suite of on-line systems supporting research-related administrative activities at the University of Toronto.

# Research Funding Life Cycle

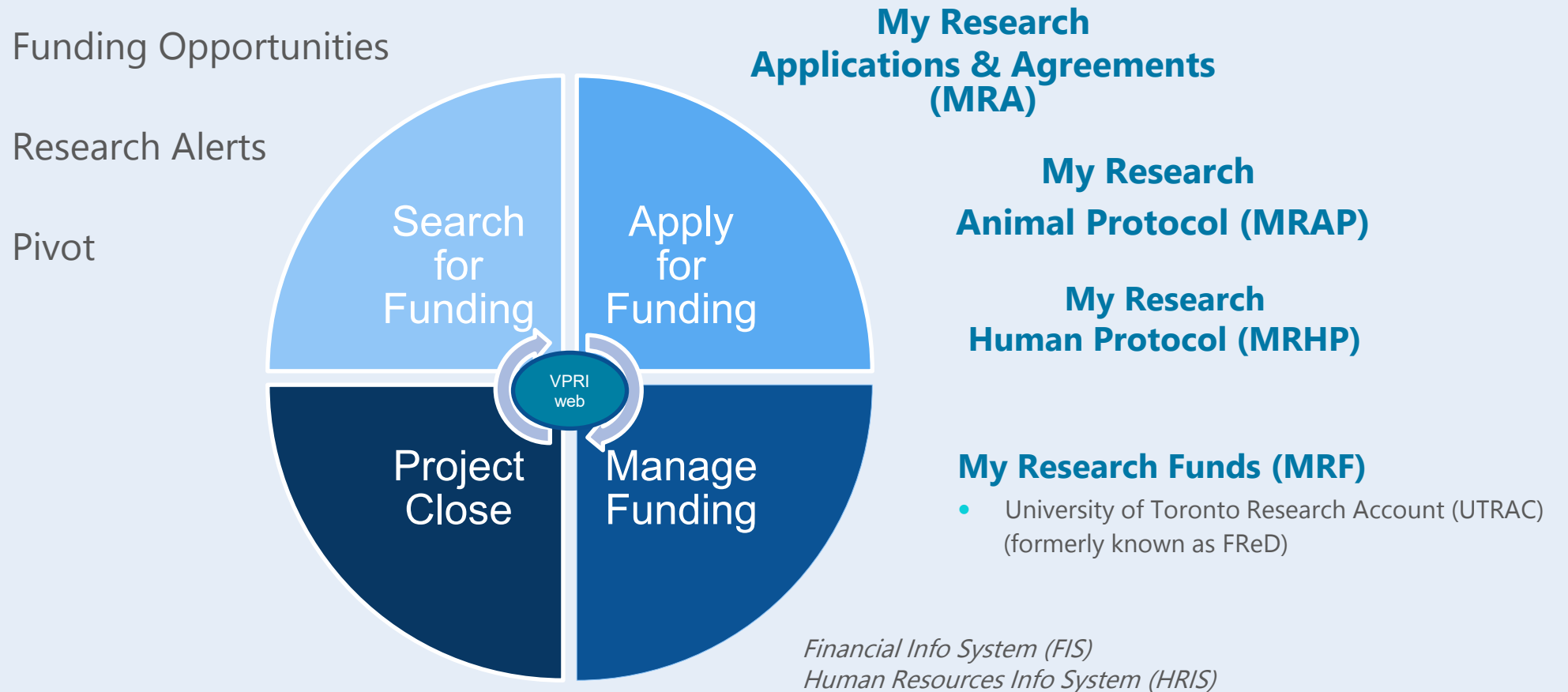
## Tools for Research Admin: **When to Use What**





# Research Funding Life Cycle

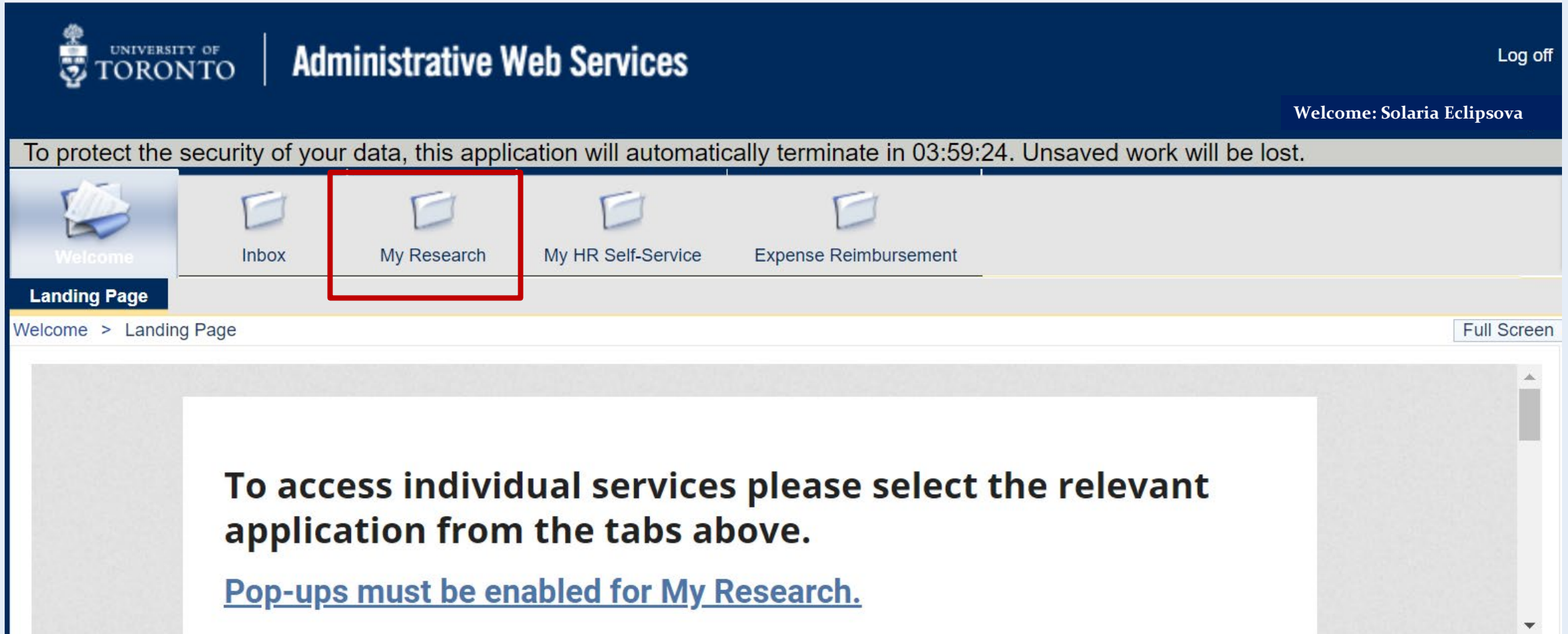
## Tools for Research Admin: **When to Use What**



[research.utoronto.ca](https://research.utoronto.ca)

**My Research On Line (MROL)**

# My Research



UNIVERSITY OF TORONTO | Administrative Web Services

Log off

Welcome: Solaria Eclipsova

To protect the security of your data, this application will automatically terminate in 03:59:24. Unsaved work will be lost.

Welcome | Inbox | **My Research** | My HR Self-Service | Expense Reimbursement

Landing Page

Welcome > Landing Page

Full Screen

**To access individual services please select the relevant application from the tabs above.**

[Pop-ups must be enabled for My Research.](#)

# My Research

# My Research Applications & Agreements (MRA)

RAISE Help Page

Inbox

Applications & Agreements

My Research On Line

Research Funds

Animal Ethics Protocols

Human Ethics Protocols

MRA

## Funding Applications

- MRA is the automated system for the **internal review and endorsement** of research funding application made by a PI to a sponsor (e.g., NSERC Discovery Grant)
- Essential information regarding the application flows through a defined electronic review and approval process, e.g., PI > Affiliated Hospital > Chair > Dean > VPRI

## Non-Funded Agreements

- Faculty PI makes a request for IPO/RSO to draft, negotiate, and sign a **non-funded agreement**
  - Material Transfer Agreements (MTAs)
  - Data Transfer Agreements (DTAs)
  - Confidentiality Disclosure Agreements (CDAs)
  - Research Memoranda of Understanding
  - Research Equipment Loan Agreements
  - Visiting Scientist Intellectual Property Agreements
  - Non-Funded Research Collaboration Agreements

# My Research On Line (MROL)

RAISE Help Page

Inbox

Applications & Agreements

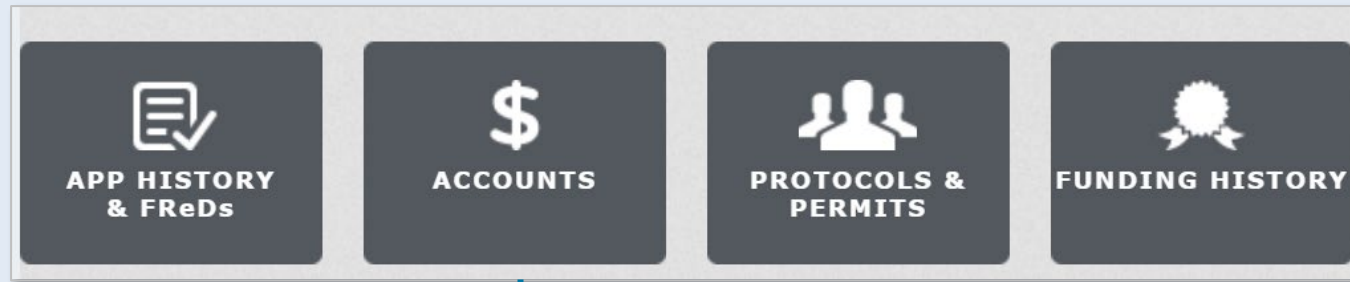
My Research On Line

Research Funds

Animal Ethics Protocols

Human Ethics Protocols

MROL



- PI CFC and research funds
  - Expenditure details
  - Balances
  - ✓ On-line review button

# My Research Funds (MRF)

MRF

**Home**

[Financial Reports](#) | [Research and Study Leave](#) | [HR Reports](#) | [RIS Reports](#) | [My Inbox](#) | [Business Officer](#)

Business Officer

- My Unit's UTRACs  
Business Officer
- My Unit's Applications  
Business Officer
- My Unit's Non-Funded Agreements  
Business Officer
- View Budget List  
Block Grant - Busine...

Display single UTRAC (U of T Research Account): Full Details  
e.g., award amount, FIS account numbers, sponsor terms & conditions, full sponsor agreement attached

Run reports on your unit's UTRACs by various filters  
e.g., fund end date, sponsor, PI, NoPo Status(!)

A second way to access MRA transactions

# My Research Animal Protocols (MRAP)

RAISE Help Page

Inbox

Applications & Agreements

My Research On Line

Research Funds

Animal Ethics Protocols

Human Ethics Protocols

MRAP

- Automated system for the creation, submission, and review of animal use ethics protocols
- Enables the maintenance of animal counts per protocol, and tracks the training history of animal handlers

# My Research Human Protocols (MRHP)

RAISE Help Page

Inbox

Applications & Agreements

My Research On Line

Research Funds

Animal Ethics Protocols

Human Ethics Protocols

MRHP

- Automated system for the creation, submission, and review of human participant protocols
- Integrated with the University's HR system, MRA, and student information system.



# How to get help and support

Access on-line manuals, tip sheets, and videos

- [My Research Help and Support](#)

Contact a live person on the RAISE Help Desk for technical support

- [raise@utoronto.ca](mailto:raise@utoronto.ca)
- 416-946-5000

# RIS Training Series

- RIS: My Research (MR) Systems Orientation
- RIS: My Research Applications & Agreements
- RIS: My Research Funds (MRF)
- RIS: My Research On Line (MROL)

Register and/or see additional training dates via the [Success Factors Learning Management system](#)

# Poll 3

Which of the following statements is FALSE?

1. MRHP is used to submit and review a human research ethics protocol
2. MRA is used to request a Material Transfer Agreement (MTA)
3. A PI can review grant expenditures on MROL
4. MRA is used to submit a funding application to an external sponsor
5. MRF provides access to details from the funding agreement



Credit: Opinion icons created by noomtah

# Financial Advisory Services & Training (F.A.S.T) Financial Services

# Financial Advisory Services & Training (F.A.S.T Team)

The goal of the Financial Advisory Services and Training (FAST) team is to encourage:

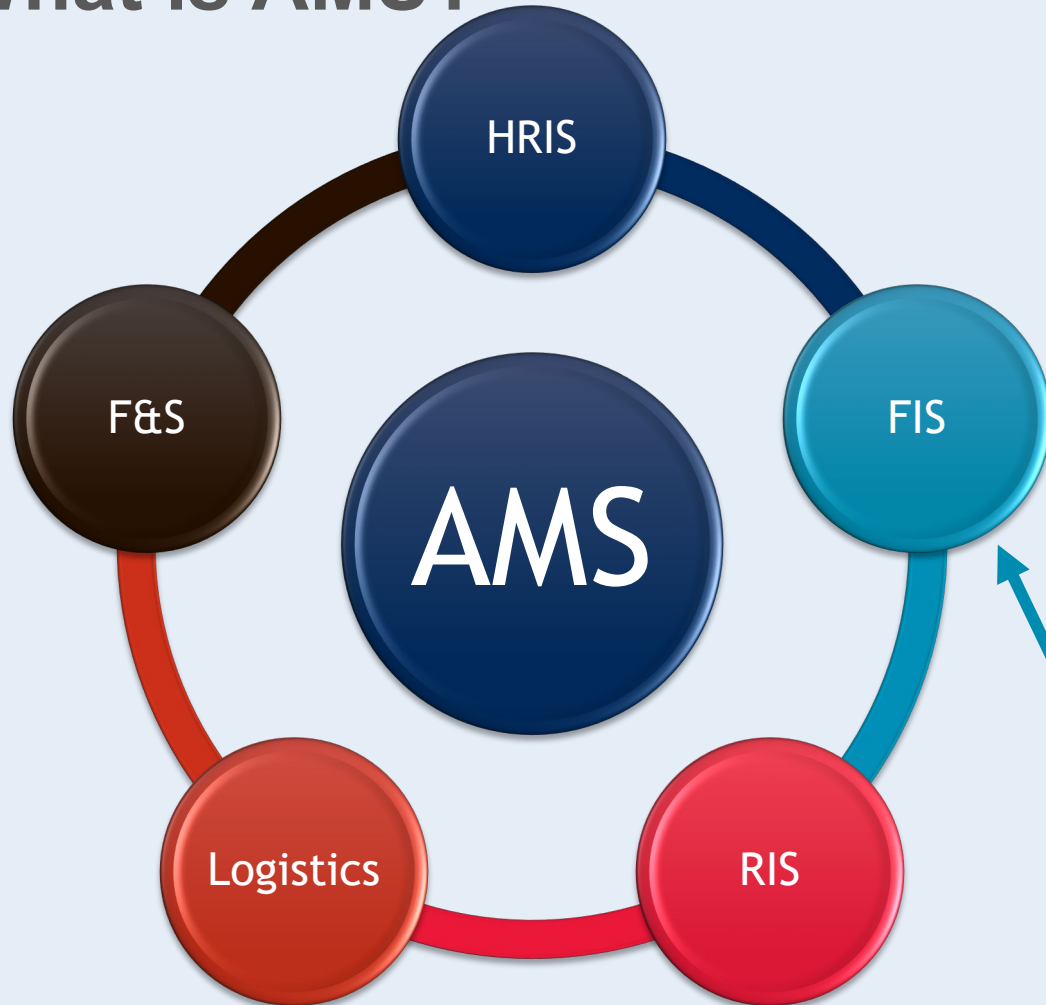
- the effective management of University resources through the promotion of sound financial accounting principles
- the effective and efficient use of the Financial Information System (FIS) by the users at the University of Toronto



The FAST team is part of the central Financial Services Department and supports all three campuses.

# Financial Information System (FIS)

## What is AMS?



The **Administrative Management System (AMS)** is what U of T calls its version of **SAP**.

It's comprised of modules, each of which has a function. Many of the modules interact with each other.

The **Financial Information System (FIS)** is the module used to process transactions and report on financial data .

It is a **core** part of AMS.

# What do we do?

- **Review departmental FIS account structures**, as well as set up new accounts (e.g., Funds Centers, Cost Centers)
- **Review departmental business processes**
- **GTFM Policy interpretation and support** (e.g., expense reimbursement policy)
- **Act as end user advocates**, and testers for any FIS upgrades/system changes
- Communicate any FIS system changes to end users throughout the University
- **Ongoing support** regarding the FIS system or interpretation of the GTFM policy
- **Training staff** (currently in-class, virtual but eLearning...coming soon) on how to effectively report and process in the FIS system
- **Develop procedural reference guides and simulations** for performance support

# Responsibilities in Research Administration



- Assist with determining the right FIS report for research financial administration
- Assist with and guide transactions posted by research financial administrators in FIS
- Troubleshooting/resolving FIS specific error messages or issues related to processing transactions/running reports
- Financial Policy – guidance and interpretation of the University's financial policy (GTFM)
- Create PI Cost Centers



# Resources & Training

- [Visit our Training site](#) to learn about our live, virtual sessions and eLearning courses
- To learn about our reference guides, simulation and Knowledge Centre, [watch this video](#):



# Contact

- [FAST Team Faculty Representatives](#)
- General Mailbox: [fast.help@utoronto.ca](mailto:fast.help@utoronto.ca)
- Questions related to FIS Training contact [rames.paramsothy@utoronto.ca](mailto:rames.paramsothy@utoronto.ca)



# Poll 4

The FIS (Financial Information System) is: (Select one answer)

1. A module in the My Research Systems that is used to process transactions and report on financial data
2. A module in AMS that is used to process transactions and report on financial data
3. A module in AMS that is used to store research funding applications
4. I don't know...there are so many systems!

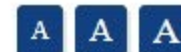


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# Environmental Health & Safety

Research Safety & Compliance

VPRI



- Home
- About Us
- Report an Incident
- Our Services
- Training
- JHSC
- Resources
- Blog

### Work or Study at U of T?

I work in an Office

I Work in a Lab

I work in Facilities and Services

I am a Student

I do Field Research

I am a Supervisor

**COVID-19/Respiratory Information**



**Biosafety**



**Chemical and Lab Safety**



**Environmental Protection Services**



**Occupational Health**



**Occupational Hygiene & Safety**



**Radiation, Laser & X-ray Safety**



**Accident Reporting**



**Health & Safety Training**

# Environmental Health & Safety (EHS)

## Research Safety & Compliance

- Chemical Safety & WHMIS
- Biosafety
- Radiation Safety
- X-Rays, UV, Lasers
- Cannabis and Controlled Substances

## Occupational Health

- Accident Documentation & Reporting
- Ergonomic Assessments
- Workplace Investigations
- Asbestos, Mold & Designated Substance Assessments

# Research Safety & Compliance

Complete the **ROCO Research Needs Assessment Tool** if your research involves any of the following:



**Live Animals**



**Chemicals**



**X-Rays**



**Biological Agents**



**Lasers**



**Radioisotopes**

ROCO will follow up with you regarding next steps. Find subject-specific contacts at [EHS Contact Us](#) or at [VPRI New Faculty Onboarding](#)

# ROCO Research Needs Assessment Tool

**Complete this form in any of these circumstances:**

1. A **new faculty member** joins U of T
2. **Relocation** of a faculty member's lab
3. Engagement of an **external entity** through a **space usage agreement**;
4. **Significant change in the subject matter** of a faculty member's research program, such that new permits or protocols may be required.

## ROCO Research Needs Assessment Tool

The purpose of this form is to gather high level information on proposed research plans within University-controlled spaces so that the appropriate University compliance offices can be engaged for follow up. **The relevant form information will be automatically sent to the appropriate ROCO unit(s) for followup. These units include animal ethics and compliance, environmental health and safety, and human research ethics.**

The form should be completed in any of the following circumstances:

- a new faculty member is joining the University;
- a faculty member's lab is being relocated;
- an external entity is being engaged through a space usage agreement;
- the subject matter of a faculty member's research program has changed significantly such that new permits or protocols may be required.

The form can be completed by anyone who has the appropriate knowledge of the research and/or space plans of the relevant faculty member.

Please email [roco@utoronto.ca](mailto:roco@utoronto.ca) if you have any questions regarding this tool.

### General Information

Faculty member's surname:

\* must provide value

Professor \_\_\_\_\_'s given name:

\* must provide value



# Permits

## Governmental organizations

issue *licenses* to U of T

**EHS** issues *permits* for:

- Biosafety,
- High-Hazard Chemicals
- Radiation Safety
- Cannabis Research, etc.

## Health & Safety Officer (HSO)

- assists the Principal Investigator (PI) with writing the application
- reviews application with appropriate subject matter experts
- reviews physical infrastructure, perform compliance inspections



# Training

- Find EHS training courses [ehs.utoronto.ca/training](https://ehs.utoronto.ca/training)
  - **NOTE:** Some online courses have an additional in-person component
- All personnel, including PIs, must complete appropriate training before working with regulated items
- Training must be taken before a permit is approved
- Many courses have refresher training after a specific time
  - WHMIS annually
  - Biosafety annually
  - Radiation Safety every 3 years



# New Faculty - Resources

## GENERAL

- [New Faculty Onboarding Guide \(.pdf\)](#)
- [New Faculty Onboarding Webpage](#)
- [ROCO Research Needs Assessment Tool](#)
- [EHS Website](#)

## SUBJECT-SPECIFIC

- Radioisotopes, X-Rays, and Lasers: [ehs.rps@utoronto.ca](mailto:ehs.rps@utoronto.ca)
- Live Animals: [acc.coordinator@utoronto.ca](mailto:acc.coordinator@utoronto.ca)
- Human Participants & Specimens: [ethics.review@utoronto.ca](mailto:ethics.review@utoronto.ca)
- Cannabis & Regulated Substances: [ehs.cannabis.research@utoronto.ca](mailto:ehs.cannabis.research@utoronto.ca)
- Chemical Use: [ehs.whmis@utoronto.ca](mailto:ehs.whmis@utoronto.ca)
- Biological Agents: [ehs.biosafety@utoronto.ca](mailto:ehs.biosafety@utoronto.ca)



# Poll 5

The best way to assess what permits a researcher will need is to: (Select one answer)

1. Email the government
2. Google the requirements online
3. No permits are required, it's U of T
4. Complete the ROCO Research Needs Assessment Tool
5. Consult the stars



Credit: Opinion icons created by noomtah

# Research Financial Reporting & Audit (RFRA) VPRI



# Research Oversight & Compliance Office

## Research Financial Reporting & Audit

- Director
- Manager
- Research Accountants

Human  
Research Ethics

Animal Ethics &  
Compliance

Environmental  
Health & Safety

# Responsibilities - RFRA Team



**Invoices** if funding is received based on a cost recovery arrangement or fixed amounts



**Processing payments** from sponsors



**Financial reports**



**External audits**

# Preparing Deliverables for Sponsors: Key Elements

Approved budget

Expenses posted to the grant fund

Any matching required for the specific grant and supporting documentation (transactional listing/payroll distribution reports)



Any subgrant financial reports or cost recovery invoices



# Preparing Deliverables for Sponsors: Process

Research accountant prepares financial report/cost recovery invoice from accumulated information (FIS/Subgrantee/Payroll Distribution Reports) NOTE: If report must be prepared to budget categories that do not align to commitment items set up on the UTRAC, RFRA may ask Business Officer (BO)/PI for assistance

PI/BO reviews prepared report. Approves via signature.

BO/PI returns signed report to RFRA Research accountant submits it to RFRA Director for final review and approval

RFRA submits approved report to Sponsor

# Poll 6

Who is involved in preparing and approving financial reports for the research funding sponsors? (Select all that apply)

1. Principal Investigator (PI)/Business Officer
2. RFRA Director
3. PI's Chair or Dean
4. RSO Manager for that sponsor
5. RFRA Research Accountant



Credit: Opinion icons created by noomtah

# VPRI Website

[research.utoronto.ca](https://research.utoronto.ca)

Division of the Vice-President,  
**Research & Innovation**

The Division of the Vice-President, Research & Innovation (VPRI) has the expertise and connections to help researchers at every stage, by providing advice and resources. Working with our Faculties and affiliated hospitals, we are the administrative support hub for U of T's research and innovation activities.

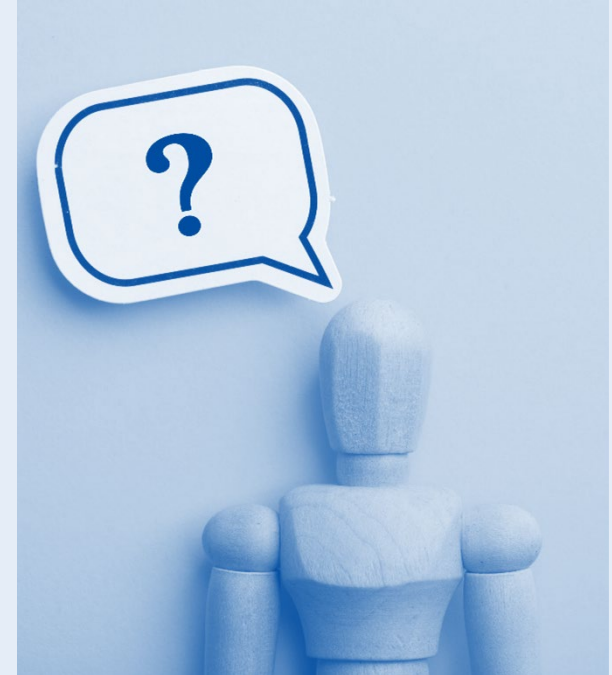
I need to...

**ON THIS PAGE:** [Upcoming Application & Nomination Opportunities](#) [CRIS Research Roundup](#) [Upcoming Workshops & Events for Researchers & Staff](#) [Research Alerts](#) [Forms & Templates](#) [Related Sites](#)

The University of Toronto is where transformative research and innovation is happening across a breadth of fields and disciplines.

|   |   |  |                                      |
|---|---|--|--------------------------------------|
| <b>#1</b><br>in Canada by top-ranking metrics worldwide | <b>\$1.49B</b><br>in sponsored research funding | <b>3rd</b><br>most cited university in the world | <b>330</b><br>Canada Research Chairs |
|---|---|--|--------------------------------------|

# Questions & Answers



# Post-Workshop Quiz



# Save the Date!

## **The Art of Managing a Research Budget**

Thurs., Nov. 21, 10:00-11:30am

# Feedback, please!



# Thank you!