

Research Development at Carleton University

January 29, 2013

Phase II: Internal Funding Envelopes to Support Research Development

1. Introduction

1.1 Background and Context

In order for research to flourish, a comprehensive plan to support research development is required. The focus of this document, the creation of funding envelopes to support, encourage and nurture research, is a necessary element of the plan. However, funding support alone is not enough if we are to achieve our goals. We also require:

a) An environment that considers research in a comprehensive manner and is characterized by close and effective collaboration amongst the Faculties and the central research administration. Clear articulation of research policies (e.g. indirect costs of research and conduct of research) and practices (e.g. research ethics, management of research funds, development of grant applications) are required and are currently being developed for discussion. In all of our activities, the synergy between research, teaching and graduate training must be emphasized.

b) Effective organizational support for our researchers and research clusters in the facilitation, preparation and management of their research grants and contracts, as well as events and recognition activities associated with their research. The on-going changes in the organization and mandate of the Carleton University Research Office (CURO) are addressing these issues. A review of the relationship and modalities of the various services that support research is required.

1.2 Characteristics of the Vice-President (Research and International) approach to research development and support.

With ambitious goals for the growth of the research enterprise at Carleton, we will invest our internal funds in areas where we believe we can have a significant impact. Funds will be allocated to encourage faculty to engage in research with novel ideas – this may be for a first foray or a new direction for a faculty member. We also believe inherently in rewarding success, and as such there will be no bias against well-funded research programs if they present a compelling case for internal funding. In addition, we recognize that faculty have different types of support needs over the stages of their careers, but we also have different expectations about the role faculty should be expected to play in advancing the research agenda at different career stages.

1.3 Focus of this Document

The purpose of this document is to streamline, announce and launch a series of central funding envelopes to support research development. The specific programs will be introduced and recommendations will be made regarding certain existing programs. Program guidelines have been developed for several of the funding envelopes and are well underway for others. In some cases, further discussion is required. A plan of action for the implementation of the programs in

a coordinated and strategic manner is suggested.

1.4 Characteristics of the VPRI Funding Envelopes

The goal of this initiative is to create a stable environment to support our researchers, whether they are individuals or teams.

Currently, internal funding for research activities at the University is provided by the Office of the Vice-President (Research and International) and each of the Faculties. The shared support of research continues to be an important element of the system and could be much more powerful with a co-ordinated approach that facilitates research development without duplicating service and support.

The funding for research support comes primarily from four main sources:

- Funds derived from the federal and provincial indirect cost programs (indirectly through central administration);
- Contract research overhead;
- Annual budget allocations from the University's operating budget to support specific programs;
- Funds allocated internally from specific agency programs.

The support of research provided by the OVPRI is to be divided into a series of programs, each with a specific budgetary envelope and explicit objectives. The programs are complementary in that an individual researcher or a group of researchers, through a Center or otherwise, can take advantage of more than one of the funding envelopes in support of their particular research program. They are designed to complement and acquire external funding opportunities. We must ensure that we do not become dependent on these programs such that they take the place of the various programs offered by the funding agencies, ministries and other external sources.

The plan that follows is seen as the basis for an on-going stable program to support research Development.

Several of the programs within this plan are competitive in nature, involve matching funds or contributions and/or require the input of the Faculties before funding decisions are taken. Accordingly, a critical element of this plan is the creation of an adjudication process whereby the submissions are forwarded to a Research Grants Committee where final institutional decisions are made regarding awards. The Research Grants Committee will be chaired by the VPRI and will include at least two representatives of Deans' offices, the Provost (or delegate), AVP (Research Planning and Operations), the Director of CURO and one faculty member from each Faculty who has demonstrated research excellence and research evaluation experience. This committee may be supplemented from time to time based on specific competitions, or sub-committees may be initiated as necessary.

2. Internal Funding Envelopes to Support Research

2.1 Categories of Funding Envelopes

The internal funding envelopes are organized into five main categories (umbrellas):

Catalyst Programs:

Catalyst programs provide support to individual researchers or teams to develop research projects or programs with the eventual goal of securing external funding. They are designed to address the challenges associated with acquiring new funding opportunities through seed funding for new projects and start-up funding for new researchers.

Development and Enhancement of Excellence Programs:

Excellence programs are designed to provide support to established researchers to encourage their participation in major high-profile competitions and to allow them to assume leadership roles in major research initiatives. In addition, smaller scale, high quality projects with significant leveraging potential will be considered in this funding envelope. The objective of this funding envelope is to increase the number of large scale research awards hosted by Carleton research teams/researchers in which Carleton researchers are significant partners.

Sustainability/Centre's Programs:

The sustainability/Centre's programs provide basic funding for research units such as centers, platforms, and networks. The level of funding is dependant upon whether the unit is well established or emerging, and the extent to which external funding has been secured or is planned.. Demonstrated linkages to academic priorities will also be a consideration given the dual nature of some research centres.

Outreach and Knowledge Mobilization Programs:

The Outreach program has been established to support events and activities stemming from research and creative activity undertaken at Carleton University. One of its main purposes is to provide a means for disseminating our research and creative activity accomplishments. It will support such things as workshops, seminars and conferences as well as exhibitions, performances and lectures. Emerging knowledge mobilization activities as well as scholarly publication support is consider as part of this envelope.

Contingency/Special Project:

The VPRI will maintain a special opportunity/contingency fund to support research activities that cannot be funded through existing envelopes either due to lack of fit, budgetary constraints or the time-sensitive nature of a particular opportunity.

2.2 Types of Funding

In order to provide support across the continuum, three different types of funding envelopes have been established based on the nature of the particular program. They are as follows:

Strategic investment: funds that are allocated based on relevance to our strategic directions and through established formula/guidelines but not through an adjudicated competitive process.

In the first phase of delivering on this strategy these will include: Conference planning support (Outreach and Knowledge Mobilization); Team Development (Catalyst); New Research Centres (Sustainability).

Competition envelopes: funds that are allocated through a competition process and based on an established set of guidelines for the particular program.

In the first phase of delivering on this strategy these will include: Proposal Development (Catalyst); Research Centres (Sustainability); Research Excellence Fund (Development/Enhancement) and Research Time Release (Development/Enhancement).

Matching funds: in this category, funds from the central funding envelope require matching funds or additional financial contributions from an external source or the Faculty.

In the first phase of delivering on this strategy these will be invested in areas required to leverage large scale programs (Development/Enhancement).