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Electronic Research Administration

Reflections on Research Management and Administration (RMA) in UK universities and in particular on Electronic Research Administration (ERA) and its perceived effect on the quality and quantity of research

Simon Richard Kerridge

A portfolio of evidence submitted in partial fulfilment

of the requirements of the University of Sunderland

for the degree of Professional Doctorate

VOLUME 1 of 2

April 2012

PORTFOLIO OVERVIEW

A professional doctorate consists of a doctoral report and an associated portfolio. The latter is referenced in the former in order to provide evidence for assertions made. This portfolio (in two volumes) contains the portfolio items for the doctoral report of Simon Kerridge on Electronic Research Administration, subtitled "Reflections on Research Management and Administration (RMA) in UK universities and in particular on Electronic Research Administration (ERA) and its perceived effect on the quality and quantity of research".

There a total of 148 portfolio items included which stretch to over 500 pages which unfortunately requires that the portfolio itself has had to split into two volumes. The items in the portfolio have been grouped into seven broad areas and have a unique Area and Number reference. Within the doctoral report (and indeed the portfolio itself), portfolio items are referenced using the following notation: (Area99). Where 'Area' is the broad group and '99' is a two digit number, for example the poster that I gave on Sunderland's electronic research administration systems (ERA22) at the INORMS conference in 2010 refers to item number 22 in the ERA area of portfolio.

There are seven portfolio areas:

- **ARMA (ARMA)**
- **Electronic Research Administration (ERA)**
- ERA Questionnaire (ERAQ)
- Esteem (Est)
- Focus Group (FG)
- Historical Items (Hist)
- Profession (Prof)

This first two areas (ARMA and ERA) are contained within this volume and the latter five (ERAQ, Est, FG, Hist and Prof) are in the second volume of the portfolio. Note that

some portfolio items are confidential and their contents are omitted. Also some items are lengthy and so the hard copy portfolio contains only an abridged version of these.

At the start of each section an index table is provided which describes each item and its significance in terms of the doctoral work. This information can also be found in the final chapter of doctoral report itself.

Learning Outcomes

The learning outcomes (knowledge and skills) required for the professional doctorate are:

K1 Deep understanding of the recent developments in their profession nationally and internationally

K2 Deep understanding of current theoretical frameworks and approaches which have direct relevance to their own professional context

S1 Make a significant contribution to practice within their chosen field

S2 Apply theory and research methodology within the workplace, and feel comfortable in integrating different approaches to address "messy" multidisciplinary problems in a rigorous yet practical manner

S3 Recognise budgetary, political, strategic, ethical and social issues when addressing issues within the workplace

S4 Reflect on their own work, and on themselves, and thus operate as a truly reflective independent practitioner

S5 Present and defend an original and coherent body of work which demonstrates, reflects upon, and evaluates the impact upon practice which they have personally made

Some portfolio items could cover almost all of these seven learning outcomes, in most cases the claims are restricted to just those outcomes which are the main foci of the item, normally two or three learning outcomes at the most.

Where portfolio items have confidential sections that have been redacted; these are indicated in the tables in the following sections with a red background for the reference. Similarly some items are not reproduced in full in the portfolio; these abridged items are indicated in the table with an orange background for the reference. Most of the actual portfolios items have yellow highlighting on them to help indicate my involvement or input.

The following table shows the distribution of doctoral learning outcomes by portfolio area:

Table 1: Distribution of Doctoral Learning Outcomes by Portfolio Area

Portfolio Area	K1	K2	S1	S2	S3	S4	S5	Items
ARMA	37%	0%	36%	0%	15%	12%	0%	32
ERA	25%	7%	26%	10%	11%	17%	5%	56
ERA Questionnaire	11%	0%	33%	39%	0%	11%	6%	8
Esteem	28%	8%	23%	7%	28%	5%	0%	23
Focus Group	0%	0%	0%	50%	25%	25%	0%	4
Historical	9%	9%	0%	36%	9%	0%	36%	4
Profession	37%	4%	33%	0%	11%	13%	2%	21

Whereas this second table shows the number of portfolio items that address each learning outcome with the distribution amongst the portfolio areas.

Table 2: Distributions of Portfolio Area items by Doctoral Learning Outcomes

Portfolio Area	K1	K2	S1	S2	S3	S4	S5
ARMA	25%	0%	24%	0%	19%	17%	0%
ERA	38%	58%	40%	46%	33%	55%	54%
ERA Questionnaire	2%	0%	6%	20%	0%	4%	8%
Esteem	17%	26%	14%	11%	33%	6%	0%
Focus Group	0%	0%	0%	11%	4%	4%	0%
Historical	1%	5%	0%	11%	2%	0%	31%
Profession	17%	11%	15%	0%	10%	13%	8%
Items	100	19	99	35	52	47	13

The following sections contain, for each portfolio area, a short context of the area, the list of the portfolio items and then the portfolio items themselves.

The ARMA (ARMA) and Electronic Research Administration (ERA) portfolio areas are in this volume, below; whereas the ERA Questionnaire (ERAQ), Esteem (Est), Focus Group (FG), Historical (Hist) and Profession (Prof) areas can be found in the second volume of the portfolio.

Table 3: Index of Portfolio Items in Volume 1

Portfolio Index - Volume 1

Item	Pages
ARMA Items	
ARMA01	12-18
ARMA03	19-20
ARMA05	21-21
ARMA06	22-22
ARMA18	23-24
ARMA19	25-25
ARMA20	26-26
ARMA21	27-27
ARMA22	28-29
ARMA23	30-30
ARMA24	31-36
ARMA25	37-38
ARMA26	39-39
ARMA28	40-44
ARMA29	45-46
ARMA30	47-48
ARMA32	49-49
ARMA33	50-55
ARMA34	56-57
ARMA35	58-58
ARMA36	59-61
ARMA37	62-63
ARMA38	64-64

Item	Pages
ARMA Items	
ARMA39	65-67
ARMA40	68-71
ARMA41	72-72
ARMA42	73-74
ARMA43	75-76
ARMA44	77-77
ARMA45	78-78
ARMA46	79-80
ARMA47	81-83
ERA Items	
ERA03	95-95
ERA04	96-102
ERA05	103-111
ERA07	112-112
ERA09	113-117
ERA14	118-124
ERA18	125-130
ERA20	131-133
ERA21	134-134
ERA22	135-135
ERA23	136-136
ERA25	137-139

Item	Pages
ERA Items	
ERA28	140-146
ERA29	147-150
ERA30	151-151
ERA31	152-153
ERA34	154-159
ERA35	160-161
ERA36	162-164
ERA37	165-169
ERA38	170-179
ERA39	180-183
ERA40	184-187
ERA42	188-194
ERA43	195-203
ERA45	204-204
ERA46	205-205
ERA47	206-206
ERA48	207-207
ERA49	208-208
ERA50	209-211
ERA51	212-213
ERA52	214-214
ERA53	215-215
ERA54	216-216

Item	Pages
ERA Items	
ERA55	217-217
ERA56	218-218
ERA57	219-220
ERA58	221-221
ERA59	222-230
ERA60	231-231
ERA61	232-232
ERA62	233-235
ERA63	236-238
ERA64	239-239
ERA65	240-240
ERA66	241-244
ERA67	245-246
ERA68	247-247
ERA69	248-248
ERA70	249-249
ERA71	250-250
ERA73	251-255
ERA74	256-256
ERA75	257-257
ERA77	258-258

The table above shows the page numbers where portfolio items can be found in this volume.

1 ARMA Portfolio Items

Portfolio items are grouped into these seven areas:

- **ARMA (ARMA)**
- Electronic Research Administration (ERA)
- ERA Questionnaire (ERAQ)
- Esteem (Est)
- Focus Group (FG)
- Historical Items (Hist)
- Profession (Prof)

This section contains the items pertaining to the ARMA area.

1.1 The Association of Research Managers and Administrators (ARMA)

Research Managers and Administrators in the UK are served by a number of professional associations (see chapter 3 in the doctoral report), the principal one being ARMA, the Association of Research Managers and Administrators in the UK (formerly RAG*net*) which has over 1,700 members. I have been a member of ARMA since 1997 and an executive committee / board member since 2000 and have played a long term role in the development of the association (see section 3.10 of the doctoral report).

There are a large number of items in this group which on the whole provide evidence for my contributions to the profession of Research Management and Administration. There are other ARMA related items listed under other areas, when they best fit there, predominantly in the ERA group.

After this introduction there is an index table of items in this section (an example is shown below), and the portfolio items themselves follow the index table.

Table 4: Sample Portfolio Index Table (ARMA)

Ref	Type	Description	Outcome(s)
ARMAxx	<type>	<title>	Kx, Sx
A short description of item ARMAxx with its relevance and importance in order to demonstrate the learning outcomes Kx & Sx that they address (K1-2; S1-5, see below for explanations of the learning outcomes). <type> is the type of the item, for example: report, email or presentation. <title> is the title of the item, for example: Invitation to join Steering Group. ARMAxx is the unique identifier for the portfolio item (xx is a two digit number) which is used to reference it in the doctoral report, or indeed from another portfolio item.			

Each item is described in the table, with two rows of information. The first row of the pair has the portfolio reference, type of document, short description and learning outcome(s) claimed. The second row describes the context and importance of the item, in order to substantiate the claim towards the learning outcomes listed in the first row. The actual portfolio items follow after the index table.

Note that the numbering is not contiguous as the items presented as evidence have been selected from a larger possible portfolio of items. So for example, item ARMA04 is a one page summary of ARMA's activities, but it was felt that this was not needed as evidence because it has been superseded by another item, the presentation on ARMA (Prof10) that I developed.

Also note that items with confidential sections that have been redacted are indicated by the reference number being coloured red.

1.2 Learning Outcomes

The learning outcomes (knowledge and skills) required for the professional doctorate are:

K1 Deep understanding of the recent developments in their profession nationally and internationally

K2 Deep understanding of current theoretical frameworks and approaches which have direct relevance to their own professional context

S1 Make a significant contribution to practice within their chosen field

S2 Apply theory and research methodology within the workplace, and feel comfortable in integrating different approaches to address "messy" multidisciplinary problems in a rigorous yet practical manner

S3 Recognise budgetary, political, strategic, ethical and social issues when addressing issues within the workplace

S4 Reflect on their own work, and on themselves, and thus operate as a truly reflective independent practitioner

S5 Present and defend an original and coherent body of work which demonstrates, reflects upon, and evaluates the impact upon practice which they have personally made

Some portfolio items could cover almost all of the seven learning outcomes above, in most cases the listings are restricted to just those outcomes which are the main foci of the item, normally 2 or 3 learning outcomes at the most.

1.3 ARMA Portfolio Index

Table 5: Portfolio Index Table for ARMA Items

Ref	Type	Description	Outcome(s)
ARMA01	Report	ARMA Annual Report 2008/09	K1, S1
This is an example of an annual report from the Association of Research Managers and Administrators (ARMA) that, as a director, I contributed to; it was circulated electronically to the approximately 1,350 members and in hardcopy to attendees the 2009 annual conference. On p5 it lists the Post Award Finance training session that I led in Loughborough. On p7 I wrote the Company Matters and Membership sections.			
ARMA03	Report	Post Award Financial Management (PAF) Programme	K1, S1, S4
This was the fourth iteration of the PAF training programme (and the third that I participated in), it has since run for a 5th time. I led the second and third and supported the other presenter, Andrea Tinson, in this the 4th event, helping her to lead her first ARMA event. The programme was updated after each event after reflecting on feedback from the delegates. This was my final iteration of the event as my job had moved away from post award and I no longer felt able to provide up to date information.			
ARMA05	Report	Speaker Biographies from the Nov 2009 PAF Event	S1
The 1 page speaker mini CV page that was included in the delegate packs for the Post Award Financial Management event (ARMA03). This was the first ARMA event that the other speaker had led, after my support from previous iterations.			
ARMA06	Report	Delegate bookings for Nov 2009 PAF Event	S1
This shows the 51 bookings (a few did not turn up on the day) for the event (ARMA03), from 36 different institutions; a mixture of old and new universities and some specialist institutions.			
ARMA18	Feedback	Evaluation from Nov 2009 PAF Event	K1, S3, S4
Nearly 50 people attended this course (ARMA03) (and a similar number for the previous two iterations that I was involved in). This feedback summary shows that our presentations and workshop sessions did indeed make a positive impact on most of the delegates.			
ARMA19	Report	Conference 2001 European Commission workshop	K1
I authored this report from the workshop (that I arranged) and it was distributed to conference delegates (about 90) and made available to the wider membership (approx 300). It includes reference to the European Commission's ERA submission system of the time, ProTool.			
ARMA20	Report	Conference 2002 Management Information workshop	K1
I authored this report from the workshop and it was distributed to conference delegates (about 80) and made available to the wider membership (approx 350).			
ARMA21	Report	Conference 2003 PGR Plenary Session	K1
I authored this report from the workshop and it was distributed to conference delegates (about 125) and made available to the wider membership (approx 400).			

ARMA22	Report	Conference 2004 fEC workshop	K1
I authored this report from the workshop and it was distributed to conference delegates (about 140) and made available to the wider membership (approx 600). I was subsequently asked by John Newton to present on fEC at an AURIL seminar in Newcastle the following year (Prof23).			
ARMA23	Report	Conference 2005 Je-S SRIF submission surgery workshop	K1, S1
I authored this report from the workshop and it was distributed to conference delegates (about 150) and made available to the wider membership (approx 800). I was also able to support the presenters, giving a research organisation perspective on using the Je-S SRIF submission screens.			
ARMA24	Report	ARMA Annual report 2009/10	K1, S2
p5 shows the Post-Award Finance (PAF – see ARMA03, ARMA05, ARMA06 and ARMA18) event that I delivered with Andrea Tinson. Page 6 shows the REF event that I ran the Newcastle iteration of. I wrote the Company Matters and Membership sections on p7. p12 shows me in the list of the board of directors, as company secretary.			
ARMA25	Report	ARMA newsletter #16, Jan 2009	K1, S1
The front page reports that the new website (that I, with Steff Hazlehurst managed the implementation of) had settled in. On p3 I also announced the forthcoming membership rates.			
ARMA26	Email	Result of the 2009 ARMA Election (Secretary position)	K1, S1
Of the roughly 1,350 ARMA members at the time, no-one stood against me and I was elected unopposed for a further 3 years as Director and Company Secretary.			
ARMA28	Slides	Initial version of fEC seminar 2007	K1, S1, S3
This seminar (and the workshops that followed) was attended by approx 50 people; it provided an opportunity for me to inform others of the fECAF system that I had developed at Sunderland. It resulted in an invitation to another University to provide advice on ERA systems development (ERA63). This session proved so popular (ARMA37) that it was re-run a month later (ARMA33).			
ARMA29	Slides	Mentoring session at INORMS2008	S1, S3, S4
At the second biennial INORMS conference on research management I ran a session on mentoring and presented it with a colleague that I had mentored (see ERA45) and a (now) colleague from Australia who had helped develop the Australasian Research Management Society (ARMS) mentoring scheme upon which the ARMA scheme was based. Around 20 people attended the session; including a number from overseas.			
ARMA30	Slides	Research Council Awards session at INORMS2008	K1, S1, S3
In conjunction with two colleagues (one from a pre-award perspective and one from a Research Council perspective) I organised and ran this session and gave the post-award perspective; it was attended by approximately 20 people; including a number from overseas.			
ARMA32	Email	Result of the 2006 ARMA Election (Secretary position)	K1, S1
Of the roughly 900 ARMA members at the time, no-one stood against me and I was elected unopposed to the position of Director and Company Secretary, from previously having been a non-executive director / board member.			

ARMA33	Slides	Follow-up version of fEC seminar 2007	K1, S1,S3,S4
The original event (ARMA28) was so popular that it was re-run; I was the only person who presented at both, and I led this second version. It was attended by approx 50 people and provided me with an opportunity to reflect on and learn from my performance from the previous months. I also managed the workshops and chaired the panel session.			
ARMA34	Report	RAG*net* Newsletter 3, Jul 2004	S1
This is one of the first electronic newsletters that RAG*net* produced; on the first page it lists me as elected committee member with responsibility for membership and recruitment. It has a short report on the 2004 conference in York that I organised.			
ARMA35	Report	Programme of talk on US Funding Sources (2003)	K1, S1
I was the only non-US speaker at this expert seminar on US funding (based on my experience of visiting funders in the US the previous year on a study tour, and of making a proposal to the NSF). There were around 50 delegates for this event.			
ARMA36	Report	Evaluation of the talk on US Funding Sources (2003)	S1, S4
This evaluation from one of my first presentations (see ARMA35) gave me cause for consideration. I had thought that I had prepared well but my nervous delivery masked the information that I tried to get over. In terms of reflection this feedback, although in my heart I knew it was coming, was certainly a critical incident. I needed to prepare even better, use appropriately sized content, and speak up, confidently.			
ARMA37	Report	Evaluation of the fEC Seminar in Leeds 2007	K1, S1, S4
Yet again I managed to be the lowest scoring speaker, but certainly my performance had improved over the four years since the US Funder talk (ARMA36). So much so that I was successfully able to run the second iteration of this event in London (ARMA33).			
ARMA38	Program	Supporting Research Proposals programme (2004)	S1, S3
I was involved in initiating the SRP training seminar series in 2004; this is the programme from the first iteration of the event. It ran again later that year and then again in 2006 (ARMA40) and now runs about once a year.			
ARMA39	Slides	Presentation from the first SRP event (2004)	S1, S3
The slides from my part of the first iteration of the daylong event (see ARMA38) on supporting research proposals (SRP).			
ARMA40	Slides	Presentation from the third SRP event (2006)	K1, S1, S3
This third iteration of the popular SRP series was the first after full economic costing (fEC) in the UK, so I had to develop this additional section, demonstrating my knowledge of the recently introduced costing and pricing methodology.			
ARMA41	Minutes	RAG*net* AGM minutes from 2000	K1, S1
These minutes from the AGM show my election to the executive committee of RAG*net* for my first 3 year term April 2000 to March 2003 as a non-executive director.			
ARMA42	Minutes	ARMA AGM Minutes from 2007	S1, K1
These are my first set of Annual General Meeting (AGM) minutes as ARMA secretary.			
ARMA43	Minutes	ARMA AGM Minutes from 2009	S1,K1
This reports my re-election as ARMA director and company secretary for a final term from August 2009 to Jul 2012.			

ARMA44	Program	Programme of the second PAF event (2008)	K1, S1
The original Post Award Finance (PAF) event was run in the December of 2007 and I was drafted in to run the second iteration in Sept 2008 in Loughborough with one of the original presenters. I have run (and refined) this course a further two times, in April (ARMA45) and November (ARMA03) 2009. The course covers post award finance of research projects including: context (national funding mechanisms), cradle to grave finance processing, sustainability and incentivisation, forecasting, and audit, as well as workshop sessions on funding scenarios			
ARMA45	Program	Programme of the third PAF event (2009)	K1, S1, S4
Building and reflecting on the success of previous iteration, I updated the programme and slides for this April event in Manchester. It was followed late the same year with another iteration in London (ARMA03)			
ARMA46	Program	Programme of the 2001 ARMA Spring Workshop	K1, S3
After the original conference organiser went on maternity leave I took up the organisation of the conference in terms of logistics and speakers. The conference in Newcastle was attended by nearly 100 delegates and speakers; see https://www.arma.ac.uk/news/conferences/sc01rpt.xhtml (accessed 25th April 2011, login required). I also produced one of the conference session reports (ARMA19).			
ARMA47	Program	Programme of the 2004 ARMA Spring Conference	K1, S3, S4
From the outset I undertook the logistical and programme arrangements for the conference held in York in 2004, learning from my experiences in 2001, and from other previous conferences. The event (see https://www.arma.ac.uk/news/conferences/sc04rpt.xhtml, accessed 25th April 2011, login required) was attended by over 150 delegates and speakers including the keynote Dr Ian Gibson, MP, Chair, House of Commons Select Committee on Science and Technology and hence also attracted the first press attendance at an ARMA event. I also produced one of the conference session reports (ARMA22).			

1.4 ARMA Portfolio Items

(follow on the next page)



uk arma Association of Research Managers and Administrators

Annual Report 2008/09

Chair's Report

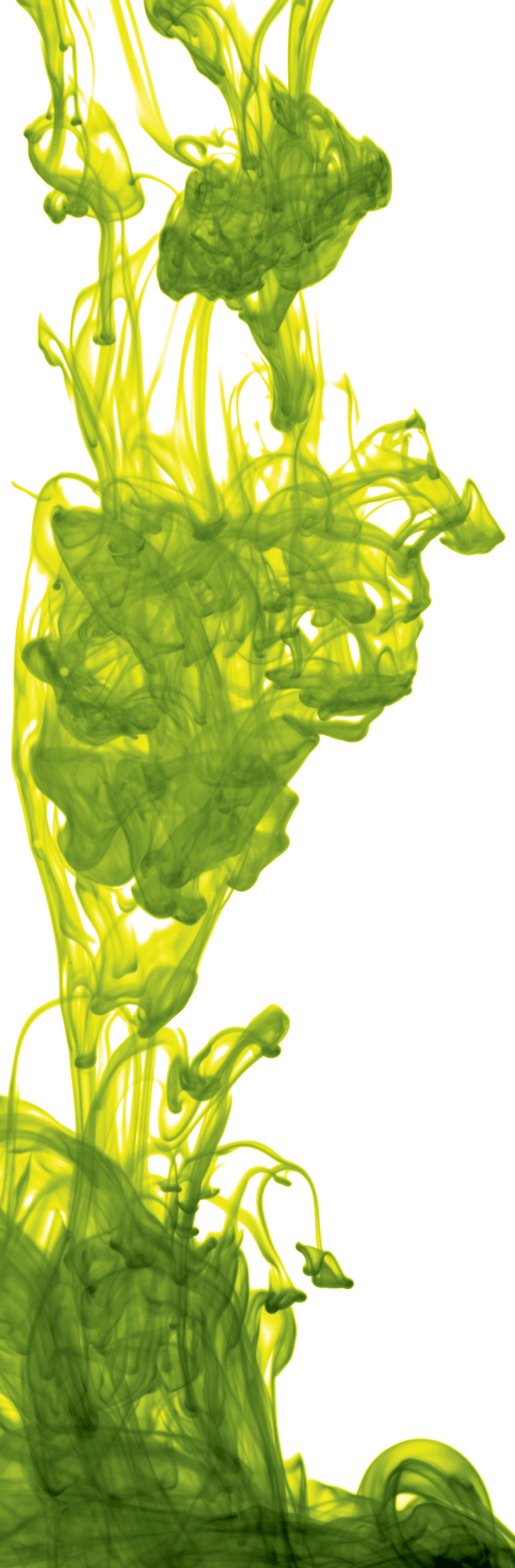
08/09 has been a year of consolidation for the Association, with a steady membership level, and completion of some back-office systems development work. It wasn't without incident, however, especially in connection with those system changes, which caused some disruption, especially at the beginning of the year in relation to membership renewals and conference bookings.

The conference in 2008, which was coupled with the Second INORMS (International Network of Research Management Societies) Congress was our largest yet, by quite some way. It comprised a two-day conference, along with pre- and post-conference seminars, posters, an exhibition, and various social and orientation events. The event attracted over 500 participants from 30 countries, with more than 100 speakers. It received very good feedback about the quality of the event, and maintained the standard of ARMA events. I would like to thank all of our speakers, our sponsors (Agresso, Evidence and Symplectic, and ResearchResearch), and the organising team, all of whom made it a success.

The reports on our training and events provision and on our finances are positive. The events continue to get high ratings, and most fill up very quickly. One of our challenges continues to be organising (logistics and content) the full range of provision that we would like to be able to offer, and to do so in a way that provides adequate advanced warning. In wanting to meet this goal, we continue to be keen to involve more members in our committees (training, member services, and conference), and in direct involvement in the logistics and delivery of the programme.

Our national and international profiles have been maintained, with continuing involvement in a number of UK working groups (RCUK, HEFCE, and UUK), and invitations to join several others, plus our role in helping to establish WARIMA in the West of Africa. In the wake of the conference, a number of individuals and organisations have approached the Association seeking assistance either in establishing a national or regional equivalent, or asking us to support them in one or more courses.

As usual, I would like to thank the ARMA office staff, Rosemary Hatch and Jenny Stevens, for their inestimable support to the Board and the membership. I would also like to thank my fellow Directors, and in particular the Executive Directors, for their contributions and support. During the year, Kathy Brownridge, Steff Hazlehurst, and Hitesh Patel came to the end of their terms, and Rob Sykes and John Rogers stood down; my thanks and best wishes to them.



Training Report

Over the past year, ARMA has run a total of 13 events (including the annual conference) with a record total of 999 bookings on events for this period, partly due to the increased numbers attending the 2008 conference. The enclosed table lists the events and shows the number of delegates as well as the average score from the evaluation form.

As might be expected as a result of hosting the 2008 INORMS congress, there has been an increase in international training activity in the past year. Even before the Congress, ARMA supported the formation of WARIMA (the West African Research and Innovation Management Association), in collaboration with the ACU (Association of Commonwealth Universities). This resulted in a team of ARMA presenters leading a Fundamentals of Research Workshop in Accra, Ghana on 31st March and 1st April 2008 which was mainly attended by Deputy Vice Chancellors and Deans from the region with responsibility for research. At the INORMS congress, the already successful "Fundamentals of Research Administration" course was adapted and parallel sessions were offered for UK and international audiences, attracting a total of 91 delegates. Many of the international delegates subsequently commented on their desire to work more closely with ARMA as they seek to set up their own national or regional professional associations and as research management emerges as a focus in their institutions and geographical areas. These conversations have only served to reinforce the similarities of the challenges facing colleagues around the world. Many have also stated that their funding and institutional setup matches closely with that in operation in the UK, meaning that ARMA is very well-placed to support these colleagues as they progress research management in their home regions and institutions.

The Training committee has discussed the popularity of ARMA's entry level courses, specifically the Induction workshop and the Supporting research proposals and Post-award financial management Training seminars. As these courses reflect some of the core skills required by research administrators early on in their careers, we have been piloting running these courses more frequently in different parts of the country. The long-established Induction workshop takes place in September/October and a one day condensed version of the programme has been offered as the "Fundamentals of Research Administration" on the day preceding the annual conference in May/June for a number of years. The pilot involved running the Fundamentals course again in Manchester in March, with the aim that people joining the profession would not have to wait more than 3-4 months before an induction level course was available to them. Similarly the two Training seminars have been run in Autumn 2008 and Spring 2009, again to make them more accessible to people early on in their careers. The success of the pilot will be evaluated by the Training Committee and the outcome of this will be reported in subsequent newsletters and reports.

Despite our apparent emphasis this year on entry level courses, we remain committed to offering a broad range of courses for people at all career levels and in different specialist areas. Our Senior Managers Residential Workshop is now well established and serves as the starting point for us to seek to develop more training provision at this level. The Training Committee will continue to review and refine our training portfolio at all career stages and introduce new seminars as and when topics arise and speaker teams can be sourced to take forward these events.

Similarly, we are keen to work in partnership with other organisations where they have particular complementary expertise. The one day joint ARMA/Praxis contracts course, which ran for the first time in 2008/09, is an excellent example of our willingness and desire to work with other organisations which have an established and strong track record of providing high quality courses in a specialist area of interest to ARMA members. We anticipate that this move towards greater collaboration will continue in the future.

For some time, the Board and Training Committee have been working towards producing a more formalised annual calendar of events. Whilst recognising that ARMA events are still very popular with members, we are also conscious that managers have to decide on staff development priorities within fixed (and limited) annual budgets. We are therefore committed to publishing an annual calendar of events to enable managers to prioritise their staff's training needs more effectively. The Residential workshops and Conference are now all scheduled well in advance and one day Training and Expert seminars are scheduled around these fixed dates as far in advance as possible and publicised well in advance through the ARMA website and newsletters.

Finally, as we seek to run more events and broaden the range of topics offered, it becomes more critical for us to increase the number of people involved in delivering events. The Board is always keen to engage people in more active membership of ARMA and assisting with a specific event is an ideal place to start. We are always looking for good venues and new speakers, so if you would like to engage more with the Association, please contact us for more information on how you can do this. We hold "Active Member" workshops each summer where we give information on ARMA activities and offer members the opportunity to become more involved in the running of the Association.

INORMS Conference 2008: Exploring similarities: national and international research management and administration
17-18 June 2008, Liverpool
ARMA was fortunate in being able to host the biennial INORMS congress as part of the annual ARMA conference in 2008. The event attracted delegates from North America, Europe, Africa, Asia and Australasia. The next INORMS congress will take place in Cape Town, South Africa in April 2010.

The Congress programme had an exciting mix of topics across nine themes, with plenary, keynote, and 45 parallel sessions, involving over a hundred speakers from ten countries. The keynote address was given by Professor Drummond Bone, Vice-Chancellor, University of Liverpool, who provided a vice-chancellor's perspective on the internationalisation of research. The opening plenary session addressed trends in research strategy and management from 3 different geographical perspectives (US, UK and Africa).

Expert seminar: Comparative approaches to research assessment
16 June 2008, Liverpool
The assessment of research takes numbers of forms and can apply to individual projects (before or after), to outputs (for publication or exploitation), or to groups of activity (departments or institutions). A number of countries operate national research assessment mechanisms that are used to inform their funding mechanisms. They are all in various stages of development and evolution, and are significantly influenced by political interests and drivers.

This seminar explored the alternative approaches, the policy drivers that are being used, and the effects they have on individual and institutional behaviours. The systems of Australia, New Zealand and the UK were discussed in more detail, including some of the changes being introduced and an opportunity was offered to discuss the approaches an institution might take.

Expert seminar: Research ethics in an international context: square pegs and round holes?
19 June 2008, Liverpool
As research projects increase in scale and reach to address the major issues of the day, research which crosses national and cultural boundaries is increasingly common. This workshop focused on some practical issues in research ethics, especially (but not only) in relation to human subjects. Two aspects in particular were discussed in depth: approaches to ethics review of proposed research, and the realities of securing informed consent in cross-national and cross-cultural research.

As well as sharing experiences and shedding light on these important subjects, the workshop provided participants with new contacts and sources of help and advice when supporting researchers engaging in cross-cultural and cross-national research.

The Board is always keen to engage people in more active membership of ARMA

Induction workshop: An introduction to research administration
24-25 September 2008, Burleigh Court, Loughborough

Fundamentals of Research Administration
16 June 2008, Liverpool
(UK and international programmes)
23 March 2009, Manchester
The annual Induction workshop is aimed at people with less than one year's experience in research administration, whether in a research centre or departmental position, or in a central role. The programme looks at varying roles and responsibilities of a research administrator, gives information on the professional context and organisation of research, the policy and funding environment, costing and pricing issues, and provides an insight into project management, people issues in research, research integrity and exploitation. Above all, it offers delegates the opportunity to meet and network with other new research administrators.

As this workshop continues to sell out quickly with long waiting lists, we have been developing ways to meet demand for the course at other times of the year. In 2008/09 the course was offered once again as a one day programme, known as the "Fundamentals of Research Administration", directly prior to the annual conference in Liverpool in June. Given the international flavour of the 2008 conference, two versions of the "Fundamentals" course ran, one aimed at UK delegates, while the other catered specifically for international delegates, particularly those from countries where research management is a new and emerging area. As a new departure this year, the course has also been offered in Manchester in March, in a pilot to assess the demand for this event to be run 3-4 times a year in different cities to try to ensure that entrants to the profession are able to attend the course within the first few months of their appointment.

Research Contracts
(jointly badged Praxis/ARMA course)
3-5 November 2008, Nottingham
Research Grants and Contracts are fundamental to the activities of universities. As the focus grows on commercialising the research undertaken in universities, it is ever more vital that the contracts that frame research funding are developed with one eye to the future. A bad contract can hinder future research development and fail to fairly divide rights to intellectual property and future applications of new inventions.

Those working in this complex area also cope with ever increasing workloads, bringing the challenge of prioritising contracts and balancing the use of process and model agreements with delivering a bespoke contract for each deal.

This course aims to help research contracts professionals to meet these challenges and to develop technical knowledge which will help them to confidently draft, interpret and amend contracts, whilst building strong relationships and consensus with their stakeholders.

The 3-day course enables delegates to: understand how the Research Contracts role fits in to the internal structure of the university, effectively research the context of the contract, understand the key relationships, positions of stakeholders and what are minimum "acceptable terms" for the contract, understand and interpret key contract clauses and confidently assess how amended clauses will impact the deal, utilise model agreements where appropriate, utilise techniques to ensure contracts are costed effectively, manage the negotiations in a flexible and assertive manner and follow up the finalised contract to manage the implementation.

Post-award financial management Training seminar
26 September 2008, Loughborough
The seminar aimed to provide delegates with a broad understanding of post-award research administration in the context of the overall environment of research management and administration and a specific and practical understanding of the processes for post-award financial administration. The programme is aimed at financial administrators and accounts staff responsible for the day-to-day administration of research accounts and takes a cradle-to-grave approach. It takes a detailed look at the reality of research accounts, especially under the fEC regime, but also aims to contextualise the work of financial administrators as part of both the wider research administration sphere and of non-research finance more generally.

This Training seminar is now part of our core offering of events, running at least once a year in the autumn term and we are currently piloting more frequent iterations.

Supporting research proposals training seminar
13 November 2008, London
This established one-day seminar is aimed at those wishing to develop their skills in supporting academics in the research proposal process. Building on the Induction Workshop, sessions focus on: preparing a project budget, supporting academics in the writing of proposals, quality assurance processes, other related issues such as risk management and ethics, submitting proposals and includes an overview of the peer review process. The principles of full economic costing are integrated into the course. It is aimed at recently appointed research administrators, and departmental/faculty administrators involved in the preparation of research proposals. This training seminar runs at least once a year in the autumn term and we are currently piloting more frequent iterations.

Strategic research management in a changing environment: senior managers' workshop
22-23 January 2009, Oxford
Our workshop for senior managers focuses on issues related to research strategy development and implementation, with sessions on strategic leadership and management; the policy environment; the role of a research strategy in planning, institutional policy-making and management; strategic finance issues; strategic people issues; models of research support; and the relationships between research, knowledge transfer and teaching. A group case study exercise runs throughout the course and provides ample opportunity for attendees to network with other members of the profession.

This Residential workshop is aimed at administrative and academic Research Managers in, or aspiring to, senior positions. Administrative managers are likely to be newly appointed Heads/ Deputy Heads of Research Offices, or senior faculty managers, or those aspiring to such positions for their next career moves. Academic managers were the PVCs Research of the future, including those with responsibility for research at Faculty or School level, or those recently appointed to such roles.

This course is now run annually and is a popular part of our training offering for more experienced managers. Participants particularly appreciate the opportunity to mix with academic managers of research and the group work, although challenging, enables participants to learn from each other as well as the course leaders.

Research contracts Training seminar (jointly badged ARMA/Praxis course)
9 February 2009, London
This one-day training course organised by ARMA in partnership with Praxis ran for the first time in 2008/09 and is now intended to form part of the annual training provision. Praxis is a national training programme aimed at technology transfer professionals working in universities, research institutions and industry and is an ideal partner for ARMA when providing training in this specific area. The programme included sessions on different types of research contract, an introduction to contract law, Lambert Agreements and incorporated a group activity, examining specific case studies and using information gained throughout the day to make informed decisions. The course aimed to provide delegates with the appropriate information to enable them to produce contracts which are fit for purpose.

This course is targeted at departmental staff or staff in research offices whose primary role is not contract-driven. Contract specialists who are new in post might find this a useful pre-cursor to the regular three day Praxis contracts course. It provides attendees with an overview of the types of contract used within the sector, an introduction to contract law and how those laws impact upon the construction of a contract. It provides a natural, more in-depth follow-on from material covered at the ARMA Induction Workshop.

Event type	Title	Delegates	Average evaluation
Annual conference	INORMS congress "Exploring similarities"	452	4.15
Executive Forum	Executive forum	39	N/A
Expert seminar	Comparative approaches to research assessment	58	3.99
Training workshop	Fundamentals of research administration (UK delegates)	51	3.94
Training workshop	Fundamentals of research administration (international delegates)	40	4.32
Expert seminar	Research Ethics – post conference seminar	26	N/A
Training seminar	Research & VAT	40	3.91
Residential workshop	An introduction to research administration	54	4.21
Training seminar	Post-award financial management	41	4.08
Training seminar	Supporting research proposals	59	4.27
Residential workshop	Senior Managers' workshop	24	4.32
Training seminar	Research contracts (organised in collaboration with Praxis)	59	3.82
Training workshop	Fundamentals of research administration	56	4.32

Membership & Services to Members

Company Matters
During 2007/08 there were as usual a number of changes in directorship. Steff Hazlehurst left the Board when her term of office expired in May 2008 and David Langley was elected as Deputy Chair to replace her. Steff's contribution to ARMA was significant and her commitment enormous. John Rogers resigned from the post of Treasurer for personal reasons and was replaced by John Green, who joined the Board for the first time. Both Ray Kent, Lita Denny and Sheena Bateman were re-elected for a further term. Lita has taken on the responsibility of Conference Director, a hugely important and busy job for the organisation. Karen Sergiou and Anna Harding were both elected to the Board for the first time.

A decision was taken at the last AGM to reduce the number of Board members over time and, therefore, only one directorship has been advertised this year.

Membership
During 2008/9 membership was steady, with over 1100 members at the end of year. Once again, numbers have been boosted by even more institutions taking advantage of the group membership discount scheme.

Services to Members
Member Services was consolidated as a new delivery area to complement training and conference in 2008, and continues to develop.

The study tours to a range of funders, ably organised by Sheen Bateman, continue to be popular and are usually full within minutes of being announced. This year we have provided four study tours for members – to the Medical Research Council, Cancer Research UK, the Leverhulme Trust and the ESRC.

Without exception all the tours were supported with programmes that were timely and relevant to the funder, but also placing this within the wider research context. Study tours offer a unique opportunity for research managers and administrators to engage directly with sponsors on current and forthcoming issues. Overall, the sponsors provide good quality programmes and attempt to cover as many key areas as possible during the course of the day. Members get to meet a number of key managers within the sponsor organisation both through the delivery of their presentation, but they also often join the members for networking over lunch. Publications are often available for members to take away with them, and we aim to forward electronic versions of the presentations soon after the events take place to encourage members to take back and share the information with their colleagues. Networking is a major attraction for members and in this respect, the Study Tours are an ideal incubator for this kind of activity. Provision for regional and expertise groups of members is continually being followed up.

We have recently re-launched the mentoring scheme and have implemented some system improvements to allow us to manage this better. The scheme builds on an earlier, successful pilot. This year we will have six mentor-mentee pairings and, as ever, we have many more requests from mentees than we have mentors. We always welcome interest from potential mentors.

The Resources section of the website will shortly be re-opened as a body of knowledge for ARMA members.

The INORMS 2008 conference was a huge success and this year we will, in association with the Association of University Administrators (AUA), edit and publish an edition of their journal Perspectives, which will be dedicated to research administration.

Finally, the Board have decided to restrict access to the ARMA mailing list to members rather than maintain it as an open list. Many members find this a useful resource and forum and it seems only right that paying members receive the benefit of this service.

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Treasurer's Report

The accounts include transactions for the Association for the period 1st April 2008 to 31st March 2009. They are now prepared on an accruals basis using SAGE accounting software, which has improved the company's ability to monitor and manage its finances. Debt chasing can now be undertaken on a monthly basis.

An e-merchant account, enabling online payments by credit card was successfully introduced in June 2008; some 5% of all transactions are paid using this method and the number is increasing each month.

In 2008, the Association took on the challenge of organising and hosting the INORMS International Congress in Liverpool. In financial terms, the organisation of such a large event challenged our cash flow, since invoices for deposits preceded the inflow of receipts from delegate registration. Bad debts of £9,609 resulted from international bookings which did not materialise into payments. The bank balance at 31st March 2009 was £66,993. A healthy cash flow has been maintained following INORMS, with payments being made more promptly than in previous years. Deposits for the 2009 conference have not been required, since the company has now been able to register a strong credit rating , thus giving confidence to suppliers.

Turnover in the year was over £357,000, with an operational profit of just over £24,000. The review of event costing and pricing has been successfully completed; budgetary planning has been implemented for all events including cash flow projections for the annual conference.

Refinements to the new website continue. The site is now secure, with SSL certification. Improvements have been made to the booking and invoicing system to avoid future bad debts.

The ARMA Group membership discount scheme is now in its fifth year: the number of groups has been increased yet again (to 51), with over 800 members now within institutional groups. Membership numbers dropped mid-year, following the introduction of a new system of generating subscription invoices online. However, 225 members have re-joined the Association since 1st January 2009 and the invoice system is now well accepted and is no longer inhibiting renewals.

ARMA successfully applied to HM Customs & Revenue to be included on their Approved List of Suppliers from 1st April 2009; this is welcome news for members since it ensures that there are no tax implications for those whose subscriptions are paid by their employers.

As a mutual trading association, ARMA is not liable for Corporation Tax on surpluses generated. The Association is, however, liable for Corporation Tax on bank interest earned - £420 will be due for 2008/9. Bank interest has, not surprisingly, dwindled due to low interest rates towards the end of the financial year.



The Association of Research Managers and Administrators (Uk)

Profit and loss account for the year ended 31 March 2009

	Year Ended 31.3.09		Period 1.2.07 to 31.3.08	
Turnover	£	£	£	£
Membership fees	55,025		60,789	
Events income	263,707		204,699	
Other income	38,893		22,868	
Surplus from association	-		77,418	
		357,625		365,774
Other income				
Deposit account interest		1,999		5,236
		359,624		371,010
Expenditure				
Staff costs	37,561		75,688	
Governance	10,387		11,822	
Events costs	151,872		120,024	
Membership services	(244)		300	
General & office costs	82,434		31,182	
Professional services	14,230		43,556	
Non-recurrent expenditure	27,523		36,493	
Bad debts	9,609	-		
		333,372		319,065
		26,252		51,945
Depreciation				
Computer equipment		1,675		805
Net Profit		24,577		51,140

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Membership fees	2009 £	2008 £
Individual membership fees	20,807	34,760
Group membership fees	32,333	25,891
Corporate membership fees	1,885	138
	55,025	**60,789**

Events income		
Conference	131,739	97,373
Expert Seminars	22,750	13,610
Training Seminars	61,870	25,825
Residential workshops	47,348	64,746
Adjustment for prior year	-	3,145
	263,707	**204,699**

Other income		
Sponsorship & advertising	32,070	22,763
Bursaries	6,923	-
Miscellaneous	(100)	105
	38,893	**22,868**

Staff Costs		
Contract staff	36,101	75,604
Casual staff	1,459	84
	37,561	**75,688**

Governance		
Committees	8,402	9,079
Advisory group	557	-
Elections	522	306
INORMS	-	1,699
Other professional associations	-	201
Officer training	-	175
Miscellaneous	906	363
	10,387	**11,822**

The Association of Research Managers and Administrators (Uk)

non-statutory notes to the profit and loss account

Event costs	2009 £	2008 £
Venue costs	84,653	102,484
Speaker costs	16,801	8,799
Organiser costs	8,856	7,765
Catering	33,277	-
Accommodation & hospitality	2,205	-
Event stationery	2,896	-
Event equipment	189	-
Event insurance	1,607	-
Miscellaneous	1,388	976
	151,872	**120,024**

Membership Services		
Mentoring scheme	-	35
Active members	(244)	244
Miscellaneous	-	21
	(244)	**300**

General & office costs		
Premises	8,617	6,674
Computer maintenance & support	8,002	3,865
Office consumables	5,427	4,111
Postage & carriage	3,620	2,370
Printing	41,338	13,382
Telephone	1,615	-
Travel	820	-
Bank & credit card charges	1,886	461
Loss on foreign exchange	57	-
Insurance	526	-
Advertising	94	-
Website hosting	10,417	-
Miscellaneous	15	319
	82,434	**31,182**

Professional services		
Legal fees	11,805	-
Accountancy	2,425	1,140
IT services	-	383
Design fees	-	34,136
Other professional fees	-	7,897
	14,230	**43,556**

Non-recurrent expenditure		
New website	27,523	36,493
	27,523	**36,493**

Board of Directors

From June 2008

Directors and Officers of the Association
Chair
Ian Carter, University of Sussex

Deputy Chair, Membership Services
David Langley, University of Bristol

Deputy Chair, Training
Pauline Muya, Birkbeck College,
University of London

Treasurer
John Green, Imperial College London

Secretary
Simon Kerridge, University of Sunderland

Director of Conference Planning
Lita Denny, University of Manchester

Directors
Sheena Bateman
Keele University

Nigel Bilsbrough
Loughborough University

Jonathan Cant
University of Hull

Anna Harding
University of Leicester

Ray Kent
Loughborough University

Ian McCormick
University of East Anglia

Karen Sergiou
Imperial College London

Maggy Taylor
Manchester Metropolitan University

Tony Weir
Heriot-Watt University

Mark Wight
The Open University

Executive Administrator
Rosemary Hatch

Finance Administrator
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Post-Award Financial Administration

Aeonian Heritage Rooms, Bloomsbury Square, London

18 November 2009

Target Audience

New or fairly new research administrators and accounts staff, especially those based in central offices, with responsibility for post-award financial administration of live research accounts. Participants will include those working in post-award-only sections and in broadly-based research offices, as well as some faculty/departmental staff.

Prior knowledge required

Participants will be expected to have basic accounts experience in a university environment and understand financial terms such as ledger, journal and accrual. Please note that this is an introductory level course particularly suitable for those who are new or fairly new to post-award research administration.

Following feedback from previous seminars,this programme is aimed at financial administrators and accounts staff responsible for the day-to-day administration of research accounts and will take a cradle-to-grave approach. The seminar will take a detailed look at the reality of research accounts, especially under the fEC regime, but will aim to contextualise the work of financial administrators as part of both the wider research administration sphere and of non-research finance more generally.

The day will include a mixture of presentations and exercises/discussions in small groups. A comprehensive delegate pack will be provided.

Objectives

To provide delegates with a broad understanding of post-award research administration in the context of the overall environment of research management and administration and a specific and practical understanding of the processes for post-award financial administration.

Andrea Tinson, Research Development Manager, School of Social Sciences, City University, London

Simon Kerridge, Head of Graduate Research Support, University of Sunderland

Programme
Price
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Programme

9.00 Coffee, Registration, Introductions

Post-award administration in context

09.30 How research is funded in the UK, including the dual support system, QR and fEC (and TRAC)

Workshop Session 1 - Grant Scenarios

10.00 In groups, delegates will be given post award finance scenarios to work through and discuss the issues and problems involved.

Post Award Finance - Cradle to Grave

10.15 Covering the whole lifecycle of project finances from the award letter to final reports and project closure. Including: setting up budgets, reporting DI and DA costs, profile payments, time sheets, salary costs, estates and indirects, income/expenditure budgets, monitoring budgets, virements, ineligible expenditure. DA in project adjustments, accruing/deferring, internal reports (what can a PI spend?), external reports, cash-flow, debt chasing, end dates and deadlines, foreign exchange and VAT.

11.00 *Coffee*

11.30 Post Award Finance - Cradle to Grave (continued)

Sustainability and Incentivisation

12.15 Looking at the financial sustainability of research and incentive schemes for academic staff, and key performance indicators (KPIs)

Discussion Session

12.45 Incentives and KPIs. Delegates should come prepared with information about incentive and relevant KPIs from their institutions for discussion in groups.

1.15 Lunch

2.00 Introduction to Forecasting
How and why is forecasting of research income done.

Workshop Session - Further Grant Scenarios

2.30 In groups, delegates will be given further post award finance scenarios to work through and discuss the issues and problems involved.

3.15 Tea

Audit

3.30 The requirements and issues for different types of audit: internal, external, research council and EU.

4.00 **Summary** of the day and a further chance for questions and discussion.

4.30 Close

Price

ARMA members: £197.00
Non-members: £260.00

The higher rate for non-members includes annual membership of ARMA for the period until 31st March 2010. For tax reasons, ARMA events are open to members only. If you are not yet a member, you will be able to join in the course of making your booking. If you are already a member, please log in before when booking.

Please be aware of our Terms & Conditions of booking

Venue and Travel

The seminar will take place in London on 18th November at the Aeonian Heritage Rooms, Bloomsbury Square, London WC1B 4DA.

Queries

The contact for general queries is Rosemary.

For specific queries relating to the event, please contact Andrea Tinson or Simon Kerridge.

Booking

ARMA reserves the right to limit the number of participants from any one institution. If you wish to make a large number of bookings, please contact Rosemary before doing so.

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Post-award financial administration

London, 18 November 2009

The Presenters

Simon Kerridge

Head of Graduate Research Support and
Assistant Director (Research),
Academic Services
University of Sunderland
Email: Simon.Kerridge@sunderland.ac.uk

Simon has worked in the University of Sunderland's central research support office since 1995, the current incarnation of the office (GRS) covers research strategy, pre-award research management and administration and post graduate research student administration. He also has a number of cross University roles including development of electronic research administration systems (with an eye on REF). His main 'project' at the moment is the developing, monitoring and supporting the new Beacon Areas of research at Sunderland Simon sits on a number of Research Councils groups and is an ARMA Director (and the Company Secretary).

In various previous lives Simon has been a Researcher (in Computer Science) at both Sunderland (including coordinating an EU ESPRIT project) and Durham Universities and a Director of a (very) small software consultancy.

Andrea Tinson

Research Development Manager,
School of Social Sciences
City University
Email: andrea.tinson.1@city.ac.uk

Andrea has been at City for more years than she cares to remember i.e. twenty years. During this time she has done every job in the research office and worked her way up to the managers role. Andrea has dealt with pre and post awards from balancing of projects to agreeing contracts. She implemented fEC at City from designing the internal forms to presenting internal workshops on how to cost projects under fEC. More recently she has moved into the City School of Social Sciences as their Research Development Manager.

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Confirmed bookings **Post Award Financial Administration: 18th Nov 2009**

Attendee	Organisation
[redacted]	Birkbeck College, University of London
[redacted]	Goldsmiths College, University of London
[redacted]	Keele University
[redacted]	University of Kent
[redacted]	The Open University
[redacted]	City University
[redacted]	University of Oxford
[redacted]	The Open University
[redacted]	University of Central Lancashire
[redacted]	Bournemouth University
[redacted]	Queen Mary, University of London
[redacted]	Glasgow Caledonian University
[redacted]	Birmingham City University
[redacted]	University of the West of England
[redacted]	University of Hertfordshire
[redacted]	Queen Margaret University
[redacted]	University of Cumbria
[redacted]	School of Oriental and African Studies
[redacted]	London School of Economics and Political Science
[redacted]	Loughborough University
[redacted]	Loughborough University
[redacted]	Edinburgh Napier University
[redacted]	Loughborough University
[redacted]	University of Leeds
[redacted]	University of Surrey
[redacted]	Middlesex University
[redacted]	University of Nottingham
[redacted]	Oxford Brookes University
[redacted]	Institute of Education, University of London
[redacted]	Coventry University
[redacted]	Birkbeck College, University of London
[redacted]	Edinburgh College of Art
[redacted]	University College London
[redacted]	Institute of Education, University of London
[redacted]	Imperial College London
[redacted]	University of London
[redacted]	University of the West of England
[redacted]	Institute for Fiscal Studies
[redacted]	The Open University
[redacted]	University of Exeter
[redacted]	Bournemouth University
[redacted]	Institute of Education, University of London
[redacted]	University of Cambridge
[redacted]	University of Oxford
[redacted]	Liverpool John Moores University
[redacted]	Edinburgh Napier University
[redacted]	University of Cumbria
[redacted]	University of Leeds
[redacted]	University of Southampton
[redacted]	University of Southampton
[redacted]	University College London

45 forms returned from 50

EVALUATION FORM

TRAINING SEMINAR
Post Award Financial Administration

5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

Session title	Speaker	A Format/ Delivery	B Content & Material	Pertinent comments
Post-award administration in context	Simon Kerridge	3.81	3.55	Good introduction to the day Several slides hard to read on screen (5) Poor handouts, especially the graphs Assumed delegates had knowledge. Although I was comfortable with content some others in y group were new to their jobs. (3) I've only been in post for 4 weeks and found a lot of the subject matter went over my head which was disappointing as I was under the impression that no prior knowledge would not be an issue.
Grant Scenarios 1 & 2	Andrea Tinson Simon Kerridge	4.09	3.79	Although course was for new or nearly new administrators I felt that the course was suited to those with quite a bit of experience It was good to do some practical and bring in our own experiences Would have been better if feedback collated on flipcharts and sent out after workshop by email. Good exercise to see how you deal with problems the same way as others The KPI session was slightly vague. Scenario 2 seemed to lead into Scenario 1 so I feel these would have been better the other way round. More of this would have been good Didn't fit easily into the structure of the other sessions. Perhaps movement between tables would have been beneficial
Post Award Finance – Cradle to Grave	Andrea Tinson	4.09	3.90	[redacted]

Sustainability & Incentivisation	Simon Kerridge	3.88	3.84	Would be interesting to include more examples of incentivisation I found this a really useful session. Assumptions were made as to the candidate's level of knowledge and experience. Very strategic whereas I am more concerned with quotidian financial reporting. I enjoyed the questions posed and made me think of incentives that could be introduced.
Introduction to Forecasting	Simon Kerridge	3.79	3.56	Detailed slides, some issues not presented clearly (3) Spreadsheets poor quality There also seemed to be areas covered not relevant to post award, pre-award costing, etc. Useful overview session Wanted this to be in depth but I realise that would not appeal to all This session was hardest to follow possibly because I do nto have exposure to this area at all but I did find it hard to grasp. Just the right amount of time and information!
Workshop Session	Andrea Tinson Simon Kerridge	3.80	3.78	Found all the workshops very useful. Useful but longer than necessary? (3)
Audit	Andrea Tinson	4.08	4.05	[redacted]

Please comment on the extent to which this event:

(a) met your expectations
I had expected more in depth, i.e. it was too general
Clarified the mystery – which is what I had hoped!
I was hoping to get information on how other institutions dealt with DA costs
A good overview of post award finance, components and requirements of funding
Found the event very informative.
The audit section was particularly informative.
Forecasting session will be very useful as I am involved in strategic planning and it has given me new ideas.
Very well, a good overview of very important areas
I was expecting more about post award processes
Good general background
I had expected there to be practical financial scenarios.
A few references to further information on post award would have been helpful, including non-financial aspects of project management
Less focus on best practice.
Exceeded my expectations in that the discussions were more useful than I expected. A number of costing issues were clarified for me.

I am still relatively inexperienced but this has certainly broadened my knowledge and given me more confidence in many areas.
Some sessions were too general and others too specific.

(b) will make a difference to some aspect of your work
Knowledge of how others deal with DA will help me to give an opinion on how we will deal with DA costs in future.
Has given me a good base for knowledge to pose questions within my institution.
Will take back and implement items on KPI
In terms of setting clear budgets and financial monitoring I found it very useful and I am looking forward to implementing some of the suggestions.
This will make me a lot more conscious of items/staff being charged to projects and the issues that could arise from this.
A little.
Not substantially.
Mad eme more aware of the overall process and I will keep a closer eye on partner institutions

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5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

The Overall Event	*Score*	Any further comments or suggestions for improvement
C. Structure and timings	3.84	Speakers kept to timings Some topics require more time and need to be covered a little more fully Overall good, balance satisfactory. Event attempted to cover too much.
D. Venue	4.02	Nice venue, very easy to get to by train and close to station. Classroom environment would have been more conducive Lovely venue but a bit noisy outside Loved the venue Needed mics, outside noise Catering area too cramped, everything else OK Good facilities, access to transport Needed more toilets for ladies
E. Catering	3.68	Too small portions Less salmon. Needed spoons. Unsure what some items at lunch were but otherwise excellent… The staff were wonderful but the food choice was limited and some of the food was unrecognisable. *(this has been passed on to the Aeonian)* Would have preferred sandwiches and more vegetarian options. Some warm food would have been nice. *(there were only 3 declared vegetarians on this course!)*
F. Online registration and payment procedures	4.28	Found it to be very easy and user friendly. Simple and effective. Straightforward process.
G. Course administration & practical arrangements	4.18	Received information in plenty of time with clear instructions and timely reminders. Could not read some of the small print on handouts
H. Delegate pack	3.96	Print on handouts too small (5) Very well presented Very informative slides Great to have powerpoint handouts Want electronic version of all material please (*copyright issue but larger pdf handouts circulated after event)*

I Event as a whole	4.72	Would have liked more detail on some aspects, e.g. very geared towards research councils and EC Good but I'd hoped it was more about managing individual projects and grants

Future Topics: Are there any areas or topics you would like future ARMA events to cover? You might also like to suggest potential speakers.

It would be good to have a hands on putting together applications and costings seminars
FEC
Project Management
EU monitoring of funding, a practical session
In depth courses
FEC course in London
Pre award course in London
How about a two day mega course pre award and post award admin
Implementing research strategy

Spring Workshop Report 2001

Workshop E: Working with Funders

Augusto Burgueno Arjona, Information Officer, European Commission

This was a structured interactive session discussing the issues that face funders in general. In particular the interactions of the European Commission with external entities (Applicants, Administrators, Evaluators, Reviewers) were focused on, giving a funders-eye-view of why things are as they are and are not so easy to change, giving an excellent insight into the workings of the Commission.

Key findings:

Each of the various interactions were briefly described by the facilitator and then the group was asked to constructively criticise each aspect and suggest improvements. Each 'improvement' was addressed from the funders perspective and evaluated with respect to cost, benefit and so on, in most cases leading to the conclusion that perhaps things were as they were for a reason!

The main issue from the group was, given the complexity of the Commission, could something be done to make things more transparent and simple? DG Research has 3000 employees and all decisions must be agreed by consensus meeting, and there are two directors (the proverbial horse designed by committee seems to have bypassed the camel and gone straight to Dr Doolittle's push-me-pull-you). One obvious solution is to perhaps have just one head... With regard to clarity, it was felt this could be improved by proving directed information relevant to particular types of user (for example the UKRO service), but perhaps the Commission should provide this free? There would be a great cost involved to the Commission to provide this - and is it the best use of their public funds?

Commission Officials often (seem?) to provide conflicting information - they are perceived as being reachable but unknowledgable/inconsistent. There needs to be much better internal communication (how?). Perhaps a reduction of programmes/modalities would help? Maybe regional offices (a la Innovation Relay Centres) would be good? In general both 'sides' agreed that this could be improved.

The CORDIS website was generally well received by users in terms of information content but was seen as being not user friendly, giving information overload so that finding the information that you actually need is often very time-consuming and using it only makes users feel distanced from the Commission. Certainly a better search system is required (coupled with the information about what type of user you are?). Perhaps the Commission could provide workshops (would Universities send staff to Brussels for such events and pay for them?) - how would these best be advertised, on the website is not enough, other methods too expensive?! Personalisation of the website would help - but individually or for groups of users (what are these groups?) again this would cost - would we be willing to pay? Perhaps a University Research Administration interface (web and person/people) somewhat like the Research Councils' new University Interface Managers

The projects can be seen as not being financially attractive to participate in. Perhaps bigger projects would help, different funding modalities? The Commission may be addressing some of these issues in Framework 6.

Timescales were also seen as an issue - everything takes too long. At each stage of the process it seems that things take much longer than necessary. The various reasons for these delays were explained, and consisted mostly of (quality) procedures and logistical timings. Perhaps a fully electronic system would speed up the processes, but again the cost of such a system would be high and would need to be enforced universally - the take up of electronic submission (ProTool) has not been astounding as yet.

The language and terminology (Eurospeak) used was also a barrier to understanding the programmes and processes, and no real solutions were offered to this thorny problem. Glossaries do exist, but finding them (see above) can be a problem, and also sometimes you don't know that you need a glossary until it too late - you've assumed that the meaning of a word is what you would normally expect only to find out (after submission of a proposal for example) that you have misunderstood.

In conclusion, we left the workshop with the feeling that we are lucky that the Commission works at all and that there is plenty of room for improvement, but that it is not obvious how to effectively improve most aspects, without a clean sweep. On the upside we can see that funders are trying to be more responsive to different types of clients (including research administrators) we have to keep telling them what we want - remembering that with all large funders there is an inertia at least proportional to their size.

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Spring Workshop Report 2002

Workshop A: Presentation of Management Information: Selection and Purpose

Michael J Rayner, University of Strathclyde

The participants in this workshop session were split into two groups to work on a case study of a Strategic Research Opportunity at Fairytale University. The groups were required to review general information on the University, its management structure and staffing, financial position, teaching and research performance and the strategic opportunity for the University to buy an office building from the district council - for a 'discount' price, but within a short (4 week) time period. The task was to consider whether the University should purchase the building, and if so, for what purpose. The rationales were to be presented to the Senior Management Team (the other group). Additional information included a map of the Fairytale University campus with the potential building shown across the road from the main campus, a floor plan of the building in question, the offer letter from the council and a letter from a Consulting Civil and Structural Engineers company about subsidence risks in the area.

The aim was for the sub-committee (the group) to present their recommendations for the offer to the University council (the other group), to this end a spokesperson for the presentation was also agreed upon.

The scenario had many different possible uses for the building, but there were many issues that the groups discussed. Examples included:

- Building not on main campus
- Problems with crossing busy road
- Accommodation structure not suitable for all uses
- Perhaps better to demolish and rebuild (planning permission)
- Subsidence problems (indicated in geologists report)
- Re-organisation of existing buildings
- Extra space is required for expansion of some departments
- Which department should get priority
- Should related departments be kept close to each other
- Use for a Business Incubator / Centre
- Can more time be negotiated from the council
- Recurrent costs also need to be considered
- Would change of use of the building / zone be allowed
- Further analysis needed

A fuller list was given at the end of the session.

Clearly there was no 'correct' answer, the important part of the workshop being the discussion of the various options. All the groups produced different recommendations and gave different weights to the various aspects of the scenario. These were of course tempered by the backgrounds of the individuals within the groups. As an additional problem there was not enough time to fully discuss the various options or indeed the ramifications of the suggested option. This meant that the group-appointed presenter had to think on the hoof a little, which was not an ideal situation for a situation as important as this. All involved agreed that the session provided a good practical example of some of the pitfalls in how not to prepare for and make a presentation to influence people - lessons have been learnt!

Conclusions

The session clearly demonstrated the need for providing summary management information and for being thoroughly prepared. The ten-minute presentation was designed to be insufficient time to present a clear and coherent case for the recommendations decided upon by the group. It was indicated that a report would also have been tabled before the presentation - but would it have been read?

The clear message from the workshop is to prepare for such presentations/meetings, to have all the facts to hand and above all to put yourself in the shoes of the committee and try to preempt as many questions as possible. Even if you do not have time to address the issues in your presentation, if asked you can respond. If (as in this case) you have not had time to fully research/analyse the issue and so may not actually know the answers, make sure that you know how much time/support etc. is required in order for you to be able to answer the question. For example "At this stage that analysis has only just begun and given that we need

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feedback from the University solicitors and input from the X and Y groups, a full report will take a further 2 weeks".

So in summary, preparation is everything, and if you can't fully prepare, be prepared to say that you haven't had time… but know how much more time and resources you'll need to properly respond.

Another lesson learnt is that you must ensure that (for an issue with as many different aspects as this) you get input from as many different areas as possible.

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Spring Workshop Report 2003

Plenary Session 4: Postgraduate Research Degrees: Improving Standards

Professor Stuart Powell (University of Hertfordshire) and *Dr. Janet Metcalfe* (UK GRAD Programme) gave a joint presentation. They referred initially to the October 2002 report to HEFCE Improving standards in postgraduate research degree programmes by Dr Janet Metcalfe with Quentin Thompson (Consultant) and Professor Howard Green (UKCGE). The report presents the findings of a review commissioned by the Higher Education Funding Councils of England, Scotland and Wales (HEFCE, SHEFC and HEFCW), to identify indicators that could form the basis of threshold standards in research degree programmes (RDPs). It presents a framework of standards for RDPs that builds upon existing good practice in the sector. This framework covers the breadth of research training, including the research environment, selection, induction, progress and examination of students, supervisory arrangements and skills development, together with institutional arrangements for quality assurance, procedures and regulations. The principal recommendation of the report is that the Funding Councils should adopt the framework and define threshold standards as the basis for conditional funding for RDPs. This is the first of three stages in the project. Stages two and three will develop these threshold standards, systems for assessment and monitoring, and the funding models to support them. Comments on the report are welcome, and should be sent to Will Naylor, Policy Officer at the HEFCE, e-mail w.naylor@hefce.ac.uk or to Janet herself who will forward them.

Three website references were given for further information:

- www.hefce.ac.uk/pubs/reports - HEFCE R&D reports
- www.grad.ac.uk - UK GRAD Programme (previously known as the Research Councils Graduate Schools Programme)
- www.ukcge.ac.uk - UK Council for Graduate Education

It was noted that the general *climate* was changing, with the postgraduate population becoming more mature (in terms of age), with more overseas students and more diversity in terms of offerings (for example professional doctorates). A PhD used to mean learning a lot about a very specific area, but now there is a much greater emphasis on generic skills.

The *Joint Skills Statement* from the Research Councils took 3 years to produce and culminated in the Graduate Schools Programme (now UK GRAD) to enable Universities to share best practice.

The *QAA Code of Practice* from 1999 does not actually contain any standards, but these have been developed from the QAA work into the Quality Standards Framework. One key area of the framework is student ownership: many postgraduate (and PhD in particular) students are shocked by the difference from their undergraduate studies. Research students should be shown the Joint Skills Statement (JSS) so that they know what skills they will be expected to (and supported to) develop. The progress in developing these skills should be recorded.

The Funding Councils and Research Councils have already signed up to the Framework. One area of further work is the identification of the costs of research student training, and Janet would be particularly interested to hear from anyone who has attempted this. The joint consultation document is now available on the Funding Councils' websites and responses are requested by the end of September 2003 (in parallel with the Roberts (II) Review of research assessment).

The recommendations from the first Roberts Review are coming to fruition: stipends will be increased to £12,000 per annum. The length and nature of PhDs are falling in line with the seven year envelope (three year undergraduate, four year postgraduate, including training). Most PhDs are now taking three and a half years. It should be noted that a very useful CD was distributed with the conference pack that included the Framework report and the Roberts report amongst others.

Janet Metcalfe also publicised the forthcoming UK GRAD conference on Tuesday 16th Sept 2003 in London at the Holiday Inn, London Bloomsbury, WC1.

Professor Powell then summarised the themes covered, noting that there are 'get out' clauses for most of these if you can show how you address them in a different way:

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- External Scrutiny - there should be a progression point every year
- Supervision - Main supervisor must be experienced (i.e. they should start by being a second supervisor)
- Research Environment - needs to be shown to have a research culture
- Broadening Skills Training - including generic skills
- Responsibilities - Student, Supervisor & Institution - all these responsibilities must be clear and it is good practice to have a 'contract' with/for the student
- Use of minimum/core standards - includes mandatory supervisory training.

These are the issues currently being consulted on by the Funding Councils, with comments required by Sept 30th 2003.

Possible issues arising from this may include:

- RAE grades will almost certainly not be used
- Collaboration must be real at the PI level
- Critical Mass will depend on discipline
- Each supervisor will be limited to six students
- May have to submit an RA5 type Research Environment plan for Research Student Groups

There were some questions and points raised by the audience at the end of the session, including:

- Graduate Schools are seen as being extremely useful for students, particularly where they come from smaller groups
- The additional funding for meeting the framework will start in 2006/07; HEIsmust adhere to the framework to have a chance of getting the funding, but it will not necessarily be automatic (ie it is necessary but not sufficient).
- The JSS (Joint Skills Statement) needs to be flexible; not everything is suitable for all students, given the increasing diversity amongst students studying for research degrees. For example, a session on career management for a 70 year old is probably not a sensible use of resource.
- Learning Contracts will probably be brought in? Students should not be forced to take modules, but must have the opportunity to do so
- If there are contracts, there may well be more litigation.

In Summary
If you are involved with research student administration you really should read the *Improving standards in postgraduate research degree programmes* consultation and associated documents.

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Spring Conference Report 2004

Workshop D: Full Economic Costing

John Newton, National Co-ordinator for Costing and Pricing, JCPSG

This workshop was in the form of a fairly long presentation during which questions were invited, followed by a general question and answer session. A worked example of a fully costed project was also available, but this illustration was not covered.

The talk included a background of the various documents and policies that have led to Universities being required to introduce (by Jan 2005) full economic costing (fEC) systems for project costing. There are a multitude of documents which can be read and these are referenced on slide 3 of the presentation all of which are available via the Joint Costing and Pricing Steering Group (JCPSG) website (http://www.jcpsg.ac.uk/). These can be précised as follows:

- For many years now there has been a funding gap for research in terms of the full cost not being recovered by HEIs for (in particular) research council and government funded research.
- Due to the rise in project (e.g. Research Council) funding as compared to core (i.e. Funding Council [QR]) funding HEIs in general have not been able to cover the difference in the cost of research council projects compared to the price (the awarded amount) from their core [QR] funding, and hence have been subsidising their research from other income streams.
- The main difference between cost and price for Research Council projects has been existing staff time and the balance of the indirect costs (HEIs indirect costs on staffing tend to be in excess of 100% as compared to the current 46% paid).
- Many other funders (including companies) have used the 46% indirect costs rate as a cost indicator for determining their contracts with HEIs (and in some cases vice versa).
- This has resulted in HEIs in general overtrading in research and not being able to maintain their infrastructure.
- Additional funding (e.g. JIF, SRIF1 and SRIF2 have to some extent addressed the funding gap, but the situation is still not sustainable.
- The recent government comprehensive spending review (SR2002) has introduced new funding (and additional £120M per annum) to allow Research Councils to grant closer to the actual cost. This however has strings attached.
- In order to receive the extra funding (and indeed it is a requirement anyway) HEIs must introduce full economic costing (fEC) for all projects (not just research) in order that an informed decision can be made about the difference between the cost and the price and
    - If the project should go ahead,
    - Where the difference in funding will come from,
    - The rationale for this (if the project is not for the 'public good' then public (e.g. QR) funds cannot be used.
- In summary: year on year an HEI must ensure that over their activities as a whole, full economic costs are being recovered.

So for each project (not only research) the full economic cost must be determined by including:

- Staffing costs (new and existing, including investigators, and technical and clerical costs)
- Other direct costs (e.g. equipment, consumables, travel, etc)
- Directly allocated estates costs (e.g. by space usage)
- Indirect costs as an amount per FTE researcher and an amount per FTE PGR student (note that these are not percentages of costs, but a fixed amount per full time equivalent person)

Once the cost has been determined, the price (that is to say the amount sought from or granted by the sponsor) can be deliberated upon.

Research Councils will award a fixed percentage of the fEC. Research Councils will pay a (yet to be determined) proportion between 60% and 70%, this will be fixed at the time of the forthcoming spending review, but is likely to be rather closer to 60% than 70%. This will start as from Academic Year 2005/6, with a phased transition period (that is to say that existing projects that continue into and after 2005/6 will receive additional funding - probably on a pro rata basis).

Government departments [excluding the NHS] have been informed that they should pay the full economic costs of projects. This was confirmed in a recent letter from the Chief Secretary to the Treasury to the Government's Chief Scientific Advisor, Sir Dave King:

"*[the Office of Science & Technology] has been leading on the important Dual Support reform work which will require universities to cost, charge and recover the full economic costs of the research they undertake. This reform is essential to ensuring the sustainability of university research. Funders of our research base must accept that they may need to pay more for the research they commission (and that they have been underpaying in the past). This includes Government departments and the research they commission from universities and other publicly funded research establishments. Government departments must ensure that their costed research strategies are calculated on a full economic cost basis.*"

[http://www.hefce.ac.uk/research/funding/dual/HMTletter.pdf]

It is expected that other sponsors will (eventually) follow this scheme. In general HEIs are urged to include as much as possible in the direct costs so that the 'indirect' costs are reduced and hence cannot be negotiated away as easily (as is often the case at the moment).

There are numerous unresolved issues as yet, including:

- What % of fEC will Research Councils pay?
- What will charities pay?
- Will the European Commission recognise this method for their Full Costs (FC) funding model?
- How will this affect pricing (particularly for private sector sponsored work)?
- What cultural changes will happen, or will be required to happen?
- How will this be communicated within HEIs and to their sponsors (it was noted that some government departments did not know that they should be paying the fEC)?
- Will additional resources be required (at HEIs) to manage the new costing and pricing method?

There were some questions and points raised by the audience at the end of the session, including:

Will Research Students be eligible costs for Research Council sponsored projects (question from the AHRB)? Subsequent discussion suggested that if not there would be no reason to apply for studentships and hence it seemed likely that these costs would be eligible.

When must this be implemented? All HEIs must have a system in place by Jan 2005; this will have been audited during 2004, and it is expected that most if not all institutions will fail the initial audit process, due to the tight timescales. Given that in general this is being done by finance departments, research services were urged to input into the process as soon as possible.

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Summary

If you are involved with costing and pricing of projects then you really should read the TRAC Vol. III (copies should be available within your institution, probably in the finance department) and keep up to date with the current developments on the http://www.jcpsg.ac.uk/ website.

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ARMA Spring Conference 2005
Conference Reports

Workshop B1: Je-S SRIF3 Submission Surgery

Around 15-20 people attended this highly interactive workshop led by **Dr Serena Cooper, Je-S System Manager and Ann Durniat, Dual Support Project Manager, both of PPARC**. Unfortunately due to technical difficulties the wireless broadband access would not operate but the presenters managed to use a (much slowed) GPRS connection by mobile phone. This did restrict the session somewhat but perhaps actually allowed for more discussion and less demonstration.

Around half of the audience were the SRIF3 nominated submitters for their institution and they were the ones mainly involved in the discussions. Given that the deadline for submission was 30th May (just over a week away) surprisingly few had done anything more that log onto the system and briefly looked at the system. Only a few of the audience had actually entered any real data.

The presenters gave a good overview of the process of entering data, covering all the aspects of the programme and project information required. They welcomed questions and points raised at addressed most of them very well. Some issues could not be resolved and were referred to the Funding Council, the J-eS Helpdesk or indeed the appropriate person within the submitting institution, as appropriate. More often than not the technical issues were either demonstrated or tried (when the answer was not known beforehand). The more subjective issues about what should go where in the forms were debated within the group with answers coming from those who had already used the system in anger or those that had previously sought clarification from the Funding Councils.

Overall the session was very well prepared and extremely timely. The discussions were led well by the presenters, and no stone was left unturned.

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uk arma Association of Research Managers and Administrators

annual report 2009/10

chair's report

2009/10 has been another successful year for the Association, in terms of membership provision and representation, membership numbers, and financial outturn. Our operational systems are now much more stable, which has enabled us to introduce (or re-introduce in some cases) some new services to members. This has included a range of special interest groups, including a Directors' Forum, which had its first meeting in March

The 2009 Conference in Southampton continued with the format introduced in 2007, including pre-conference events followed by two full days of conference with plenaries and multiple parallel sessions. It attracted 355 delegates, to hear over 70 speakers across a wide range of subjects. The feedback was again very good, about both content and logistics. I would like to thank all of our speakers, our sponsors (Agresso, Avedas, Evidence and Symplectic and ResearchResearch) and the organising team, all of whom made it such a success.

Our training and events provision has continued, and although we have run slightly fewer events than hoped, all have been successful and well received. As with previous reports, we are always keen to hear from members who are willing to be involved in the organisation or delivery of our events. We have initiated development of a framework for the provision of our programme, this will be progressed actively in 2010/11.

ARMA again took part in representative activities, including dialogues on open access, research management systems and, of course, research assessment. We continue to play our part on the international stage and have contributed to the programme planning of the third INORMS Congress, held in Cape Town in April 10.

As usual, I would like to thank the ARMA office staff, Rosemary Hatch and Jenny Stevens, for their inestimable support to the membership and the Board. I would also like to thank my fellow Directors for their contributions and support. During the year, Nigel Ellisbrough, Jonathan Cant and Anna Harding came to the end of their terms of office; my thanks and best wishes to them.

training report

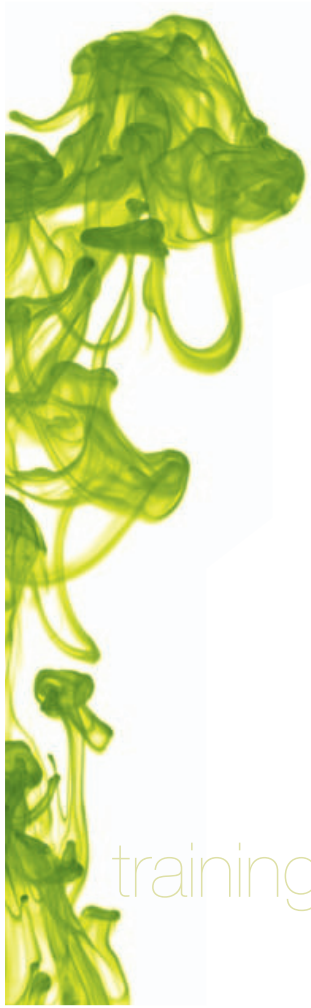


Much of ARMA's focus on training this year has been on identifying a way to take forward the professionalisation of research management and the development of a professional development framework, following the report of David Langley and John Green. The Board has considered the report and the possible way forward during the course of this year and it has become apparent that ARMA cannot effectively develop a full suite of professional development activity with its current resources. For a number of years, we have been increasingly reliant on the support of a relatively small pool of speakers, course leaders and Board members and, as the scope of development activity broadens and increases, this model is no longer sustainable for the organisation. We have therefore reached the decision that we wish to appoint a Professional Development Manager who will take forward this critical new area of activity. The post is in the process of being advertised and the first major task of the post-holder will be to develop the framework, with a view to provision being developed and offered at three main career stages: introductory, continuing professional development and executive. This is a major step forward for ARMA and we look forward to providing you with an update on progress through newsletters and communications with members throughout the year.

Whilst this work has been ongoing, we have also been keen to ensure that our popular and well-established courses continue to run. The pilot of increasing the frequency of the Induction/Fundamentals programme has been successful and is now part of the rolling programme. As ever, the office staff - Rosemary Hatch and Jenny Stevens - have done a wonderful job with the event logistics and speaker liaison to ensure that events run smoothly and efficiently.

During the past 12 months, ARMA has run 12 events around the UK, which have attracted a total of 815 delegates. The table lists the events and shows the number of delegates as well as the average score from the evaluation form. We have also sought to work out the best possible way forward for the overall training portfolio and have introduced new courses where we have been able to do so

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training report continued

During the course of the year, a new seminar has been developed on the topic of Clinical Trials. This was organised in specific response to feedback from evaluation forms completed by members at recent events. We now envisage that this course will become part of our regular offering and extend our thanks to Martina Prude.

Similarly, a new Forum has been set up this year which is specifically targeted at Directors or Heads of Research offices. This Forum has emerged from the Executive Forum which has run at Conference for the past few years. The group held its first meeting in March and, following positive feedback from the attendees, it is envisaged that further meetings will take place.

As with previous Research Assessment Exercises, ARMA has offered what we anticipate will be the first in a series of seminars on the forthcoming Research Excellence Framework. HEFCE speakers made themselves available to speak at these seminars to ensure that research managers and administrators are fully briefed on the implications of the new assessment rules. It is envisaged that further seminars will be offered as soon as the definitive guidance criteria and timetable are available.

Efforts have continued throughout the year to ensure that events are held around the UK. Events have been scheduled in Manchester, Newcastle, Southampton and London. We are always seeking quality venues in cities with good transport links. Please do let us know if you know of any potential venues, particularly for our one-day events. Our members in Scotland are keen to host events and we will endeavour to meet this request in 2010/11.

ARMA continues to enjoy good relationships with partner organisations. Although no joint events have taken place in 2009/10, this work will take on greater significance as we seek to develop and implement the professional development framework. We remain committed to working with other training providers as appropriate and have in the past run jointly-badged events where it is advantageous to both organisations to do so.

Supporting Research Proposals
Manchester Museum ▪ 29 April 2009
Training seminar | Introductory

This popular seminar provided an opportunity for participants to gain an overview of the processes involved in creating and submitting a research proposal, both those aspects undertaken by the research administrator and those falling to the researcher. It also considered what happens to the proposal after it has been submitted. The main focus was on costing and pricing of proposals and includes a costing exercise. The programme included a mixture of presentations and exercises/ discussions, individually and in small groups.

Executive forum
De Vere Hotel ▪ Southampton ▪ 1 June 2009
Executive Discussion Group

The meeting was aimed at Directors/Heads of Research Offices and those in relevant managerial positions. The programme allowed networking opportunities over coffee and lunch. As the success of the forum depended on the interaction between participants, the event was limited to 20 places.

Identifying and Demonstrating the Impacts of Research
De Vere Hotel ▪ Southampton ▪ 1 June 2009
Expert Seminar

This event was targeted towards those involved in institutional and departmental responses to changing Government policy, including preparation for the REF, collection and management of information about research outputs and support of project proposals. The seminar explored the current developments, with speakers from RCUK, HEFCE, the Wellcome Trust and an HEI. The national agenda having definitely moved to include the impacts of research, this can be seen in terms of Government policy which therefore affects Research Council activities and HEFCE's definition of the Research Excellent Framework - and it impacts on other research funders' interests in seeing the results of research promulgated and translated into practical use.

Fundamentals of Research Administration
De Vere Hotel ▪ Southampton ▪ 1 June 2009
Training Seminar | Introductory Level

This intensive one-day course was aimed at Research Administrators with a maximum of one year's experience in university research centres/institutes or central offices, or in the NHS, or in the offices of sponsors of research. The course retains the key elements of our long-established annual Induction Workshop and concentrates them into a single day for new research administrators attending their first conference the following day. The course complemented parallel sessions in the main conference programme, which indicate the level of experience expected of participants: those labelled 'basic' or 'any' are particularly suited to newcomers. A final meeting over lunch on the second day of the Conference completed the programme, allowing participants an opportunity to reflect on what they have learnt over the three day period.

Induction Workshop: an introduction to research administration
Burleigh Court ▪ Loughborough ▪ 1/2 October 2009
Two Day Residential Training Course | Introductory Level

This two-day workshop is for research administrators with a maximum of one year's experience in university research centres/institutes or central offices, or in the NHS, or in the offices of funders of research. The course is intensive and sessions included a mixture of formal presentations, discussions and group activities. Course members were encouraged to learn from each other as well as from course leaders, with ample opportunity for informal discussions and interchanges of information.

Post Award Financial Administration
18 November 2009 ▪ Bloomsbury House ▪ London
Training seminar | Introductory Level

A seminar aimed at new or fairly new research administrators and accounts staff, especially those based in central offices, with responsibility for post-award financial administration of live research accounts. The objective being to provide delegates with a broad understanding of post-award research administration in the context of the overall environment of research management and administration and a specific and practical understanding of the processes for post-award financial administration.

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Research Management and the REF Consultation
London, 30 November ▪ Newcastle upon Tyne ▪ 25 November 2009
Expert Seminars Continuing Professional Development

This seminar was for members involved in the submission of the REF and focused on the 'mechanics' of making the return. The seminar covered two main themes:

- setting the scene from a HEFCE point of view and discussing the management options open to institutions, given the current uncertainties, and
- a more detailed discussion took place on how the REF requirements were shaping up, including what the main changes were, interaction with HESA and possible systems implications

Debate was invited on the management issues in the current context, which was intended to be taken back to home institutions for input to the consultation before beginning preparations for the actual return itself. Follow-up workshops will be planned after the HEFCE consultation has been completed and the guidance on submission is more definitive, placing the REF within a broader research information environment.

Supporting Research Proposals
Manchester Museum ▪ 2 December 2009
Training Seminar | Introductory Level

Re-run by popular demand, this one-day event supports members who want to develop their skills in supporting academics in the research proposal process. Building on the ARMA Induction Workshop, the sessions focused on preparing a project budget, supporting academics in the writing of proposals, quality assurance processes, other related issues such as risk management and ethics, submitting proposals, and an overview of the peer review process.

Clinical Trials ▪ Southampton ▪ 5 March 2010
Training Seminar | Continuing Professional Development

A training seminar designed both for members of contract teams and for research managers, designed to provide an insight into the history and application of relevant regulations and good practice guidance within clinical research, especially those governed by the Medicines for Human Use Act 9 (clinical trials) 2004. Delegates were introduced to the principles of Research Governance and Good Clinical Practice and were equipped with the skills to advise researchers on the good conduct of clinical research.

Directors' Forum
Egrove Park ▪ Oxford ▪ 25/26 March 2010
Residential Discussion Forum (by invitation) | Executive Level

The first Directors' Forum took place on 25-26 March at Egrove Park, Oxford. The structure for the event was a discussion around a number of topics of current interest, plus an open session for any other issues that the group wished to discuss and with two guest speakers.

Event Type	Title	Delegates	Average Evaluation
Annual Conference	Reviewing the Future	355	n/a
Training Seminar	Fundamentals of research administration	55	4.32
Executive Forum	Executive Forum	20	n/a
Expert Seminar	Identifying and Demonstrating the Impacts of Research	55	4.08
Training Seminar	Supporting Research Proposals - April	24	4.25
Training Seminar	Supporting Research Proposals - December	39	4.42
Residential Workshop	Induction Workshop: an introduction to research administration	57	4.24
Training Seminar	Post Award Financial Administration	51	3.93
Expert Seminar	Research Management & the REF Consultation (Newcastle)	26	3.90
Expert Seminar	Research Management & the REF Consultation (London)	73	3.75
Directors' Forum	Discussion group	20	n/a
Training Seminar	Clinical Trials	40	4.02

membership & services to members

Company Matters

In the 2009/10 (1 April to 31 March 2010) year the Association of Research Managers and Administrators (UK), known as **ARMA**, has continued with its objective of reducing the number of company directors down to the target of nine by August 2011. This will enable a smaller number of people to concentrate on strategy, whilst enabling more members to play a key role in ARMA as ***'active members'*** without having to become company directors. During the year, David Langley stood down as Deputy Chairperson, Membership Services, for personal reasons. Nigel Bilsbrough, Jonathan Cant and Anna Harding all stood down at the end of their elected terms in July 2009. ARMA is grateful to all our outgoing directors for their energy and hard work, with particular thanks being due to Nigel for his commitment and long service, both on the ARMA Board and before that on the RAGnet committee, including many years as Secretary. At the 2009 AGM, Simon Kerridge was re-elected as Director and Secretary, and Tony Weir was re-elected as a Director and was appointed by the Board to the position of Deputy Chairperson, Membership Services when David stood down. This year four directorships have become available, the positions of: Chairperson; Deputy Chairperson, Membership Services; Treasurer; and a non-executive position. There was only one valid nomination for each position and as such no ballot was required. Consequently, Ian Carter (University of Sussex) was re-elected as Chairperson (for a further three years), Tony Weir (Heriot-Watt University) was elected as Deputy Chairperson, Membership Services (for two years), Louise Shelley (Bangor University) was elected as Director (for three years) and Steff Hazlehurst as Treasurer (for one year). These director elect positions are due to be ratified at the AGM on 8 June 2010 at the Midland Hotel, Manchester.

Membership

During 2009/10 membership rose yet again, to nearly 1600 members at the end of year. Once again, numbers have been boosted by even more institutions taking advantage of the group membership discount scheme; with over 60 groups accounting for nearly two-thirds of the total membership. There are two groups with over 50 members, and several have significantly increased the number of members in their groups. However ARMA is not immune to the current economic climate and two groups have disbanded, although another has re-formed after ending in 2008. Overall it has been an incredible period for ARMA with membership rising yet again, this year increasing by over 20% to almost 1600.

Membership Services

Joan Hughes Bursary Scheme

The Joan Hughes Bursary Scheme, named after the first Chair of the Association, offers funding (usually up to £500), to individual members to support a professional development activity which they would otherwise be unable to undertake. The scheme has been used irregularly but this year we formalised the guidelines and application procedure in an effort to make the process more transparent and encourage more applications. A sum of £5,000 will now be formally ring-fenced each year for Bursaries and, with each being a maximum of £500, we hope to encourage more applications under the revised guidance and expect to be able to award at least 10 per year from 2010 onwards.

Possible uses of these funds include attendance at a conference (in the UK or overseas), undertaking a piece of research into an aspect of research management and administration, or as a contribution towards the cost of an overseas study visit. The recipient of the bursary is required to provide a report on their activity and is encouraged to think of other ways of disseminating the knowledge gained (full revised guidance is available from the website). Any member wishing to apply for a bursary should complete the Application Form, describing the proposed use of funds, the amount applied for and the timing of the planned activity.

In 2009 - 2010, we awarded two bursaries of £500 to:

- Alison McCleery - Edinburgh Napier University
- Louise Shelley - Bangor University

The bursaries were granted towards travel costs involved in attending INORMS 2010 in Cape Town. This is an excellent opportunity for members to meet with research management and administration professionals from across the world. In addition, our support for attendance helps raise the profile of the Association internationally. Both recipients are back in the UK, despite interventions from the volcanic ash and they are working on their reports.

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Mentoring Scheme

Six mentoring pairs are nearing the end of their mentoring period. We believe from interim reports that this has again been a successful exercise.

Resources, Information and the Website

The website, associated information and resources has received much attention over the past 12 months to identify inaccuracies and out of date information (we are grateful to Alexandra Frosch for her assistance on this matter); the Resources section was re-opened in the autumn as part of this process. This year we have spent £15K on various website refinements designed to improve our offering and increase benefits to members, (mailing lists, resources, etc.). Updates and corrections are ongoing but we value members notifying us of any issues. However, research management and administration continues to move on and we would value any member who would offer to help us update the resources and/or add additional ones to reflect these changes.

The special interest groups have been particularly active in discussion on the emailing lists. Indeed, as a result of the AHRC study tour, there was keen interest in establishing a related Special Interest Group in Arts & Humanities research which will further enable members engaged with AHRC and other arts-funders to support each other and gather information.

Study Tours 2009/10

Study Tours are one of the most popular member benefits; and year on year, we never have any trouble in filling all the places and always hold a reserve list. Tours are very well received and in evidence are equal amounts of enthusiasm from both the attending delegates and the host funding organisation.

2009/10 has seen one of the busiest cycle of events, with visits to the AHRC (the first time with this Research Council), BBSRC, ESRC and the Leverhulme Trust since last September and we still have visits planned with MRC, the Wellcome Trust and Cancer Research UK.

A key theme for Study Tours over the last year or so have been changes to the ways in which research organisations are expecting to receive grant applications, from new electronic application forms (Leverhulme Trust), to the MRC shift from their electronic application system (EEA) to join Je-S in early 2011; changes to standard applications (i.e. 'impact plans' and now 'pathways to impact'); changes to the Je-S portals and also more fundamentally reorganisation and harmonisation of the Research Councils through the Shared Service Centres and New Generation Back Office.

All of these changes have a direct affect on various roles within our institutions so our members have been very keen to not only find out about the changes but also have had an important role in contributing to how the funding organisations implement these. As ever, and of equal importance, is the opportunity for members to learn from each other through the networking opportunity at the Study Tours.

As always, our appreciation is extended to those Research Funders who are willing to open up their institutions and to spend a day talking to us, to our attending members who make each Study Tour interesting and interactive and also to Sheena and Rosemary without whom we could not run the Study Tour programme.

Study Tours offered April 2009/March 2010

Date	Funder	Number of members attending
1 April 2009	ESRC	30 (max)
24 September 2009	AHRC	55 (max)
16 March 2010	Leverhulme Trust	22 (max)
30 March 2010	BBSRC	40 (max)

The Association of Research Managers and Administrators (UK) Profit and Loss account for the year ended 31 March 2010

treasurer's report

The accounts include transactions for the Association for the period 1 April 2009 to 31 March 2010. They are prepared on an accruals basis, using SAGE accounting software, which has continued to improve the company's ability to monitor and manage its finances.

The 2009/10 turnover was £334,700, slightly less than the previous year (£357,625), reflecting the number of training events taking place. Operating profit increased from £22,477 to £59,113 after taxation, reflecting increased operational efficiencies. Reserves increased to £133,372.

Nearly 50% of all transactions are now paid by credit card and course invoices are being paid more rapidly. BACS payments are also being made more promptly, now that regular debt chasing is in place and because an online automatic monthly "sweep" of uninvoiced bookings occurs. Cash flow is good, which reflects in the company's good credit rating and thereby increased confidence of our suppliers. Bad debts were minimal -
£100 as against £9,609 in 2008/9 (which related to an unpaid invoice from an overseas delegate attending INORMS 2008). A software "check" has been installed on the website to prevent fraudulent membership applications, following a recent audit of membership overrides. Refinements to the website have continued during the year, including the introduction of special interest mailing groups, improvements to group administration and the re-launch of the resource section.

As a mutual trading association, ARMA is not liable for Corporation Tax on profits generated. The Association is, however, liable for Corporation Tax on bank interest. During 2009/10 bank interest decreased from nearly £2K in 2008/9 to zero, so the company does not expect any tax to be levied in the forthcoming year. Bank interest has been reduced drastically, due to prevailing low bank interest rates.

During the past year, membership increased for the 15th year in succession to 1536 (as at 31 March 2010) - a record increase of over 22% on last year. Membership numbers have been boosted by organisations taking advantage of discounts offered by forming small institutional groups, after the group threshold was lowered last year to six members. The scheme is now in its sixth year and the number of groups has increased by ten to 61, but group membership in relation to total membership has fallen from 71% to 64.5%.

Increased membership numbers accentuated the necessity for additional space and staffing. The ARMA administrators therefore moved into a slightly larger office in the same building in December 2009, which provides space for event materials and for an additional, casual member of staff when required in busy periods.

profit & loss account
for the year ended 31 March 2010

	Year ended 31·3·10		Period 1·4·08 to 31·3·09	
Income	£	£	£	£
Membership fees	87,334		55,025	
Events income	224,227		263,707	
Other income	23,139	**334,700**	38,893	**357,625**
Other income				
Deposit account interest	-		1,999	
		334,700		**359,624**
Expenditure				
Staff costs	52,235		37,561	
Governance	7,330		10,387	
Events costs	147,851		151,872	
Membership services	18,725		(244)	
General & office costs	30,713		82,434	
Professional services	15,427		14,230	
Non-recurrent expenditure	779		27,523	
Bad debts	-		9,609	
		273,060		**333,372**
		61,640		**26,252**
Depreciation				
Computer equipment		**1,637**		**1,675**
Net profit		**60,003**		**24,577**

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non-statutory notes
to the profit & loss account

Membership fees	2010 £	2009 £
Individual membership fees	40,274	20,807
Group membership fees	46,240	32,333
Corporate membership fees	820	1,885
	87,334	**55,025**

Events income		
Conference	110,329	131,739
Expert Seminars	29,930	22,750
Training Seminars	48,506	61,870
Residential workshops	35,462	47,348
	224,227	**263,707**

Other income		
Sponsorship & advertising	24,639	32,070
Bursaries	(1,500)	6,923
Miscellaneous	-	(100)
	23,139	**38,893**

Staff costs		
Contract staff	49,086	36,101
Casual staff	3,149	1,459
	52,235	**37,561**

Governance		
Committees	3,367	8,402
Advisory group	-	557
Elections	405	522
Other professional associations	-	-
Officer training	-	-
Miscellaneous	3,558	906
	7,330	**10,387**

Event costs		
Venue costs	92,436	84,653
Speaker costs	15,513	16,801
Organiser costs	3,996	8,856
Catering	13,920	33,277
Accommodation & hospitality	3,582	2,205
Event stationery	10,990	2,896
Event equipment	173	189
Event Insurance	1,029	1,607
Miscellaneous	6,212	1,388
	147,851	**151,872**

Membership services	2010 £	2009 £
Mentoring scheme	16,507	-
Active members	-	(244)
Miscellaneous	2,218	-
	18,725	**(244)**

General & office costs		
Premises	10,942	8,617
Computer maintenance & support	2,265	8,002
Office consumables	790	5,427
Postage & carriage	913	3,620
Printing	1,025	41,338
Telephone	1,498	1,615
Travel	-	820
Bank & credit card charges	1,543	1,886
Loss on foreign exchange	-	57
Insurance	425	526
Advertising	-	94
Website hosting	11,064	10,417
Miscellaneous	248	15
	30,713	**82,434**

Professional services		
Legal fees	13,503	11,805
Accountancy	1,924	2,425
IT services	-	-
Design fees	-	-
Other professional fees	-	-
	15,427	**14,230**

Non-recurrent expenditure		
Website	-	27,523
IT costs	779	-
	779	**27,523**

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Board of Directors

From April 2009 | Directors & Officers of the Association

Chair
Ian Carter
University of Sussex

Deputy Chair, Membership Services
David Langley
University of Bristol (to Jun 2009)

Tony Weir
Heriot-Watt University (from Jul 2009)

Deputy Chair, Training
Pauline Muya
Birkbeck College, University of London

Treasurer
John Green
Imperial College London

Secretary
Simon Kerridge
University of Sunderland

Director of Conference Planning
Lita Denny
University of Manchester

Directors
Sheena Bateman
Keele University

Nigel Bilsbrough
Loughborough University (to Jul 2009)

Jonathan Cant
University of Hull (to Jul 2009)

Anna Harding
University of Leicester (to Jul 2009)

Ray Kent
Loughborough University

Ian McCormick
University of East Anglia

Karen Sergiou
Imperial College London

Maggy Taylor
Manchester Metropolitan University

Mark Wight
The Open University

Executive Administrator
Rosemary Hatch

Finance Administrator
Jenny Stevens

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The Association of Research Managers and Administrators (UK) is a limited company registered in England and Wales. Company number 5833769

uk arma
Association of Research Managers and Administrators

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www.arma.ac.uk
January 2009
The Professional Association of Research Managers and Administrators

ARMA e-news

It has now been nearly a year since the new back end to the ARMA website went live. If you only use the site occasionally you may not have even noticed any changes as the front end design has remained the same. We do hope however that you have noticed that the site is much more reliably available with our new provider. Those of you who use the site a lot will have noticed a few minor changes, mainly to your personal information pages. Those of you who take advantage of group membership (which accounts for around half our total membership) will have noticed a few further changes. Also, if you have booked an event from the INORMS congress onwards, you will have been using the new booking system and the new invoicing/accounting system, which after a few teething problems is now working well.

Now that the website has been re-engineered with a new database and content management system and the previous website has, where appropriate, been replicated, we are nearly ready to embark on Phase 2 developments. That is, we are now ready to start thinking about new functionality and providing you with additional services, including a new, up-dated Resource section and the re-launch of the Mentoring Scheme.

Simon Kerridge
Company Secretary

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ARMA Annual General Meeting, 2008 (Liverpool)

The ARMA Annual General Meeting (AGM) took place this year at conference as usual. For those of you who missed out on the extravaganza that was INORMS2008 in Liverpool, you might appreciate a précis.

After approving the proceeding of the previous AGM in Cardiff the Annual Report was presented and discussed. Yet again there was a growth in the size of membership. The planned for in-year loss to support the one-off additional costs associated with improved governance (now being a company limited by guarantee and the development of the new web system back-end) still left a reasonable surplus overall. It was also noted that the responses to the ARMA membership survey earlier in the year would guide future developments.

The Chair also thanked two Directors (Kathy Brownridge and Hitesh Patel) who had stood down and not sought re-election. A special debt of gratitude was reserved for Steff Hazlehurst who had stood down as Deputy Chair after many years on the ARMA Board, she received a round of applause from the AGM.

Revisions to the Articles of Association (mainly due to the new Companies Act) were approved. In particular it was agreed that the number of directors should reduce (through natural turnover) from 17 to 9 over the next 3 years, leaving 6 executive and 3 non executive directors. This will mean however that the role of 'active members' will become even more important.

Due to some previous confusion it was agreed that corporate membership (designed for companies that supply services to members) would be renamed as Commercial Membership. As the AGM is normally held at the annual conference, which is now generally in June, after the start of current (June-May) term of office, it was proposed to change the cycle to align with HEI years (Aug-Jul) which means that new directors are no longer in limbo from their nominal appointment to the ratification by the AGM; this also means that terms for the current year will include a 14 month period for June 08 to July 09.

Simon Kerridge
Company Secretary

ARMA Annual Conference 2009

The ARMA team are already thinking ahead to the longer sunnier days of the annual Conference. Next year's event will have a definite nautical theme as we decamp to (what we hope will be) sunny Southampton from the 1st to the 3rd June 2009.

Following on from our hosting of the well-received INORMS Congress in Liverpool in 2008, our annual conference will once again see a programme of sessions covering the needs of research management and administration colleagues from every type of organisation and with every level of experience. The 2009 conference theme of **Reviewing the Future** aims to explore the increasing need for research managers to future-gaze as assessment, funding and compliance become subject to an increasingly changing research landscape. Of course, the event will also meet our high standards in terms of venue and accommodation and we are delighted to be holding Conference at the DeVere Grand Harbour Hotel with its excellent conference and guest facilities.

Everyone involved in the 2009 event is committed to producing a high quality programme that really delivers for our members, as always we are aiming for something colleagues value in terms of the quality of the sessions they attend and enjoy as a whole. We are always looking for new ideas and I would really encourage people to put themselves forward to speak, produce a poster, or simply make a suggestion of a topic about which they'd like to learn more. Getting involved is a great way to get to meet people with the added bonus of illustrating professional development back at the office.

Lita Denny
Conference Chair

2009 Conference:
http://www.arma.ac.uk/news/conferences/c09intro.xhtml

Research managers - the unsung heroes of our universities

Linda Nordling speaks to Ian Carter the chairman of ARMA.

Ian Carter, you are Director of Research and Enterprise at the University of Sussex and you also chair the UK's Association of Research Managers and Administrators (ARMA). How do you see the research manager's role changing?

It is significant that we now speak about research managers as well as research administrators. We have moved from being considered part of the lower levels of the research mechanism into something more important.

The job is changing as well. Research managers do more than calculate the cost of projects and submit applications for funding. They switch between being project managers, diplomats, business advisors and PR agents. Increasingly, they also need to make sure research complies with laws and ethical guidelines. This task is not new, but it is becoming more prominent than in the past.

Research managers are also getting more of a say in policymaking. In the UK, organizations like ARMA are more frequently asked for their opinion. But as a profession we can sometimes be overlooked, and it's down to us to put our view across and make ourselves heard.

Who becomes a research manager?

We come from a variety of backgrounds, both research and non-research. It is now possible to see this as a career in its own right, rather than just an element of a wider career.

Equally, the boundaries between administrative and academic managers are blurring, and senior academic managers with titles such as Pro Vice-Chancellor of Research, Assistant Dean of Research need to be fully aware of research management and administration issues. Similarly, the heads of major research funders such as research councils and charities are very influential research managers.

There are trends in recruitment. A few years ago, universities would look for people with experience in commercialisation. I sense a pulling back from that. Today you also need an understanding of the core research activity and what drives it, and how knowledge exchange can be built into that core activity.

Do you get the recognition you deserve?

There is growing recognition for research managers and administrators, and the range of roles that they undertake. Most universities have begun to appreciate the value of a good research office, especially in the context of tighter competition and increased governance and other regulation. However, there can still be a perception that we are the institutional 'police'. To change this perception, we have to show researchers that we are not just another hoop they have to jump through. We have to show that we add value, in various ways.

One sign that things are changing is that institutions now use recruitment agencies to hire their directors of research, and similar. That would have been unthinkable five or ten years ago.

Study Tours Update

The first ARMA Study Tour of the academic year took place on 10th October at the Medical Research Council HQ in London and was as usual well attended and well executed. Responses from the delegates were positive, which is always pleasing, but especially as this was the first time MRC had hosted a study tour for us.

In 2009 we will offer study tours to Cancer Research UK (9th February), the Leverhulme Trust (March) and ESRC (April). We are also hoping to announce a study tour in Scotland. As always, Study Tours will be advertised on the member's mailbase. As we only have a limited number of places to offer, these events are always heavily over-subscribed so an early reply is advised to secure a place.

Sheena Bateman

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Recent and Forthcoming Events

The Autumn training programme began in early September with a training seminar "Research and VAT" at Loughborough University, which was well received, followed later in the month by the annual "Induction Workshop" for research administrators with less than one year's experience, attended by 55 members. Several delegates remained for a training seminar on Post Award Financial Administration the following day and were joined by some 35 other ARMA members.

In November, the popular training seminar on Supporting Research Proposals took place in London, attracting nearly 60 delegates. This seminar is always over-subscribed, so we plan to run it again on 29th April 2009 in Manchester. Course material is always revised before each iteration.

The annual Senior Managers workshop took place last week in Oxford. This course operates by expressions of interest, to ensure that staff attending have a sufficient level of experience to fully benefit from the challenging programme. Initial feedback has been very positive.

The Training Committee discussed our portfolio of events at its last meeting. There was a clear consensus that many of the events which we have developed are being under-utilised and that we should explore the possibility of running some of them more frequently in different parts of the country. The Induction workshop is already offered as a one day course, Fundamentals of Research Administration, on the day preceding the annual conference. As a pilot, we are running the course again in Manchester on 23rd March, with the intention that it will make the course more accessible to members, whilst reducing travel and hotel costs. This pilot will also cover repeats of the Supporting Research Proposals and Post Award Financial Administration courses, also in Manchester in April.

We do make an effort to hold events outside of London. So, if your University has good transport links and suitable accommodation to host a future ARMA event, please do get in touch with Rosemary or Jenny to discuss further.

It is our intention to publicise our training calendar as far in advance as possible to enable managers to prioritise staff development funding and to make informed choices about who should attend which courses.

We operate a waiting list for all events. Some events are extremely popular and can be fully booked very rapidly. Anyone on the waiting list is given an advance opportunity (of one day maximum) to book a place on the course before bookings open to all members. To be included on the waiting list for any of these events, please email Rosemary or Jenny.

Pauline Muya
Deputy Chair (Training)

For 2009 we are planning to hold the following events:

Course title Type of course | Level of course Date | Venue
Introduction to Research Contracts Training seminar (run jointly with PRAXIS) - FULL Introductory 9th February Wellcome Trust, London
Fundamentals of Research Administration Training seminar Introductory 23rd March Manchester
Managing Collaborative Projects Expert seminar Intermediate March/ April tbc London
Supporting Research Proposals Training seminar Introductory 29th April Manchester
Post-award Financial Administration Training seminar Introductory 30th April Manchester
Pre-conference Seminar Expert seminar Any 1st June Southampton
Executive Forum Discussion forum Advanced 1st June Southampton
Fundamentals of Research Administration Training seminar Introductory 1st June Southampton
Introduction to Research Administration Residential Workshop Introductory 1st-2nd October Burleigh Court, Loughborough

Membership Renewals

A reminder that the ARMA membership year runs from April to March and once again you will be invited to log in to the website, renew your membership and produce your subscription invoice online. We do not send you invoices by post. This also applies to the over-increasing number of institutions taking advantage of the group membership discount scheme Group co-ordinators will be pleased to hear that the website has recently been altered to make the group process much easier for both yourselves and for our administrators, following some issues last year after the new website was launched.

The Board have decided to increase individual membership subscriptions this year, in line with Higher Education price inflation rate. This will take effect from 1st April 2009, when the subscriptions become due. However, you may be interested to hear that we have also lowered the threshold for the group membership scheme - to six members rather than eight (for groups of members at the same institution who pay on a single invoice). This means that if you decide to join the ever-increasing number of organisations taking advantage of the discount scheme, your subscriptions will be reduced by £5 per person (to £58 pp after the discount is applied). For larger groups of 20 or more, the larger £10 pp discount still applies. So, if you are not already part of a group, now is the time to set one up - you'll only need to find five colleagues!

If you wish to join an existing group or form a new one, then please contact Rosemary or Jenny for more information. For a list of current groups please see: http://www.arma.ac.uk/about/whoweare/allmembers.xhtml

New membership rates summary:

£63 for individuals
£58 per individual in a group of 6-19
£53 per individual in a group of 20+

Simon Kerridge
Membership Secretary

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www.arma.ac.uk

International Events

New Research Association for Denmark

DARMA had its inaugural meeting recently where the Association adopted the by-laws, so finally the legal part has been accomplished. The meeting attracted 110 delegates, which is outstanding for such a small country. John Westensee became the first President of the new organisation.

Active Members & Being Involved

Last year, we ran a couple of sessions open to members about becoming more active in their Association. The consequence was numbers of them getting involved - in event organisation, presentation of training, conference, and becoming Directors.

This year, we repeated the process, holding a session in London in September. 21 members expressed interest in the briefing, and 17 were able to attend the session. Several have already volunteered to be involved in activities, and we will be contacting the others to see if they wish to do so.

If you were not able to attend the session, but would like to find out more, please contact Rosemary (rosemary@arma.ac.uk) and one of the Directors will be in touch with you in due course to discuss how you might be able to contribute.

Report on EARMA Annual Conference in Barcelona

EARMA 2008 was, once again, an extremely well organised event, which provided a rare opportunity for European research managers and administrators to meet and network with their counterparts from across Europe.

This year saw the launch of EARMA's own publication: Link. Although described as the 'new re-branded EARMA newsletter' it is much more than that. Its main aim is to promote interaction among EARMA members and enhance 'community spirit'. It contains a vibrant mix of information, useful articles and opinions on topical issues, and acts as a platform for identifying best practice. The June/August edition also contained the Conference Programme - which meant it wasn't so easy to lose!

The programme was varied and the vast majority of presentations were clear (despite the acoustics in one or two of the rooms), well-delivered and ran to time. Notable presentations which were particularly interesting, informative, and lively included one from the founder and publisher of Research Europe and ResearchResearch, William Cullerne Brown's keynote presentation, Beyond Excellence, and the session 'Communicating and Disseminating Research Results: a Role for Research Managers and Administrators?'.

Once again, the General Assembly was a forum for very lively debate surrounding the future direction of the association, with much of the discussion centring on a detailed proposal from the Executive Committee to establish a more professional basis for the organisation. The proposal was finally adopted. It has to be said that, if the association does want to advance itself, then the proposed change does seem to be the next step.

The venue (University of Barcelona) was wonderful - the conference was held in a beautiful medieval building with orange trees growing in courtyards inside, right in the heart of the city and the Conference Dinner was held in a former medieval monastery.

Congratulations to Wiktor Kurzeja, Paul Craven, and the EARMA Annual Conference Standing Committee for their choice of venue, the well constructed programme and all round professionalism of the whole event.

Maggy Taylor

SRA International Annual Meeting

The 2008 Annual Meeting of SRA was held at National Harbor, Washington DC in October.

As with previous events, the programme covered a range of topics, including management and operations, research integrity, financial management, professional development, research law, sponsored program administration, and sponsors and agencies. The attendance was reduced compared to previous years, principally because of the timing of the event (over a holiday weekend), and this affected the level of interaction.

As well as the main events, there was an INORMS meeting of society representatives. We briefed the other societies on the organisation and delivery of this year's conference, and received plaudits for the content and organisation. SARIMA and ACU discussed their approach to organising the next conference in 2010.

Ian Carter

Please feel free to contact us with your feedback and suggestions: we are always pleased to hear from you.

Contact

Ian Carter (Chair)
i.carter@sussex.ac.uk

Rosemary Hatch (Executive Administrator)
Tel: 0845 8682127 rosemary@arma.ac.uk

Jenny Stevens
Tel: 0845 8682127 jenny@arma.ac.uk

Logged in as: simon.kerridge@sunderland.ac.uk (Owner)
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Date: Thu, 5 Mar 2009 09:37:27 +0000
Content-Type: multipart/alternative
Parts/Attachments: text/plain (34 lines) , text/html (164 lines)

Reply

Dear ARMA Members,

An election update:

- One valid nomination was received for the post of ARMA Secretary and accordingly no ballot is necessary. Simon Kerridge, University of Sunderland is therefore ELECTED to serve as Secretary for the period 1st August 2009 until 31st July 2012.

- Three valid nominations were received for the post of non-executive Director: Scott Rutherford, Imperial College, London; Steve Taylor, University of Birmingham and Tony Weir, Heriot-Watt University

Election statements for each candidate are now available online and will also be circulated with the ballot papers.
https://www.arma.ac.uk/about/governance/elections/statements09.xhtml

Ballot papers should be returned by 9 a.m. on Tuesday 5th May 2009. Only official, numbered ballot papers should be used: photocopies are not acceptable.

Rosemary Hatch
Returning Officer

Executive Administrator
PO Box 499
Exeter EX1 9DE

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October 2007
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Expert Seminar

Taking Stock: Full Economic Costing 18 months on

Different approaches to the implementation of fEC

The Professional Association of Research Managers and Administrators

uk arma Association of Research Managers and Administrators

Expert Seminar

Implementation of fEC – a Brunswick Group institution perspective

University of Leeds
Kathy Brownridge

The Professional Association of Research Managers and Administrators

What did we get right?

- One of the first in the sector to go-live with pre-award fEC - Feb 2005
- Developed in-house costing tool – COSTA
- Extensive training & communication
- Devolved application support to 9 faculties
- Went live with post award FEC- April 2006

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What went less well?

- Underestimated the additional workload and resources needed centrally & locally
  - **Database entry has doubled**
  - **Extensive queries from sponsors**
  - **Cross-institutional applications time consuming**
- Implemented a new Grants Management system at the same time

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Where are we going next?

- Extend COSTA functionality beyond costing & authorisation tool
  - Incorporate ethics approval, internal peer review, contract review, award acceptance
  - Scenario planning, FP7 costing, indexation, outline applications
  - Links to JeS
  - Electronic document management

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Where are we going next (2)?

- New 'high cost' laboratory rate from February 2007
- Sustainability embedded in faculty planning process
- Reporting
- Incentives / behavioural effects

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Expert Seminar

Implementation of fEC – Hull – a pre-1992 University

University of Hull
Jonathan Cant

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Implementation Strategy

- Costing & Pricing Team
- JCPSG Presentations
- Bespoke FEC Spreadsheet
- FEC Steering Group
- Research Office - took responsibility for implementation.
  - Not sure if part of the original strategy!
  - High resource requirement

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Policy

- All Research Projects have to be FEC'd
  - Inc. Travel/Conference Grants
- Portfolio Management
  - Income driven – but need to cover direct costs
- Data Protection
  - Spine point v salary band
- Inflation
- Facilities & Equipment

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FTE

- Estates cost
  - Lab
  - Classroom
  - NHS ?
- Indirect Support costs
  - 2006/7
    - **New Campus**
    - **Fewer Research Staff**
  - 2007/8
    - **Change in HEFCE guidance**

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Costing Tool Implementation

- Department set-up i.e. Science Faculty
- Maintenance (data load)
- Corporate systems interface
- JeS Link
- Attachments & Additional Field Info
- Management Reporting
  - Statistics
- User Groups

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Challenges

- Technician time
- Applications v awards
- Pre – post award
- Knowledge Exchange
  - KTP

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Implementation of fEC – Sunderland – a post 1992 University

University of Sunderland
Simon Kerridge

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arma Association of Research Managers and Administrators — Taking Stock: Full Economic Costing 18 months on

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arma Association of Research Managers and Administrators — Taking Stock: Full Economic Costing 18 months on

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- Used to 'ridiculously large' overheads… but
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- No check by Health & Safety or Estates
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- No direct data upload (eg for Je-S)
- No direct link to HR – manual monthly updates

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Sunderland: the badder

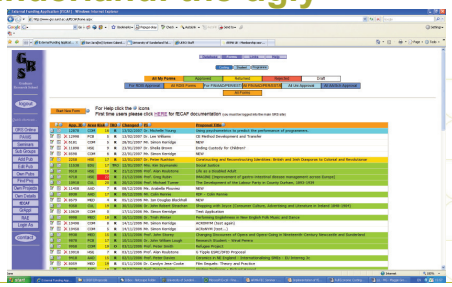
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  - How is the 20% accounted for… too many transfers
- Speed - really slow off campus
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Sunderland: the ugly



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Taking Stock: Full Economic Costing 18 months on

Sunderland: what now

- Internal allocation to be more flexible
- Better PAWS integration
- Speed and layout and help to be revisited
- PGR and Facilities Usage
- fEC for non-funded activities (governance)
- fEC for Teaching
- Direct link to HR
- Je-S direct submission

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Sunderland: the culprit

- Simon.Kerridge@sunderland.ac.uk

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Expert Seminar

Implementation of FEC – a departmental perspective

Birkbeck College
Pauline Muya
School Manager, School of Crystallography

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Association of Research Managers and Administrators

Taking Stock: Full Economic Costing 18 months on

Profile

- Birkbeck has research income of £10m per year
- School of Crystallography is:
  - 5 rated in 2001 RAE
  - 14 academic staff
  - Annual research income of £3m
  - Funded by Research Councils, charities, EU

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FEC Planning Phase

- Member of FEC working party
- ARMA provided information on developments quickly
- Not very involved in policy development
- Able to look at impact of policy for my department
- Modelling of pre FEC grants

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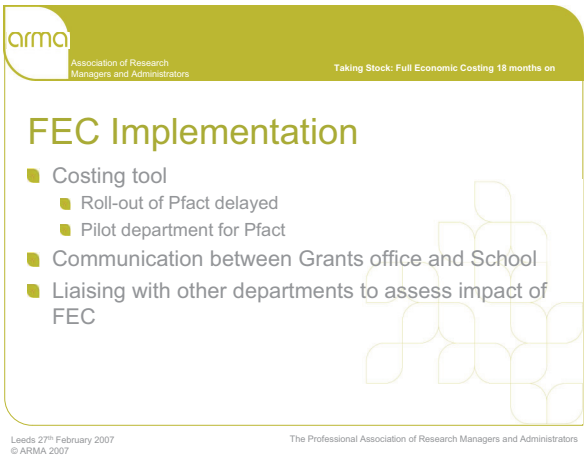
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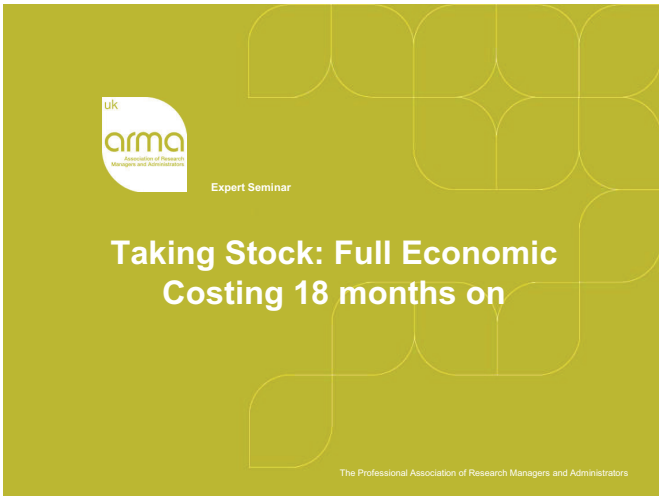
FEC Implementation

- Training of academics
  - More involvement in writing justifications
  - Ensuring that all costs are included
- Access to staff costs
- Anomalies of funders
- Look at % FEC recoverable on each grant

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FEC Implementation
Costing tool
Roll-out of Pfact delayed
Pilot department for Pfact
Communication between Grants office and School
Liaising with other departments to assess impact of FEC
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PRO 305

Mentoring, or "How Was it for You"

lifechanging University of Sunderland

Simon Kerridge

Assistant Director (Research), Academic Services and Head of Graduate Research Support
University of Sunderland, UK

17th June
INORMS 2008, Liverpool

www.grs.sund.ac.uk
research.sund.ac.uk

Mentoring

- UK Perspective (ARMA)
- Roles and Attributes
- Mentoring Areas
- Benefits

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UK (ARMA) Process

- Developed from the ARMS guidelines
- Call for mentors and mentees
- Selection of mentors and mentees
- Matched up by a group of 3 ARMA board members
- 4 pairs in the initial cohort (1 pair here)
- Line manager agreement
- Orientation session
- Ongoing sessions
- Evaluation session
- Time and cost implications

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Roles and Attributes for Mentees

- Mentee
  - wants new skills / knowledge for their career
  - wants professional development advice
  - understands that decisions are their own
  - maintains confidentiality
  - uses the expert and objective advice wisely

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Roles and Attributes for Mentors

- Mentor
  - facilitates mentee's professional growth
  - provides information and guidance
  - evaluates mentee's plans and decisions
  - supports and encourages
  - highlights where things are not progressing as planned
  - maintains confidentiality
  - be motivating and demonstrate leadership
  - able to identify opportunities
  - be honest and constructive
  - possibly to act as a role model

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Roles and Attributes for Mentors+Mentees

- have commitment
- be able to listen and be open
- be able to manage their own time
- be assertive, realistic and discreet
- knowledge and ability to add to knowledge
- challenging, analytical and evaluating
- ability to change and accept change



Mentoring Areas

- Any aspect of professional life can be mentored
  - Skills
  - Knowledge
  - Attitudes
- Better to focus on a specific area for an agreed timescale – for example:
  - Critical review of grant applications
  - Project manage an IT system development
  - Develop a research governance policy



Some Conclusions

- Initial meeting is crucial → Mentoring Agreement
- Set clear goals
- Keep in contact
- Be flexible
- Mentoring is enjoyable and rewarding
- Some relationships are interchangeable
  - Mentor Buddies
- Normally carry on informally



SYS 608

The Funder and the Funded: the lifecycle of a UK Research Council award

lifechanging University of Sunderland

Post-Award Administration – RO side

Simon Kerridge

Assistant Director (Research), Academic Services and Head of Graduate Research Support
University of Sunderland, UK

18th June
INORMS 2008, Liverpool

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research.sund.ac.uk

Main Issues

- Internal interactions
  - Research Office (pre-award)
  - Graduate Office (PGRs)
  - Finance Office (post-award)
  - Academic Department (grant holder)
  - Human Resources (new posts)
  - Purchasing (e.g. for equipment)
- External interactions
  - Research Council
  - Other Partners

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Award

- Review award letter / payment profile / breakdown
- Review award terms and conditions
- Internal communication to agree
- Acceptance Letter (10 day turnaround) → RC
- Press release
- Finance set up a Project Code
- Plan when to start the project
- Grant Holder (PI) Project Management Training?
- Consortium / subcontract agreement
- Note, if it is not an award but a rejection…
  - Review feedback
  - Plan a resubmission – or not!

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Project Start

- New Staff:
  - Role profile / job description → HR
  - Scale (has already been) agreed
  - Advertise / Shortlist / Interview / Recruit
- Project Starts:
  - When first expenditure is incurred (often staffing)
  - Ethics and other considerations addressed
  - Starting Certificate → RO

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Project Open

- Internal reports / summary reports
- Expenditure profiles
- Project Monitoring
- Estates / Indirect / Existing Staff transfers
- Annual Statements → RC
- Project Outputs (e.g. publications)
- RA staff development
- PGR monitoring
- Directly Allocated staff (e.g. PI/CI) time assurance
- Partner payments

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Project Changes

- Extension
  - staffing issues (sickness, maternity, changes, …)
  - logistical issues (e.g. access to 'information')
  - scientific issues
  - financial
- Change of Grant Holder (PI) / RO
- Change of direction / scope

Project Closes

- Confirm expenditure
  - Clear commitments
  - Internal transfers
  - Final expenditure statement → RC
  - Close project account and archive
- Final Report → RC
  - closes project (for RC) and final payment → RO
- Reflect on the project
- Update project 'file' and try to track future outputs

Post Award Conclusions for ROs

- Internal communications
- Early communication with RC
- Incentive schemes for Grant Holders (PIs)
- DA staff time assurance
- Portfolio of related material (including outputs)
- Press releases
- RC Harmonisation
- ROCG
- FAP – be prepared!

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Reply

ARMA Elections

Elections to the ARMA Executive Committee are carried out by postal ballot in accordance with the constitution.

In 2006, the following elections were held:

1. **Deputy Chair (External Affairs)**
to hold office for two years from 1 June 2006 to 31 May 2008 (by-election)

One nomination was received for the post of Deputy Chair (External Affairs), and accordingly no ballot is necessary. Pauline Muya, Birkbeck College, University of London, is therefore ELECTED to serve as Deputy Chair (External Affairs) for the period 1 June 2006 to 31 May 2008.

2. **Secretary**
to hold office for three years from 1 June 2006 to 31 May 2009

One nomination was received for the post of Secretary of ARMA, and accordingly no ballot was necessary. Simon Kerridge, University of Sunderland, is therefore ELECTED to serve as Secretary for the period 1 June 2006 to 31 May 2009.

3. **Five members of the Executive Committee**
The first four to be elected to serve for three years from 1 June 2006 to 31 May

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Assistant Director,
Graduate Research School

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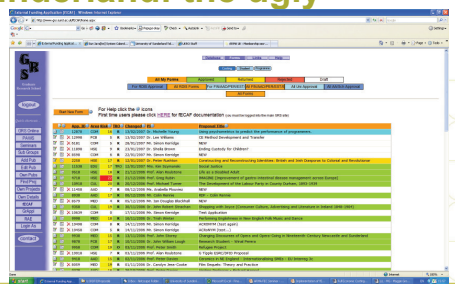
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Sunderland: the ugly



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Sunderland: the culprit

- Simon.Kerridge@sunderland.ac.uk

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Expert Seminar

Implementation of fEC – Imperial - a Brunswick Group institution

Imperial College London
Karen Sergiou
Head of Research Operations

Imperial implementation of FEC: the work-streams

Programme Management	(1) FEC Calculation Processes	Develop cost calculations & calc maps Model results and reconcile with accounts Internal / External Audit
	(2) FEC Business Processes	Develop requirements, processes & guidelines Test business processes Training
	(3) Systems and Interfaces	Produce information system requirements User acceptance testing Beta trials
	(4) Communications	Communications Stakeholder management
	(5) Strategic Value of FEC	Financial Evaluation / modelling Implications for research strategy – composition of teams, pricing etc. Implications for use of extra funds

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Pre-award – System Solution

- Imperial detailed FEC business and system requirements for InfoEd and worked with InfoEd throughout development.
  - the Estates Rates and Indirect Costs calculated as costing is developed
  - Direct feed from Human Resources database.
  - The system has been configured to ensure only researchers are counted within the Project FTE
  - Flexibility of output i.e. FEC excluding indexation
  - Electronic Approval Routing – all costings must be prepared using InfoEd – FEC cannot be avoided!

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Post Award – System Solution

- Award Interpretation Spreadsheets - deviation between application and award
- Set up changes required for FEC awards on Oracle Grants
- Price engine - to calculate the unrecoverable element for each project and create an adjustment journal
- Automated journaling - DA costs will automatically be transferred monthly to a Faculty location
- Reports delivered to detail;
  - FEC (i.e. the 100% spend) and Recoverable elements to support invoices
  - Transaction details for both recoverable and unrecoverable elements
  - Audit reports for RS/ Faculty staff

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FEC – can we be sure?

Concerns over perceived increases in cost & potential risk to volume has potential to drive academics to minimise FEC 'overhead' during costing process (rather than undertaking considered pricing decisions) by:

- FTE manipulation to reduce FEC (and therefore price) i.e. underestimation of PI time
- Exclusion or reduction of Co-Investigator time
- Increased use of non-research grades (Directly Incurred Technicians, Project Studentships)
- Laboratory versus Non-Laboratory Estates versus Off-site
- Collaborative research

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FEC – can we be sure?

External factors may also encourage under-costing such as:

- Value limits (real and perceived)
- Re-evaluation of costs (10 day turn around)

Highlights the importance of appropriate incentives that are understood throughout the organisation

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Other drivers

FEC policy implementation has led to the evolution of contradictory/inappropriate drivers which must be carefully managed

- Major Research Facilities **within Estates**
- Major Research Facilities **outwith Estates**
- Pooled/Shared Technicians **within Estates**
- Directly Incurred Technicians **outwith Estates**
- Timesheet for researchers on more than one project

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The FEC balancing acts

- Balance between pursuit of volume and pursuit of sustainability
- Advantages of cost transparency/accountability must be balanced against administrative burden (risk of cottage industries)
- FEC must be carefully monitored to avoid proliferation of inadvertent drivers
- Critical to evolution of FEC within HEIs is the cycle of
  - Policy Interpretation/Development
  - System/Process Development and Training
  - Education and Communication
  - Reporting and Analysis

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Remaining Challenges

- Maintaining research volume!
- Alignment of charge-out rates of identical facilities with different costs
- Consistency within a faculty and across faculties of pricing policy
- Will FEC drive changes in our funding portfolio?
- How do faculties distribute new resource and monitor the consequences? Distribute same as overhead of "status quo price" and keep rest at centre of faculty?
- Will PIs realise the corporate (rather than the individual) gain?
- How does the College ensure it builds a sufficient "Central Investment Fund" in a post SRIF era?

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Expert Seminar

Implementation of fEC – City - a pre-1992 University

City University
Andrea Tinson
Manager,
Research Grants and Contracts

The Professional Association of Research Managers and Administrators

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Three approaches

- Institutional
- Internal (Finance)
- Internal (Research Grants and Contracts Office)

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Institutional approach

- Costing and Pricing Committee
  - Regular meetings
  - Policy discussed
  - Implementation discussed

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Internal (Finance)

- Held in conjunction with Professional Accounting Services
- Regular meetings to discuss implementation
- Fed into Costing and Pricing Committee

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Internal (Research Grants and Contracts Office)

- ARMA conference
- JCSPG meetings
- Research Office documentation
- Dissemination
- Training

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Problems encountered

- Actual costings took longer
- Not all PIs attended training seminars
- Unable to amend existing database
- Small projects awkward to cost

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Since then….

- More training….
- Internal audit
- Outcome
  - Decisions made ahead of C&P Committee
- Incentivisation for PIs

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uk
Expert Seminar

Implementation of FEC – a departmental perspective

University of Edinburgh
Richard Yardley
Research Administrator
School of Biological Sciences

Profile

- UoE has research income of £113m per year
- School of Biological Sciences is:
  - 5 rated in 2001 RAE
  - 124 academic staff
  - Annual research income of £26m
  - Funded by Research Councils, Wellcome Trust, EU and various Charities

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SBS FEC Planning

- Appoint Senior Research Administrator prior to FEC implementation
- Prepare School Strategy to exploit FEC
- Console Academic Staff
- Liaise with UoE Centre on Policy Decisions

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FEC Implementation

- Training of academics
  - Hand Holding
  - More involvement in writing justifications
  - Identify all eligible costs and ensure they are included
- Processes and Procedures to Support Academics
- Restructure SBS Support Services

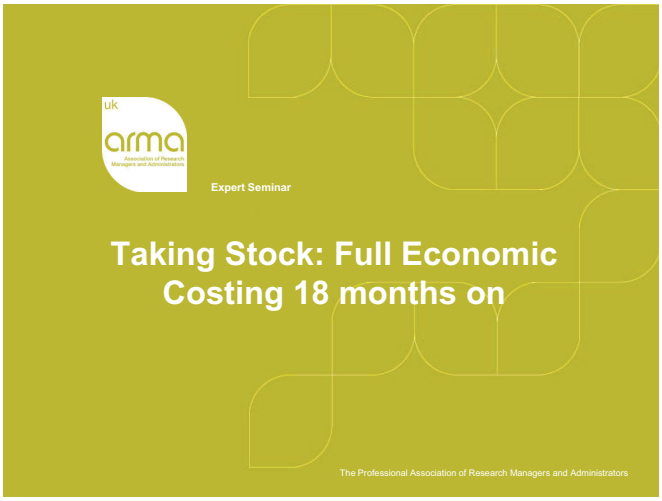
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FEC Implementation

- Pre and Post-Award In House
  - Cost Applications
  - Complete Financial Details on Forms
  - Prepare Internal Budget Forms
  - Advise of Funds under PI Control
- Communication with UoE Finance Office
  - Identify New Account Codes
- Identify and Produce Access Charges

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arma
Association of Research Managers and Administrators
Taking Stock: Full Economic Costing 18 months on
Next steps
Sustainability Fund
Improve Access Charge Rate
Sustainability of our portfolio
Continue and Improve Communications with UoE Centre
London 22nd March 2007
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Expert Seminar
Taking Stock: Full Economic Costing 18 months on
The Professional Association of Research Managers and Administrators

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RAGnet
Research Administrators' Group network

E-NEWSLETTER

JULY 2004

http://www.ragnet.ac.uk

In this, the third issue of the e-newsletter, we report back on the recent Executive Committee election results, the Annual General Meeting and progress on RAG*net*'s name change to ARMA(UK). We also provide news of training opportunities and forthcoming regional events, in particular the formation of a new Scottish group.

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Election results

As members will be aware, the elections for the executive committee were concluded at the end of June, and the committee members for the next year are as follows:

Officers

Chair	**Peter Townsend**
Deputy Chair (External Affairs)	**Phil Clare**
Deputy Chair (Member Services)	**Steff Hazlehurst**
Treasurer	**Rossana Dowsett**
Secretary	**Nigel Bilsbrough**

Elected members

Mary Barwick	NHS links	**Matt Heger**	Study Tours
Tara Singh Bhogal	Expert Seminar Coordinator	**Ray Kent**	
Ian Carter		**Simon Kerridge**	Membership & recruitment
Claire Gauld		**Pauline Muya**	UKRO liaison
Jonathan Hackney	IRMA Series editor	**Helen Stochaj**	Research Council links
Rosemary Hatch	Information Officer	**Maggy Taylor**	

At the recent executive meeting, a number of new responsibilities were allocated as shown above, and in addition, Kathy Brownridge was co-opted as a committee member. We are currently co-opting a Marketing Officer. More information about the committee members can be found on the website at www.ragnet.ac.uk/cttee.html

Spring Conference

The 2004 Conference was our largest and most successful yet, with more than 150 people participating. Held at the Royal York Hotel in May, with the title Collaboration, Competition and Concentration in Research, the conference included a keynote speech from Dr Ian Gibson, MP, as well as speakers from the Office of Science and Technology, the Arts and Humanities Research Board, the Wellcome Trust and several universities. Copies of all speakers' presentations are available at www.ragnet.ac.uk/events/reports/conference2004report.html, and reports of events are being published on the site as they become available.

We are already planning next year's conference, which will take place in Brighton on 18-20 May 2005. More details about the theme will be published in future newsletters.

Issues in Research Management and Administration

As members are aware, the first issue in our new occasional paper series was published at the end of June, and we are pleased to report 360 downloads in the first week, of which 260 were on the first day - that's over half the membership downloading it on the first day. For those who haven't yet downloaded their copy, the paper is entitled "Sustainability and Full Economic Costing: Policy and Implications" and is written by John Wand, John Newton and Ian Carter. An abstract follows.

The first section of this paper explores the historical development of the dual support system and the logic behind the current drive for reform. The Government's approach is explained, and the initiatives to date are outlined. Some issues arising from the proposals are presented and the roles of government funders of research are examined. The second section details the recent work of the Joint Costing and Pricing Steering Group (JCPSG) in supporting the development of the TRAC methodology, and provides links to further information. The final section takes a detailed look at the implications for institutions as they implement TRAC and move towards the Full Economic Costing of research. Technical accounting issues are explained, and the arguably larger problem of managing cultural change is addressed. A number of tasks for institutions to address are outlined and questions posed. The magnitude of the task is revealed.

We are keen to receive feedback on this first paper; please contact Jon Hackney, series editor (j.hackney@ucl.ac.uk), or Phil Clare.

We are beginning to plan future editions of IRMA, on topics such as the internationalisation of research management, and managing research collaboration. Any member who is interesting in editing or co-editing a future edition of IRMA should contact Jon Hackney with their proposal.

Annual General Meeting

The AGM took place during the Conference and considered the annual report and financial report for 2003-04 (available in the policy section of the website), together with a number of constitutional amendments. These were reported on in the last e-newsletter: the proposals to change the name of the organisation to the Association of Research Managers and Administrators (UK) (ARMA(UK)); to change references to the Spring Workshop to the Spring Conference; and to change 'unincorporated association' to 'charity' in the event of our bid to become a charity being successful, were all approved. Following debate, the proposal to create a new category of institutional membership was withdrawn by the executive. We will be considering this proposal further in the light of members' comments.

Minutes of the AGM have been circulated to members and are available in the policy section of the website.

Name change: progress report

The AGM agreed to change the name of the organisation to ARMA(UK), and the name change will take effect in January 2005. The Executive has a lot of work to do between now and January in order to make the transition as smooth and as successful as possible. Work includes:

- Designing a logo and graphic identity for ARMA(UK) and producing a style guide on their use
- Reprinting stationery and other materials
- Redesigning the website and changing the domain name
- Developing and implementing a marketing plan for ARMA(UK)

So far, the Communications sub-committee has appointed a design agency, Campbell Rowley (www.campbellrowley.co.uk), to develop the new logo and identity and design and print stationery and other materials. A specification of work and the timetable have now been agreed, and the sub-committee expects to make a decision on a logo in September. New domains have been registered, and we are currently finalising a brief for technical implementation of the website design. We will be expecting the highest standards of accessibility, and expect to appoint an agency to undertake this work later in the summer. We are also reviewing the information architecture (the structure) of the website, and any member who would like to be involved in discussion of the proposed changes is invited to contact Steff, the website editor.

We are currently co-opting a Marketing Officer to work with other members of the Communications sub-committee to develop a marketing strategy for ARMA(UK) and be responsible for the drafting of marketing materials, and we hope to be able to report on this in the next newsletter.

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The Executive Committee has met once, in June, since the last e-newsletter.

In addition to the topics in this newsletter, discussion topics included:

- A discussion with the designer of the ARMA logo and identity about his approach to the work and to tell him more about the organisation
- Our contribution to the International Network of Research Management Societies, including participation in the ARMS Conference in Fremantle in September and the SRA Conference in Salt Lake City in October.
- Agreement of a revised Strategic Plan for the period 2004-07. The new Plan is available on the website in the policy section.
- The long-term sustainability, both financial and in terms of human resources, of RAG*net*/ARMA. The committee discussed IT infrastructure, issues related to the costing and pricing of training events and longer term budgeting and planning. This issue will continue to be discussed at future meetings.

The Executive also benefited from training in chairing skills, which we hope you will notice being put to good use at future seminars and conferences.

Regional/national events: London, Scotland

We are considering organising occasional activities on a regional basis, initially in London and in Scotland. A London 'twilight' event is planned for October in Bloomsbury, and members in the London area will receive an invitation by email about this event when plans are further advanced.

Members in Scotland who are interested in participating in, or assisting with the organisation of, events in Scotland, or who have ideas for the sort of activities they would like to see happening, are invited to contact Claire Gauld to discuss them. Contact Claire at c.gauld@enterprise.gla.ac.uk.

Training

Since the last newsletter, we have organised two seminars, one on VAT and one on Electronic Research. The VAT seminar is one of our training seminar series, which was presented by consultants from Ellis Chapman, specialists in VAT in the higher education sector. Some 50 delegates took part in this and commented on how useful and informative it was, and that it would make a real difference to their work. The seminar is likely to be repeated in 2-3 years time.

This year's pre-conference seminar was on electronic research administration, and 55 delegates gathered in York ahead of the conference to hear about the background, the current state of play and the future landscape of electronic research administration in the UK.

This year's induction workshop, our annual training event for those new to research administration, takes place in Loughborough on 20 and 21 September. If you are new to research administration yourself (usually in your first year in the profession), or have a new colleague who would benefit, we recommend you book early. The workshop includes sessions on research policy and funding, ethics and governance, research student issues and costing, contract negotiation of projects. More details on the website.

Events currently planned include two Training Seminars: a repeat of the recent day on Supporting Research Grant Applications, and a new seminar on contracts, which will be offered over two days at two levels, with participants able to attend the one most suited to their needs, or to attend both days. Looking further ahead, we are beginning to think about seminars we wish to offer to help members cope with the demands of RAE2008, and we hope to have further details in the next newsletter. We are also developing further events in connection with Full Economic Costing.

A full diary of forthcoming events can be seen overleaf.

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RAG*net* E-NEWSLETTER JULY 2004

Forthcoming Training Events

September 2004
20-21 Induction Workshop for new research administrators and managers
15-17 ARMS (Australasian Research Management Society) Conference:
Enabling the Research Environment: Delivering enhanced outcomes and impacts, Fremantle.
See www.researchadmin.org.au/

October 2004
23-27 SRA International (Society of Research Administrators) Conference: Research Excellence:
It's All About Teamwork, Salt Lake City.
See www.srainternational.org/NewWeb/meetings/annualmeeting/04/index.cfm
(tbc) Training Seminar: Supporting Research Grant Applications (repeat), London

November 2004
15 Expert Seminar: IPR and medical research, London
30 MRC study tour
(tbc) Training Seminar: Understanding research contracts (1 or 2 days), London

The E-Newsletter

As ever, we very much appreciate any feedback you have to offer, whether on this e-newsletter or any of our current and planned activities, as we always take members' suggestions very seriously.

Peter, Phil and Steff

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Funding from the United States for UK research

The Devon Room, Thistle Hotel, Bristol
Wednesday 30 April 2003

The overall aim of the seminar will be to raise awareness of some of the main potential US funding sources and also to highlight some of the issues that applicants need to consider when applying to these bodies. It will be of interest to anyone looking for more information on these funding sources and the issues that may arise from applying for and administering funds from them. There will of course be the opportunity to compare experiences with other UK colleagues.

The seminar will consist of presentations on funding opportunities for non US applicants from the Office of Naval Research (ONR), from the National Institutes for Health (NIH) and from the National Science Foundation. Each presentation will be followed by time for questions and answers and discussion.

Programme

12.30	*Lunch* in the Devon Room
1.0	**Funding available from the Office of Naval Research** Dr Mike Pestorius, ONR London Office
2.15	**Funding from the National Institutes of Health** Bill Schweri, SRA International and University of Kentucky
3.00	*Tea*
3.15	**Funding from the National Science Foundation** Bill Schweri, SRA International & University of Kentucky Simon Kerridge, University of Sunderland
4.00	**Summary and conclusions**
4.30	*Close*

EVALUATION FORM: Funding from the United States for UK research
Wednesday 30 April 2003

5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

Title	Presenter	A Format/ Delivery	B Content & Material	Any further comments and/or suggestions for improvement
Funding available from the Office of Naval Research	Mike Pestorius	**4.4**	**4.2**	[redacted]
Funding from the National Institutes of Health	Bill Schweri	**4.7**	**4.7**	[redacted]
Funding from the National Science Foundation	Simon Kerridge	**3.2**	**3.4**	• Knowledgeable but not very interesting • Too many stats and irrelevant information. We need to know *how* to apply, and this wasn't the main focus here. I am none the wiser really, in terms of NSF funds, and was rather confused by much of this presentation. • Liked the little asides! • More positive approach and sharper focus would have been appropriate • Clearly not an expert on this • Need speaker from the organisation to make session worthwhile. This one emphasised

				all the reasons why it was not worth applying. • Very muddled presentation – hard to follow. A lot of uninteresting stuff at the beginning then more relevant stuff dealt with too quickly. Speaker barely audible at times. • Stop apologising Simon! (And fewer clever asides…!) Virtually inaudible most of the time. Speak to the audience, not to your pals in the front row. Slides illegible – tiny font. • Speak more slowly and point out important point (seemed a bit nervous!) • Lost its way – digressed, ran out of time, less informative • Too rushed • Difficult to follow • IT props – discussion format with two presenter interesting • Whilst the content was good, it was of little value due to the limited amount the UK can apply for
				• Overall very useful and much better idea of opportunities • Overall good • Across the board, all three presentations were informative, and relevant and provided sufficient detail at the right level • Useful on NIH funding • More interactive session would be useful but lots of useful info • Practical experiences from a UK university would have been interesting

Please comment on the extent to which this event **met your expectations**:

- Very useful
- Met expectations totally – altogether excellent
- Very glad I came, will be useful
- Met all my expectations for information – very informative and helpful
- Gave me a good overview of this field and direct contact with some organisations. Made things a lot more clear
- Event was much better than expected
- Seminar met my expectations. Gave me a better understanding of what is out there
- Very interesting to hear about US funding opportunities
- Very useful and interesting. Lots of guidance on how to follow up.
- I didn't have any preconceived ideas about content and for the most part it was very useful
- Yes – very good. Venue wasn't very suitable though – too small/stuffy and hot and full of dishes by the end!
- Met expectations, especially in relation to NIH – feel much more able to advise on this now
- Very good, particularly NIH which is what I was expecting
- I was unaware of the ONR and NIH so this has been useful

- The first two sessions were good, exactly what I needed
- Sessions 1 & 2 very useful – a good outline of US funding opportunities. But was the third session really necessary/relevant?
- Well in the most part. The NSF session was not so relevant to me
- Gained insight into an area of funding which was largely unknown previously
- Access to information – websites etc
- It was very good but only an introduction – more on this topic beneficial
- Very useful as an expanding area would like a more in depth session with example projects and experienced people later.
- Didn't know times had changed! – missed lunch and start!

Please comment on the extent to which this event **will make a difference to some aspect of your work role**

- Useful information to feed back to colleagues in academic departments
- This will help me in my role as Funding Information Officer to inform academics usefully about this area of funding
- Am now very aware about organisations and interested to relay info to academics. Gave me some good ideas for my job.
- Some ideas to investigate
- Good website contact details for all funders
- Will help me to advise academics and know where to find information
- It will enable me to identify possible funding opportunities
- Will be very useful as many people investigate new areas of funding
- Can more confidently direct academics to consider these bodies for funding
- Provided me with a great deal of useful information
- Certainly going to review relevant web-pages and look out for appropriate US funding opportunities.
- Has provided an insight into the necessary mechanisms for accessing US funding
- Be able to encourage academics to apply for US funding
- I've not considered ONR before, but now I realise there are real opportunities. NIH is something I've threatened to get into, now I know where to start.
- Will change my work insofar as I will need to investigate these sources of money much more comprehensively and encourage applications, especially to NIH.
- I will use what I have learned to provide NIH opportunities
- Hope to encourage more staff to consider these funds, I feel I could jump right in with ONR & NIH, but am still unclear about much of NSF
- I was confused about NSF and still am – sorry!
- May not have an immediate effect on my work, however, will use it as a tool to encourage an increase in research applications
- Confidence in dealing with US colleagues re: federal regulations
- Hopefully will feel more confident in offering advice and signing contracts & know where to look for info.

5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

The Overall Event	*Score*	**Any further comments or suggestions for improvement**
(c) Structure and timings	**4.0**	• Yes, structure was fine – timings ran a bit late (chairperson should really have acted to draw third session to a close), but that was because of interest and questions on second presentation. • OK – some delays with technical breakdown, but professionally resolved! • Timings poor – the first speaker was given too much time, the final speaker didn't have enough (but had he prepared – did he know how long he'd take?) • Too long sessions i.e. sitting for two hours without break • Wish I has seen that start time had changed as I believed it was 2pm start as per original email and therefore was late at 1.45
(d) Venue	**3.6**	• No signposts for registration, no space to eat lunch, rather cramped and stuffy room for presentations. Dismal lunch. • Air con rather inefficient and late room servicing • Room airless! Very cramped at front • Room very warm/seats very close together • Overcrowded, airless. Lunch/coffee room much too cramped. • A bit cramped! • Separate eating/drinking area may have been preferable • Catering arrangements poor – room too small, inconveniently arranged • Food poor
(e) Online registration and payment procedures	**4.7**	• This was smooth and efficient • Excellent, as ever • Efficient, easy • Fine
(f) Course administration & practical arrangements	**4.2**	• Pre-admin was very good. Not so good on the day – no signposts, technology failures, etc. • Pity about the technical hitches – but we can all meet gremlins! • Not so great at the event – unclear where to register etc. & catering poor. Technical problems with computer!! • No indication of where registration desk was on arrival • It's always very expensive to get anywhere from Aberdeen! • Wish I has seen that start time had changed as I believed it was 2pm start as per original email and therefore was late at 1.45

RAG*net* Expert Seminar: Funding from the United States for UK research
The Devon Room, Thistle Hotel, Bristol

PTO

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Future Topics

- US funding opportunities II
- A more in depth session with example projects and experienced people later
- Day of talks from individual funding bodies/councils
- Funding for humanities and social sciences from 'unusual courses' – i.e. are there any opportunities for H&SS from the 'science' funders such as NERC, BBSRC or MRC rather than ESRC and AHRB? How to find these and what to look for and how to apply
- Funding in Maths & Physical Sciences
- Funding in Medical Sciences
- Funding in Life & Environmental Sciences
- Government funding
- NHS Research Governance issues
- Web-based dissemination
- Internal bidding procedures – sharing best practice
- Developing a research strategy

Summary of evaluation (by Steff)

Mike & Bill's presentations went down very well, although Bill probably ran out of time even though he and I extended his time available. The third session suffered probably for a range of reasons: a) not our own material, so less familiarity with it; b) time had been shortened but material hadn't; c) Simon's presentation style is less strong than those of other speakers and doesn't go down well with all participants (see opposing comments about those asides); d) NSF is less relevant anyway, which is why the timing was altered. Any repeat seminar should try to use a US speaker who is familiar with the material for this session – if indeed the NSF is to be included. Equally, if we had a full day, a session including one or two UK speakers relating their own experiences might be helpful.

There were problems with the venue. I'm not sure from the comments whether the food was served in the room (as was planned), but this was evidently a bad decision. In addition, we believed the hotel who said the room held 60: clearly it was uncomfortable at 55. We didn't have registration signage in place, although the hotel had promised it. A couple of people remarked on changed start times. I'm afraid they were confused. The website always said lunch from 12.30, start at 1, and the confirmation email didn't state a start time. So this was not our fault!

Proposed future events largely centre on funding for/funding from various subject areas/various agencies and it would be interesting to develop a rolling programme of such events. Or perhaps a week-long funding fair, like those careers fairs…

PTO

EVALUATION FORM

EXPERT SEMINAR
Taking Stock: Full Economic Costing
eighteen months on, Leeds February 2007

5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

Session title	Speaker	A Format/ Delivery	B Content & Material	Any further comments and/or suggestions for improvement
Different approaches to implementation of fEC (1) Brunswick Group Perspective	Kathryn Brownridge	4.29	4.25	
Different approaches to implementation of fEC (2) Hull – a pre-1992 University	Jonathan Cant	4.23	4.19	[redacted] redacted
Different approaches to implementation of fEC (3) Sunderland – a post-1992 University	Simon Kerridge	4.07	4.03	Too rushed and lots of "in jokes" not helpful Spoke a little too fast at times
Different approaches to implementation of fEC (4) A departmental perspective	Pauline Muya	4.11	4.07	[redacted] redacted

General: All items were very well presented but as quite brief only gave high level info and often covered similar areas
All very good – maybe something on post FEC management info-sustainability could have been included?

Please comment on the extent to which this event:

(a) **met your expectations**
Yes, good to understand other approaches
Very good – good to meet a variety of people in similar roles

I was looking for the chance to share experiences, ideas and views. To this extent my expectations were met. I do feel the parallel discussion groups were too large to successfully discuss issues, moreover they succeeded in allowing statements of practice to be made.
Presentations very informative and useful – more time for Q & A and less of group discussions please. Found group sessions far less helpful as they tend to be a forum for listing "what we do" or the participants are very passive. Discussion tends to go "off topic" so more facilitation needs to be addressed.
Yes, it was good to swap experiences with colleagues, although there are many issues still to sort out!
Gaining an understanding of how other universities are managing the implementation of FEC
Reassurance that all HEIs are dealing with some problems – variety of approaches was "eye opening" – very precise model and loose model.
Proved a useful opportunity to hear the experience of other institutions
I didn't have very clear expectations, but did find the discussion helpful and interesting
Useful exposure at state of implementation at other institutions
Good, a brief history of FEC and why RC's implemented it would have been useful
Met most expectations – but maybe a little vague in discussion sessions
Ys, however I would have preferred a more structured approach as the parallel discussion group outcome depended on the members of the group. It would have been useful to have a chair that outlined the best practice in the area.
It proves that I'm not on my own as to sometimes being a bit confused
Yes, the ability to discuss these issues with fellow managers is very important
Excellent, very good interaction with peers
Yes, attendees participated, which made the course useful and informative
Interesting to hear all the different approaches but it still seems early days – most institutions still seem to be the learning stage and it will be more interesting in a few years time to see how it has evolved.
Interesting experience seeing the different ways FEC has been handled in different institutions. Also how facilities and technicians time has been logged out
Good understanding obtained of other institutions issues
It ws good to meet people from other institutions and find out their issues and realise they are similar to mine
Exceeded expectations – I found the case study type presentation and parallel discussion groups most helpful in moving my knowledge forward
Good to discuss cross institutions

(b) **will make a difference to some aspect of your work**
Certainly I have some ideas which I can take from this and look to implement at our institution.
Helps to clarify/reinforce some approaches we are considering and as always, reassuring to hear that we share the same headaches/issues!
A realisation of how advanced some universities are compared to others. Will take away some suggestions of good practice.
Opportunity to improve comms to deal with FEC problems
Raised some points which will need to be investigated
Yes, I think so. Its made me think apart a few things and I'll be looking for answers when I get back
Ideas and information from other institutions was useful when looking at our own processes
Not at the moment – but certainly makes it clear all universities are facing the same problem but use different ways i.e. sustainability, incentivisation
It has helped identify questions to be asked
Understanding how faculties are charged out will be helpful. Identification of future problems with audit.
Helpful tips
Yes, I've taken away some ideas to implement
Yes, definitely will change some aspects/perspective
Yes, on the splitting out of faculties costs
New people to ring for help!
Not really, but it is a chance to network
Yes
Yes, especially departmental perspective on effect of FEC
Provided some questions which I need to find answers to.
Good contacts made.

5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

The Overall Event	*Score*	Any further comments or suggestions for improvement
C. Structure and timings	4.07	Good idea to have parallel groups Afternoon sessions needed more structure to avoid deviation from the topic Siting of parallel sessions in same room caused problems – difficult to hear at times Lunch break too long Too long for lunch
D. Venue/Catering	3.76	Ran out of coffee by 9.45 – long morning without a drink since breakfast and had to wait until lunch Difficult to find on the campus Food OK Appalling parking Would have been easier in London! Unfortunate that building work appeared to be going on around us Lack of coffee at lunch and the kitchen noise was distracting Lots of kitchen noise Leeds is a difficult venue to reach in commutable time (?) More detailed directions around campus would have been helpful
E. Online registration and payment procedures	4.46	Very straightforward Very easy Excellent
F. Course administration & practical arrangements	4.23	No one asked about taxis or organised the ordering of them.
G. Delegate pack	4.07	I would prefer a larger typeface Good

Future Topics: Are there any areas or topics you would like future ARMA events to cover? You might also like to suggest potential speakers.
HERA and the recovery of costs from existing grants.
Management Information – aids to planning
Insurance Masterclass
US Funding workshop (i.e. how to apply e.g. NIH)
Risk Assessment workshop
Corporate Planning
Quality Assurance/Governance in Research
Difference in approach to FEC dependent upon "structure"
Devolution of Budgets – how to handle this
Reporting to sponsors at grant close-out
FP7
Research and VAT
Offsite costs –NHS for example

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RAG*net* Training Seminar
Supporting Research Grant Applications

Rootstein Hopkins West Space, The London College of Fashion

Wednesday 3 March 2004

9.30 Coffee and Registration
Introductions

10.00 **Session 1:** *Quality assurance and proposals*

Helen Stochaj, Senior Research Administrator
Research & Enterprise Office, The London Institute

10.45 **Session 2:** *Dealing with staff costs, indirect costs and an introduction to Full Economic Costing*

Pauline Muya, Research Support Officer,
Birkbeck College, University of London

12.30 Lunch

1.30 **Session 3:** *Calculating non-staff costs*

Simon Kerridge, Deputy Director,
Graduate Research School, University of Sunderland

3.00 Tea

3.30 **Session 4:** *Research grant applications – what else?*

Helen Stochaj, Senior Research Administrator,
Research & Enterprise Office, The London Institute

4.00 Questions and answers

4.30 Close

Session 3
Other Types of Costs

Simon Kerridge
University of Sunderland

Overview

- Full Economic Costs [FEC]
- Non staffing costs
  - Direct costs
  - Indirect Costs
  - Overheads
- VAT

Full Economic Costs

- Includes the full overhead
- Everything else is included?
- "Well-founded laboratory"
  - Exceptional items
  - Other items not included in the indirect costs

Non Staffing Costs

- Travel
- Equipment
- Consumables
- Services / sub-contracts
- Partners
- Overheads (includes indirect costs)

Rules of the Sponsor

- Travel limits / rates
- Equipment depreciation
- Office consumables? Rules of thumb
- Allowable services / sub-contract size
- Fixed overhead rate?
- Check the rules again

No Rules?

- Check list
- Similar previous projects?
- Talk to the Sponsor!

Travel

- Who, where, how often, how long
  - Exact costings… or estimate
  - Local mileage
  - Train fares (overnight?)
  - Air fares (APEX, budget airlines)
  - Subsistence rates (by city?)
  - Incidentals

Session 3 Slide 7 — RAGnet Training Seminar: *Supporting Research Grant Applications* London, 3 March 2004

Equipment

- Include VAT (unless medical)
- Quotes?
- Delivery?
- Maintenance / Service
- Usage rules
- Depreciation
- Lease / Rent
- Ownership?

Session 3 Slide 8 — RAGnet Training Seminar: *Supporting Research Grant Applications* London, 3 March 2004

Consumables

- General
  - Office (known allowance?)
  - Laboratory (known allowance?)
- Specific e.g.
  - Tapes
  - Salt
  - Snails
  - Rocket fuel

Session 3 Slide 9 — RAGnet Training Seminar: *Supporting Research Grant Applications* London, 3 March 2004

Services / Sub-contracts

- Recruitment
- Internal services
  - Catering
  - Inter library loans
  - IT services
  - Use of large equipment
- Sub-contracts

Session 3 Slide 10 — RAGnet Training Seminar: *Supporting Research Grant Applications* London, 3 March 2004

Partners

- Exchange Rates
- Bank Charges

Session 3 Slide 11 — RAGnet Training Seminar: *Supporting Research Grant Applications* London, 3 March 2004

Research Students

- Fees (overseas? increases?)
- Stipend (increases)
- Training / Development
- Other costs associated with people.
  - Travel, Equipment, Consumables …
- When the project finishes?

Session 3 Slide 12 — RAGnet Training Seminar: *Supporting Research Grant Applications* London, 3 March 2004

Overheads

- More than you think!
- Rationale for under-recovery
- Cost & Price
- Move as much from overheads into direct costs as you can (rules?)
- Do not disclose rate to non public sponsors!

Tax

- VAT?
  - Is there a service?
  - Is the funder an eligible body?
- Payment to subjects
- Payment for ad hoc work

Checking

- Checklist of categories
  - How much detail is required?
- Think through the project
  - What is needed for each task?
  - Justify the costs

Systems

- RACE 2
- In-house
- Spreadsheet

Training Seminar

Dealing with staff costs, indirect costs, and estates costs

Simon Kerridge,
University of Sunderland

The Professional Association of Research Managers and Administrators

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Association of Research Managers and Administrators — Supporting Research Proposals

Summary

- Definitions
- Full Economic Costs
- Staff costs
- Indirect costs/overheads
- Estates costs
- Practical exercises on costing staff
- FEC & funders
- Costing tools

Association of Research Managers and Administrators — Supporting Research Proposals

Definitions

- On-costs (Employer's contribution towards National Insurance and Pension costs)
- Pay award/inflation (annual cost of living increase, awarded on 1st August each year, usually 3-3.5%)
- Increment date (date on which staff progress one point up their pay scale)

Association of Research Managers and Administrators — Supporting Research Proposals

Definitions

- Full Economic Cost (FEC)

  A price which, if recovered across an Institution's full programme, would recover the total cost (direct, indirect and total overhead) of the Institution, including an adequate recurring investment in the Institution's infrastructure

  Office of Science & Technology definition
- TRAC (Transparent Approach to Costing), Transparency Review

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Association of Research Managers and Administrators — Supporting Research Proposals

Full Economic Cost

- Builds on Transparency Review
- Government concerns about the sustainability of university research
- Aims to make us calculate and recover the actual cost of undertaking each project
- Will result in change to our approaches to costing projects – move away from low price culture

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Association of Research Managers and Administrators — Supporting Research Proposals

Costing under FEC

- FEC is the total cost to the institution of undertaking a research project. It comprises:
  - all direct costs arising from the conduct of the research (directly incurred costs)
  - all costs in relation to use of shared staff and facilities including academic staff time and a premises charge (directly allocated costs)
  - a full indirect cost recovery and a provision for recurring investment in the institution's infrastructure (indirect costs)

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Project cost elements

- Directly Incurred (DI)
  - RAs, dedicated technicians, consumables, travel, equipment purchase
  - Charged on the basis of actual spend
- Directly Allocated (DA)
  - Academic time, pooled technicians, pooled equipment and facilities, and estates (expressed as £/FTE)
  - Charged on the basis of estimated costs
- Indirect
  - Expressed as £/FTE

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Staff costs: questions to consider

- Who is the funder ?
- What are the funder's requirements ?
- How do you need to present the figures ?
- How long is the project ?
- When is the grant likely to start ?
- How many staff do you require ?
- Where are staff located (London Allowance)?
- Are any other institutions involved ?

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(Contract) Research staff

- New member of staff or existing person?
- Specific skills required e.g. PhD or experience?
- Agree a grade and starting salary with your academic, in line with the funder's rules
- If at top of scale, allow for progression to next scale or discretionary increases

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Technical and administrative staff

- Technical staff
  - include a % of departmental technicians
  - how do you handle that money internally?
- Administrative/clerical staff
  - particularly important for a large scale project
  - clerical support for transcription/receptionist for participants etc.
  - shared across projects

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Academic staff time

- will the funder allow you to include some of the applicant's time?
- under FEC, should be costed anyway
  - but may be handled differently in different institutions
- how do you handle such money internally?

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Day rates

- Ideal for smaller projects, consultancies or contract research for Government departments
- How many working days a year?
  - TRAC says 220, you may disagree
- Calculate payroll cost, round up
- Include overheads in day rate quoted
  - At what rate?
- Give academic minimum day rate, but need to adjust according to funder

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Indirect costs

- Academic research support time (c20%)
- Institutional restructuring, development, and risk (c10%)
- Departmental support staff and non-pay (c20%)
- Central services such as personnel, finance & library (c50%)
- Charged on the basis of £/FTE academic, RA & PGR
- Based on historic costs and calculated every Feb

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Indirect costs/overheads

- What are indirect costs?
- Why should we include them?
- How can we persuade academic staff of their necessity?
- What do funders say about them?
- What rate should be included?
- Varying rates between departments due to Transparency Review

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Estates costs

- Covers costs for buildings and premises, including maintenance, utilities, cleaning, safety and security
- Also includes a charge for use of generic equipment which is normally under a specific value
- Charged on the basis of £/FTE academic, RA & PGR
- Based on historic costs and calculated every Feb
  - 2003/04 data used to calculate the rate from Feb 2005
  - 03/04 benchmark data: lab rate = £8.2k; generic rate = £5.5k
- Lab and generic rates now; 4 or more rates in future

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FEC & Research Councils

- Research Councils fund 80% FEC (since September 2005)
  - Will pay investigator time, estates and indirects based on estimates
  - Will not fund >100% PI cost based on standard time
  - Special arrangements: large equipment, surveys, project studentships
- Common forms and procedures, new T&Cs
  - All except MRC on Je-S
- Virement between directly incurred headings only

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FEC & Research Councils

- Where is the remaining 20% be paid from?
  - QR money - what happens to institutions/departments with little/no QR ?
  - Additional funds received from other projects
  - Cross-subsidy from teaching money ?
  - Subsidy across departments/faculties ?

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Other funders

- Charities
  - Many will not pay indirect costs or academic staff time
  - May pay some DA costs - equipment/support staff
  - More scope for negotiation with smaller charities
  - Charities research support fund - initially £90m rising to £270m for “public good” research
- Government Departments
  - Expected to pay 100% of FEC on commissioned work
  - NHS R&D to use the RC model

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Other funders

- EU
  - No change on current shared funding model in FP6
  - Might pay 75% of FEC-like costs in FP7?
- Industry
  - Is usually a price-based negotiation
  - All non "public good" research should be funded at at least 100% FEC

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Issues for discussion

- Investigator time estimation
- Staff time commitments
- Salary actuals or bands?
- "Eligible" costs
- Facilities' costs (inc equipment sinking funds)
- Indexation
- Pricing
- Who pays the balance?

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Issues to think about

- Systems to support project costing
- Capturing actual costs
- Accountability and audit processes
- Portfolio, QR and SRIF management
- Cultural and managerial change issues

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Costing tools

- RACE 2
- Siriusweb
- In-house system
- Excel

London xxth March 2006 — The Professional Association of Research Managers and Administrators

Minutes of RAG*net* AGM held at Glynhill Hotel, Renfrew, Scotland

4 May 2000

Chair: Charlotte Wellington

Present: Jan Davies, Kate Hall, Mark Smith , Edward Hughes, Sarah Manning-Press, Sue Moore, Elizabeth Robertson, Alison Coughtrie, Kathleen Callender, Anne Brocklehurst, Doreen Corlett, Karen Steenson, Dave Hall, Geoff Smith, Steff Hazlehurst, Sue Ellwood, Mike Hession, Phil Clare, Chris Needham, Lorna Hollingum, Susan Baines, Peter Rosenberg, Jacqui Forsyth, Jen Shearer, Jackie Fuller, Peter Townsend, Barbara Hickson, Julia Campbell, Mirilee Pearl, Maureen Skinner, Wiktor Kurzeja, Pauline Muya, Fiona Dale, Sui-Mee Chan, Linda Aitcheson, Andrea Bailey, Kate Nimmo, Charlotte Wellington, Nigel Bilsbrough, Frances Tyson, Julie Gabriel-Clarke

1. Apologies for Absence

Simon Kerridge, Rose Freeman.

2. Minutes of the Previous Meeting and Matters Arising

The minutes of the previous AGM held at Lancaster House Hotel, Lancaster on 6 May 1999 were agreed to be a true and accurate record of the proceedings and were signed as such by the Chair. There were no matters arising from the minutes.

3. Report on RAGnet activities during 1999/2000 by Charlotte Wellington

A written Annual Report was presented to the meeting brief highlights of which are given below.

This had been another extremely good year for the organisation that had continued to display a strong presence in the research community. In more detail:

- membership now stands at around 350
- 90 different HE Institutions are represented
- over 450 delegates have attended our training events
- **RAG***net* Advisory Group established, first meeting took place 3 May 2000
- links strengthened with our partner organisations, UKRO, HEURO
- Bursary Scheme launched, one successful application
- Web site enhanced, thanks to Steff Hazlehurst
- Strategic Plan now on web
- two issues of *RAG Times* produced, thanks to Sue Baines
- reserves increased, to be used partly to buy in administrative support.

Our application for charitable status had not been successful as our activities were deemed to be too member oriented. We will continue as an unincorporated association but will buy in professional audits.

Finally thanks to all the committee and members for their help and support throughout the year.

4. Financial Report for 1999/2000 by Kate Nimmo

A written Finance Report was circulated to the meeting showing the position as at 31 March 2000.

- The association had healthy reserves which would be used in part to fund administrative support
- large balance on current account would be needed to meet costs of Spring Workshop
- one Bursary had been granted
- professional fees had been incurred in seeking advice on application for charitable status
- additional expenses would be incurred in the future for professional audit and costs of Advisory Group.

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Charlotte expressed thanks to Kate on behalf of the Association for all her efforts.

5. RAG*net* Constitution

At the 1999 AGM a new **RAG***net* Constitution had been adopted in readiness for achieving charitable status. As this was not now going to happen it was necessary for a revised constitution to be adopted. Briefly the changes were:

- terms of office for committee membership were simplified
- nomination procedures for committee membership were simplified
- all references to charitable status had been removed.

The members present at the meeting unanimously agreed to adopt the revised constitution.

6. Elections to the Committee

The Constitution provides for four officers of the Association; chair, deputy chair, secretary and treasurer, 11 other Committee members and up to five co-opted members. During the year three members had resigned; Sue Baines, Dee Roberts and Jackie Langford. This left nine members: Charlotte Wellington, Chair; Jacqui Forsyth, Deputy Chair; Kate Nimmo, Treasurer; Nigel Bilsbrough, Secretary; Steff Hazlehurst; Pauline Muya; Peter Townsend; Peter Rosenberg and Sue Ellwood; and two co-opted members, Andrea Bailey and Phil Clare. All were willing to stand for (re-)election and were duly (re-)elected.

Nominations for the vacant positions had been received from Simon Kerridge, Research Development Officer, University of Sunderland; Maureen Skinner, Research Support Manager, London Institute; Jen Shearer, Research & Commercial Projects Manager, University of Paisley; and Kerry Wilding, Administrator, Centre for Professional Ethics, University of Central Lancashire. All were duly elected to the Committee.

7. Future Plans

Several future events were already planned:

- an introduction to European Funding, to be held at Loughborough University in early June
- an expert seminar on creation and maintenance of web sites to be held in London mid May
- an expert seminar on Electronic Research Administration to be held at Bournemouth in June
- an expert seminar on personnel issues and contract research staff to be held in London mid July
- the Introduction to Research Administration Workshop will be held for the third time at Loughborough in September.

Immediate priorities for the Association are:

- to update our stationery stock
- to increase membership, particularly amongst those currently under-represented
- to update the Strategic Plan
- to secure a new Editor for *RAG Times*.

Members present were encouraged to suggest future topics for training events.

8. Any Other Business

Jackie Fuller asked if it would be possible for the Association to recognise in some way the tremendous contribution made to the Association by our founder chair, Joan Hughes. The Committee agreed to discuss this at their next meeting.

There being no further business the meeting closed at 5.30 pm.

Nigel Bilsbrough
Minutes Secretary
27 June 2000

Minutes

of the ARMA(UK) Annual General Meeting 2007

held in the Pembroke Suite, Mercure Holland House, Cardiff
5:30pm, Thursday 7th June 2007

Chair: Ian Carter
Minutes: Simon Kerridge

Present:

Crystal Anderson, Gwen Averley, Kenna Bishop, David Blundell, Kathy Brownridge, Kathleen Callender, Jonathan Cant, Jane Cloke, Michelle Connolly, Linsey Dickson, Deborah Donnet, Rossana Dowsett, Tim Edwards, Andrew Fairweather-Tall, Belinda Freda, Yasmin Glover, Jill Golightly, Mary Goodman, Nick Goodwin, Alan Harrison, Steff Hazlehurst, Cherie Judge, Deirdre Kelliher, Mary Frances Kerr, Roz Lawson, Nicki Lewin, Nathalie L'Huillier, Gareth MacDonald, Ian McCormick, Sara McDermid, Sue Mitchell, Pauline Muya, Kate Nimmo, Hitesh Patel, John Rogers, Clare Skinner, Mark Smith, Rob Sykes, Maggy Taylor, Jo Tuck, Antony Weir, Val White

The Chair welcomed members to the 2007 Annual General Meeting of the Association of Research Managers and Administrators (UK) Limited.

1. Apologies for absence

No apologies were received.

2. Minutes of the last meeting (25th May 2006)

The minutes of the previous AGM held at the Carlton Hotel, Edinburgh, on 25th May 2006 were agreed to be a true and accurate record of the proceedings.
Similarly the minutes of the SGM held on the same date and venue were also agreed to be a true and accurate record of those proceedings.

3. Matters arising and not covered elsewhere

The association has now almost entirely moved from being a non incorporated association to being a company limited by guarantee. A bank account for the company has been set up and the association is now trading from that.
There have been some issues with all members (not) signing the guarantee for the company; this should however be resolved in the current year as the renewal process now includes this in the process.

4. Annual Report including financial report

The Annual Report was distributed at the AGM and it shows both growth and stability for the association in terms of members and finances.
The initiative on developing active members has been well received.
The ARMA Office has now been established in Exeter, and run by Rosemary Hatch who is employed in this capacity. She is now aided by Jenny Stevens.
The chair offered thanks to Claire Gauld, Deborah Wakely and Matt Heger who have all stepped down from the Commmitte.

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He also thanked the joint Acting Treasurers, Gwynfor Hughes and Ed Canney for their work on the financial regulations of the company. It was noted that Ed Canney had subsequently stood for the position of Treasurer and been elected unopposed.
The chair also pointed out that the company finances, as seen in the Annual Report, are now presented by activity area and are still cash flow rather than accrual accounts. The first company accounts for the current period will be presented on an accrual basis as is more normal.

John Rogers questioned why the number of events is not rising as expected. The Chair admitted that ARMA had not run as many events in the past year as had been hoped, and agreed that the Board was also concerned by this and was therefore actively looking at this and it was felt that the matter was in hand.
John Rogers further pressed that this should perhaps be reviewed. The Chair agreed and indicated that the development of active members (initiated by a series of workshops over the 2006 summer period) will help in the workload of organising and running events and that this strategy should bear fruit over the coming year.

Another question from the floor concerned the current membership and whether had it risen. The Chair confirmed that the 978 from last year had now risen to just over 1100.

Val White requested an update on the previous plan to widen the spectrum of members. The Chair mentioned that the workshops for active members had been one of the first steps on this road, and had included extensive member feedback on this issue. It was seen as important that ARMA was able to provide services for managers and administrators with levels of experience. With regard to broadening coverage to better encompass the NHS, the Chair confirmed that discussions with the NHS R&D Forum had taken place, but that because of the different costing models for events (due to the central subsidy) that further work in this area would be limited for ARMA. However, there might be opportunities for collaboration at the more senior end of the range. In general the training course had been well received and the mentoring scheme extremely so.
A further question on regional events was raised. The Chair agreed that whilst some events that ran more than once had been run at different venues, ARMA had not specifically supported the development of regional networks. This is however an area that ARMA is keen to develop.

5. Election results

The results of the recent election had previously been circulated. Five valid candidate nominations had stood for the four vacant committee posts. Ian McCormick, John Rogers, Rob Sykes and Maggy Taylor (re-elected for a second term) were duly elected to serve for 3 years until 31st May 2010. As such they will become (and Maggy will remain) Directors of the company for that period. The results of the election and the appointment of the Directorship was agreed by the AGM by a show of hands.

6. Future plans including INORMS 2008 Congress

The Chair outlined the progress for the next ARMA annual conference which will take place in Liverpool in June 2008 as part of the International Network Of Research Management Societies (INORMS) 2008 Congress. The AGM was reminded that ARMA was a founder member of INORMS in 2001, and that the first bi-annual INORMS Congress took place in Brisbane, Australia in 2006, with around 400 delegates, much larger than the current ARMA 2007

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conference (with around 240 people, our largest yet), so there will be some challenges to ensure that INORMS2008 is bigger and better than INORMS2006. This years ARMA conference format has been changed a little in preparation for the requirements for the much larger event next year. There is a potential financial risk, however this is no different from that for the current conference, but just larger. It was also noted that our INORMS sister organisations will also be feeding into the conference / congress programme.

The Secretary gave a short outline of the current developments with the ARMA website and the underlying database systems. The AGM was informed that there had been 3 responses to the tender for this work and that a preferred supplier had been chosen, but the contractual details had not quite been finalised. The intention is that the new developments (mainly focussed on re-engineering the underlying data structures and processes) would be completed by the end of the calendar year in time for the opening of the bookings for the 2008 INORMS Congress.

7. Any Other Business

There was no other business raised, so the Chair thanked the members for their attendance and closed the meeting at 18:10

Simon Kerridge
ARMA Secretary
30th June 2007

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ARMA(UK) Annual General Meeting 2009

Winslow Room, 1st Floor, De Vere Grand Harbour Hotel, Southampton
12:30pm – 1:00pm, Tuesday 2nd June 2009

Minutes

Chair: Ian Carter
Minutes: Simon Kerridge

Present:

Sheena Bateman, Heloise Bertram, Nigel Bilsbrough, Jonathan Cant, Phil Clare, Stephen Conway, Kathryn Dally, Jan Davies, Louise Duffett, Andrew Fairweather-Tall, Beverley Goring, John Green, Anna Harding, Sally Hewlett, Emma James, Gareth MacDonald, Oisin MacNamara, Sarah Manning-Press, Rose Mathews, Catherine Moore, Pauline Muya, Alicen Nickson, Denise Ogden, Hitesh Patel, Donna Pierz-Fennell, Scott Rutherford, Bal Sandhu, Clare Skinner, Zoë Stockdale, Maggy Taylor, Alun Tlusty-Sheen, Tony Weir, Mark Wight, Jane Williams, Rachel Winzer

The Chair welcomed members to the 2009 Annual General Meeting of the Association of Research Managers and Administrators (UK) Limited.

1. Apologies for absence

Jan Adkinson, Lita Denny, Catherine Ferrell, Steff Hazlehurst, Kathy Ludlow, Sonia Mason, Glen Swafford (three of whom voted by proxy)

2. Minutes of the last meeting (17th June 2008)

The minutes of the previous AGM held at the Arena and Convention Centre, Liverpool on 17th June 2008 were, with minor changes, agreed to be a true and accurate record of the proceedings.

Resolution 1 was passed by a show of hands, unopposed.

3. Matters arising and not covered elsewhere

There were no matters arising not covered elsewhere.

4. Annual Report including financial report

The Chair outlined the activities of the past year. The membership has grown once again, now standing at about 1200. The annual conference last year in Liverpool also hosted the INORMS international congress and was very well received, having impact outside the fields of research management and administration.

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Over the past year ARMA has run 13 events, with 999 delegates attending. The standard of the events was as usual, excellent with average ratings in the high 3s and 4s (out of five) from delegate feedback.
In terms of profile, ARMA Directors have been invited to a number of working groups (mainly RCUK / Research Council) which shows the growing reputation of ARMA, perceived as being good for the membership.

Specific member services activities
Study tours are one of the most popular membership services, (thanks to Sheena Bateman). Places are booked up very quickly (normally in a matter of hours) and we will continue to develop this area.
The mentoring scheme has recently been re-launched and a number of mentor-mentee pairs are expected to be confirmed in the near future.
There were no questions from AGM attendees on the annual report.

Financial Report
The Treasurer, John Green, introduced the financial position of ARMA.
The 08/09 year showed a surplus of approximately £21K. The accounts are now on a proper company footing and as such cannot be compared with the previous [14 month] period as the accounting system has been changed to show debtors and creditors at year end. About £10K of bad debt (mainly related to overseas aspects of hosting INORMS) has been written off.
New software and invoicing procedures have improved cash flow. The board now receives reports on the profitability of individual events. Overall there have been some painful internal changes to processes this year in getting to this point, but the Association's accounts are now completely robust. The balance sheet now shows a reserve of £75K as compared to £51K last year.

Questions
Are there lessons to be learned re the bad debts? Yes, they were all small debts of around £100 from overseas delegates, and now no longer worth chasing, however the original level was £30K. Our processes were not robust enough, but they are now. It was also noted that we can now take online/telephone credit card payments
The staffing costs are lower, is that right? No, some costs listed as staffing last year were miscoded.
Is the knowledge of events margin likely to affect events in the future? It is probably too early to say at this stage
Is it true that membership levels had dropped last year, due to some difficulties in renewing? In actuality the membership levels had stayed more or less the same and have now grown again.
What are the website costs? These are the costs related to integrating back office systems with the website.

Resolution 2 was passed by a show of hands, with one opposing vote.

5. Election results and Directorship appointments

The results of the recent election (conducted by using the single transferrable vote method) had previously been circulated. Each director elect was agreed by the AGM as follows:

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Tony Weir, Heriot-Watt University, from 1st August 2009 until 31st July 2012.
Resolution 3 was passed by a show of hands, unopposed.

Simon Kerridge, University of Sunderland, as Secretary, from the 1st August 2009 until 31st July 2012.
Resolution 4 was passed by a show of hands, unopposed.

It was noted that both Tony and Simon were existing Directors and hence would continue to serve their current terms until 31st July 2009 and continue their new terms as above.

It was reported that David Langley, University of Bristol was standing down as Director of Member Services and Deputy Chair from the date of this meeting.
The Chair thanked David for all the work he had done for ARMA and indicated that the board would be looking for an interim replacement to serve until the next election round next year.

6. Future plans

It was noted that there had been much interest in the results of the HEFCE funded project (run by two ARMA Directors, John Green and David Langley) *Professionalising Research Management* and that this might feed into future directions for ARMA. ARMA is also talking to Praxis about more joint courses and potentially AURIL too. Reflecting on the talk by Bill Wakeham that the sector needs to ready itself, ARMA intends to continue to take the lead in research management and administration issues.
Given the current economic climate, the plan is for the coming year to be another of consolidation rather than any specific high profile activities.

7. Any Other Business

The Chair thanked all the various board, committee and active members without whom ARMA would not be what it is. Particular thanks were also given those who stood for election and of course to Rosemary and Jenny from the ARMA office.

There was no other business raised, so the Chair thanked the members for their attendance and closed the meeting at 13:00

Simon Kerridge
ARMA Secretary
8th July 2009

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TRAINING SEMINAR

Post-award financial administration

Loughborough, Friday 26 September 2008

Programme

9.00 *Coffee, Registration, Introductions*

9.30 **Post-award administration in context** – Simon Kerridge
How research is funded in the UK, including the dual support system, QR and fEC (and TRAC)

10.00 **Post-award finance – Cradle to Grave** – Andrea Tinson
Covering the whole lifecycle of project finances from the award letter to final reports and project closure. Including setting up budgets, reporting DI and DA costs, profile payments, time sheets, salary costs, estates and indirects, income/expenditure budgets, monitoring budgets, virements, ineligible expenditure, DA in project adjustments, accruing/deferring, internal reports, external reports, cash flow, debt chasing, end dates and deadlines, foreign exchange and VAT

11.30 *Coffee*

12.00 **Sustainability and Incentivisation** – Simon Kerridge
Looking at the financial sustainability of research and incentive schemes for academic staff and key performance indicators (KPIs)

12.30 **Discussion Session**
Incentives and KPIs. Delegates should come prepared with information about incentive and relevant KPIs from their institutions for discussion in groups

13.00 *Lunch*

14.00 **Introduction to Forecasting** – Judith Mogra
How and why is forecasting of research income done

14.15 **Workshop Session – Grant Scenarios** – Andrea Tinson, Simon Kerridge, Judith Mogra

15.15 *Tea*

15.30 **Audit** – Andrea Tinson
The requirements and issues for different types of audit: internal, external, Research Council and EU

16.00 Summary of the day and a further chance for questions

16.30 *Close*

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TRAINING SEMINAR

Post-award financial administration

Manchester, Thursday 30 April 2009

Programme

9.00 *Coffee, Registration, Introductions*

9.30 **Post-award administration in context** – *Simon Kerridge*
How research is funded in the UK, including the dual support system, QR and fEC (and TRAC)

10.00 **Workshop Session 1 – Grant Scenarios**
In groups, delegates will be given post award finance scenarios to work through and discuss the issues and problems involved.

10.15 **Nuts & Bolts – Cradle to Grave –** *Andrea Tinson*
Covering the whole lifecycle of project finances from the award letter to final reports and project closure. Including setting up budgets, reporting DI and DA costs, profile payments, time sheets, salary costs, estates and indirects, income/expenditure budgets, monitoring budgets, virements, ineligible expenditure, DA in project adjustments, accruing/deferring, internal reports (what can a PI spend?), external reports, cash flow, debt chasing, end dates and deadlines, foreign exchange and VAT

11.00 *Coffee*

11.30 **Cradle to Grave (continued)**

12.15 **Sustainability & Incentivisation** – *Simon Kerridge*
Looking at the financial sustainability of research and incentive schemes for academic staff and key performance indicators (KPIs)

12.45 **Discussion Session**
Incentives and KPIs. Delegates should come prepared with information about incentive and relevant KPIs from their institutions for discussion in groups.

1.15 *Lunch*

2.00 **Introduction to Forecasting** – *Simon Kerridge*
How and why is forecasting of research income done.

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2.30 **Workshop Session – Further Grant Scenarios**
In groups, delegates will be given further post award finance scenarios to work through, discuss the issues and problems involved.

3.15 *Tea*

3.30 **Audit –** *Andrea Tinson*
The requirements and issues for different types of audit: internal, external, research council and EU

4.00 **Summary** of the day and a further chance for questions and discussion

4.30 **Close**

ARMA Training Seminar: *Post-award financial administration*, Manchester, 30 April 2009
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People Power: Stakeholders in Research

The 2001 RAGnet Spring Workshop was held in Newcastle on 24th-25th May 2001. This is the programme containing links to reports from each session (as they become available), copies of the presentations and photographs from the event.

Copyright in presentations rests with their authors (or their employers, if appropriate). References to presentations should include both the name of the presenter and of the conference (i.e. "RAGnet Spring Workshop: People Power: Stakeholders in research, 24-25 May 2001, Newcastle"). Copying and distribution of the presentations, or extracts from them, is not permitted without the express permission of the relevant authors. Please read our copyright statement.

Day 1: Thursday 24 May

Plenary: People: our most valuable asset
This session looked at current policy and possible future developments for people involved in research, including HEFCE's fundamental review of research policy.

Presenters:
Producing Trained Researchers
Dr John Wand, Head of Technology, Programme Operations Directorate, Science and Engineering, EPSRC
People Issues arising from the HEFCE Review of Research
John Rushforth, Head of Research Policy, HEFCE
People Issues arising from the HEFCE Review of Research
Dr Janet Lewis, Director of Research, Joseph Rowntree Foundation



- Report
- John Wand's presentation
- John Rushforth's presentation

Plenary: Contract Research Staff
The session covered the various issues surrounding contract research staff from various angles and gave new perspectives for even experienced research administrators to consider.

Research Careers Initiative
Dr Robin Jackson, Policy Adviser, Universities UK (formerly CVCP)
Being a Contract Researcher
David Charles, Principal Research Associate, University of Newcastle
Managing Contract Researchers – A Research Centre View
Prof Andrew Gillespie, Executive Director of CURDS, University of Newcastle



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- Report
- Robin Jackson's presentation
- David Charles' presentation
- Andrew Gillespie's presentation

Workshop sessions

A: The changing relationships of research administrators: identifying and improving them
Richard Tomlin, Visiting Lecturer in Higher Education, University of Newcastle
This session focused on the interrelationships between research managers and administrators and others associated with research.



- Report

B: Working with academics
Stuart Hunt, Principal Training and Development Officer, University of Central Lancashire
We sometimes experience problems in working with others who do not share the language, concepts and approaches to work that we assume to be held in common. The aim of this session was to help us to test some of our assumptions.

Delegates attending the workshop were able to:

- identify commonly experienced difficulties and concerns arising from working with some of our academic colleagues;
- undertake some analysis of the causes of such difficulties;
- consider and share approaches and techniques for overcoming some of the obstacles that are felt to interfere with developing effective working relationships.



- Report

C: Best practice in the administration of research students
Maureen Skinner, Research Support Manager, the London Institute &
Matt Heger, Head of Research and Graduate School Office, University of North London
Some of the issues which were covered included:

- QAA Code of Practice
  How is the Code of Practice applied to institutional quality assurance mechanisms?
- HEFCE Review of Research
  What are the implications of the HEFCE Review of Research on the quality of the research environment provided for research students?
- Research Council studentships
  The importance of completion rates and withdrawals.
- What is the research administrator's role in relation to research students? Should the administrator be proactive or reactive? How does the good administrator spot trouble?

And what should they do about it?
What are the key skills that a good research degrees administrator needs? What specialist knowledge is important for good administration? How does the research administrator avoid the image of the bureaucrat so that the research student is treated like a person and not a number?



- Report
- Maureen Skinner & Matt Heger's presentation

D: Implementing Career Development Provision for Contract Research Staff
Andrew Slade, Director of the Graduate Research School, University of Sunderland
The 1996 Concordat states that...?
This workshop encouraged participants to reflect on the support that Contract Research Staff (CRS) in their own institutions might require to help them develop their careers and to map this on to the institutional support available. Ideas and suggestions for ways of addressing the gaps in career development provision were shared.



- Report

E: Working with funders
Augusto Burgueño Arjona, Information Officer, European Commission
Working with funders is not always easy, sometimes due to lack of understanding from the funders' side of the needs of research administrators. The workshop consisted of a series of exercises aimed at identifying administrators' hidden needs not generally addressed by the funders.



- Report
- Augusto Burgueño Arjona's presentation

Day 2: Friday 25 May

Plenary: Research Students
The session covered the various issues surrounding research students from various angles and complemented the work from workshop C sessions.

Research Students - an NPC perspective
James Groves, General Secretary, National Postgraduate Committee
Research Students - a QAA perspective
Prof Nick Harris, Assistant Director (Development), QAA
Being a Research Student
Sheila Garfield, Research Student, University of Sunderland

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- Report
- James Groves' presentation
- Nick Harris' presentation
- Sheila Garfield's presentation

Plenary: Research Administrators: how we got here and where we're going
The closing plenary session built on the workshop A sessions and concentrated on where research administration is going and where we would like it to go.

Research Administration Roles
Richard Tomlin, Visiting Lecturer in Higher Education, University of Newcastle
HEROBIC's Impact on Research Administration and Industrial Liaison: an arranged marriage or a match made in heaven?
Philip Graham, Chair of AURIL and Director of R&D, Queens University of Belfast
(unfortunately Philip's flight was cancelled and he was unable to join us, but his presentation is included for information)
The American Research Administration Scene
Bill Schweri, former Chair of SRA



- Report
- Richard Tomlin's presentation
- Philip Graham's presentation
- Bill Schweri's presentation

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https://www.arma.ac.uk/news/conferences/sc01rpt.xhtml (accessed 28th April 2011, login required)

Collaboration, Competition and Concentration in Research

The 2004 Spring Conference was held 13-14 May at the Royal York Hotel Events Centre, York. Here you can find reports from each session and copies of the presentations.

The conference focused on the different drivers towards greater collaboration, competition and concentration in research, and how this affects research managers and administrators. As well as considering the impact of government led issues such as the future of research assessment and the sustainability of research, sessions offered insights into collaboration between universities and the NHS and between different universities, both in the UK and overseas. A separate strand focused on post graduate student training issues.

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Day 1: Thursday 13 May

Plenary 1: Competition and Concentration
This session provided an overview of the future of HEI research funding, including QR methodology, the RAE and the sustainability of the research base from the Government perspective, the Funding Council perspective, and the AHRB and general Research Council perspective.

Presenters:
Dr Michael Jampel, Head of SEB Policy and Analysis, OST
Rama Thirunamachandran, Director (Research and Knowledge Transfer), HEFCE
Michael Jubb, Deputy Chief Executive and Director of Policy and Programmes, AHRB



- Report
- Michael Jampel's presentation
- Rama Thirunamachandran's presentation
- Michael Jubb's presentation

Plenary 2: Concentration and Competition: Keynote address

Dr Ian Gibson, MP, Chair, House of Commons Select Committee on Science and Technology

There has been considerable controversy about the Government's policy for research, and HE in general. Although it is clear that there will be increased funding for science and research, there are still real concerns about the government's strategy, and in particular the concentration of research funding. Dr Ian Gibson, Labour MP, Chair of the House of Commons Select Committee on Science and Technology and former academic, has not been afraid to challenge the Government about the impact of its strategy for research. We were delighted to welcome him to give a keynote speech at the Conference, covering areas such as research priorities, funding and assessment.



- Report
- Ian Gibson's presentation

Workshop sessions:

A: EU Clinical Directive
Dr Vicki Latter, Operations Director, UCL Clinical Research Network

The EU Clinical Trials Directive, which became law on 1 May 2004, aims to protect trial participants and to simplify and harmonise trials across Europe but, according to the MRC, could delay or curtail publicly funded clinical trials. Failure to comply with the requirements could possibly result in a fine or custodial sentence of up to 2 years.

Dr Vicki Latter gave an overview of the EUCTD and the approach taken by UCL and its affiliated Trusts in North Central London towards its implementation. Participants discussed their own concerns and methods of approach.



- Report
- Vicki Latter's presentation
- Additional handout
  As well as direct quotations from official documents, this presentation contains the opinions and interpretations of the author. These should not be relied upon as official interpretations of any official document or statement, and no liability is accepted for any loss incurred as a consequence of such reliance. The copyright is owned by Vicki Latter, but passages quoted from official documents are © the owners of those texts. If you wish to reproduce any part of this presentation in any way, please contact the author directly.

B: Ethics and Governance
Dr Gabriel Boachie-Ansah, Senior Lecturer, University of Sunderland

The issues around research governance, including ethics, with reference to HEI and NHS perspectives were presented and discussed. This was followed by in depth discussions on ways of developing and implementing research governance within an institution.



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- Report
- Gabriel Boachie-Ansah's presentation

C: Managing collaborative projects
Pauline Muya, Research Support Officer, Birkbeck College, University of London

This workshop looked at the practicalities of applying for, negotiating and managing large scale, multi-partner, collaborative projects. It included advice on handling each stage of the process, with particular emphasis on the management of the project once awarded for the lead institution. This participative workshop was intended to enable people to share best practice in an increasingly common and complex area of research administration.



- Report
- Pauline Muya's presentation

D: Full Economic Costing
John Newton, National Co-ordinator for Costing and Pricing, Joint Costing and Pricing Steering Group

What is Full Economic Costing (FEC)? Why is it so important? How do I use it? When do I need to know about it? An introductory workshop aimed at research managers and administrators more than specialist finance staff.



- Report
- John Newton's presentation
- Additional handout

E: Research Councils Joint Electronic Submission Project: update
Dr Fiona Armstrong, Je-S Framework Co-ordinator, PPARC

Interactive demonstrations exploring the latest Research Council Joint Electronic Submission (Je-S) and discussing new procedures and requirements, the impact on institutional practices and the future development of the system.

F: IPR and student projects
Dr Carol Clugston, Executive Assistant, Research and Enterprise, University of Glasgow
Peter Brooks, Director of Research Services, University of Sussex

Who owns IP arising from research student projects, and how is it best managed? This workshop provided an opportunity for institutions to discuss and compare their approaches to student intellectual property, including CASE studentships and various procedures for use when assigning student IP to universities.

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- Report
- Carol Clugston's presentation
- Peter Brooks' presentation

Day 2: Friday 14 May

Parallel Plenary sessions:

A: Post Graduate Student Training Issues
This session focused on training for research students, including an overview of UK GRAD focusing on training provision and the UK GRAD Hubs; a discussion of one institution's experience of training provision, focusing on non Research Council students; and a student's-eye view of the sharp end of training provision, considering what was good and what was not so good/useful!

Presenters:
Dr Janet Metcalfe, Director, Centre of Excellence, UK GRAD Programme
Dr Joan Chandler, Director of Graduate Studies and Head of the Graduate School, University of Plymouth
Eleanor Barbour, Research Student, University of York



- Report
- Janet Metcalfe's presentation
- Joan Chandler's presentation
- Eleanor Barbour's presentation

B: NHS/University Collaboration
The session provided an overview of some different models of collaboration between the NHS and universities, including a description of the workings of a network which includes the London NHS Trusts and UCL; a presentation about the experience of running a joint Medical School; and an NHS perspective of being part of a regional collaboration in Leeds.

Presenters:
Jonathan Hackney, Head of Research Funding Unit, UCL
Professor Bill Gillespie, Dean, Hull York Medical School
Richard Jeavons, Chief Executive, West Yorkshire Strategic Health Authority



- Report
- Jonathan Hackney's presentation
- Bill Gillespie's presentation
- Richard Jeavons' presentation

Plenary 3: Collaboration and Co-operation - you know it's good for you!
Collaboration and Co-operation… a multi-headed beast? Three presentations related some different experiences of collaboration: the White Rose consortium as an example of regional collaboration; models of collaborations used in other countries; and a charitable funder's perspective on collaboration.

Presenters:
Professor Tony Robards, PVC External Relations, University of York
Paul Waugaman, Technology Commercialization Group, USA
Dr Pat Goodwin, Programme Manager, Infection and Immunity, Wellcome Trust



- Tony Robards' presentation
- Paul Waugaman's presentation
- Pat Goodwin's presentation

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https://www.arma.ac.uk/news/conferences/sc04rpt.xhtml (accessed 28th April 2011, login required)

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2 Electronic Research Administration Portfolio Items

Portfolio items are grouped into these seven areas:

- ARMA (ARMA)
- **Electronic Research Administration (ERA)**
- ERA Questionnaire (ERAQ)
- Esteem (Est)
- Focus Group (FG)
- Historical Items (Hist)
- Profession (Prof)

This section contains the items pertaining to the ERA area.

2.1 Electronic Research Administration (ERA)

The overall context of the doctoral work is Electronic Research Administration (ERA) and this is discussed in Chapter 4 of the doctoral report. These items pertain to developments and contributions that I have made in Electronic Research Administration (see mainly Chapters 4, 6 and 7 of the doctoral report). They include evidence of systems that I have developed, workshops and training events that I have held and reports and articles that I have written.

After this introduction there is an index table of items in this section (an example is shown below), and the portfolio items themselves follow the index table.

Table 6: Sample Portfolio Index Table (ERA)

Ref	Type	Description	Outcome(s)
ERAxx	<type>	<title>	Kx, Sx
A short description of item ERAxx with its relevance and importance in order to demonstrate the learning outcomes Kx & Sx that they address (K1-2; S1-5, see below for explanations of the learning outcomes). <type> is the type of the item, for example: report, email or presentation. <title> is the title of the item, for example: Invitation to join Steering Group. ERAxx is the unique identifier for the portfolio item (xx is a two digit number) which is used to reference it in the doctoral report, or indeed from another portfolio item.			

Each item is described in the table, with two rows of information. The first row of the pair has the portfolio reference, type of document, short description and learning outcome(s) claimed. The second row describes the context and importance of the item, in order to substantiate the claim towards the learning outcomes listed in the first row. The actual portfolio items follow after the index table.

Note that the numbering is not contiguous as the items presented as evidence have been selected from a larger possible portfolio of items. So for example, item ERA06 is the programme for the ARMA residential event at which the presentation (ERA40) was given; the latter providing evidence for the former.

Also note that items with confidential sections that have been redacted are indicated with red and those that are abridged have the reference number coloured with orange.

2.2 Learning Outcomes

The learning outcomes (knowledge and skills) required for the professional doctorate are:

K1 Deep understanding of the recent developments in their profession nationally and internationally

K2 Deep understanding of current theoretical frameworks and approaches which have direct relevance to their own professional context

S1 Make a significant contribution to practice within their chosen field

S2 Apply theory and research methodology within the workplace, and feel comfortable in integrating different approaches to address "messy" multidisciplinary problems in a rigorous yet practical manner

S3 Recognise budgetary, political, strategic, ethical and social issues when addressing issues within the workplace

S4 Reflect on their own work, and on themselves, and thus operate as a truly reflective independent practitioner

S5 Present and defend an original and coherent body of work which demonstrates, reflects upon, and evaluates the impact upon practice which they have personally made

Some portfolio items could cover almost all of the seven learning outcomes above, in most cases the listings are restricted to just those outcomes which are the main foci of the item, normally 2 or 3 learning outcomes at the most.

2.3 ERA Portfolio Index

Table 7: Portfolio Index Table for Electronic Research Administration (ERA) Items

Ref	Type	Description	Outcome(s)
ERA03	Diagram	GRSdB Context diagram (2009)	S1, S2, S3
This diagram (see also Figure 1, p29) shows how the various elements of the GRSdB system (the blue boxes) interface with other IT systems (other coloured boxes) that are managed by other service departments in the University. The Estates system (white) data is imported into the fECAF (costing and pricing system, see section 7.3) to provide room data and costs. The Student Recruitment and Business Partnership (SRBP) service used (until it was replaced with pFACT, see section 7.4) the fECAF and Proposal sections for non-research proposals. SRBP also manage the SITS student record system which runs in parallel with the GRSdB Students (PGR) section. The Finance department looked after post award finance issues using the Projects part of GRSdB in conjunction with the Oracle Projects finance system. A separate Intellectual Property management database is fed (non-programmatically) from the GRS Projects system. And of course the Human Resources department have an HR System (Chris21) which is used to drive the core Employee information in GRSdB.			
ERA04	Diagram	GRSdB Entity Relationship Model Overview	S2
This shows the GRSdB database tables and their relations for a subset of the GRS system. The Publications areas (see section 8.2), the core areas describing Employee information and the hierarchical structure of the institution, and the fECAF (costing and pricing, see section 7.3) area, spread over 4 pages. It can be seen that the database structure underlying the GRS systems is quite extensive.			
ERA05	Paper	ERA Submitted to Acta Academica (via INORMS 2010)	K1, S4, S5
An academic paper that I drafted to support the poster (ERA22) that I presented at INORMS 2010. The paper was not selected for publication. It is however useful as it charts the history of the development of the ERA systems at Sunderland under my purview and reflects on the decisions made during the process.			
ERA07	Report	Programme for ARMA REF Event, Newcastle, Nov 2009	K1, S1, S3
This is the final programme for the research systems for REF event that I organised in Newcastle; for the presentations see (ERA09) and for the summary report see (ERA60). With Ian McCormick I organised the events and speakers and due to the expected (and realised) demand the event was run twice; I ran the Newcastle event and Ian ran the London event.			
ERA09	Slides	From the ARMA REF event, Newcastle 2009	K1, S1, S3-4
The slides from the ARMA Event (ERA07) that I organised in Newcastle (it was run again in London with some different speakers). The event had a good split of information giving and workshop style participation and the final report (ERA60) was distributed to all 1,600 or so ARMA members. My presentation reflected on the ERA and management work done at Sunderland for the 2008 RAE and the preparations for the 2014 Research Excellence Framework (REF) submissions.			

ERA14	Slides	ERA Presentation at JISC RSP Summer School 2009	K1, S1, S4
I was invited to present on ERA at the JISC Repository Support Project Summer School residential workshop in Sept 2009. My presentation covered RMA as a profession and a number of recent ERA related initiatives. This presentation led onto my being involved in the Welsh Repositories Network (WRN) workshop the following year (see ERA29).			
ERA18	Slides	Research Systems Presentation at ARMA 2009	K1, S1-S3
I organised this work session and asked two colleagues to join me in presenting their experiences of developing ERA systems. I ran a quick straw poll on which areas of ERA could perhaps affect quality and/or quantity of research and handed out the workshop questionnaire (ERAQ08), which resulted in the initial report (ERAQ03). We finished with a Q&A session. Over 70 people attended this workshop, including the managing director of ResearchResearch (who produce Research Fortnight and Research Professional) and subsequent conversations and emails (see ERA30) led to me making a presentation (ERA59) to them on research management issues.			
ERA20	Report	ARMA e-newsletter #17, Oct 2009	K1, S1, S5
Over my ten years on the RAG*net*/ARMA executive/board I contributed to many newsletters. This edition included on p1 my report from the 2009 ARMA AGM (ARMA43); feedback from the JISC repositories Support Project (RSP) Event that I presented at (ERA14); and the 3 page article that I co-authored on the RCUK Outputs and Outcomes Collection System (OOCS) Project (ERA25).			
ERA21	Poster	ERA Perceptions (from questionnaire), at ARMA 2010	K2, S1, S5
The poster that I presented at the 2010 ARMA conference in Manchester gave a summary of the preliminary findings from the ARMA questionnaire (ERAQ01) that I had run earlier in the year looking at the perceptions of RMAs to ERA in terms of whether or not they thought that different aspects of ERA systems could affect the quality and/or quantity of research undertaken. The final report (ERAQ04) and executive summary (ERAQ05) are available to members on the ARMA website.			
ERA22	Poster	ERA at Sunderland presented at INORMS 2010	K1, S1,S4,S5
This poster charts the development of the ERA systems that I developed at Sunderland over the sixteen years from 1995-2010. It was presented at the International Network of Research Managements Societies (INORMS) biennial conference in Cape Town in April 2010. More detail is available in the associated paper (ERA05) and database structures are shown in (ERA04) with some summary statistics also available (ERA42).			
ERA23	Poster	ERA case study and ideas on effects, at ARMA 2009	S1, S4, S5
I presented this poster at the ARMA 2009 conference in Southampton; it provided a brief case study on the fECAF costing and pricing system at Sunderland (see section 7.3) with some of my initial ideas on whether ERA systems might be able to affect the quality and quantity of research. The ideas were also discussed in the associated workshop (ERA18) that I ran.			

ERA25	Article	OOCS Article in Research Global, Oct 2009	K1, S1
I co-wrote this article on the Research Council's Outputs and Outcomes Collection System (OOCS) that was being developed; with my contributions being the non research council specific text. Research Global has a distribution of around 600. It also appeared in an ARMA newsletter (ERA20), distribution is around 1,500. It is also available online on the RCUK Research Outcomes Project website at http://www.rcuk.ac.uk/documents/oocp/OOCSArticle.pdf (accessed April 25th 2011).			
ERA28	Article	ARIADNE #64, Jul 2010, WRN-JISC-ARMA Event Report	K1, S1, S4
This report http://www.ariadne.ac.uk/issue64/wrn-repos-2010-05-rpt/ (accessed 25th April 2011) provides details of the presentations and workshops of the joint Welsh Repositories Network (WRN) - JISC – ARMA event, with links to my presentation (ERA29) and workshop sessions.			
ERA29	Slides	Joint WRN-JISC-ARMA Presentation: IRs and ERA (2010)	K1, S1, S4
As part of a joint workshop that I helped organise I gave a presentation with a colleague from JISC on how Institutional Repositories (IRs) relate to ERA systems (also known as CRISs for this presentation). The audience was approx 30 IR managers and 30 RMAs and the workshops that followed were highly interactive. The event was reported on in ARIADNE (ERA28). It also resulted in me being invited to give the keynote at a similar event in 2011 (ERA69).			
ERA30	Email	From ResearchResearch Ltd about my ERA work	S1
Jeska Harrington-Gould, the managing director of ResearchResearch Ltd, had attended my Research Systems workshop (ERA18) at the 2009 ARMA conference in Southampton and requested that I send her a copy of the initial findings (ERAQ03) of the workshop questionnaire that I trialled there. This led on to my giving them an invited presentation (ERA59) on the results and on ARMA and research management and administration in general.			
ERA31	Article	ERA at Sunderland, in Research Global, Oct 2010	K1, S1, S4
This is a non-academic and updated résumé of the article submitted to INORMS 2010 for consideration by Acta Acadmica (ERA05). It reflects on the developments of the GRSdB and proposed a more robust way forward. Research Global has a distribution list of around 600 Research Managers and Administrators around the Commonwealth and Europe.			
ERA34	Report	JISC Business Case for CERIF, Jul 2010	K2, S1, S3
This report (http://www.jisc.ac.uk/publications/reports/2010/businesscasefinalreport.aspx) (accessed 25th April 2001) presents the business case for the UK sector to adopt CERIF as a standard for research information exchange. It is based on the findings of the EXRI project (http://exri.ilrt.bris.ac.uk/, also see ERA58) and the work of the RIM stakeholder group (that I sit on). I am credited on p28 as one of the 12 people who were interviewed during the production of the report.			
ERA35	Report	ARMA Newsletter #18, Mar 2010	K1, S1
This newsletter reports that ARMA membership has risen to 1,500 and on p1 lists the special interest groups including the ERA one that I champion. p2 shows the membership renewal information that I provided. On p3 there is a brief update of current research information management issues from me, and on p4 a longer update on the RMAS project.			

ERA36	Report	ARMA Newsletter #19, Oct 2010	K1, S1
A recent copy of the e-Newsletter (that was sent to the circa 1,600 members). On p1 it reports the appointment of Marie Garnett as ARMA's Professional Development Manager. I also wrote a piece on p1 feeding back from the AGM. On p4 I gave an update on current development in the Research Information Management arena, including updates on CERIF and RMAS.			
ERA37	Report	JISC RIM2 Call Supporting Information, Oct 2010	K1, S1
The second round of JISC projects on Research Information Management was focussed towards the use of CERIF and a supporting document for bidders was developed for JISC by UKOLN. On p8 I am acknowledged for my input into the document from the CERIF alignment workshops that the JISC RIM group held in the summer.			
ERA38	Slides	First ARMA 'Level 2' Programme (2006)	K1, S1, S3
The slides from the first ARMA residential programme for research managers and administrators with 2-10 years experience, it shows a breadth of subject areas that RMAs need to be familiar with. I presented (with Dr Ian Carter) the session on IT, Data and Systems (slides 94-116). I also (with Kathy Brownridge) presented the session on Finance (slides 118-139). The feedback from the event is in (ERA39). There were approximately 50 delegates.			
ERA39	Report	Evaluation from ARMA 'Level 2' Course (2006)	S4
This is the feedback from the first residential course that ARMA ran for experienced research managers and administrators (see ERA38). It provided an excellent opportunity for reflection, not only on my presentations but on the different approaches that delegates took to different topics.			
ERA40	Slides	ARMA Websites for Research Expert Seminar, May 2000	K1, S1
One of my earliest contributions to an ARMA Event. The presentation itself was quite short and we presented a number of website case studies online followed by a workshop and Q&A session. There were 26 people booked on this event. There was to be a follow up event a couple of years later but this was overtaken by pressure of work.			
ERA42	Report	Statistics from the Sunderland GRSdB	K2, S1, S3-4
An overview of the GRSdB system in terms of statistics of usage, examples of data held and screen shots of the web interface. As well as a nearly 500MB oracle database the system contains nearly 4GB of 38,300 associated files and over 1GB of dynamic web pages and reports.			
ERA43	Proposal	IRIOS Proposal to the JISC RIM2 call, Nov 2010	K1-2, S1-3
I initiated the idea for the proposal and spoke to Gerry Lawson from NERC who was keen to be involved. He elicited support from Colin Haylock of EPSRC and I contacted Valerie McCutcheon at Glasgow, Anna Clements at St Andrews and Professor Keith Jeffery of euroCRIS who were all eager to be involved. I led the development of the proposal with input from the other partners. The proposal was one of only four that were funded (ERA51) from the RIM2 call. See http://www.jisc.ac.uk/whatwedo/projects/irios.aspx (accessed 25th April 2011) and http://www.irios.sunderland.ac.uk/ (accessed 21st April 2011) It was followed-up with the IRIOS-2 (2012) project.			

ERA45	Report	Final report from being a mentor	K1, S1-S4
This is the final report from the mentoring that I undertook for a colleague at another University. Amongst others things she said that *"Without question the experience has helped me to think much more broadly in terms of research management and given me a real sense of their being someone totally independent supporting me in developing into my current role."* The process also undoubtedly helped me to become more reflective by having to explain the whys and wherefores of various ERA related decisions that I had made. More recently, I have also mentored another colleague (Prof22).			
ERA46	Email	Invitation to discuss ERA at Durham University	K1, S3, S4
Invitation (which I accepted) to meet with the team at the research office in Durham to advise them on Electronic Research Administration; costing and pricing in particular, in order to inform their ERA strategy, see (ERA47) for a more recent example.			
ERA47	Email	Information given to Teesside University on ERA	K1, S4
Information shared with Teesside with regard to the state of the art in Electronic Research Administration systems in order to inform their development decisions. See (ERA46) for a more extensive example, in terms of the period of the advice.			
ERA48	Program	Je-S Programme Seminars (2008)	K1, S1
The success of the PGR events in 2007 (ERA66) lead onto a programme of RCUK Je-S regional seminars in May/June of the following year. I presented the Research Organisation (RO) view and participated in the Q&A plenary session at the first (16th May 2008 at the Institution of Engineering & Technology, London) of five events. Each were attended by 50-100 delegates from HEIs across the country.			
ERA49	Web	ARMA email list usage summary	S1
A snapshot (23rd Jan 2011) of the ARMA special interest group email list. This shows that of the 17 active lists the ERA list that I instigated and 'moderate' whilst only having the ninth largest number of members (199) has the third highest number of messages (after the member-announce and jobs lists which between them account for 54% of traffic) amounting to 10% of all message traffic. 14 months later (20th Mar 2012) membership had grown to 306.			
ERA50	Report	UKRO 2003 presentation including IMS user group	K2, S1-S4
This presentation was given by Dr Martin Penny, Director of UKRO (the UK Research Office in Europe) at the 2003 conference, highlighting the achievements of the past year. I am listed on slide 11 as one of the 4 'user' members defining the requirements for the IMS (Information Management System) project to develop a new web based personalise-able information system for UKRO subscribers. I fed in my experiences of developing a similar system at Sunderland focussing on ontological issues. IMS was rolled out the following year and is still used in 2011.			
ERA51	Grant	Award of JISC funding for IRIOS Proposal	K1-2, S1-3
This grant offer from JISC reports that the IRIOS proposal (ERA43) that I developed has been evaluated and selected for funding for the £64,365 applied for. This demonstrates that my knowledge and expertise in the field of Research Information Management (and hence ERA) is recognised by my peers in the UK. The follow-up IRIOS-2 (2012) proposal that I led received funding of £178,733.			

ERA52	Diagram	Entity Model of GRSdB Employees area (2005)	S2
This is a simple overview entity model of the Employees area of the GRSdB, it is less detailed than (ERA04) in terms of relationships, but shows more of the related tables and perhaps gives a clearer indication of the overall extent of the database.			
ERA53	Diagram	Entity Model of GRSdB Projects area (2005)	S2
This is a simple overview entity model of the Projects (and proposals) area of the GRSdB, this area is not included in the detail shown on (ERA04).			
ERA54	Diagram	Entity Model of GRSdB Publications area (2005)	S2
This is a simple overview entity model of the Publications (and seminars) area (see section8.2) of the GRSdB, it is less detailed than (ERA04) in terms of relationships, but shows more of the related tables and perhaps gives a clearer indication of the overall extent of the database			
ERA55	Diagram	Entity Model of GRSdB Students area (2005)	S2
This is a simple overview entity model of the Post Graduate Research (PGR) student area of the GRSdB, this area is not included in the detail shown on (ERA04) .			
ERA56	Diagram	Entity Model of GRSdB GrAppl area (2005)	S2
This is a simple overview entity model of the GrAppl (costing and pricing, see section7.2) area of the GRSdB, it is not included on (ERA04) which instead shows fECAF that superseded GrAppl.			
ERA57	Report	Summary of the Publications area of GRSdB (2010)	K1, S2, S4
I produced this summary report on the history and scale of the publications (see section8.2) area of the GRSdB for the Deputy Vice-Chancellor. It was also used as a discussion paper in a steering group meeting for the development of the University's Institutional Repository system (SURE, see section8.3)			
ERA58	Report	Pre-print of the EXRI Final Report Briefing Paper	K1, S1
The final version of this briefing report is available online at http://www.jisc.ac.uk/media/documents/publications/briefingpaper/2010/bpexriv1.pdf (accessed 25th April 2011). It is the culmination of the work of the EXRI project with the support of the JISC RIM Group, on which I sit (Prof01). The RMAS project, of which I am a steering group member (Est12), is also referenced. The RIM group of experts is referenced at the bottom of the second page, I was the ARMA representative.			
ERA59	Slides	Presented by invitation to ResearchResearch Ltd (2010)	K1-2, S1, S5
I was invited (ERA30) to give a presentation in April 2010 to the circa 30 staff at ResearchResearch on research management and administration and on my initial findings from the ARMA questionnaire (ERAQ01) that I had recently undertaken. There were many questions during and after the session, and the discussions continued long into lunch.			
ERA60	Report	Summary report from the 2009 ARMA REF events	K1, S1, S3
I wrote the majority of this report based on the Newcastle event that I organised (ERA07, ERA09). The initial draft was used to inform the planning for the London event; and then this report was updated to reflect input from the London event and then shared with the REF Team at HEFCE.			
ERA61	Email	Interest in Sunderland ERA system from RMAS report	K1, S1-2, S4
This is an example of the type of email that I often receive in relation to advice relating to ERA systems, this one resulted from the person (head of research office) reading a JISC report that talked about the RMAS project that I am on the steering group for.			

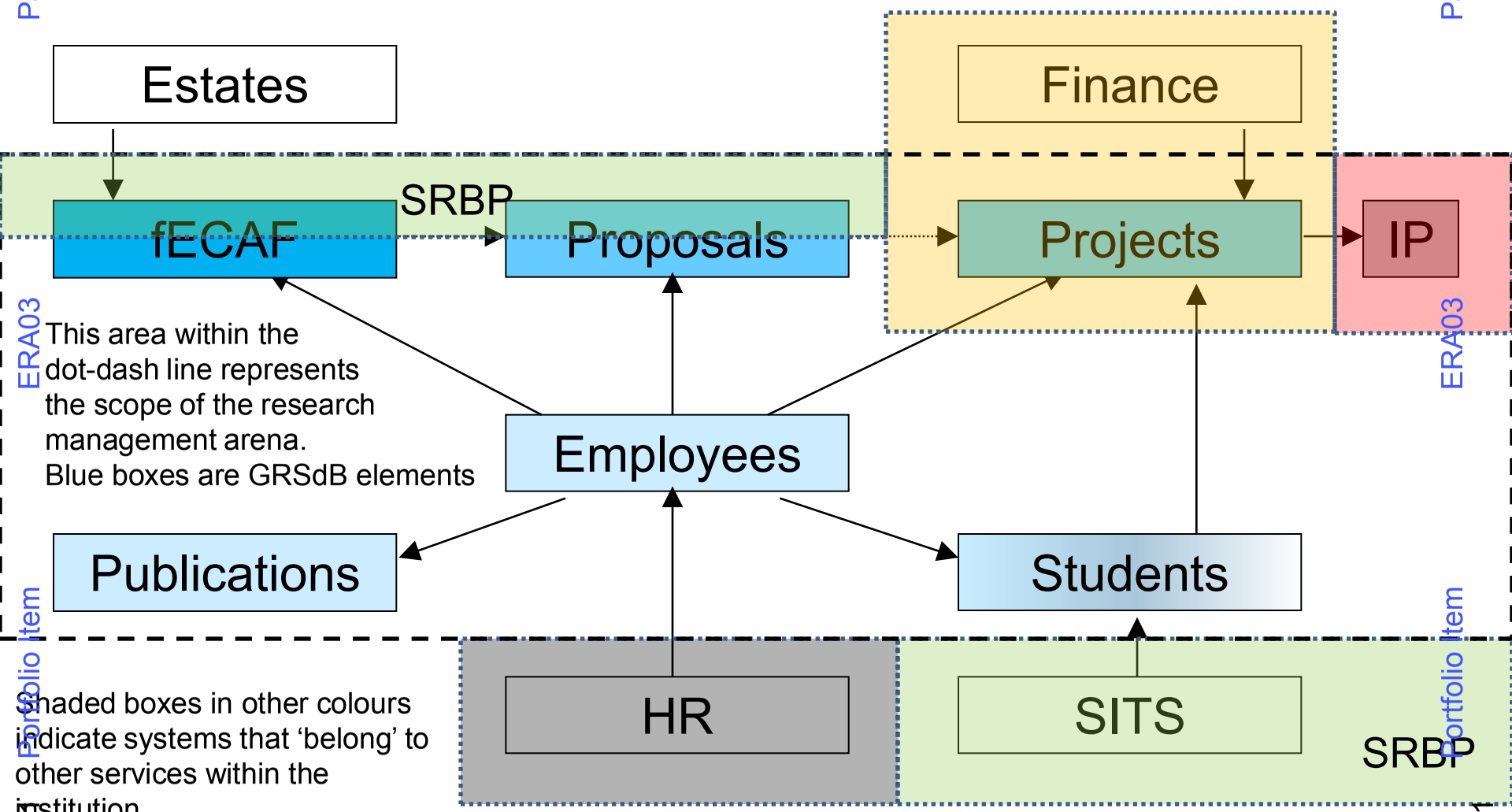
ERA62	Report	5 Year plan to replace ERA systems at Sunderland (2009)	S2, S3, S4
After reflecting on the current state and usage of Research Support (ERA) Systems at Sunderland I produced an outline plan for consideration by the University Business Systems Strategy Group. In effect the opportunity to join the RMAS steering group (Est12) and for Sunderland to subsequently become a pathfinder, with the associated funding attached, has enabled me to accelerate the implementation of the plan by almost 2 years.			
ERA63	Slides	Presentation to Manchester Metropolitan Univ. (2008)	K2, S4, S5
In 2008 I was invited to talk to Manchester Metropolitan University about the costing and pricing (fECAF) system that I had developed at Sunderland, in order to inform the decision making process at MMU with regard to their ERA aspirations.			
ERA64	Program	euroCRIS/NRC workshop programme (2011)	K1, S1
I was invited to present at this European workshop on "Integrating Research Information: CRIS + OA" to give both the perspective of research managers and administrators and also examples from the UK of how CRIS (ERA) systems can interact with Open Access (OA) and institutional repositories.			
ERA65	Report	RAE software development workshop report (2005)	K1,S1
At an ARMA RAE 'Meet the team' event I chaired a side workshop for institutional submitters to share experience and ideas with the HEFCE RAE software development team. This is the brief feedback report that I produced for members (and the RAE Team at HEFCE); the on-line publication link idea was incorporated into the final design.			
ERA66	Notes	Presentation from Je-S Regional Events (2007)	K1, S1
In 2007 RCUK rolled out some additional functionality on their Je-S system for post-graduate research (PGR) student data collection and wanted to promote it through a series of eight events across the UK. From my role on ROCG and the Je-S Steering Group I was invited to present and was able to do so at two events (6th Feb, Institute of Materials, London; and 14th Feb, Strathclyde University), these are the slides and notes that I used from the latter event. 50-100 HEI delegates from across the UK attended each event. A similar set of events were run in 2008 (ERA48).			
ERA67	Letter	JISC funding letter for RMAS (2011)	K1, S1, S3
The funding letter from JISC confirming the £1.1M funding from the HEFCE University Modernisation Fund (UMF) for the Research Management and Administration System (RMAS) project to develop an enterprise service bus and cloud enabled CERIF compliant RMAS for the UK HEI sector. As well as sitting on the steering group for the project, see (Est12). I was also the project lead for the £200,000 allocated to Sunderland as a pathfinder institution (ERA71).			
ERA68	Email	Confirming RCUK JGP Steering Group Membership	K1, S1, S3
In 2007, Dr Ian Carter and I were approached to represent the research organisation community on the RCUK Joint Grants Processing (JGP) Steering Group that set the direction for Research Council ERA developments until the Shared Services Centre (SSC) was created in 2010. Ian and I attended alternate meetings and shared notes with each other and the community between meetings.			
ERA69	Program	Repositories and CRIS event (2011)	K1, S1, S4
After the success of the WRN-JISC-ARMA event in 2010 (ERA29) the Repositories Support Project (RSP) decided to run a similar event the following year (19th July 2011 in Nottingham) and invited me to give the keynote session.			

ERA70	Report	Reporting from Institutional Systems (2011), Glasgow	K1, S1, S4
At this workshop I presented the GRS publications database and institutional repository (SURE) approach (see chapter8) and provided a quick overview of the IRIOS (ERA43) and RMAS (Est12) projects that had recently been funded.			
ERA71	Web	Confirming Sunderland as one of 3 RMAS pathfinders	K1-2, S1-4
Having been invited onto the RMAS Steering Group in 2009 (Est12) I was well positioned to propose that Sunderland become one of the partner pathfinder institutions in the event that further funding was secured, which in 2011 it was (ERA67). I led the Sunderland pathfinder project with a HEFCE/JISC funded budget of £200,000. The project will, in 2012, deliver a cloud enabled, enterprise service bus architecture CERIF compliant ERA framework, with the potential to be used by HEIs across the UK. See http://as.exeter.ac.uk/rmas/overview.htm (accessed 25th April 2011).			
ERA73	Report	OCRIS Final Report that Acknowledges my contribution	K1, K2, S4
The first few pages of the 74 page final report from the OCRIS (http://cdlr.strath.ac.uk/ocris/, accessed 25th April 2011) JISC funded project on Online Catalogue and Repository Interoperability Study. I am acknowledged as a contributor on p4; whilst my contributions were small they demonstrate my desire to join up the various aspects of research management and administration.			
ERA74	Email	Invitation to attend a REF DCS Workshop	K1, S1, S4
Invitation (which I accepted) to attend a workshop organised by the REF Team at HEFCE to provide input into the user requirements for the Data Collection System for forthcoming Research Excellence Framework. Most attendees had (like me) been institutional data collection contacts for the previous system (for RAE 2008); we reflected on what worked well in the previous system, and areas that require improvement.			
ERA75	Email	Initial Report to Oracle on their ERA system	K1, S4
I was invited by Oracle UK to an individual demonstration of the mock up of their proposed new costing and pricing tool for research proposals (to complement their post award finance system). This email shows my initial responses, which was followed up with further discussions. I was able to provide input based on my experience as an RMA and from reflecting on my ERA developments at Sunderland.			
ERA77	Email	UAT schedule for Je-S PGR Admin functionality	K1, S4
As part of my role on the Je-S Management Board I was privy to information on Je-S system developments. I attended the Leeds event (about ten delegates) and helped the Je-S presenters demonstrate the proposed new functionality to the other University attendees. The Post-Graduate Research (PGR) student functionality was new and a number of the people at the user acceptance test (UAT) event had not used Je-S before.			

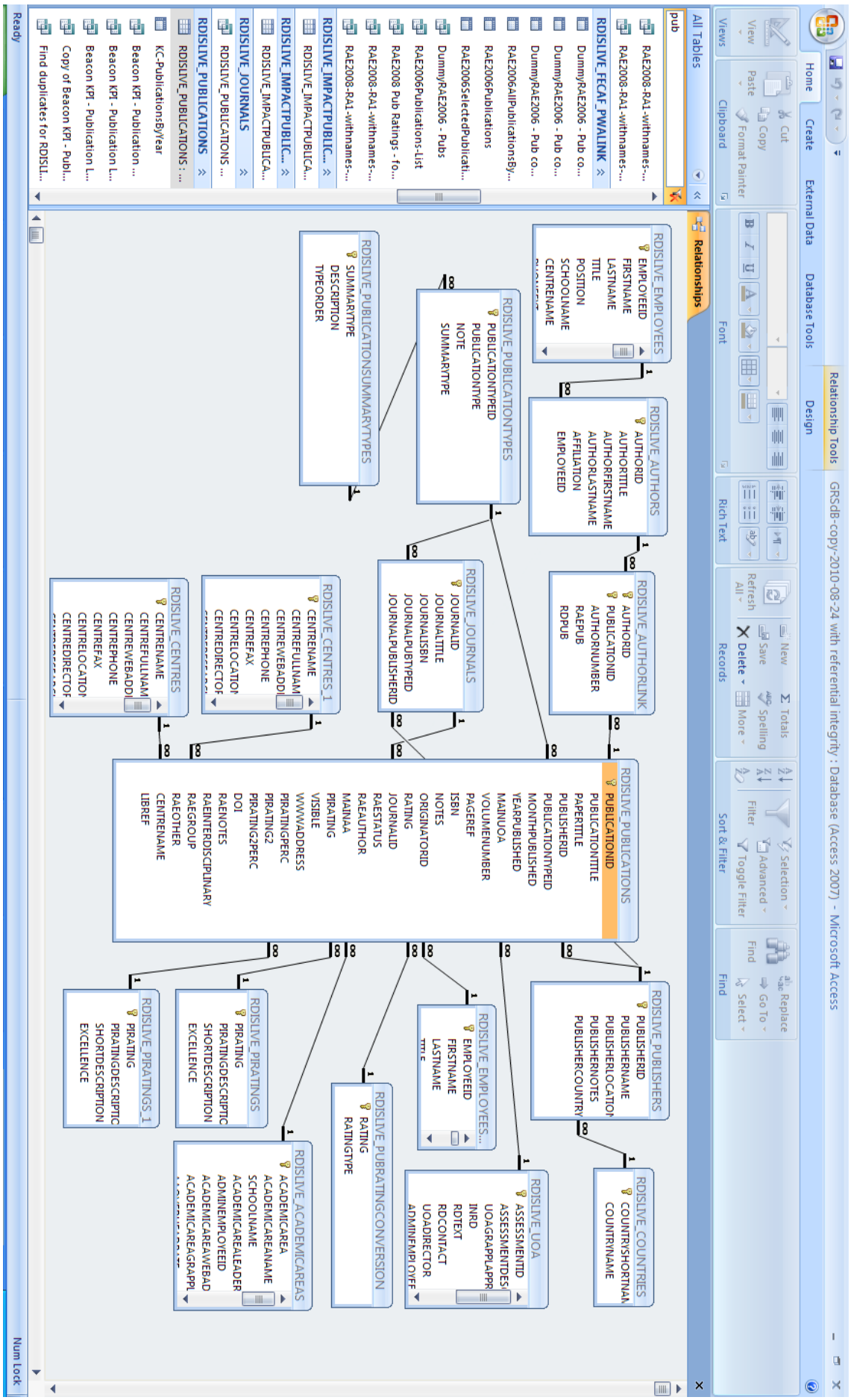
2.4 ERA Portfolio Items

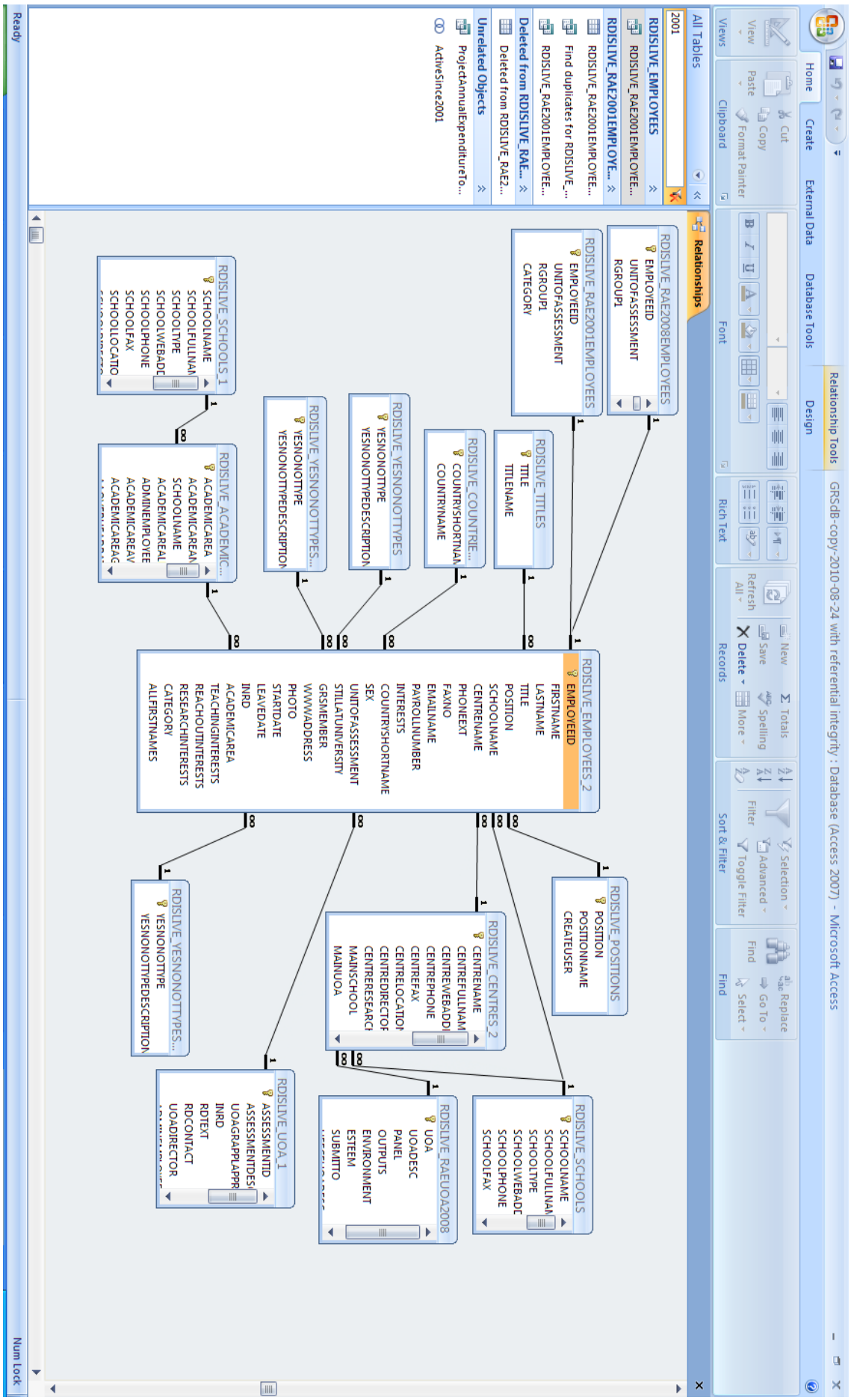
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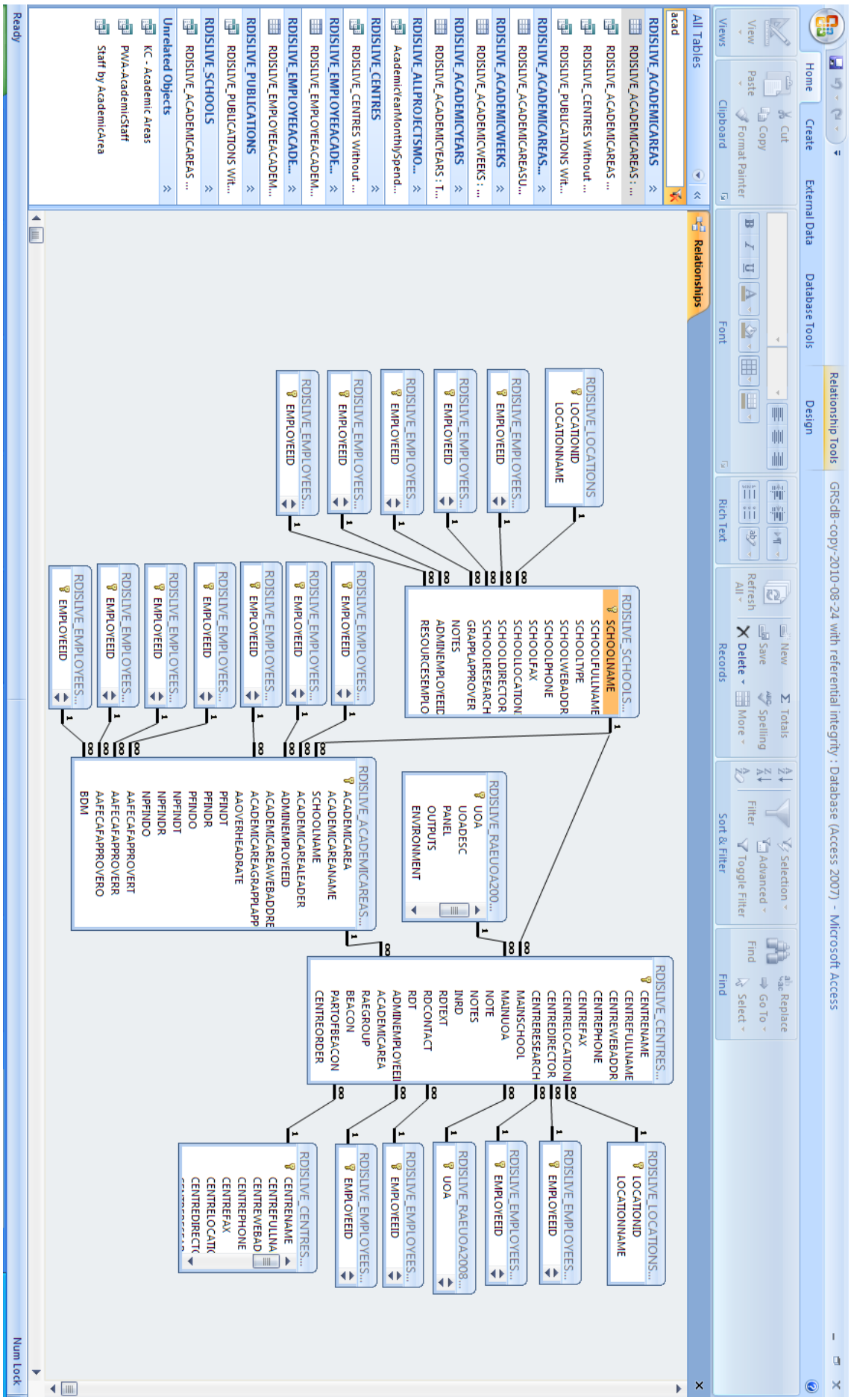
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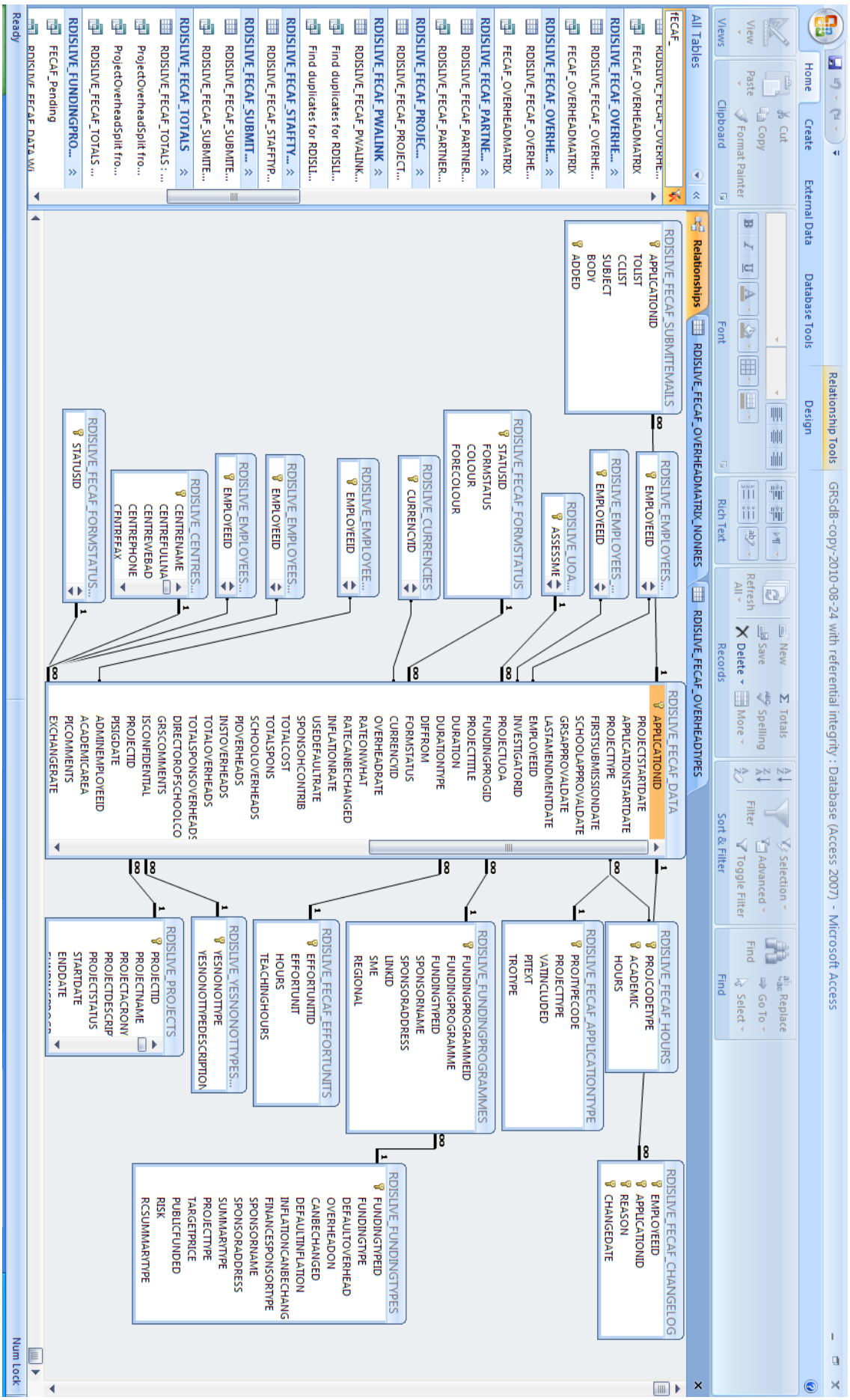


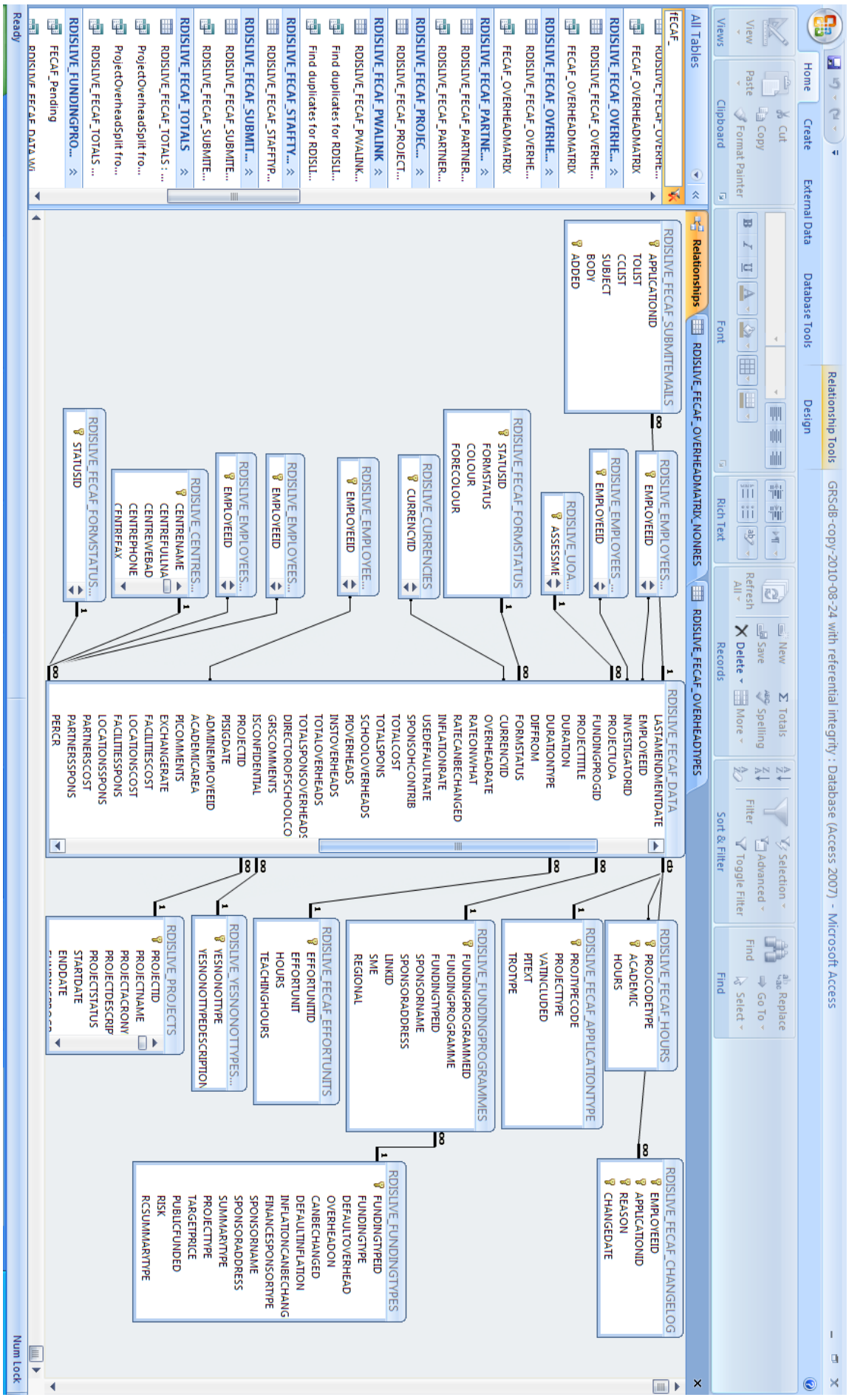
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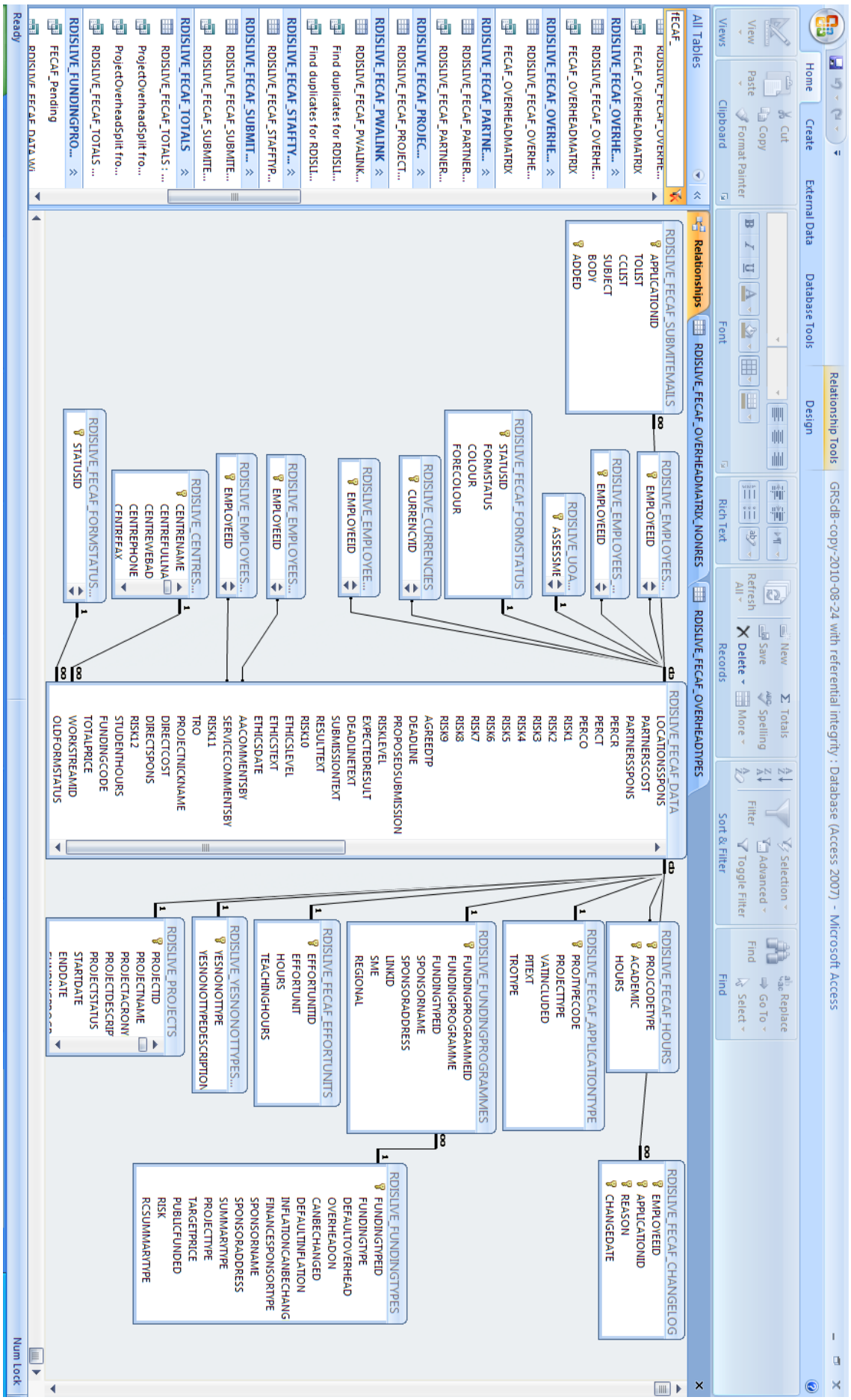

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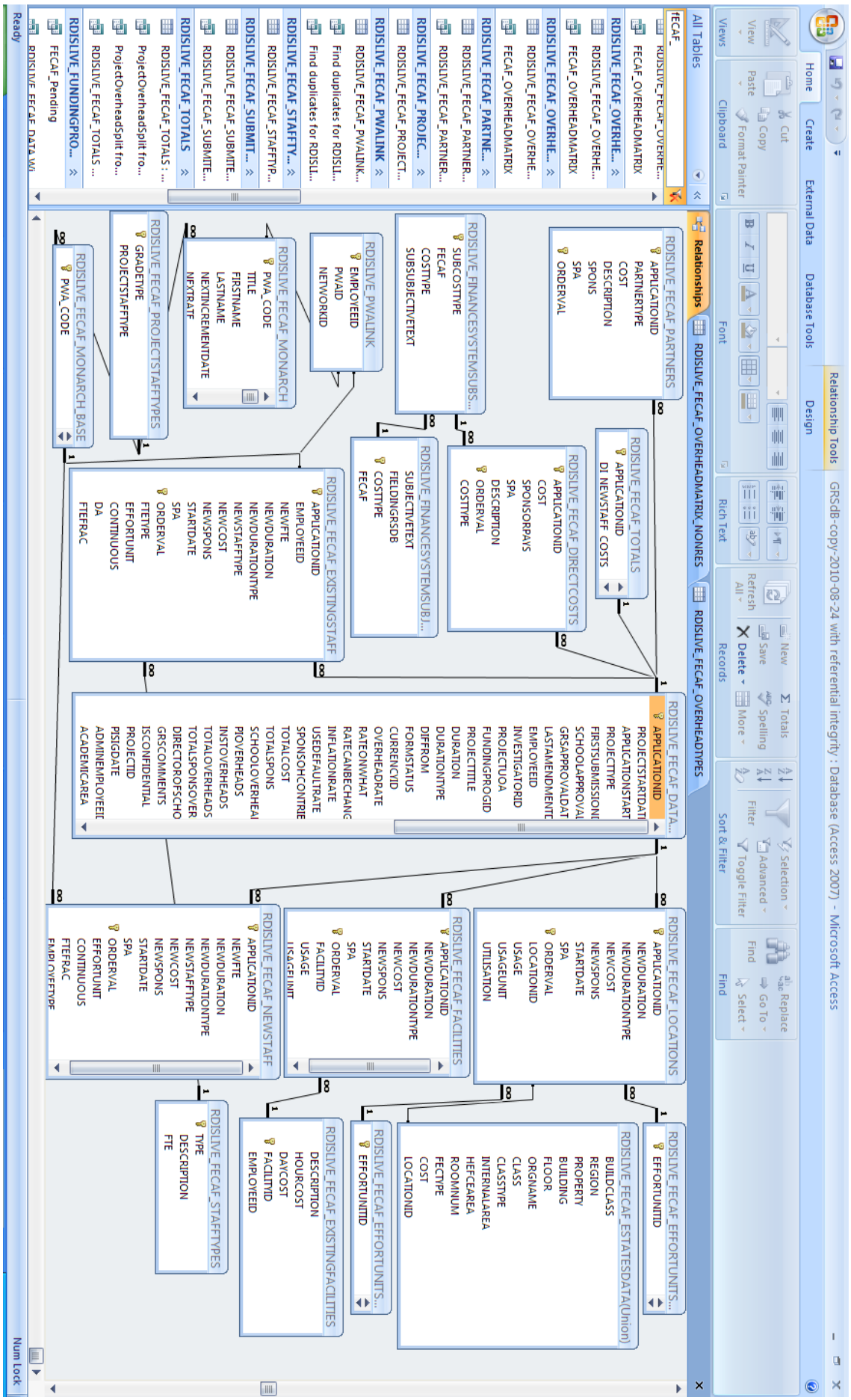

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Simon Kerridge

Electronic Research Administration - A case study from a non research intensive university in the UK

The University of Sunderland is a teaching led university in the UK; its research income only accounts for around 5% of turnover. The paper outlines the development of bespoke electronic research administration (ERA) systems at Sunderland over the past 15 years (from when the research office was created), from simple spreadsheets to a relational database with a web interface. As well as outlining the data and the functionality of the system it also explains the rationales behind the various stages of development.

These developments were managed in an ad hoc, organic manner and an overall development plan, accepted across the university, has only recently been achieved. This paper reflects on lessons learnt in this journey.

This paper is based on a poster delivered at the INORMS 2010 Congress, 11-15 April 2010, Cape Town International Convention Centre, South Africa.

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This paper presents a case study of the development of Electronic Research Administration (ERA) systems at the University of Sunderland in the UK, covering a fifteen year period.

It briefly discusses the profession and scope of research management and administration to provide a context for the developments discussed.

Electronic Research Administration itself is then defined as a precursor to the chronology of the ERA developments at Sunderland.

The main part of the paper outlines, in a non technical manner, the various stages of development and the context in which decisions about developments were made.

Overall the system has been a great success, but along the way not all developments have met with universal approval and the paper reflects on how the developments and their implementation and communication to the wider university audience could have been improved. The concluding section, reflecting on lessons learnt, will hopefully be of interest to those currently developing or thinking of developing ERA systems.

1. Research Administration

Before looking at Electronic Research Administration itself it is worth reflecting on what Research Administration is. Indeed even the label of Research Administration is not a generally agreed or understood one.

1.1 A Definition of Research Management and Administration

This paper refers to "Research Management and Administration" (RMA) as the title of a profession and this will used through synonymously with "Research Administration", although there are differences across the world as to which is in common usage (and indeed some areas also refer to "Research Management").

Research Administration started as a profession in the United States of America as far back as the 1940s (Beasley 2006). However in much of the rest of the world the term 'manager' has more cachet and associations from many other countries use that word in their titles. Indeed the worldwide association of associations – the International Network of Research Management Societies (INORMS) favours 'management' over 'administration' .

This paper takes the pragmatic approach, and whilst Research Management and Administration is more often used as the title of the profession, what we are really interested in is what the scope of the profession is. There is no one definition of the profession, but that given by (Chronister and Killoren 2006): "*... someone who leads, manages or supports the research enterprise*" gives a clear picture.

It is perhaps more useful to define the specific tasks that Research Administrators carry out; and this is done in the following section in the context of the systems that enable them to be more efficient.

2. Electronic Research Administration

Now that we have defined what research management and administration is, we will consider electronic research (management and) administration. Put simply, electronic research administration can be considered to be any information and communication technology system that helps research managers and administrators do their jobs more effectively.

2.1 A definition of Electronic Research Administration

The definition of Electronic Research Administration from the seminal Kulakowski and Chronister book on Research Administration and Management (Rodman and Stanford 2006) is *"... loosely defined as improving administrative processes through the application of technology, particularly computer technology*" is not much more helpful than the one given by the author in the introduction to this section. It is perhaps more useful to consider some particular applications that meet this criterion to clarify what is meant.

The Research Management and Administration System (RMAS) project in the UK has defined a number of areas of Electronic Research Administration:

a. Academic expertise data
b. Pre application funding source identification and dissemination
c. Costing of grant applications
d. Internal Peer review
e. Status tracking of applications and awards
f. Workflow management of application and award process
g. Contract Management
h. Ethics review
i. Post award financial management
j. Budget profiling
k. Budget/actual/commitments management
l. Post award report management
m. Automatic alerts for milestones and reporting
n. Research publications recording
o. Research outputs (archive)

Some of these are specific functional areas, and others are more generic functions; together they can be used to define an Electronic Research Administration (ERA) system. It is however clear that these do not cover the full scope of research management and administration as defined above. One specific area that is missing is support for Post-Graduate Research (PGR) Students, which is understandable as many universities separate organisationally, PGR administration from research administration. It is also weak on the knowledge transfer end of the spectrum, whilst it could be considered that Intellectual Property (IP) management is covered under g. Contract Management, a review of the reports of the project show that this is not the intention. Again, although it is common for research and knowledge transfer support to be co-located in universities, there is often a divide of sorts, even if not a structural one. One perhaps deeper weakness is the lack of definition of areas of research planning and strategy, although certainly, a system that provided integrated support in the areas identifies would enhance both planning and strategic thinking.

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Given the above provisos, it is a useful categorisation, particularly for those interested in the research rather than knowledge transfer end of the arena.

An analysis of the sector in the UK by the RMAS project has determined that (as of 2009) no off the shelf system currently exists, but some universities do have systems that cover many of the 15 areas defined. This paper will look at one such system in depth and discuss the merits of the approaches taken. Before moving on it is worth mentioning a few of other universities in the UK that have developed their own systems, their stories will tend to differ as, in the main, they are research intensive universities and have therefore perhaps been able to make research support more of a strategic aim.

2.2 Other examples of Electronic Research Administration systems

There has been much work at Imperial College London over the past few years in the area of Electronic Research Administration; (Rutherford and Langley 2007) give an overview of how their systems were developed. They make much store on ensuring that the needs of the various stakeholders are taken into account, and that a robust project management methodology is utilised.

Newcastle University has also undertaken much in-house work on developing and integrating their various research information systems (Kerridge, Golightly et al. 2009), the system called MyImpact has also been developed over a sustained period with dedicated resource being brought to bear.

Although there is not much in the literature, many other universities have and are developing their own systems to meet their specific needs. Good examples include the Universities of St. Andrews, Liverpool and Glasgow, although there are many others. In this paper we will however concentrate on the system developed at the University of Sunderland, a non research intensive institution in the north-east of England.

3. Research Support Systems at the University of Sunderland

The University of Sunderland was created from Sunderland Polytechnic in the early 1990s. Like other polytechnics in the UK when it became a university it became eligible for public funding for research on the same footing as the older, more established universities. It became clear that in order to support the ambition to increase research funding, a central support function was required and in 1994 a Director of Research Development was appointed. In 1995 a Research Development Officer was also employed, to support the Director and to help academic staff with their research project proposals. At the time research accounted for about 1% of the turnover of the University (it now stands at about 5%).

3.1 Why it was developed

It was at this point that the two staff saw the need for processes and systems to share information between each other, and the wider university. Over time the systems were developed and integrated in order to meet specific requirements (some internal and some external). So far the process has covered over 15 years, and the systems have developed organically, although some specific developments were formally project managed, most were agile developments. In the following sections the various developments are described in the context of the factors that contributed to them. For want of a better approach a chronology is used, in any case this is perhaps the best approach in order for the influence of the external factors to be understood.

It should be noted that in this overview events are described in terms of the main year in which they occurred, however, many of them took place over year boundaries and indeed over longer than a year; and of course many of the events had overlapping periods. The accuracy used in the chronology is however sufficient to elucidate the environment on which the developments took place.

3.2 1995

The Research Development Office was initially co-located with an existing International Office that among other things used a travel database to record booking for international travel for members of staff. That database has been developed by a student for the office using Microsoft Access. The data consisted of staff information and travel bookings (hotels and flights). However the data was far from normalised, for example destination country was a free text field. So the first job was to convert this to a pick list (and to migrate the existing data). Also there was no link between the staff details and any other staffing lists in the University (ideally this would be the Human Resources [HR] database). This meant that although the system was useful it was often difficult to (for example) know for certain which school / faculty a person was in. This is still an issue 15 years on!

As there had previously been no Research Development Office there was no database of (pre-award) proposals, hence the funding database was born. The Office wanted to know which members of academic staff were applying to which funders and so developed a simple spreadsheet that was quickly superseded by a small access database – building on the existing staff lists. It soon became clear that it would be more efficient to share the staff list between the travel and the funding databases, so that new staff need only be added to one system and the two offices agreed to merge the databases. At this stage some data cleansing and updating (this was to become a common task over the years) was needed on the two staff records as the newer research funding database had included some additional fields in relation to the members of staff.

It should be stressed that the environment was conducive to utilising IT to maximum benefit as the Director of Research Development had previously been a lecturer (at a different University) in computer science. Thus there was a local champion for electronic research administration; the case for the advantages hardly needed to be made.

The underlying premises in all of the developments were that: data should be collected only once and used many times; and that there should only specified primary locations for data and these should be linked to where possible and where not is should be refreshed from the primary source as frequently as possible.

Initially the funder was a free text field, after a few months this was normalised and a hierarchy was introduced so that specific Funders were associated with Funding Types (Research Councils, Charities, Companies and so on). The first 'Project' table (which in actuality contains information on proposals, some of which become funded projects; and the misnomer has stuck) contained scant information: title, status (not yet submitted, submitted, funded, rejected and so on), principal investigator, funder, amount, submission data; and that was about it.

This initial development also included upgrading the database to Microsoft Access v2.

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So far all of the developments had been purely to make the life of the Research Development Office easier.

3.3 1996

In the UK every few years there is a Research Assessment Exercise (RAE[1]) which collects information about research activity over the previous period and is then assessed for quality that is subsequently used (in conjunction with a volume measure) to drive an annual block grant to support research. The 1996 exercise required information on staff, research outputs (publications), research students, and research income, to be submitted alongside a textual commentary. One particularly onerous task for Sunderland was the collection of research outputs references, and indeed the physical outputs themselves – often based on scant information as the reference detail provided by the academic staff was in some cases extremely minimal.

The Deputy Vice-Chancellor for Research at the time had taken a hands-on approach with the submission to the RAE and had seen these problems first hand. He decreed that this should not happen for the next RAE (in 2001) and that a publications reference database should be set-up to record the details of all research outputs published by members of staff at the University. The Research Development Office was given the task of developing this database and enabling members of staff (or local administrators) to keep their own records up to date.

The 1996 RAE data collection software provided by HEFCE had allowed for distributed data collection across the University, but the software itself was quite slow and required specific software to be installed on each client computer (and often required changes to network configuration to enable access). This system had been universally disliked by all who had used it and so it was decided to take a different approach. Some projects in the School of Computing had been developing dynamic web pages for database access and so some local expertise was available to kick-start the initiative. These projects used Cold Fusion (v3.5) and so this was the technology adopted (a few years later it was upgraded to v4.0).

1996 also saw the merger of the Research Section (who administered post graduate research student records) with Research Development to form the Graduate Research School (a virtual school in the University to provide a locus for research activities).

3.4 1997

At this point the underlying database was still fairly simple comprising:

Employee Details
Project (Proposal) Details
Funding Programmes and Funding Types
With some look up tables for Country, School [Faculty], Gender and so on.

[1] Research Assessment Exercises have in general been managed by the Higher Education Funding Council for England (HEFCE), see www.hefce.ac.uk and more recent ones have had their own dedicated websites, see www.rae.ac.uk. After five RAEs it is proposed that the next exercise will be called the Research Excellence Framework, see http://www.hefce.ac.uk/research/ref/ for more details.

The addition of a Publications section (again a misnomer, it contains publication references rather than the publications themselves) would increase the scope somewhat, but more importantly the development of the interactive web pages would increase the complexity of the system many fold. It also required a significant hardware purchase to host the website and the Cold Fusion sever (this facility was not available through central IT services). However, the proposal has the support of (and in reality was the brainchild of) the Deputy Vice-Chancellor and so there were no internal hurdles to making that investment.

In terms of the software development, a few months of one of the researchers from the School of Computing was utilised to develop the core of the system. This included a facility for logging in (requiring a User table, linked to the Employee table); adding publications (Publications, Publication Types) and assigning authors to publications (Authors, Author-Publication-Link). It also became clear that an administration section would be required so that new users could be more easily added to the system, and that they be assigned author records if they were academic staff. There was also functionality to update and delete publications. In addition, as a carrot, users could also create reports about their publications (or someone else's) in a Harvard-style reference as a rich text format (RTF) file, which was often useful for project proposals.

This web based system, known as GRS On-line[2] (with the data being held in the GRS database) has been added to over the years as discussed below.

As a consequence of allowing deletion it was decided in the early stages to introduce levels of access (in a hierarchy so that users could not delete other peoples publications by mistake). The access control was all built into the user interface layer (rather than the database itself) and was actually quite sophisticated, there were ten levels of access provided for each functional area of the system (so that users might have different levels of access for say publications as compared to employee information. Initially only six levels were used: guest, staff member, research centre, unit of assessment (used in relation to the Research Assessment Exercise subject areas), school and super user; in the years that have passed another two levels have been utilised (department and service/university).

In general it was decided to give the end users as much power and flexibility as possible, but that there would be as much error and consistency checking as possible at the point of input. So, for example, after a few publications had been added it was seen that there were various spellings of the same publisher, with or without 'Ltd' or 'Inc' on the end, and so on – so the system was altered to only allow Publishers to be selected from a pull down list (from a Publishers table) rather than the existing free text field. This required some data cleansing on the existing publication data.

As a balance to allowing users to enter their own publications an additional check on the data by someone with higher level access (normally a research centre leader or the like) was required before the publication became fully visible. So guest (external) users would not be able to see publication details unless they had been approved and marked as being visible to the outside world. This process also gave unit of assessment (subject area) leaders the opportunity to score publications on a nine point scale, potentially saving time when deciding which publications to include in future research assessment exercises. There was also the opportunity to mark publications as being confidential so that sensitive work could be kept from the external website.

[2] GRS On-line is the web based Electronic Research Administration system of the University of Sunderland, it can be accessed at: http://www.grs.sund.ac.uk/grssite/grshome.cfm

Similarly Authors were selected from lists rather than being free text, this had the advantage of linking authors to members of staff and the disadvantage of presenting long lists to users and not being as easy to enter publication information. One other unforeseen disadvantage was that some users (with early versions of Mac browsers) were only able to see the first 255 authors on the list, the work around was to use a newer version of the browser. Technically this should not have been an issue as the University supported web browser was Netscape, however that did not help irate users who were not using Netscape!

However, this did instigate new functionality for admin (super user) level users. They were given the ability to be able to log in as another user in order to be able to see exactly what they could see. This could be used to identify whether an issue was in relation to access rights for the user, or the fact that their browser was rendering things differently.

There was also a transaction log, so that it could be determined who had added, edited and deleted things form the database. This has only really been used as a diagnostic to determine whether or not data had been deleted by a user, or whether there was some bug in the software (which on occasion there was).

3.5 1998

At this stage the back end database was still Microsoft Access and that even after an upgrade to version 97 there were some concerns with the possibility that concurrent users could potentially create new records with the same identifier, so a locking mechanism was created in the Cold Fusion pages to circumvent this. It would have been much better to have used a back end database with this facility already built in.

In a similar move to adding the Publisher table, a Journals table was also added, this was though at the behest of users who were always having problems finding ISSNs for journals and were upset that the system would not put it in for them when they knew that there was an existing publication from the same journal already on the database.

So an enhancement was delivered, where if the Publication Type was Journal, then a pick list of Journals was provided, and selecting one would retrieve the previously stored ISSN and Publisher. If the Journal was not on the list, then the inputter would have to add those details first (which they would have had to have done anyway). Yet again this meant some data cleansing and updating. There were also discussions about downloading the information from library or other on-line databases, but this was deemed to be too much effort for the overall cost benefit to the University.

The data was robust enough in this year to allow the (semi) automated production of an annual report of research at the University.

3.6 1999

There was some spare resource in the School of Computing and so it was decided to utilise that to help develop a new area, costing and pricing. The university already had a paper based system for

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setting out the costs of a research proposal and gaining approval, the Grant Application (GrAppl) form. The main problems with the form were: calculating the costs, particularly the staffing costs; and knowing where the form was. The latter would be solved directly by having the form on-line as part of a workflow, and the former by introducing a table of staff costs and a method of calculating future costs.

It was anticipated that there might be issues with having actual staff costs in the database in terms of users being able to determine other peoples salaries by adding them into a proposal costing (the existing system consisted of a known person in the research office telephoning the payroll department to make the request, or a person having to give permission for their salary details to be disclosed to a third party). However it was made clear to users that the transaction log could be used to see who had added people to a costing (or later looked at that costing), and in the event over the elapsed 11 years since it has been implemented there have been no issues in this regard.

The costing system itself was quite complex, but it was developed to mirror the existing hardcopy GrAppl form and so the order of the questions was at least familiar to users. There was also extensive training provided in using the system (as there was for the Publications section).

In terms of the database structure there were two main costing tables, one for staff members (with their monthly salary costs included) and one for each staffing grade in the university (for un-named or indeed staff yet to be employed). In addition the increment dates and what the next grade would be were also required. This of course required periodic imports from the HR system. A direct view was advocated, but after months of negotiation to get allow the view access in principle it was determined that the HR system was not apparently able to support such a function. The HR system was however being replaced and it was promised that the new system would support a direct database view.

This year also saw the upgrade of the back end database from Microsoft Access to Oracle. The main reason was that after running for a few weeks or months the Cold Fusion server would stall and need to be restarted, this was a known problem with Cold Fusion and Access when used with a number of concurrent users. Additionally, Oracle is the database of choice for Sunderland business systems.

3.7 2000

After a recent movement of the post-award finance staff to the Graduate Research School (GRS) that meant that the GRS were responsible for the whole research project lifecycle it was agreed to extend the Project (proposal) part of the system to include post-award information. This time there was no existing resource to call upon, so a local software company (which was co-directed by one of researchers who has worked on previous developments) was engaged to develop the software. The new functionality was to become known as the Project Administration Workflow System (PAWS) and continued the ethos of allowing the researchers in the schools to see the data that the GRS was managing. Initially there was not much of interest for the researchers, but this was added to in later years.

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3.8 2001

This was another Research Assessment Exercise (RAE) submission year and the plans from 1996 were bearing fruit. In the run up to the RAE some internal exercises were conducted and the Deputy Vice-Chancellor for Research had previously added a carrot to the requirement for academic staff to ensure that their publications were up date – any internal promotions (for example for readership or professorship) would utilise only publication information that was reported from the database. This meant that in the main the publications database was relatively up to date, and the internal 'dummy' research assessment exercises ensured that it was fully up to date for research active staff. As such the GRS database was used to extract the reference information for the publications to be submitted and this meant that the outputs themselves were much easier to source than for the 1996 RAE.

There were also some enhancements to the Project Administration Workflow System (PAWS) part of the web site. A document storage facility was developed so that reports (eg those submitted to funders) could be accessed through the web system. Additionally, if the post-award team produced a finance report then it would be stored there, so that a principal investigator could see the recent financial position of their project.

Perhaps the simplest enhancement was also the most useful. An alerting system was added. Users looking at a project could add a note about the project (perhaps a record of a phone call, or an action that they needed to complete, or something that they had asked someone else to do). As well as being a record of the activity on the project, it was also an alerting system, when adding a note the user could indicate that an action was required to be completed, and who that action had been given to complete and by when. When the action was completed it could be marked as such. Each night a scheduled process ran to check all overdue uncompleted actions and send an email from the user that created the action to the user to whom the action had been allocated indicating that the task need to be completed. The system the continued to send an email every day until the action was marked as completed or the deadline was extended.

As users in general checked their email every day, but PAWS infrequently, this system worked extremely well.

3.9 2002

The Deputy Vice-Chancellor for Research was by this time quite used to using the system to look up information, however he was keen that more aggregated data be available. In order to meet this need, some Key Performance Indicators (KPIs) were developed, including (by Academic Year): number of project starts; and numbers of proposals pending results; and number of high impact publications (as determined by the research centre leader). These all had links to lists of the projects / proposals / publications that made up the KPIs, which could then be further drilled into to see the full detail.

However, this function was not utilised much, even when automated weekly email reporting was offered. There were monthly meetings of a Research Strategy Group and the Deputy Vice-Chancellor appeared to prefer to be presented with the KPIs at these meetings in order to be able to discuss them with colleagues. In effect they became a tool to ensure that all the research areas of

the University were performing as well as they could by transparently showing the various research indicators across the subject areas.

3.10 2003

The Post-Graduate Research (PGR) student administration was until this time still conducted using a more or stand alone database (there had been some work previously to ensure that members of staff who were supervisors or PGRs were linked to their Employee record in the main GRS database. The lack of current external drivers meant that some time could be devoted to properly integrating the databases. Most of this was harmonisation work, ensuring for example that the various lookup tables were replaced with single tables. There were also links put in place so that students who were also members of staff were recorded properly.

This is not to say that the PGR database has not been developed during the previous seven years, it was just done so without integration in mind, as after the Employee – Supervisor records were linked there was no real imperative for better integration in terms of immediate cost benefit. The longer terms benefits in terms of maintenance of data were clear, but the time could never be found until this period. It was long overdue.

Another benefit of the integration was the data cleansing and maintenance that took place (there were many examples found of supervisors who were members of staff, but not linked to their employee record). This meant that data was more trusted in the wider context.

Building on the success KPIs for project and publication, PGR information could now also be included. In the run up to the next Research Assessment Exercise (with a submission due in 2007) the Deputy Vice-Chancellor was keen to have a handle on the approximate size of the potential submission. In general the main criterion for inclusion would be staff that had had 4 (good) publications over the assessment period. Other data to be submitted were PGR numbers and research income. So it was agreed that anyone who had any of these 3 criteria would be of interest (so that any lacking criteria could be worked on in the time up to submission).

Thus the idea of an 'active researcher' was created – someone who had (at least) one of: 2 (good) publications in the last 3 years; a research student; or an externally funded project. Naturally the designation of 'very research active' was given to members of staff who had all three of these (with the expectation that they would be submitted in the Research Assessment Exercise). It should be noted that the RAE was not the only driver for collection and using this information – it was at the core of the research strategy that every member of staff should be research active; the RAE gave the impetus and provided the basis for developing these metrics.

3.11 2004

There were some further developments to the Project Administration Workflow System (PAWS) and some minor back end modifications to tables in preparation for the forthcoming Research Assessment Exercise.

3.12 2005

In the UK in this year Full Economic Costing (fEC) was introduced. This changed the costing methodology used in Universities in a fundamental way, primarily the overhead cost calculation was changed from being a fixed % of the direct costs to being an amount per researcher and academic staff effort. There has been much written on the rationale for the change and the effects on research funding, for an excellent in depth analysis see the report from the group chaired by (Alexander 2009). But the main, immediate, direct impact for the GRS was that the on-line costing and pricing system needed to be replaced.

Some funding was allocated to employ the same local software company to develop a replacement for the existing on-line GrAppl Form with a new Full Economic Costing Approval Form (fECAF). The opportunity was taken to allow an update to the general interface (as since 1997 web technology had moved on somewhat) and indeed the back end software. The existing Cold Fusion pages were in effect scripts with database calls built in, the new fECAF pages were developed with Microsoft Active Server Pages (aspx) which allowed for a much cleaner separation of the user interface from the database connectivity and data manipulation. The new fECAF system was integrated into the existing Cold Fusion structure so that the single sign on still worked across the two platforms.

The fECAF system had a couple of major improvements over the previous GrAppl system. Firstly file attachments meant that the proposal in effect travelled with the approval form. Also a risk assessment was built in which provided a quick traffic light (red, amber, or green) indicator for a proposal enabling approvers to focus on more risky proposals (and indeed depending on the risk assessment different users might be required to approved proposals). In effect the GrAppl costing and pricing system was replaced with the fECAF proposal assessment system.

2005 also saw the merger of the research support (GRS) and innovation / knowledge transfer (Industry Centre) part of the University to become, Research Development and Innovation Services (RDIS); although the GRS label was kept for research student support. The timing of this was fortuitous in that it meant that the new fECAF system was designed to handle both research and third-stream' (consultancy, training, knowledge transfer and so on) activities from the outset.

There was extensive training on the new funding methodology and the fECAF system before it went live and well on into 2006 before it became a standard training element offered to staff.

3.13 2006

After the fECAF system had been running for a few months and proved to be reliable, the old paper based system (which had not been properly updated with the new funding methodology, in terms of help and advice) was retired. From Jan 2006 only on-line proposals were accepted. Given that the previous on-line costing system had been in use for nearly seven years and most people were used to using it, coupled with the fact that the new system helped them with the new costing methodology, the paper based system was not missed. This of course helped the GRS staff in that entering of details from paper costing forms was no longer required.

At this time some work was also undertaken on enabling automated data importing from the Oracle finance system. Although technically principal investigators could apply for a user account on the Oracle finance system, it was complex and not particularly user friendly, and all they really wanted to know was the current balance on their project – or rather how much they had left to spend. The automation consisted of running a scheduled reports from the finance system saved to a known location, another schedule then copied the contents of that directory to the GRS server, and then a process on the GRS server parsed the data an imported expenditure details per project into PAWS so

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that they were available on-line to the principal investigator. Although this set-up meant that occasionally the whole three-stage process would not finish properly, this was not a real problem as because it was run every night, the latest information on PAWS was always reasonably up to date, even if on one night the data imports failed to complete. This, in conjunction with the periodic detailed reports provided principal investigators with sufficient information on their project expenditures for most of their needs.

The Deputy Vice-Chancellor for Research retired.

3.14 2007

This was a busy year for RDIS / GRS: the year of a Research Assessment Exercise for which much data from the database was needed; the Director of GRS left to take up a position at another University; and in a service re-organisation the post-award and innovation / knowledge transfer parts of the service were split off into other services and remaining parts of RDIS were renamed as Graduate Research Support and became part of Academic Services.

Prior to and during the transfer out of the post-award team there were some developments planned for PAWS to ensure that the transition from pre- to post-award remained as smooth as possible. However, due in part to the pressures of the RAE not all of these enhancements were rolled out.

With the various updates to the fEC methodology and the maintenance required to keep the staffing costs up to date (there is still no direct link to the Human Resources database) additional work was required from the local software company to keep the system up to date. There was a perceived element of over reliance on the small company and so it was agreed than an off the shelf system should be looked at. The Planning and Finance service decided to purchase a costing and pricing tool and proceeded to evaluate it, with the intention of replacing the fECAF system.

A new Deputy Vice-Chancellor was appointed with responsibility for Teaching and Learning, Research and Innovation.

3.15 2008

A new academic strategy was developed which included a research plan that advocated focussed support for research rather than expecting all members of academic staff to be research active.

There was a reorganisation of the academic parts of the University from Schools to Faculties and Departments. Whilst most of the changes required in the database to reflect the new structure were fairly straight forward, there were areas of the web interface and reports that still refered to old structures, for example Schools, as these were hard coded text labels. The fact that the updating process to find and make these changes took so long is a reflection of the underlying assumptions that were made over ten years previously. It appeared that the system is approaching the tipping point where it was becoming more and more expensive (certainly in terms of time) to maintain, and perhaps a wholesale re-engineering or even replacement should be considered.

However, there were still some requirements for some minor changes to the publication reference system and these were undertaken.

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3.16 2009

This year saw the launch of the new research direction for the University; research beacons and centres – a mechanism to implement the university research plan for drawing together multi-disciplinary teams into areas of critical mass for world-leading research areas.

A five year plan was developed by GRS and presented to the Business Systems Strategy Group outlining the current status of the Electronic Research Administration systems and a vision of where the system should be by 2014. The main thrust of the paper was that the system had grown organically to meet requirements as they occurred, with whatever resource was available. And whilst parts of the system are working well, some part are not functioning well, not being used as originally intended, and have fallen into disrepair, not least of which due to staffing pressures in GRS itself.

The requirements for the next research assessment exercise, the Research Excellence Framework (REF), became more apparent, and in particular 'impact' will be an important factor. Whilst the exact requirement had yet to be published, it was clear that universities will need to show how the research that they have undertaken has had an impact on the economy / health / well-being / culture / policy / etc of the UK (or wider world). In effect a whole raft of activities will need to be drawn together to show how impact has been achieved. A simple impact area was added to the GRS web system where text, pictures, documents and web links can be drawn together and linked to projects, publications and students, it is hoped that this will allow staff to start drawing together strands of work into what will be required as an impact statement for submission for assessment.

3.17 2010

A new Deputy Vice-Chancellor with responsibility for Research, Knowledge Exchange and Business Engagement was appointed.

The university hopes that this appointment will re-energise academic staff, particularly in their research endeavours in the new research beacons and centres.

The five year plan for the re-engineering / replacement of the current Research Support Systems has been approved in principle by the Business Systems Strategy Group; a team from the IT support service are scoping out the potential costs.

A cross service implementation plan (Library, GRS and crucially IT) is being developed to roll-out an Open Access Institutional Repository that will link to the existing GRS publication reference database.

3.18 Reflections on current position

Overall there has not, until recently, been a plan for Electronic Research Administration at the University of Sunderland. The various research support systems have grown as and when a need was identified and/or resource could be secured. This has led to an organic growth in the system and in technologies used. Some parts of the system have fared well, others have fallen into disrepair. The latter, in general, being associated with parts of systems that are related to areas of service that are no longer the remit of the (now) Graduate Research Support section.

After the main advocates of electronic research administration at Sunderland left (the Deputy Vice-Chancellor in 2006 and the Director of GRS in 2007), support for systems development and maintenance has been difficult to come by. Whilst GRS is represented on the Business Systems Strategy Group, the fact remains that research accounts for only about 5% of the University turnover and so it is difficult to gain support without advocacy.

However, the appointment of the new Deputy Vice-Chancellor should mean that the importance of research is restated and support for Electronic Research Administration initiatives should increase.

Finally, reflecting on progress against the fifteen RMAS topics:

a. Academic expertise data - Integrated
b. Pre application funding source identification and dissemination - Yes (not integrated)
c. Costing of grant applications - Integrated
d. Internal Peer review - No
e. Status tracking of applications and awards - Integrated
f. Workflow management of application and award process - Integrated
g. Contract Management - Partial
h. Ethics review - Yes (not integrated)
i. Post award financial management - Partially Integrated
j. Budget profiling - Basic
k. Budget/actual/commitments management - Partially Integrated
l. Post award report management - Yes (no longer integrated)
m. Automatic alerts for milestones and reporting - Integrated
n. Research publications recording - Integrated
o. Research outputs (archive) – In Development

We can see that the Sunderland system goes a long way towards being a fully integrated Electronic Research Administration system, but it not quite there yet. It does however also include areas outside this definition, for example research student administration.

4. Data Interchange

One area that has only been touched on in this paper so far is data exchange. There have been some internal examples of data transfers between systems: automated data from the Finance system into the GRS database; and semi-automated from the Human Resources system into the GRS database. However, there has been no real discussion on data exchange outside the boundary of the University: between universities; and between the University and funders.

This is a growing area of interest. The recent Research Assessment Exercises have allowed for bulk upload of data and some use of web services. The Research Councils have an on-line proposal submission system (Je-S) which allows for direct submission of data (although to date no Universities have used it). Some universities are now using or developing systems that are compliant with the Common European Research Information Format (CERIF) a European standard for exchange of research information, that appears to be the front runner for adoption in the UK. The current data definitions in use at Sunderland are not fully CERIF compliant; in the future this could be a barrier to collaboration.

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Any future Electronic Research Administration system developments should consider inter-system communication.

5. Conclusions

5.1 Lessons learnt

The original developments were made because there were local needs for them, mainly to improve efficiency; they were implemented locally and accessible only within the service. As the systems developed and became web enabled they were available for use across the University and indeed further afield. At this point, having a centrally managed resource to provide the infrastructure and provide for system developments was a requirement.

Initially the central resource was managed by the Graduate Research School (GRS) itself, and this continued as the service grew. However, after a re-organisation of the University services in 2007 that resource was no longer provided for within GRS and was, in theory, passed over to IT services. But, some of the technology used (particularly Cold Fusion) was not a core competence of the service and because of this the servers were never fully adopted by IT services. This has left the University in the position of having a business system that is not fully supported and does not have clear lines of ownership. This position should be avoided if at all possible.

Whenever an IT development is planned, no matter how small it (initially) is, the IT service should be consulted to ensure that at the very least they are aware of the proposed development, and ideally whether or not they are able to help. In the short term this may seem like a hindrance to getting things started, but in the longer term it is the IT service that will manage the IT systems of the University. If an Electronic Research Administration system is to be considered as a core business system, then this approach is crucial.

5.2 Successes

The core employee information has been used to drive and underpin many of the other developments, ensuring that this has been kept (reasonably) up to date has been key to keeping the other components running.

The publications (references) section has been used for over 13 years and contains nearly ten thousand research output references. It was used for the 2001 RAE submission.

The costing and pricing systems, whilst far from being universally enjoyed, have handled nearly three thousand proposals and the PAWS holds information on over sixteen hundred projects.

For the 2008 RAE submission the GRS database was used to produce the staffing lists (in conjunction with the HR system), the publication information, the PGR data and the research income data (in conjunction with the Finance system).

5.3 Failures

The inability to be able to interface directly with the Human Resources database has over the years caused many problems that have needed manual intervention. Although there are scripts than

parse reports from the HR system and import them into the GRS database, these have not always been kept up to date. Problems have arisen when the reports have changed.

The same is true of the interfaces to the Finance System. Changes to report (normally after year end) contents have resulted in the importing scripts no longer functioning correctly. This would have been minimised with a direct connection.

The lack of clarity over which service is responsible for what has also been a problem, as has the lack of understanding about what affects the ERA systems. For example a recent change by the IT service to IP addresses in a server room was not communicated, but was eventually found to be the reason for some GRS inter-server data transfers no longer functioning.

5.4 Summary

Whilst the Electronic Research Administration system developments at Sunderland have for the most part been successful and well received there have been problems and indeed dead-ends on the way. The current situation is far from ideal and further progress is unlikely with major re-engineering or indeed replacement. This could perhaps have been avoided with a more planned set of developments from the outset, and in particular in light of the various organisational restructurings. A periodic review of systems every few years is recommended.

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POLICY AND PLANNING SEMINAR

Research Management and the REF Consultation

Newcastle University

25 November 2009

The seminar will cover two main themes:

- setting the scene from a HEFCE point of view, and discussing the management options open to institutions, given the current uncertainties;
- and a more detailed discussion will take place on how the REF requirements are shaping up, including the main changes are, interaction with HESA and possible systems implications.

This will allow thorough debate of the management issues in the current context which can be taken back to home institutions for input to the consultation and to begin to make preparations for the actual return itself.

A follow-up workshop is planned after the HEFCE consultation is complete and guidance on submission more definitive, placing the REF within a broader research information environment.

Target Audience

This seminar is aimed at those involved in the submission of the REF and focuses on the 'mechanics' of making the return.

Presenters

Jill Golightly - Head of Research Office, Newcastle University

Simon Kerridge – Head of Graduate Research Support, University of Sunderland

Pamela Macpherson-Barrett, Higher Education Policy Advisor, HEFCE

Scott Rutherford, REF Programme Co-ordinator, HEFCE

Tony Weir, Head of Research & Legal Services, Heriot-Watt University

Andy Youell, Director of Quality and Development, HESA

Programme

10.30 **Registration and refreshments**

11.00 **Welcome and introductions -** *Simon Kerridge*

11.05 **Overview of the REF and the consultation process** - *Pamela Macpherson Barrett*

This will provide an overview of the structure of REF, highlighting differences to RAE2008, and the approach HEFCE is adopting to finalise its design and management. 5 mins Q&A

11.30 **Managing the uncertainties in the REF -** *Simon Kerridge, Jill Golightly, Tony Weir*

Panellists will give a short retrospective on the pros and cons of their approaches to managing the RAE2008 in the context of consultations and uncertainty, highlight specific issues of interest or concern in the REF and arrive at a view on 'Is there an ideal place to aim for right now?'. 5 mins Q&A

12.30 **Overview of managerial aspects of the REF -** *Pamela Macpherson Barrett*

This will provide a more detailed overview of how the management aspects of the REF are shaping up from the HEFCE point of view. 5 mins Q & A

13.00 ***Lunch and Post-its***

Delegates will be invited to post questions on boards while having lunch to inform the later panel session. Key themes will be identified to group questions on post-its.

14.00 **Implications for systems development and data management** - *Scott Rutherford, Andy Youell*

This session will focus on the approach being adopted on data requirements specifically and potential implications for process and system developments in HEFCE and HESA. The most up-to-date information on how HEFCE and HESA are planning to interact on collection will be presented. 5 mins Q&A

14.45 **Panel discussion** – *all presenters*

Questions posted by delegates at lunchtime will be addressed by the panel, followed by an open Q & A session.

15.45 **Concluding remarks -** *Simon Kerridge*

16.00 **Close**

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Expert Seminar

Research Management and the REF Consultation

The Professional Association of Research Managers and Administrators

Expert Seminar

Introductions

Jill Golightly - Head of Research Office, Newcastle University
Simon Kerridge - Head of Graduate Research Support, University of Sunderland
Pamela Macpherson Barrett - Higher Education Policy Advisor, HEFCE
Scott Rutherford - REF Programme Co-ordinator, HEFCE
Tony Weir - Head of Research & Legal Services, Heriot-Watt University
Andy Youell - Director of Quality & Development, HESA

The Professional Association of Research Managers and Administrators

Association of Research Managers and Administrators
Research Management and the REF Consultation

Agenda

- Post-It Notes
- Overview of the REF and the consultation process
- Development of the REF data requirements
- Lunch: Post-Its and Dots
- Managing the uncertainties in the REF
- Panel discussion based on Post-its
- Concluding remarks

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Newcastle, November 2009

Expert Seminar

Overview of the REF and the consultation process

Pamela Macpherson Barrett
Higher Education Policy Advisor
HEFCE

The Professional Association of Research Managers and Administrators

Expert Seminar

Development of the REF data requirements

Scott Rutherford
REF Programme Co-ordinator
HEFCE

Andy Youell
Director of Quality & Development
HESA

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Expert Seminar

Lunch and Post-It Notes

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Post-It Note session

- Lunch is long for a reason
- Eat
- Continue to write on your Post-Its
- Don't forget to eat!
- Put Post-Its on the appropriate area **(by 13:30)**
- Vote for Post-Its using blobs **(by 14:00)**

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Training Seminar

Managing the uncertainties in the REF

Jill Golightly
Head of Research Office
Newcastle University

Simon Kerridge
Head of GRS
University of Sunderland

Tony Weir
Head of Research & Legal Services
Heriot-Watt University

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University of Sunderland

- Million+ group (Post 1992 University)
- 4 Faculties with 12 Departments (~450 academics)
- 4 Beacons and 3+ Research Centres
- 2001: 19 UoAs, 221 Staff, QR £1M, external £4M
- 2008: 16 UoAs, 181 Staff, QR £2.7M, external £3M
- Research Support is not (yet) a corporate system
- Research ~5% so support is low priority
- Corporate systems not well integrated

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Management of the RAE2008

- Treated as a project – but no additional resource
- RAE Core Group (DVC, ResOff, 4xSnr Academic)
- UoA Leaders
- 2004 – tried to assemble data
- 2005 – dummy RAE – some did not play ball
- 2006 – dummy RAE
- 2007 – the submission
- Data on GRSdB and (Large!) spreadsheets

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Management of the RAE2008

- GRS provided central interpretation of the rules
- Used GRSdB where possible for data
- Many ad-hoc updates to GRSdB
- Many additional reports added to GRSd
- Ended up editing in spreadsheets and importing
- RA1-4 editable by GRS only
- RA5 editable for UoA Leaders
- RAE software much better than 2001

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RAE2008: Staff selection

- Led by RAE Core Group / UoA Leaders
- Managed by the Research Office (GRS)
- Staff selected based on submission / assessment
- Units selected and staff provisionally placed
- Publications database used to confirm
- Plans for further publications discussed
- Staff in areas not submitted were moved if possible
- Done on GRSdB, supplemented by HR, spreadsheet

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RAE2008: Pub selection

- Lead by UoA Leaders
- Managed by the Research Office (GRS)
- Publications had to be on GRSdB
- Additional notes fields added on GRSdB
- DOI field added on GRSdB
- Self assessment rating added (u/c – 4*)
- Decisions made on shared publications
- Data on GRSdB and exported to spreadsheets

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RAE2008: PGR Data

- Managed by the Research Office (GRS)
- Driven by staff selection
- Some debate with joint supervision issues
- Data from GRSdB (was supposed to be SITS...)
- Data on GRSdB and exported to spreadsheets
- Resulted in some data cleansing (when checked)

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RAE2008: Income Data

- Managed by the Research Office (GRS)
- Driven by staff selection
- Project selection from GRSdB
- Figures from Finance System
- Data on GRSdB and exported to spreadsheets

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RAE2008: Textual (RA5)

- Managed by the Research Office (GRS)
- UoA Leaders were given edit access to RA5 screens but some did not / would not use it
- GRS did the final editing on almost all the submissions to take out spurious characters etc
- RA5a could/should have had more central input (for example PGR / RA training provision)

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RAE2008: The 'Ups'

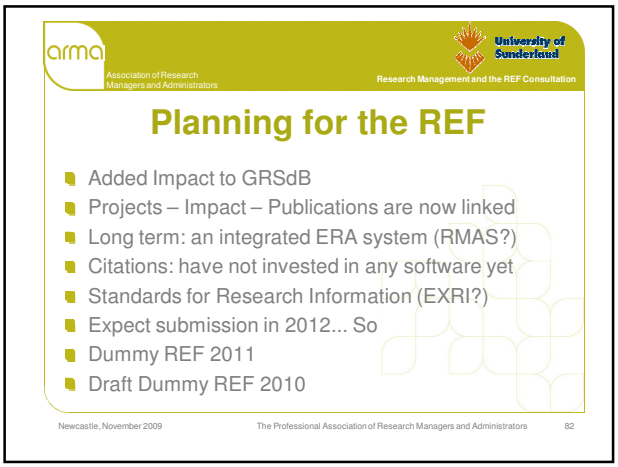
- GRSdB enhanced quickly in-house
- Dummy exercises proved systems and processes
- No additional resource (decrease in research activity)
- Expertise kept in house
- Links to HR system (off line)
- Finance system links already in place (off line)
- PGR data in GRSdB
- Ensured publication database was up to date

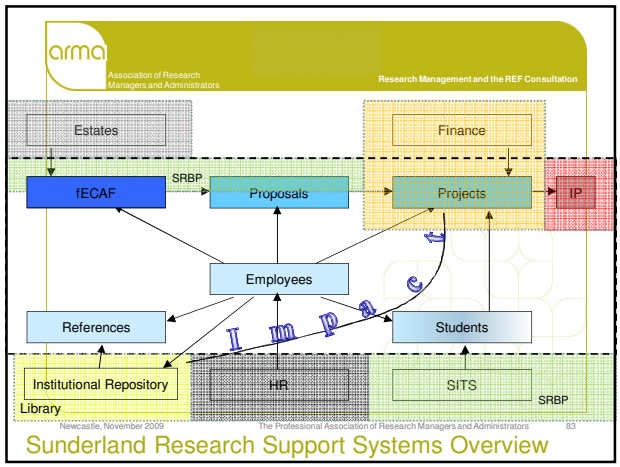
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Research Management and the REF Consultation

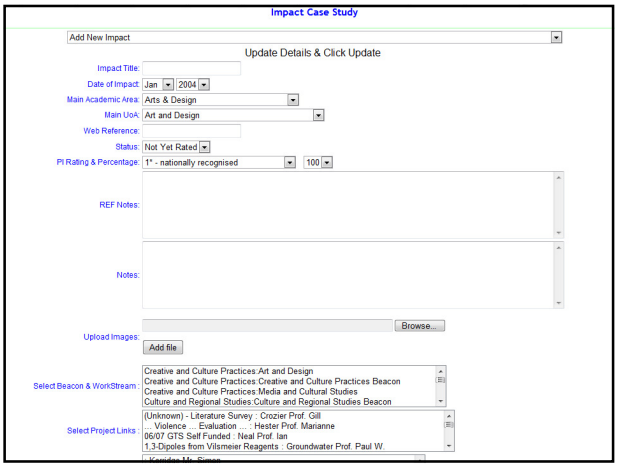
RAE2008: The 'Downs'

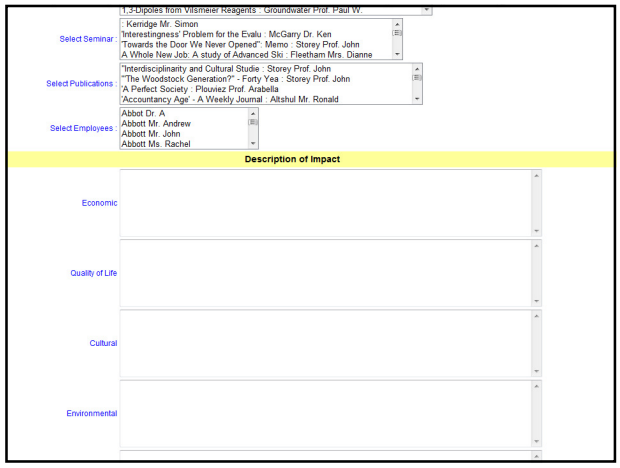
- GRSdB not developed in a structured way
- DVC retired, one UoA decided not to submit
- Existing resource was over worked
- Some submitted informantion not fully checked
- In 2007 little support for research proposals
- 2 years in to REF period and little progress on systems

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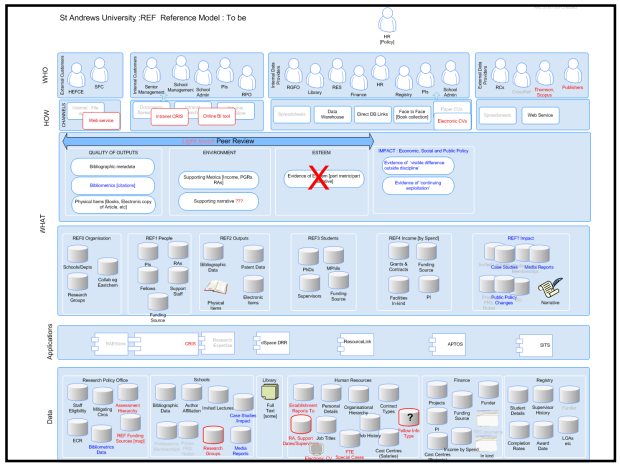

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Research Management and the REF Consultation
Planning for the REF
Added Impact to GRSdB
Projects – Impact – Publications are now linked
Long term: an integrated ERA system (RMAS?)
Citations: have not invested in any software yet
Standards for Research Information (EXRI?)
Expect submission in 2012... So
Dummy REF 2011
Draft Dummy REF 2010
Newcastle, November 2009
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Library
Newcastle, November 2009
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Sunderland Research Support Systems Overview


Impact Case Study
Add New Impact
Update Details & Click Update
Impact Title:
Date of Impact:
Main Academic Area:
Main UoA:
Web Reference:
Status:
PI Rating & Percentage:
REF Notes:
Notes:
Upload Images:
Browse...
Add file
Select Beacon & WorkStream:
Creative and Culture Practices:Art and Design
Creative and Culture Practices:Creative and Culture Practices Beacon
Creative and Culture Practices:Media and Cultural Studies
Culture and Regional Studies:Culture and Regional Studies Beacon
Select Project Links:
(Unknown) - Literature Survey : Crozier Prof. Gill
... Violence ... Evaluation ... Hester Prof. Marianne
06/07 GTS Self Funded : Neal Prof. Ian
1,3-Dipoles from Vilsmeier Reagents : Groundwater Prof. Paul W.


Select Seminar:
Select Publications:
Select Employees:
Abbott Dr. A
Abbott Mr. Andrew
Abbott Mr. John
Abbott Ms. Rachel
Description of Impact
Economic
Quality of Life
Cultural
Environmental


Cultural
Environmental
Health
Social
Public Policy & Services
Submit Impact
Publications
Projects
Staff
Students
Contacts
Travel
Impact
Database
Forms
Links
Help
The Graduate Research School is a school within
The University of Sunderland
University of Sunderland


St Andrews University :REF Reference Model : To be
WHO
HOW
WHAT
Applications
Data
Peer Review

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Issues in Planning for the REF

- Specific data requirements
- What changes will there be for REF2?
- Others systems: HESA, RAS, OOCP, RDQR,...
- Rules not yet known so difficult to get buy-in to start
- Recent restructure
- No resource (unless ERA proposal approved?)
  - E.g. St. Andrews (& Aberdeen) have a Data Architect
- Research is not top priority... but new DVC on the way

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Sunderland Summary

- Not research intensive, no additional resource
- Old ERA systems not being maintained properly
- Restructure
- New ERA system pending approval for development
- Standards for data
- New DVC = restructure? resource? focus?
- Keep data as flexibly as possible
- Work towards integration with corporate systems

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Training Seminar

Panel discussion

Jill Golightly: Newcastle
Simon Kerridge: Sunderland
Tony Weir: Heriot-Watt
Pam Macpherson Barrett: HEFCE
Scott Rutherford: HEFCE
Andy Youell: HESA

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Expert Seminar

Summary and any Final Questions

Simon Kerridge
University of Sunderland

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Expert Seminar

Research Management and the REF Consultation

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Electronic Research Administration

or Digital Institutional Repositories from a Research Management and Administration perspective

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Association of Research Managers and Administrators (UK)

RSP 'Goes back to' School 2009

Simon Kerridge,
Executive Director, ARMA
Head of Graduate Research Support
University of Sunderland

The Professional Association of Research Managers and Administrators

Overview

- Research Management and Administration
- ARMA
- Institutional Repositories
- Outputs and Outcomes
- Who uses the repositories?
- Electronic Research Administration
- Working together...

Research Management & Admin

- Information
- Pre-award
- Post-award
- Development
- Strategy
- Assessment
- Metrics
- PGRs

RMA: who

- Secretarial (e.g. clerical support)
- Admin (e.g. admin support)
- Professional (e.g. Research Development Officer)
- Managerial (e.g. Head of Section)
- Senior Management (e.g. Director)
- Leadership (e.g. PVC)



RMA: where

- Universities
  - central office, faculty office, research centre
- Research Institutes
- Other Research Performers
  - E.g. NHS, Companies
- Research Funders
  - E.g. RCs, Charities, Companies, Government, EC
- Worldwide

RMA: what

- 'Jack of all Trades'
- Information, Advice, Costing and Pricing, Submission, Negotiation, IP, Contracts, Finance, Reporting, Influencing, Enabling, Monitoring, Development, Training, Strategy, Analysis, Returns, Advocacy, Marketing, Networking, Partnering...
- An interface

ARMA – What is it?

- Association of Research Managers and Administrators
- UK based
- CLG
- Formed in 1991 (as RAG*net*)
- 1150 members (approx 100 overseas)
- Leading UK RMA profession

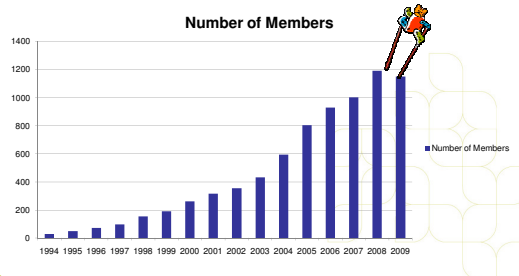
ARMA – What does it do?

- Annual Conference (2+1 days)
- Professional Development
  - Training Seminars
  - Expert Seminars
  - Special Interest Groups
  - Study Tours
  - Mentoring
  - Publications: IRMA, Newsletter and Fact Sheets
- Representation
- Peer Support Network

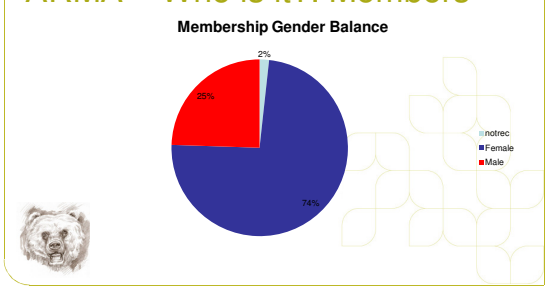
ARMA – Who is it?: Board

- Chair; Ian Carter, Sussex
- Deputy Chair: Pauline Muya, Birbeck
- Deputy Chair: Tony Weir, Heriot-Watt
- Treasurer: John Green, Imperial
- Secretary: Simon Kerridge, Sunderland
  - **Sheena Bateman** (Keele), **Ray Kent** (Loughborough), **Ian McCormick** (UEA), **Karen Sergio** (Imperial), **Maggy Taylor** (MMU), **Mark Wight** (Open)

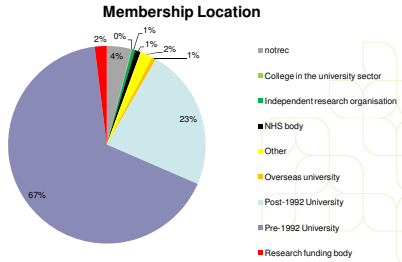
ARMA – Who is it?: Members



ARMA – Who is it?: Members



ARMA – Who is it?: Members



INORMS

- International Network of Research Management Societies
  - Formed 2001
  - ARMA (UK), ARMS (AU), CAURA (Can), DARMA (Den), EARMA, (EU) NCURA (US), SARIMA (SAfrica), SRA (US), WARIMA (WAfrica), GRMN (ACU)
  - Biennial conference
  - 2010 Conference, Cape Town

Institutional Repositories

- *Erm... What's in it for me then?*
- Theses (ETHOS)
- Open Access Publications (Citations, REF)
- Pre-prints (Citations, REF)
- Data sets (Impact, REF)
- Seminar Series (Environment, REF)
- External: FOI, News, Reports, CVs
- Internal: KPIs, News, Management Information, CVs

Integrated Repositories

- *OK... What does it connect to?*
- Research Funding Information / News [RMA]
- Proposals, Projects [RMA]
- Outputs and Outcomes [OOCS]
- VREs [RIC]
- Direct Submission [Je-S]
- Integration [RMAS, HR, PGR, Library, Corporate, ...]
- Collaborations [Federation]

Outputs and Outcomes

- Cf ***Impact*** (Economic, Social, Cultural, QoLife, ...)
- Publications, Policy, Data, User involvement, Staff Development, ...
- OOCS [RCUK]
- UKRDS [JISC]
- RMAS [HEFCE]
- RIC [BL]

Repository Users - External

- Researchers
- Funders
- Government
- Public
- RMAs
- Companies
- Data Aggregators

Repository Users - Internal

- Information in:
  - Researchers
  - Library Staff / Research Administrators
  - ... Other Systems
- Information out:
  - Information Managers / Research Managers
  - Senior Managers
  - ... Other Systems
  - Researchers

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Electronic Research Administration



- CRIS
- RMAS
- ERA
- ... Integration
- Institutional Repositories... just one element

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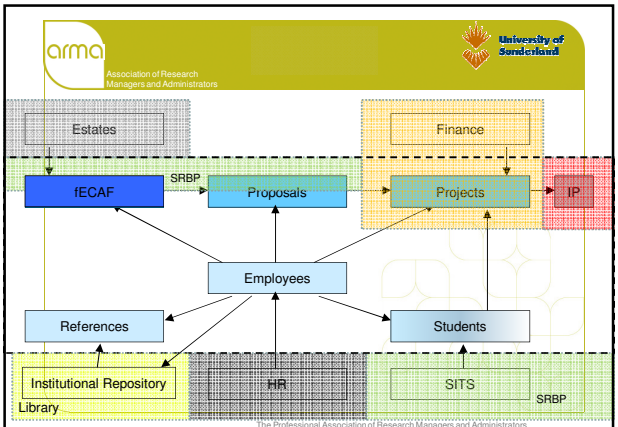
- Started Developing in 1996
  - RAE → Publications
  - Employee Information
  - Proposals
  - PGR Data
  - Costing and Pricing
  - Project Workflow
  - [soon] Institutional Repository

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Why did we do it?

- Wanted more information to be better able to support
  - Proposals
  - Annual Report Production
  - Etc
- But what specifically?
  - Increase research funding
  - Better manage RAE
  - Better research reporting

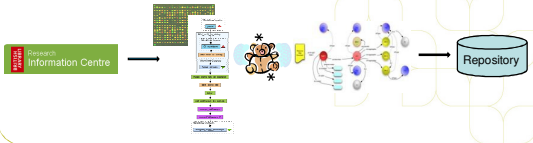
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Sunderland Research Support Systems Overview

Archiving projects

- Export of research outputs using OAI-ORE
- Research Objects can include unpublished material
  - data, models and the workflows that generated them
- Deposition in local or subject repositories
  - long-term preservation in British Library Digital Library System



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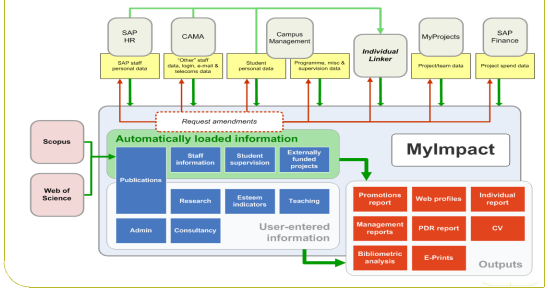
NIHR - a management info. model

- Collaboration with the National Institute for Health Research
- Using RIC technologies within NIHR research management system
- Links to metrics dashboard
- Outputs to UK PubMed Central repository



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Why are we changing it?

No formal evaluation but:

- Not fit for the REF
- Never going through the pain of collecting and submitting data for RAE again – RAE 'wrap up'
- Used for RAE 2008 for selection of outputs – inaccurate bibliographic details
- Manage research performance at all levels, but not kept up to date and not used systematically for appraisal

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MyImpact

- One system, limit duplication and inaccuracy of data - data right first time!
- Automatic downloads from external databases e.g WoS, Scopus
- Citation analysis and reports
- Richer data
- Flexible management reporting tool – web based
- Carrot – Promotions, CV
- Link to e-PRINTS as part of process

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Institutional KPIs

- Citations of research papers per paper and per academic FTE
- Research income per FTE
- Number of staff submitted to the REF
- PGR awards per FTE etc etc

….can all be supported from this system at all levels

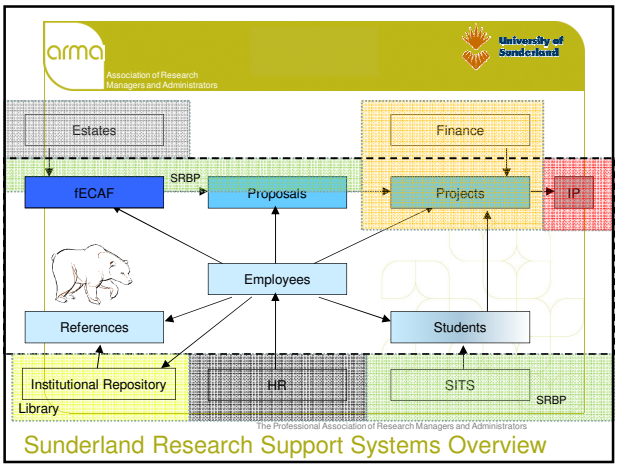


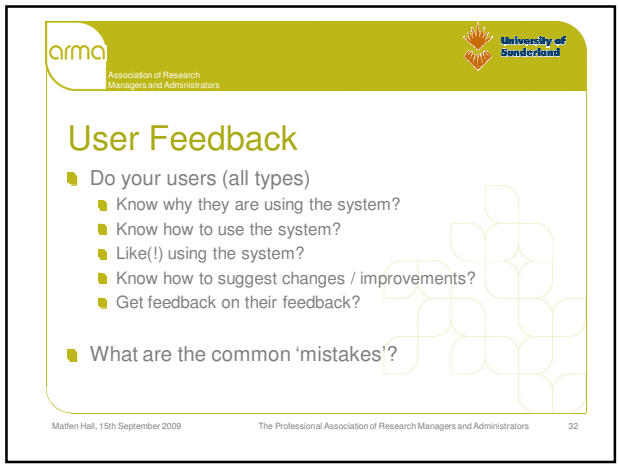
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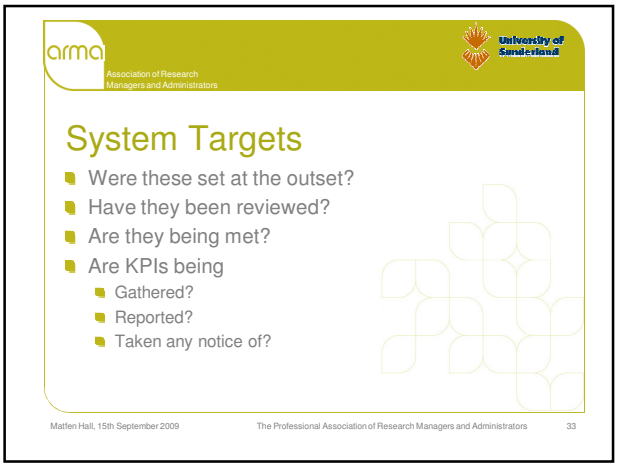
Quality and Quantity

- System can help only as *part* of the improvement by rendering activity visible
- Staff must be encouraged to buy into the system – carrots and sticks
- Better understanding of position → setting of targets → monitor/revise → increase in quality and quantity of research

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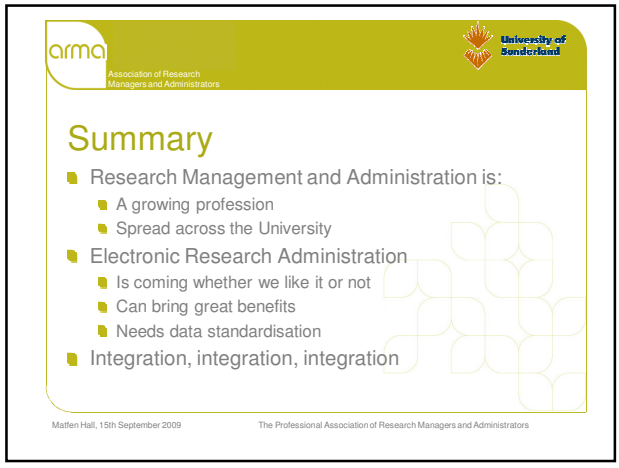

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Estates
Finance
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Proposals
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Students
Institutional Repository
Library
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Sunderland Research Support Systems Overview


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User Feedback
Do your users (all types)
Know why they are using the system?
Know how to use the system?
Like(!) using the system?
Know how to suggest changes / improvements?
Get feedback on their feedback?
What are the common 'mistakes'?
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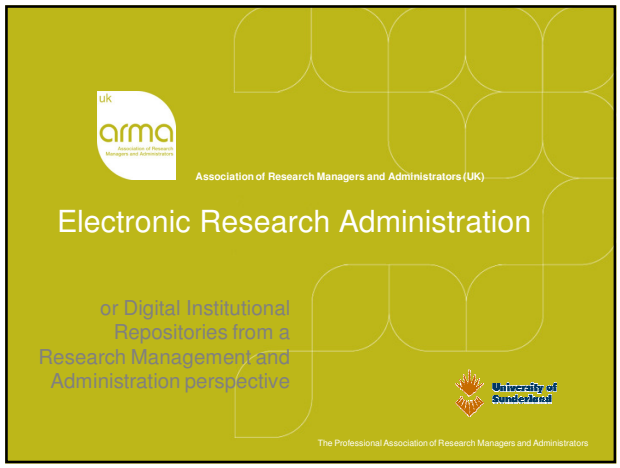

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System Targets
Were these set at the outset?
Have they been reviewed?
Are they being met?
Are KPIs being
Gathered?
Reported?
Taken any notice of?
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Research Targets
The system is not there for the sake of it (is it?)
What are the research targets?
How does/could the system support these?
Is that measured?
Can anything be attributed to the system?
Has that anything to do with
Research quality?
Research quantity?
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Working Together
Standalone systems are no longer acceptable
A single service cannot provide a solution for all
Need to have a shared vision
Need to include all the stakeholders
Buy-in is crucial – benefits must be clear, and real
Training is crucial
Don't forget feedback and review
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Summary
Research Management and Administration is:
A growing profession
Spread across the University
Electronic Research Administration
Is coming whether we like it or not
Can bring great benefits
Needs data standardisation
Integration, integration, integration
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Questions?
Discussion
Jokes
Lunch
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Electronic Research Administration
or Digital Institutional Repositories from a Research Management and Administration perspective
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2009 Conference Workshop Session

305: Research Systems

Using research administration systems to improve quality & quantity of research applications

Operations, Systems and Structures for Research Support (OPS)

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2009 Conference Workshop Session

Introductions

Alan Walker – University or East Anglia
Jill Golightly – Newcastle University
Simon Kerridge – University of Sunderland

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2009 Conference Workshop Session

Research Systems: Overview

Simon Kerridge
University of Sunderland

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Overview

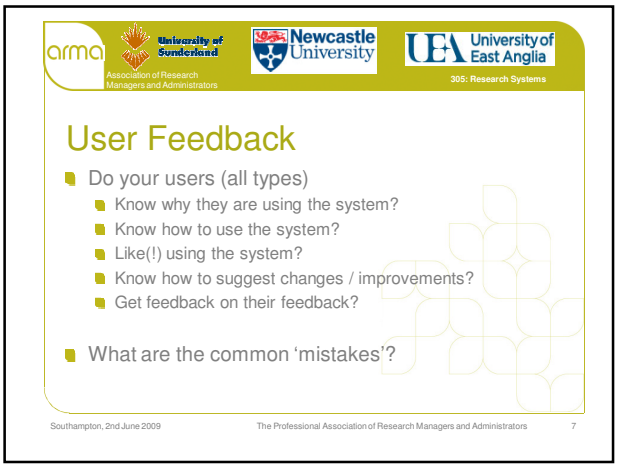
- What this session is not about
- What this session is about
- Case Studies
  - East Anglia – Alan
  - Newcastle – Jill
  - Sunderland – Simon
- Discussion

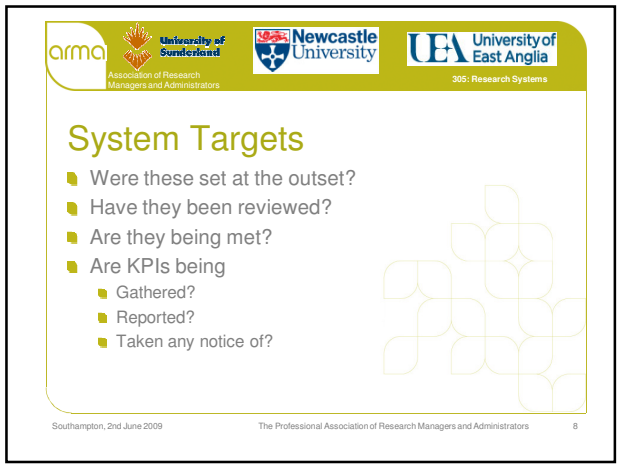
This session is not about

- Electronic Research Support Systems
- There are plenty of systems around
  - many being talked about in this conference
  - the virtues of using systems are extolled
- It is not about enabling...
- It is about enhancing

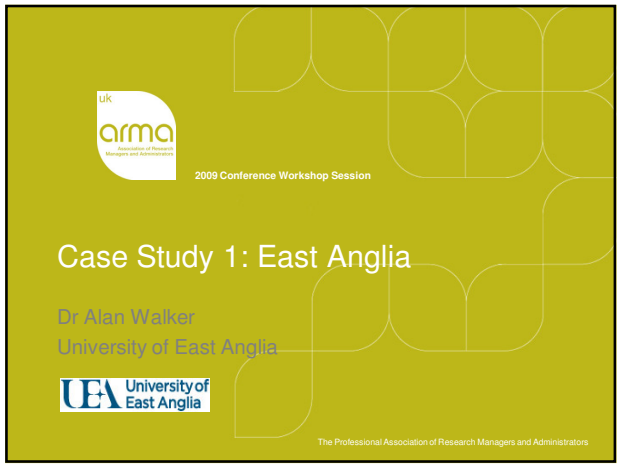
This session is about

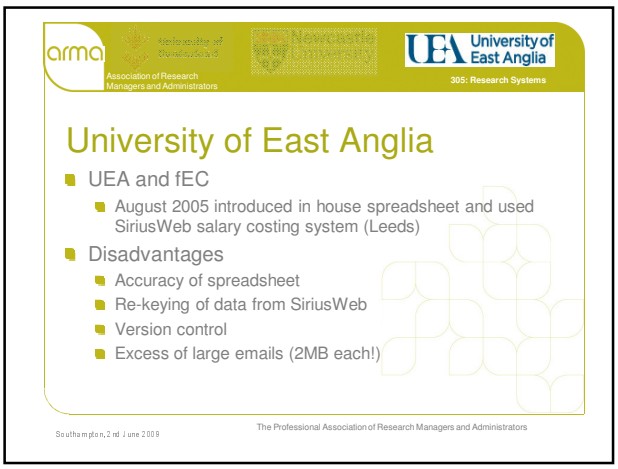
- The Use of and Evaluation of the Use of
  - Electronic Research Support Systems
- How are you using the system
  - Do you elicit feedback?
  - Do you act on that feedback?
- Why are you using the system
  - Do you have specific targets?
  - Do you monitor progress towards those targets?


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UEA University of East Anglia
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305: Research Systems
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Case Study 1: East Anglia
Dr Alan Walker
University of East Anglia
UEA University of East Anglia
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UEA University of East Anglia
305: Research Systems
University of East Anglia
UEA and fEC
August 2005 introduced in house spreadsheet and used SiriusWeb salary costing system (Leeds)
Disadvantages
Accuracy of spreadsheet
Re-keying of data from SiriusWeb
Version control
Excess of large emails (2MB each!)
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305: Research Systems
University of East Anglia
Solution – Introduce pFACT
More accurate costing
Integrated Salary data (No Re-keying)
Easily amend project dates etc.
No version control issues
Reduction in size and scale of emails
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University of East Anglia

- How did this contribute to improving quality and quantity of research?
  - Quality and accuracy of costing output increased
  - Reduction in email traffic and reduced repetitive data-entry
  - Easier to adapt costings to the requirements of PIs and changes they may decide on

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University of East Anglia

- How did this contribute to improving quality and quantity of research? (continued)
  - Main focus of improved efficiency has been to administrative staff. Is this valid?
  - Yes for UEA!

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Case Study 2: Newcastle

Jill Golightly
Newcastle University

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MyProfiles

- A hub for centrally-maintained data e.g.
  - Research awards, HR contact details, PGR supervisions etc
- Facility to manually add in details on esteem, research interests, collaborations etc
- Produces a 'personal plan' to support appraisal
- Institutional publications database
- Feeds web profiles
- A management reporting tool

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MyProfiles

- First developed as the Faculty of Medicine Research System in response to RAE2001
- In 2004 available across campus for all staff to complete, with the personal plan section linked to newly implemented appraisal process
- Staff required to keep their profile up to date!!!!!!
- End of 2007, approval for the system to be redeveloped, with additional functionality as MyImpact

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Why are we changing it?

No formal evaluation but:

- Not fit for the REF
- Never going through the pain of collecting and submitting data for RAE again – RAE 'wrap up'
- Used for RAE 2008 for selection of outputs – inaccurate bibliographic details
- Manage research performance at all levels, but not kept up to date and not used systematically for appraisal

Southampton, 2nd June 2009 The Professional Association of Research Managers and Administrators 18

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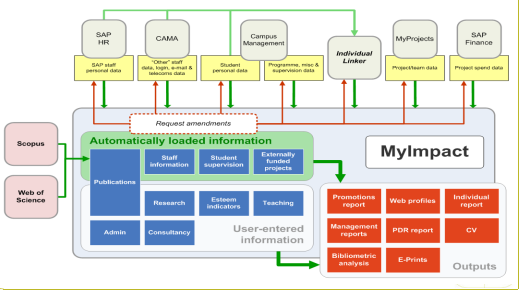
305: Research Systems

MyImpact

- One system, limit duplication and inaccuracy of data - data right first time!
- Automatic downloads from external databases e.g Wos, Scopus
- Citation analysis and reports
- Richer data
- Flexible management reporting tool – web based
- Carrot – Promotions, CV
- Link to e-PRINTS as part of process

Association of Research Managers and Administrators

305: Research Systems



Association of Research Managers and Administrators

305: Research Systems

System targets

- Have been identified as part of the project
- Being reviewed as the project progresses and changes made as appropriate
- Are they being met? Well……
- We must build in evaluation after implementation to ensure it remains fit for purpose

Association of Research Managers and Administrators

305: Research Systems

Institutional KPIs

- Citations of research papers per paper and per academic FTE
- Research income per FTE
- Number of staff submitted to the REF
- PGR awards per FTE etc etc

….can all be supported from this system at all levels

Association of Research Managers and Administrators

305: Research Systems

Quality and Quantity

- System can help only as *part* of the improvement by rendering activity visible
- Staff must be encouraged to buy into the system – carrots and sticks
- Better understanding of position → setting of targets → monitor/revise → increase in quality and quantity of research

uk arma Association of Research Managers and Administrators

2009 Conference Workshop Session

Case Study 3: Sunderland

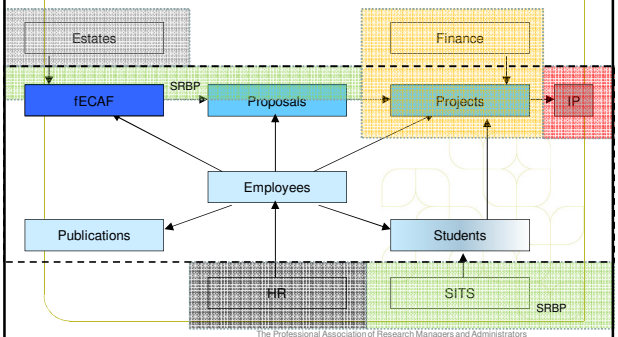
Simon Kerridge
University of Sunderland

University of Sunderland

The Professional Association of Research Managers and Administrators

University of Sunderland

- Started Developing in 1996
  - RAE → Publications
  - Employee Information
  - Proposals
  - PGR Data
  - Costing and Pricing
  - Project Workflow
  - [soon] Institutional Repository



Sunderland Research Support Systems Overview

Why did we do it?

- Wanted more information to be better able to support
  - Proposals
  - Annual Report Production
  - Etc
- But what specifically?
  - Increase research funding
  - Better manage RAE
  - Better research reporting

Why did we do it - targets

- No targets were set.
- Some implicit (no more research support staff!)
- How do we know if they were worth doing
- There were no measureable targets set
- This is not a good start!
- So first evaluation began

fECAF

- Built on existing technology (1996-2005)
  - Adjusted for fEC – and made compulsory
- Evaluate after 1 year (2007)
- Run for 2 years (2008)
  - Now 'adopted' by Finance Dept
  - 'not built here', risk of being unsupported
  - pFact is 'popular', we will use that – no analysis
- Still running (2009) …!

fECAF: feedback analysis

- **The fEC is far too high – I can't do any research**
- Some comment from the PI would help with assessment
- The Estates costs look rather high, but otherwise approved
- I would like to know where the shortfall is made up from
- If successful we would have to see how to fund it
- Fine, assuming similar spreadsheet to last time
- Is zero admin time correct? Approved anyway
- I am at a complete loss to understand the inordinate indirects
- Not sure on the indirects but this will be pFact soon so no need for me to check it our I think? Approved


uk
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2009 Conference Workshop Session
Discussion Session / Q&A
Alan Walker – University or East Anglia
Jill Golightly – University of Newcastle
Simon Kerridge – University of Sunderland
University of East Anglia
Newcastle University
University of Sunderland
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2009 Conference Workshop Session
305: Research Systems
Using research administration systems to improve quality & quantity of research applications
Operations, Systems and Structures for Research Support (OPS)
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Autumn Newsletter

The Professional Association of Research Managers and Administrators



ARMA e-news

ARMA Annual General Meeting (Southampton) 2009

As usual the AGM took place during the Annual Conference, which this year was in sunny Southampton. If you missed the conference, a summary of the AGM follows. If you were at the conference but didn't attend the AGM, please consider doing so next year: ARMA is a membership organisation - have your say!

The Minutes of the 2008 AGM from Liverpool were reviewed and approved. Then the chair outlined the highlights from the Annual Report:

- Membership numbers had risen yet again, to nearly 1200
- The 2008 INORMS Congress, hosted by ARMA in Liverpool, had had impact outside the fields of research management and administration
- ARMA ran 13 events over the year, with a total of 999 delegates
- As usual the standard was very high with feedback forms giving average ratings in the high 3s and 4s (out of five)
- In terms of profile, ARMA Directors have been invited to a number of working groups (mainly RCUK / Funding Council) which underlines the growing reputation of ARMA in the sector
- As always the study tours proved very popular, being booked up in a matter of hours!
- The mentoring scheme had been recently re-launched

In terms of the financial position of the association, the 2008/09 year showed a surplus of approximately £21K. New software and invoicing procedures have increased cash flow and the balance sheet now showed a reserve of £75K as compared to £51K the previous year.

Tony Weir and Simon Kerridge were re-elected until the end of July 2012. David Langley stood down as Director of Member Services and Deputy Chair.

It was noted that there had been much interest in the results of the HEFCE funded project (run by two ARMA Directors, John Green and David Langley) 'Professionalising Research Management' and that this might feed into future directions for ARMA. Whilst ARMA will continue to take the lead in research management and administration issues in the UK, given the current economic climate, the plan is for the coming year to be another of consolidation rather than any specific high profile activities.

Simon Kerridge Company Secretary

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Third INORMS Congress

Cape Town, 11-15 April 2010

The INORMS 2010 Programme Committee have invited colleagues to submit proposals for contributed papers for either oral or poster presentation that fall within the overall theme of the Conference: "Managing Research for Impact: New approaches to Research and Innovation Management". The deadline for abstracts has been extended to 15th November. For details see: http://www.technoscene.co.za/inorms2010/call_for_papers.htm

New mailing lists

At the ARMA AGM in June, members were informed of the Board's intention to change the way the mailing /discussion lists operate, in an attempt to maximise the benefits to current members and to decrease the amount of unwanted messages. The "open" Jisc list (arma@jiscmail.ac.uk) is still operational, but is moderated and no longer used for members' queries / debate. ARMA members can now post job vacancies directly to a new mailing list and can participate in seven new Special Interest Groups (SIGs). The take-up has been very encouraging - e.g. there are already 85 members signed up for the research governance list, 68 for ethics and 67 for arts / humanities. We are willing to consider new groups and your suggestions are welcome. The new members list will be used not only for official messages but also for giving members advance notice of forthcoming events, seminars and the enormously popular Study Tours to key research funders, to enable them to apply for places immediately. The Board of ARMA believe that benefits to paid-up members should be prioritised and is committed to improving the member services area. Members will shortly be able to access our revised and updated Resources section.

www.arma.ac.uk



Study Tours

The first joint ARMA/AHRC study tour, held on 24th September, proved extremely successful and feedback was very positive. ARMA members were welcomed by the AHRC in Bristol and were given a fantastic opportunity to listen to presenters and meet council officers throughout the day.

Presentations included: Strategic Overview, Peer Review, Terms and Conditions, Funding in the Creative and Performing Arts, International Opportunities, Impact, and Knowledge Transfer. All were followed with lively question and answer sessions. The insight into Peer Review (Decision Making Structures, Reviewer Selection and the Peer Review College) sparked considerable discussion. The session on Impact covered a breadth of topics, from the range of outcomes (from financial impact to quality of life improvements) and the challenge of language being a hurdle to identifying it. Members can download the presentations: http://www.ahrc.ac.uk/News/Events/Pages/arma.aspx

We would encourage members working in the Arts & Humanities sector to join and participate in the new special interest group in order to share good practice and discuss / debate current issues. Details of how to join the SIGs can be downloaded from the Home Page of the ARMA website.

Future study tours will, as usual, be advertised to members via email. As places are always limited, and the tours are so popular, an early reply is advised!

Sheena Bateman and Karen Sergiou

ARMA Conference 2010 - "Making an Impact"

(Date for your diaries: 7/9th June)

As research managers gear up for the REF show rolling into town and the government is looking for additional economic contributions from research, the ARMA 2010 conference theme will seek to explore the effect of the impact agenda on research managers across the board. What will it mean for us, how can we support the achievement and illustration of an area so deeply embedded in academic endeavour?

The conference will be held at the Midland Hotel in the centre of Manchester on 8th and 9th June. The event will provide an opportunity for research managers and administrators to meet major funders and policy makers (as well as each other!) to discuss and debate the theme of impact, as well as the wider challenges facing us all. As previously, with more than thirty sessions on offer, the range of topics spans the needs of everyone - from those new to the research support profession through to the most experienced managers.

In addition to a thought-provoking programme, the ARMA Conference offers colleagues a chance to network and build career-enhancing relationships, as well as the opportunity to meet professional providers of services to the research community at the ARMA exhibition. ARMA members are encouraged to contribute to the annual Poster Exhibition. It is a great way to illustrate a new approach or demonstrate good practice and the event is always well received.

We are always pleased to hear from colleagues interested in presenting a session or poster, volunteering at the event itself or supporting the organisation of the event. Please contact Rosemary (rosemary@arma.ac.uk) for further information.

Please check back on the ARMA website for regular updates on sessions and activities as they become available. We look forward to welcoming members old and new to ARMA 2010 next June.

Lita Denny
Conference Planning Director

JISC Repositories Support Project - Summer School 2009

Matfen Hall, Northumberland, 14-16 September

With the current interest in open access repositories driven to some extent by the Research Excellence Framework and search for ways to increase citation rates, many ARMA members are becoming more involved with Institutional Repositories. I gave a presentation to a group of (mainly) university institutional repository managers on research management and administration, ARMA, and the sort of research information systems that we use and how these might integrate with institutional repository systems. As always it was extremely interesting and useful to mix with like-minded people working in a similar area, but coming from a different perspective - I have spent much more time speaking to my colleagues in Sunderland library since then!

The event was run by the Centre for Research Communications at Nottingham University and other topics included: repository development case studies, IP and legal issues, metadata, infrastructure, integration, digital preservation, current research information systems, and repositories and the REF. More details can be found on the event website: http://www.rsp.ac.uk/events/index.php?page=backtoschool2009-09-14/index.php

Simon Kerridge

Recent and Forthcoming Training Events

Our recent Induction Workshop attracted 54 delegates and the feedback was extremely good. Forthcoming training seminars include:

- Post Award Financial Administration in London on 18th November
- Supporting Research Proposals in Manchester on 2nd December.

Booking has just opened for two expert seminars entitled - "Research Management and the REF Consultation" - which will be delivered both in Newcastle-upon-Tyne and London on 25th and 30th November respectively. Please check the website for more details of these events.

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Sister Society Meetings

September and October saw the annual meetings of the Australasian Research Management Society (ARMS) and the Society of Research Administrators International (SRA).

ARMS held their meeting (Evolution of Research Management) in Christchurch, only the second time that it had visited New Zealand, attracting about 400 people. The conference was structured around three themes (Supporting the Researcher: Do Research Managers make a difference? What Makes a Great Project? Future System - Incentivising Researchers), with plenaries and four periods of parallel session on each theme. The quality of the speakers was very high, including the current and former NZ ministers for research, science and technology, two vice-chancellors (one a former minister, the other ex-head of the Bank of NZ), the chief scientific advisor and chief executives of the Australian Research Council and a research institute. Discussion ranged from national economic and R&D performance, to operational approaches to research management. As always, ARMS had something different, in the form of a "great debate": Research Managers Add No Value. This light-hearted session nicely contrasted with some of the more serious content. More details of the conference, including the presentations, can be found at http://www.arms2009.org/index.htm.

The SRA conference (Research without Borders) was held in Seattle, attracting about 1,100 attendees. The structure was similar to previous conferences, with an opening plenary (VP for Global Engagement, Arizona State University) and numbers of parallel sessions covering the range of topics. After a lower quality event last year, the Society regained its poise this year, although it is going through a difficult financial period. There was much discussion about the general economic situation, but particularly how institutions are responding to the substantial injection of additional funding into research (e.g. $10Bn into NIH, $3Bn into NSF) as part of the Recovery Act. However, the funds have to be spent (not just allocated) within two years, which presents its own challenges. One major university had made an extra 1,100 applications, and brought in 18 additional staff to support their processing. Other topics included the use of social media tools in research.

Ian Carter

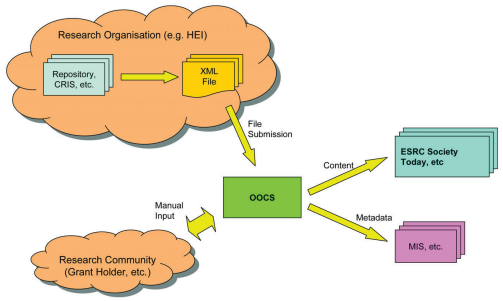
An overview of the OOCS Project -

A summary of an article recently published in "Research Global" by Simon Kerridge and Alan Green

All research funders want to improve the evidence base for strategy development, and improve the way they demonstrate economic and wider societal impact. To achieve this, they need to gather quantitative and qualitative evidence about the immediate outputs of research they have funded and the longer term outcomes and impacts of that research.

In the United Kingdom, researchers funded by the seven Research Councils (who operate under the umbrella of RCUK: Research Councils UK) are already expected to provide this evidence under the terms and conditions of their grant. However, councils wish to move away from collecting information only at the termination of funding agreements and, recognising that outputs and outcomes from research are often only realised some time after funding has ended, instead establish an ongoing dialogue with the research community which allows outputs to be reported at any point within the funding agreement and crucially, beyond.

Over the past year (2008-9), the Outputs & Outcomes Collection project has been working to establish the feasibility of various approaches to achieve this objective, in line with strategy to minimise the burden on researchers and the number of stakeholders they are expected to report to. This has involved all councils working together to define consistent business requirements for the notification, collection, attribution and submission of data relating to research outputs. Following consultation with a wide range of organisations including the Association of Research Managers and Administrators, the Councils have agreed how to collect data. If possible it should be collected from research organisations and universities (ROs); and if not, then from the individual researchers themselves.

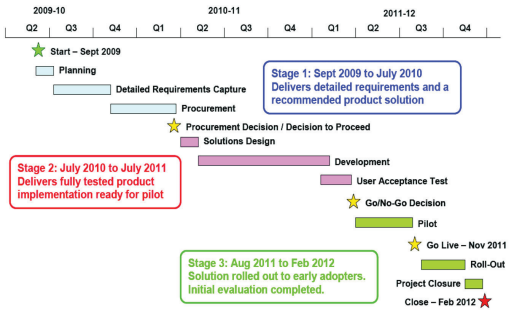


There are of course resource implications for all this additional data collection. If ROs do not have or do not develop the capability to record the various outputs and outcomes of funded projects, then this requirement will fall on the principal investigator (PI) and the other researchers. ROs should note however that they, not the PI, are the recipient of the award and that if the funder requires that data be supplied after the funded period of the work then they will have to develop the capability to supply that data. In fact it is easy to argue that the ROs themselves would and perhaps should be interested in such data for their own purposes. This is particularly pertinent in the UK at the current time with the impending Research Excellence Framework (REF), which is likely to place value not only on the outputs of research but also the outcomes and the impact of research.

In all, 48 distinct categories of data (output types) have been agreed, spanning the whole range of research disciplines. Although no one Research Council is interested in all of the output types, in future, data about individual output types (e.g. patent or a journal article) will be collected in the same way by all Councils that do have an interest. If other interested funders could also agree on the same data requirements then the overall system for researchers and ROs alike would be much less onerous, the advantages of a single set of sector-wide agreed data requirements cannot be overstated.

It has now been agreed to take this project forward to the next stage. The Research Councils will consult more widely with the research community and other stakeholders to refine their ideas, identify the detailed requirements for user interactions and investigate potential for a collaborative approach to the collection of research outputs data. For example, they expect to work closely with the Higher Education Funding Council for England (HEFCE) to minimise the impact of introducing such changes in the same timeframe as the forthcoming REF, allowing ROs the opportunity to update their own research management systems in support of both initiatives, as well as their own internal needs, in a single operation. Clearly there is a huge opportunity for ROs to use this requirement as a lever to improve their systems for internal management purposes. Finally, the Research Councils will support wider initiatives, already underway, to define common standards for the exchange of information across the UK research sector. Formal tendering will then take place to choose a supplier to develop and implement a systems solution. The project is expected to report back by the summer of 2010, once a supplier has been selected, with firmed up costs and timescales to deliver the project. Councils will then make a final decision whether or not to go ahead with implementation. If agreed, the project is expected to deliver a working system into pilot by summer 2011, with full roll out in autumn 2011.

The benefits to the Research Councils are more accurate and comprehensive data, consistent across all councils and allowing the benefits of cross-council collaboration to be identified, leading to improved reporting both internally and to government. Crucially, the new system will allow data to be collected at any time, representing significant improvement over the 'snapshot' nature of current arrangements. The data will provide an ongoing evidence base to inform evaluation exercises, allowing emerging impacts to be identified, and to be identified earlier than current ad-hoc methods, hence facilitating the collection of impact assessment narratives. For research organisations, the collaboration with other stakeholders seeks to ensure that outputs data is collected once and shared, minimising the cost of collection and the overall reporting burden for the research community. Some see the project as enhancing the business case to introduce, or to further develop, their own information management systems to collect this data, providing a unique opportunity, alongside the REF, to stimulate strategic development and improved efficiencies across the sector in the UK. For individual researchers, the new system will promote a common reporting approach across participating councils, reducing the confusion experienced by researchers who receive funding from more than one council, and who currently need to negotiate different methods of reporting outputs for each council. The contemporaneous input of data on a regular basis will make it easier for researchers to provide quality data to the Research Councils, rather than recalling information over the lifetime of the grant for a final report.



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Research organisations are rightly concerned about why this data is being sought, how it will be used and who will use it. To address these issues, councils will set out a roadmap of how such information will be used in the short term, how it might be used further in the medium to long-term, and how systems will be developed to support these objectives, so that expectations can be set and concerns allayed accordingly. It is intended that this message be communicated by a series of road shows and other promotional activities later in the project.

There is sure to be much debate in the coming months and indeed years about the potential requirements if OOCS goes ahead, the resource implications, who will benefit and who should pay. In some respects the last matter is moot, if ROs receive no additional direct funding, then in future years their indirect costs will be higher and so the Research Councils will in effect just be paying in arrears, though this is offset by changes already made to streamline Final Reports at an estimated saving of £5.7M pa to the academic community. Of course, you do need some administrative resource to choose and support the best science and this may mean that fewer projects will be funded, so the overall price that the public will pay for this additional information about the results of research may be less research. On the other hand, the public may feel less aggrieved at being taxed, and even support a greater proportion of their tax going to science specifically, if they have better information about how that tax is used. If it means that in the future, research might be selectively funded based on its potential for impact in terms of outputs and outcomes, then some might believe that that would be a price worth paying. Whether or not these issues can be addressed in any meaningful way is of course a different matter.

In the current economic climate it seems likely that government will continue to seek evidence that funds are channelled to best effect, and that Research Councils will want to try and measure any direct or indirect, tangible or intangible benefits of research. 'Impact' is hence high on the agenda, but with little sound understanding about what leads to it. There are, however, some sensible hypotheses, but it is necessary that the correct metrics be obtained to test them. ROs may well have to collect this data whether they like it or not and many would probably like to do so, on their own terms at least. Researchers, however, need to be reassured that there is no intention to squeeze risk out of the system, nor to be more directive about the choice of research. Instead, the approach focuses on improving the quality of information about the progress, productivity and quality of research output, better to tell the story of success we know we have in the UK and better make the case to Government. If OOCS goes forward, as always, ROs would like the processes involved to be harmonised with other sector initiatives (e.g. the REF) and, where data overlaps, for efforts to be made to define and collect it consistently; this would also enhance the opportunities for ROs to use the same data, to better effect, internally.

Ideally a worldwide standard for research outputs and outcomes would be agreed and a transparent global system would collect, attribute and codify such data automatically. It seems unlikely that such a panacea will be available in the short term, but there is much activity in this area at the moment. If you are not already considering the implications of, or indeed developing such systems, it seems likely that you soon will be.

Some Related Links:

Association of Research Managers and Administrators: www.arma.ac.uk

Directory of Open Access Repositories: www.opendoar.org

JISC Research Information Management: www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt.aspx

OOCS: http://www.rcuk.ac.uk/aboutrcuk/efficiency/oocp.htm

Research Councils UK: www.rcuk.ac.uk

Research Excellence Framework: www.hefce.ac.uk/research/ref

Science and Technology Facilities Council: www.stfc.ac.uk

UK Research Data Servce feasibility study: www.ukrds.ac.uk

Alan Green is a project manager within the Science & Technology Facilities Council, with responsibility for delivering the RCUK Outputs & Outcomes Collection project.
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Please feel free to contact us with your feedback and suggestions: we are always pleased to hear from you.

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Electronic Research Administration: Perceptions of Research Managers and Administrators

During the 2009 ARMA conference a short questionnaire on the perceptions of Research Managers and Administrators (RMAs) to electronic research administration (ERA) systems was trialled (and the results published on the ARMA email list).

The questionnaire addressed the areas of:

- Academic expertise information (Exp)
- Pre application funding source identification (Pre)
- Costing of grant applications (fEC)
- Internal Peer review & Ethics review (Peer)
- Applications and awards management (Mgt)
- Post award financial management (Post)
- Outputs & impact recording and archive (Out)

Despite the small sample size (n=22) there was general agreement that ERA systems could influence quality and quantity in certain areas (Peer, fEC, Out, Post) and (Pre, Out) respectively.

Following analysis and feedback from that process, the questionnaire was updated and made available on-line using SurveyMonkey. This full questionnaire was used to survey the perceptions of RMAs with respect to the effectiveness of their professional input into these different aspects of research administration. It then focused on whether or not the use of electronic research administration systems can further improve their effectiveness in terms of the quality and quantity of research subsequently undertaken. From 1515 email invitations there were n=621 (41%) responses with n=477 (31%) who completed the entire questionnaire. This high response rate means that the results can, in most cases, be considered valid for the ARMA membership as a whole.

These matrices show how the respondents [n=441-451; n=429-439] ranked each of the seven areas of research management and administration (in relation to each other) in terms of the effectiveness of IT systems to support those processes (ERA). With the average and overall ranking shown in the columns on the right

Quality	(most) 1	2	3	4	5	6	(least) 7	Ave.	Rank
Exp	12.2%	12.9%	8.7%	10.2%	10.0%	15.8%	30.2%	4.61	6
Pre	15.6%	16.7%	15.8%	15.6%	15.6%	15.8%	5.0%	3.66	3
fEC	23.0%	24.2%	19.9%	14.2%	10.8%	3.8%	4.1%	2.93	1
Peer	15.9%	8.8%	7.9%	14.1%	12.5%	19.7%	21.3%	4.44	5
Mgt	15.2%	18.1%	21.5%	16.3%	14.1%	10.7%	4.1%	3.44	2
Post	12.9%	12.0%	15.1%	14.7%	17.6%	13.8%	13.8%	4.09	4
Out	7.8%	8.9%	11.1%	14.6%	18.2%	19.3%	20.2%	4.65	7

Figure 7: Ranking matrix for ERA effect on QUALITY by area of RMA

In terms of the Quality of research undertaken, all of the seven identified areas of research management fared well in terms of ERA systems making a difference. Costing of grant applications was easily the most popular area, after that all of the other areas were relatively evenly ranked 1, apart from Outputs and Impact which had the lowest percentage. Looking at the percentages of rankings 1+2+3, Pre application funding source identification and Applications and awards management also scored well. However looking at the other end of the scale there was a good agreement that Academic Expertise Information was the least fruitful area, with Internal Peer review & Ethics review also joining Outputs and Impact near the bottom.

Quantity	(most) 1	2	3	4	5	6	(least) 7	Ave.	Rank
Exp	8.9%	14.6%	13.2%	9.6%	13.9%	14.8%	25.1%	4.50	5
Pre	38.9%	15.6%	13.3%	14.2%	8.5%	7.1%	2.7%	2.71	1
fEC	20.5%	28.1%	24.0%	14.4%	7.5%	3.9%	1.8%	2.80	2
Peer	5.6%	6.3%	8.6%	14.9%	16.5%	22.3%	25.8%	5.01	6
Mgt	15.6%	18.9%	19.6%	17.9%	15.9%	9.3%	2.8%	3.39	3
Post	8.0%	10.3%	12.6%	19.1%	17.0%	20.5%	12.4%	4.38	4
Out	4.1%	6.9%	8.7%	9.4%	20.0%	22.0%	28.9%	5.16	7

Figure 8: Ranking matrix for ERA effect on QUANTITY by area of RMA

With respect to the Quantity of research undertaken, Pre application funding source identification was clearly the most popular top choice. However, amalgamating the percentages from rankings of 1+2+3, Costing of grant applications was a very close second with Applications and awards management somewhat behind, but well ahead of the rest of the field. Again Academic Expertise Information, Internal Peer review & Ethics and Outputs and Impact (also in a slightly different order than for quality) were most often ranked as having least positive impact on the volume of research undertaken.

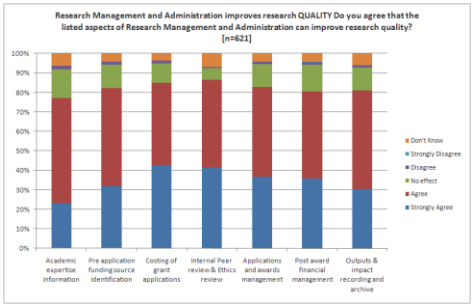


Figure 1: Can RMA improve research QUALITY?

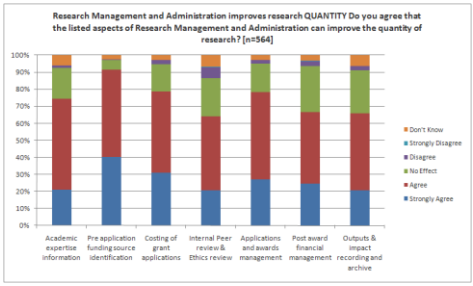


Figure 3: Can RMA improve research QUANTITY?

These charts show that across the spectrum of activities around 82% of research managers believe that they can help improve the quality of the research undertaken (peaking at 86% for peer review); and that 73% think that the use of ERA can further improve research quality (with costing and pricing being the most fruitful area at 79%).

Conversely and perhaps most unexpectedly this means that 14% of RMAs do not think that any of these areas of research management and administration can have a positive effect on research quality; and 9% believe the same about the quantity of research undertaken. With the attendant figures for the further impact of electronic research administration being 21% and 19% respectively.

When asked more generally about research management (see Figure 5), the figures were broadly similar at 9%, 8%, 21% and 15%. With the first figure perhaps indicating that 5% of respondents thought that an area of research management other than those listed could have a positive impact on quality (planning and policy perhaps?). A further 4% could see benefits for the quantity of research with ERA systems for areas outside the seven listed in the survey.

In terms of improving the quantity of research, perhaps surprisingly only 74% of RMAs think that they can make a difference across the spectrum of activities, but with a peak at 91% for funding identification; and 69% believe that the use of ERA can further improve on this, peaking again with pre application funding identification at 81%.

Another perhaps unanticipated finding is that, in general, research management and administration was seen as more likely to improve quality rather than quantity. More intuitively, internal peer review & ethics review was seen as less likely to increase quantity than the other areas.

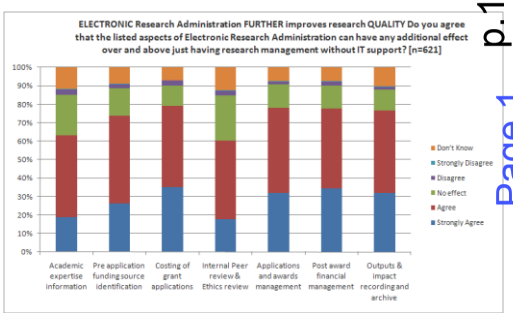


Figure 2: Can ERA further improve research QUALITY?

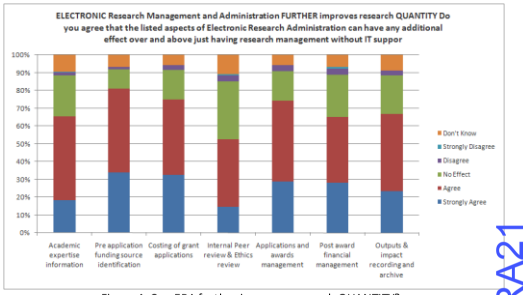


Figure 4: Can ERA further improve research QUANTITY?

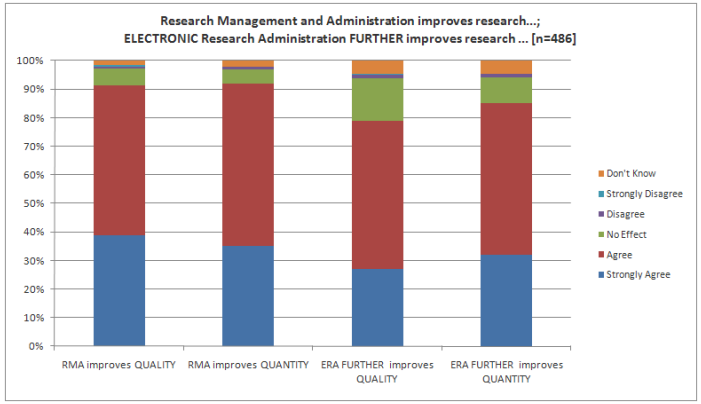


Figure 5: Overall can RMA and ERA further improve research Quality and Quantity?

RMA improves	QUALITY (most) 1	2	3	Rank	QUANTITY (most) 1	2	3	Rank
Exp	15.0%	15.5%	10.4%	5	12.2%	12.9%	8.7%	6
Pre	10.0%	20.8%	17.4%	4	15.6%	16.7%	15.8%	3
fEC	18.7%	22.0%	17.8%	1	23.0%	24.2%	19.9%	1
Peer	30.4%	10.6%	11.1%	2	15.9%	8.8%	7.9%	5
Mgt	15.0%	15.8%	20.3%	3	15.2%	18.1%	21.5%	2
Post	7.9%	10.7%	12.9%	6	12.9%	12.0%	15.1%	4
Out	4.4%	6.6%	11.1%	7	7.8%	8.9%	11.1%	7

ERA FURTHER improves	QUALITY (most) 1	2	3	Rank	QUANTITY (most) 1	2	3	Rank
Exp	13.1%	14.0%	11.3%	4	8.9%	14.6%	13.2%	5
Pre	37.5%	19.1%	13.9%	1	38.9%	15.6%	13.3%	1
fEC	17.6%	25.9%	25.9%	2	20.5%	28.1%	24.0%	2
Peer	8.8%	9.3%	10.0%	6	5.6%	6.3%	8.6%	6
Mgt	15.0%	17.8%	19.6%	3	15.6%	18.9%	19.6%	3
Post	7.0%	10.2%	11.3%	5	8.0%	10.3%	12.6%	4
Out	2.5%	4.3%	8.8%	7	4.1%	6.9%	8.7%	7

Figure 6: Matrix of the % rankings in the top 3 for the 7 areas

These tables show the distribution of the top 3 positions that the respondents ranked each of the 7 areas relative to the others. So in terms of RMA increasing quality, whilst Peer review is placed top more often; costing and pricing appears more often in the top three. Outputs and outcomes and post-award finance were the least popular choices. Whereas for increasing quantity, peer review is near the bottom; with costing of grant applications again at the top and a good showing for applications and awards management and pre-award funding source identification.

Overall, outputs and outcomes fares the worst in all areas. ERA support for Peer review also placed badly. At the other end, for ERA, pre-award funding source identification is the best area with costing of grant applications second, and applications and awards management third.

Whilst it could be argued that pre application funding source identification and costing of grant applications may have scored well because ERA systems in these areas are well established, academic expertise systems are also well established, but deemed to be no-where near as effective.

In summary, 90% of research managers and administrators believe that they can have a positive impact on the quality and quantity of research undertaken at their institutions; that does mean however that 1 in 10 don't. In terms of electronic research administration the vast majority, around 80%, are again positive with respect to increasing quality, with this rising to around 85% for increasing the quantity of research. Thus it seems that the introduction of ERA systems are welcomed by the majority of research managers and administrators. A future challenge would be to try and measure the effectiveness of such systems – do they actually make a difference and, if so, how much?

ARMA Conference
8-9th June 2010, Manchester
Poster Session

research.sunderland.ac.uk
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Electronic Research Administration

A case study from a non research intensive university in the UK.

What is Electronic Research Administration (ERA)? [also sometimes called Research Management and Administration Systems (RMASs) or Current Research Information Systems (CRISs)...?] **Any IT based system that helps Research Managers!**

The overall goal of Electronic Research Administration is to provide research managers and administrators, and the people that they support (researchers, senior managers and external stakeholders) with:

- seamless access to the appropriate data and information
- aggregated information and key performance indicators
- workflow and process management

And crucially an ERA should be properly integrated with the other IT systems in the organisation.

In terms of specific functionality, this could include:

a) Funding News / Policy Information
b) Proposal Funding Opportunities
c) Staff information (HR links)
d) Staff profiles and CVs
e) Individual / Centre / Faculty / University web pages
f) Internal approval system (risk, peer review, ethics etc)
g) Costing system
h) Submission system
i) Proposal Tracking System
j) Contract negotiation
k) Project Management (Finance System links)
l) Project Tracking (PGR, Outputs, Staff, Documents etc)
m) Outputs (Project, Repository, IP links and Bibliographic info)
n) Management Information

Whilst this list is not exhaustive, it is typical of the ambitions of Universities in the UK, and indeed forms the core of the ERA strategy to 2013 at the University of Sunderland.

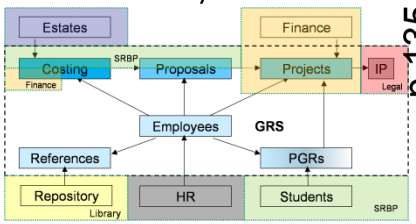
Facts and Figures

1100+ Users
2300+ Staff records
1600+ Qualifications
9400+ Publications
5400+ Authors
1400+ Journals
1900+ PGR Students
1700+ Supervisors
2800+ Costings
3100+ Proposals
1600+ Projects
11500+ Project Notes
500Mb+ Database
2800+ Web files
1200+ Web pages
17200+ Project Files
3.76Gb+ Project Files

Key to system diagram

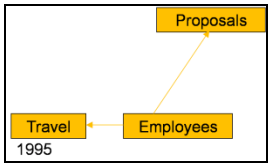
GRS: manage the research support functions at Sunderland
Estates: room size and type data
Finance: provide costing and pricing support and post award finance
SRBP: Student Recruitment and Business Partnerships are responsible for the Student system and knowledge transfer projects
Legal: manage the Intellectual Property portfolio
Library: manage the Institutional Open Access Repository
HR: manage the human resources database that drive the Employees tables in the ERA system

Sunderland: systems context



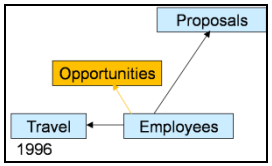
The dashed box represents the areas of Research Management (as defined by the RMAS project), with some of the elements of the Sunderland ERA system shown in blue boxes. The white area in the middle shows the scope of responsibility of the Research Office (GRS) with the other shaded colours showing the areas of the ERA that other support services are responsible for.

Development Timeline ➔



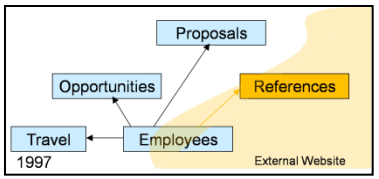
The research office (now GRS – Graduate Research Support) was formed in 1994. In 1995 ERA systems were initiated, initially to meet the needs of the office of two to share information and manage proposal submissions.

An existing travel database was normalised and employee information from it was used as the basis for a very basic proposal status tracking system.



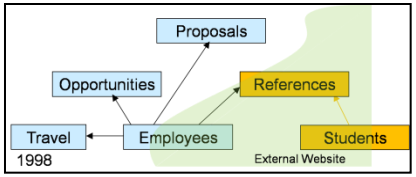
The national Research Assessment Exercise (RAE) was also submitted to. The data collection exercise proved a very useful way of highlighting useful data that was not currently collected centrally (if anywhere). The Deputy Vice-Chancellor was very supportive

Employee information was expanded to include research interests, so that funding opportunities could be filtered and sent on to appropriate staff.



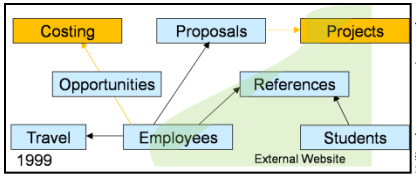
After the RAE, Publications (Reference) section was added. ***From 1997 onwards the ERA was web based.*** PGR student admin joins GRS

The database was made available for view and update through a series of dynamic web pages. This also allowed the data to be made available externally



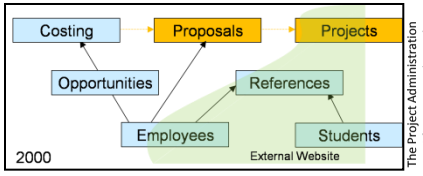
Publication information was refined (and normalised) and expanded to include non staff authors of research outputs, including research students

ERA22



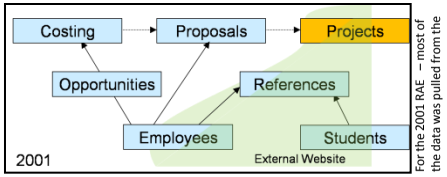
Utilised some spare internal resource rather than buying an off the shelf system costing system. Post award finance joins GRS

An on-line cost and pricing and approval system was developed, and run in parallel with the paper system. Proposals also tracked post award.



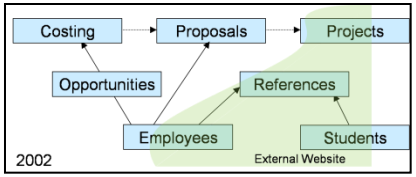
The Project Administration Workflow System (PAWS) was born

Pre- and Post-award tracking and management were integrated (and linked to the costing and pricing system).



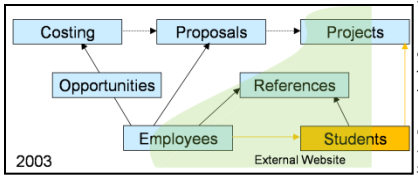
For the 2001 RAE – most of the data was pulled from the ERA systems

Further development work for post-award project management was undertaken, including document management and alerting



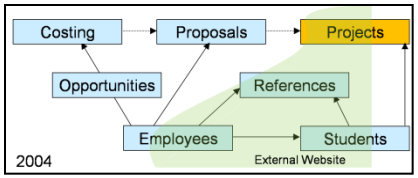
Key Performance Indicator (KPI) reporting added. On-line and Email reporting were enhanced

ERA22

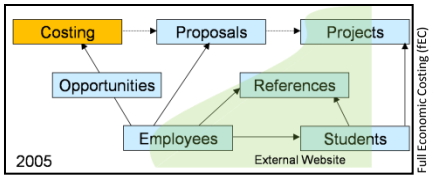


'Active Researcher' – 2 outputs in the last 3 years, or one current project, or one current PGR student. All 3 = 'Very Active'

Fully Integrated PGR database. Added 'active researcher' reporting

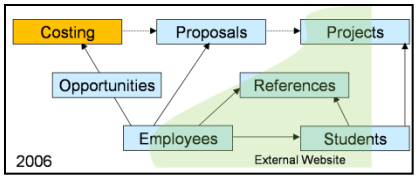


Post-award Project Administration Workflow System (PAWS) enhanced



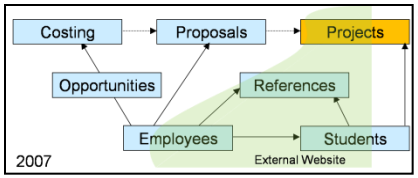
Full Economic Costing (fEC) introduced in the UK, requiring changes to methodologies used. Innovation team joins GRS

Costing revised to 'Full Economic Costing' (fEC) methodology. IP database bought it (but not integrated).



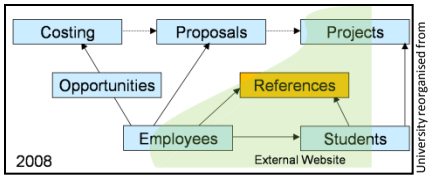
On-line costing and pricing and approval is made mandatory (supported by DVC). Automated importing of data from the finance system for projects.

Portfolio Item



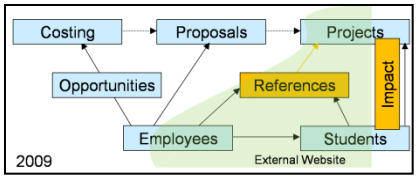
For the 2008 RAE – almost all of the data was pulled from the ERA systems. Research, Innovation and Finance parts of GRS were split up

PAWS upgraded with additional post-award functionality. RAE publication selection functionality added (and export for spreadsheet profile prediction).

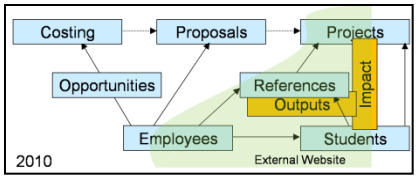


University reorganised from Schools to Faculties and Departments

Minor upgrades to publication reference system. Data structure changes to reflect new University faculty structures



Added 'impact' functionality (for the Research Excellence Framework, that will replace the RAE). References can now be linked to projects.



Plans to revamp external website, including showing 'impact'; integration with Institutional Repository (Outputs), replacement of costing and pricing.

Portfolio Item

Related work

Research Management and Administration Systems (HEFCE/JISC funded), Welland et al, 2009 – see http://as.exeter.ac.uk/rmas/
Common European Research Information Format (CERIF), euroCRIS, 2008 – see http://www.eurocris.org/
Research Information Management (JISC), Jacobs, 2010
see http://www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt.aspx
Current Research Information Systems, 10th conference, Aalborg, DK, 2010 - see http://www.cris2010.org/

Summary

The vision has always been to develop systems that improve the quality of information about research and research support activities. Initially these developments were entirely within GRS, as the usefulness and importance of the various parts of the system have increased over time they have become mainstreamed in different ways. The Electronic Research Administration systems are now recognised as University wide Business Systems. However, as such, they are now under the auspices of the University Business Systems Strategy Group, which means that future developments may not be quite as agile, however, they may also be more sustainably resourced.

INORMS 2010 Congress
11-15th April 2010, South Africa
Cape Town International Convention Centre

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Vol. 1

Can Research Management Systems Improve the Quality and Quantity of Research?

p.136

A research support function has many roles, one of which is to support excellent research. But what does that mean? Research managers and administrators should be enablers. But how do they know when they have achieved that?

So, **can research managers and administrators actually add value to the research process**, rather than just measuring the Key Performance Indicators, can they actually influence them, and **how will they know when they have?**

In terms of increasing **quality**, if this is to be ascertained, then quality needs to be defined and then measured. Ideally a case study would then be undertaken with a control group to determine if the intervention has had a (positive) effect. This may not always be possible and so a single case study methodology could also be used, relying on a more reflective and qualitative feedback process.

In terms of increasing **quantity**, although on the face of it more straight forward, this must also be defined in order to be measured. For example, do we mean number of projects, project value, income per annum, or what? Are these absolute figures, or adjusted for inflation, or relative to academic staff base, or relative to benchmark institutions, or the UK as a whole, or what?

And of course don't forget the *Observer Effect* (the act of measuring something will have an effect on the thing being measured). If, say, a target is to increase the number of projects, one could well imagine the situation where the number of projects does indeed increase, but to the detriment of the average project value!

Matrix of the potential benefits of RMSs

RMAS Activity		Potential ways to increase Research	Quality	Quantity	Comment	Issues
a	Academic expertise information	increase external visibility better internal knowledge for support for b)	0	10	Direct effect on quantity if academic staff are found for collaboration by this route	Are sources of collaboration recorded and analysed?
b	Pre application funding source identification	more funding opportunities more information on opportunities more background (reference) information	1	10	Direct effect for previously unknown opportunities. Potential to increase quality with added background info.	Are the sources of opportunities recorded and analysed? How can this be measured in a meaningful way?
c	Costing of grant applications	less likelihood of proposal rejection (finances) more likelihood of sufficient funding if awarded	3	5	With sufficient funding the proposed work can be properly undertaken.	Are projects that are unable to fund necessary resources recorded / analysed to check costings?
d/h	Internal Peer review & Ethics review	more likelihood of proposal success less reactive to time sensitive opportunities	2	10	Success rates increase Proposal process is longer	Is this measured? How? Is this a good or a bad thing?
e/f/g	Applications and awards management	less chasing for academic member of staff	0	2	If done badly, sponsors could pull out of the process.	Is any recording or analsys of the timescales of these processes undertaken?
i/j/k/l/m	Post award financial management	less likelihood of overspend less likelihood of ineligible expenditure less likelihood of underspend more likelihood of early detection of problems less likelihood of missing deadlines	1	2	If done badly, sponsors could pull out of the process. If done well funds could be made available to better support research.	Is analysis done on projects that do not complete, and the reasons why? Is analysis done on projects that change funding profiles and how this was enabled?
n/o	Outputs & impact recording and archive	increase external visibility better internal knowledge for support for b) better knowledge of 'worth' of research	1	10	These form part of a) Additionally they can show the wider 'worth' of research.	Are outputs linked to projects? Is analysis done on which outputs and impact contribute to future projects?

The RMAS activities are derived from the questionnaire from the recent HEFCE funded study into research management and administration systems in the UK (see http://as.exeter.ac.uk/rmas/ for further details of the study).
The main benefits of each area off support are indicated, together with a rating on a 0..10 scale of the potential benefits to both the quality and quantity of research.
Summary comments and crucially some issues involved in measuring the benefit of the use of a Research Management System (RMS) are indicated.

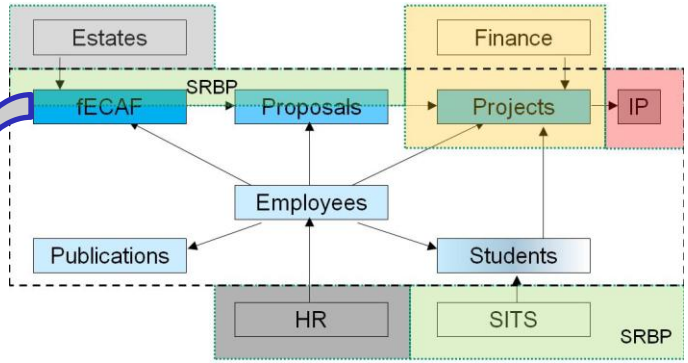
Overall benefits of RMSs

There are of course a number of overall indirect effects that research management systems can have. For example the RAE (and in the future the REF) measures 3 basic things: research outputs, research environment and research impact (previously esteem). As we have seen Research Management Systems can potentially increase research quality and in particular quantity, which will manifest itself in more and better research outputs, environment and impact. This in turn should have a positive effect on the funding outcomes from research assessment exercises. Indeed it could also be argued that better RMSs provide better information (more to easily choose from) for research assessment exercise submissions, hence directly increasing core funding, allowing for more research to be undertaken.

Related work

Research Management and Administration Systems (HEFCE funded), Binge et al, 2009 – see http://as.exeter.ac.uk/rmas/
Professionalising Research Management (HEFCE, MRC funded), Langley & Green , 2009 – see http://www.professionalisingresearchmanagement.com/
International research management: benchmarking programme (HEFCE funded), Kirkland et al, ACU, 2006 – see http://www.hefce.ac.uk/Pubs/rdreports/2006/rd11_06/
Common European Research Information Format (CERIF), euroCRIS, 2008 – see http://www.eurocris.org/

Sunderland: systems overview



The dashed box represents the areas of Research Management (as defined in the Professionalising Research Management report), with some of the elements of the Sunderland RMS shown in blue boxes. The other shaded colours show the areas of that other support services are responsible for. Although simplified the diagram gives a good indication in the potential issues involved in determining the effectiveness of research support as a whole.

Costing Proposals: a case study

"There fEC is far too high I can't do any research"
"If successful we would have to see how to fund it"
"Is zero admin time correct? Approved anyway"
"I am at a complete loss to understand the inordinate indirects"
"Not sure on the indirects but this will be pFact soon so no need for me to check it our I think? Approved"
"Fine, assuming similar spreadsheet to last time"
"Some comment from the PI would help with assessment"
"The Estates costs look rather high, but otherwise approved"
"I would like to know where the shortfall is made up from"

Looking at one element of research support (costing and pricing of research proposals) in further detail: In Sunderland we currently use a bespoke web-based full economic costing approval form (fECAF) to support the costing and pricing of research (and enterprise) proposals for external funding. The original system was developed almost 10 years ago and was upgraded to allow for fEC. User feedback also meant that rather than being a stand alone costing and pricing tool as had previously been the case it was also linked to the main proposal workflow system and allowed for the proposal to accessed as part of the approval form.
Have the potential benefits of the system (identified in the matrix to the left) been realised?
Although the new system has been running for over 3 and a half years, only a brief analysis of usage has been undertaken and certainly no post award analysis has been undertaken on the accuracy and usefulness of the costings that have been approved.
On the contrary the system is more or less now seen as a hurdle rather than as a useful tool. Whilst it would be easy to blame the software there have been a number of other factors involved: fEC itself, restructuring in the University, a change in the way projects are reported in the management accounts, a change in the academic strategy. It is however true that the software could be improved, however there has been no resource to properly maintain the system let alone respond to the (frequent) requests for improvement. Some extracts from departmental approval text from the system indicate the distance that is still required to go before we can even think about measuring improvements!

Summary

It can be seen that measuring the real impact of Research Management Systems (RMSs) in terms of increasing the quality and/or quantity of research undertaken is, at best, difficult. However, the benefits of doing so are great. Knowing which system interventions actually help the overall mission of the University is crucial to good management. Having a system because there is a perceived requirement to do so is not necessarily a bad thing, but making the most of such a system in the light of evidence is definitely a good thing!

ARMA Conference
2-3rd June 2009, Southampton
Also see Session 305: 15:30 2nd June 2009

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Diversity is the key to many issues, including research management. This issue of *Research Global* examines structures for research management, comparing RM structures across institutions, sectors and countries. Whilst the world has become more interconnected through electronic media, it is still evident that there are many different ways to achieve the same outcome: resourcefulness, hard work, and the ability to change are some of the different tools that a research manager needs to utilise to achieve a successful outcome. There is an array of 'standards' for research management throughout the world – some very sophisticated, and others in the development/start-up phase. In this issue, a variety of aspects of research management structures are explored.

Economic, trade and technology growth in India has increased the need for science and engineering expertise dramatically during recent years. Nimesh Chandra describes how globalisation and changing priorities in India's university system and the role of Academic Research Institutes (ARIs) have fostered entrepreneurial activities. Specifically, the Indian Institutes of Technology have provided an excellent model, converging research university/parks, industry and technology transfer, culminating in spin-off organisations. India's upper house of Parliament will be reviewing the 2008 Protection and Utilisation of Public Funded Intellectual Property Bill. Academics are hopeful that passage of this bill will provide incentives related to faculty autonomy and revenue sharing, in addition to continuing the advancement of relationships between ARIs and industry.

Alan Green and Simon Kerridge explore a possible global approach to the reporting of research programmes. The UK Research Councils have been utilising the Outputs and Outcomes Collection System (OOCS). The methodology minimises the researcher's reporting requirements by providing a uniformed reporting dataset structure across all Research Councils. Benefits for all parties involved can be clearly recognised by the uniformity of measures. Additionally, the common reporting data ele-

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for research management

ments will allow for better assessment by all of the value of research funding, including the public sector. Direct benefits to research administration are readily apparent in the inherent streamlining and homogenous nature of reporting elements. Green and Kerridge would ideally like to establish a 'worldwide standard for research outputs and outcomes'. While this goal is long term, the benefits to researchers and those that support them are evident.

The UNESCO meeting in Paris earlier this year resulted in the establishment of a new Chair in Research Policy. Liam Roberts summarises developments, which will provide 'an international hub for research management good practice', as well as review applicable systems worldwide. The creation of a 'knowledge bank' containing RM best practice tools and data is another aspect of the programme. The ACU will be joining UNESCO to collaborate in creating a more robust resource of research management policy structures.

The Centre for Research on Science and Technology at Stellenbosch University, South Africa, in conjunction with the ACU, brought together key players from academia and funding bodies throughout Africa for a seminar on how best to enhance the communication, dissemination and transfer of research and technology in the region. John Kirkland summarises the seminar discussions.

The International Network of Research Management Societies (INORMS) announces its third biennial Congress, which will be held from 11-15 April 2010 in Cape Town, South Africa. The theme of the congress is 'Managing Research for Impact: New Approaches to Research and Innovation Management'. INORMS brings together individuals worldwide to discuss, network and present best practices in research management. Please take this opportunity to join your colleagues and collaborate on the profession in Cape Town!

Kathleen Hogue Gonzalez describes the evolution of the RM function at the Children's Hospital Oakland Research Institute (CHORI). This year, Kathleen's organisation will celebrate its 50th anniversary! The change is quite evident – growing from a two-person office with a grant from Gerber to a team of 15 that manages grant expenditures of USD 33.8 million from a variety of funding sources. CHORI's functions encompass all aspects of research management.

Research Global's career spotlight in this issue is on Dr Mark Hochman of the University of South Australia. Uranium exploration to research management was his career path of choice. Like CHORI, Mark started his research management office, which is currently staffed with almost 40 FTE, with one staff member – himself! He has found that the key to successful research management is ensuring a service attitude with the ability to adapt and manage change. Communication with colleagues has also contributed to his success. Mark adeptly summarises our profession: 'the challenge for each person in research management will be to retain a service mentality to support researchers within an environment of increasing management accountability'.

Please enjoy this issue of *Research Global*, which, along with avenues such as the Global Research Management Network and INORMS, continues to facilitate the collaboration of research management societies. RG

Sandra Nordahl is Manager, Sponsored Research Administration at the San Diego State University Research Foundation.

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RCUK outputs and outcomes collection: the OOCS project

The UK Research Councils are running a project which looks at how evidence of the outputs and outcomes of research they have funded might be collected. **Alan Green** and Simon Kerridge provide an overview.

All research funders want to improve the evidence base for strategy development, and improve the way they demonstrate economic and wider societal impact. To achieve this, they need to gather quantitative and qualitative evidence about the immediate outputs of research they have funded, and the longer-term outcomes and impacts of that research.

In the United Kingdom, researchers funded by the seven Research Councils (who operate under the umbrella of RCUK: Research Councils UK) are already expected to provide this evidence under the terms and conditions of their grant. However, Councils wish to move away from collecting information only at the termination of funding agreements and instead, recognising that outputs and outcomes from research are often only realised some time after funding has ended, establish an ongoing dialogue with the research community which allows outputs to be reported at any point within the funding agreement and, crucially, beyond.

Over the past year, the Outputs and Outcomes Collection System (OOCS) project has been working to establish the feasibility of various approaches to achieve this objective, in line with strategy to minimise the burden on researchers and the number of stakeholders to which they are expected to report. This has involved all Councils working together to define consistent business requirements for the notification, collection, attribution and submission of data relating to research outputs. Following consultation with a wide range of organisations, including the Association of Research Managers and Administrators (ARMA) UK, the Councils have agreed on how to collect data. If possible, it should be collected from research organisations (ROs), such as universities; if not, then from the individual researchers themselves.

There are, of course, resource implications for all this additional data collection. If ROs do not have or do not develop the capability to record the various outputs and outcomes of funded projects, then this requirement will fall on the principal investigator (PI) and the other researchers. ROs should note, however, that they, not the PI, are the recipient of the award and that, if the funder requires that data be supplied after the funded period of the work, then they will have to develop the capability to supply that data. In fact, it is easy to argue that the ROs themselves would and perhaps should be interested in such data for their own purposes. This is particularly pertinent in the UK at the current time, with the impending Research Excellence Framework (REF), which is likely to place value not only on the outputs of research, but also its outcomes and impact.

In all, 48 distinct categories of data (output types) have been agreed, spanning the whole range of research disciplines. Although no one Research Council is interested in all of the output types, in the future, data about individual output types (e.g. patent or a journal article) will be collected in the same way by all Councils that do have an interest. If other interested funders could also agree on the same data requirements, then the overall system for researchers and ROs alike would be much less onerous – the advantages of a single set of sector-wide agreed data requirements cannot be overstated.

It has now been agreed to take this project forward to the next stage. The research councils will consult more widely with the research community and other stakeholders to refine their ideas, identify the detailed requirements for user interactions, and investigate potential for a collaborative approach to the collection of research outputs data. For example, they expect to work closely with the Higher Education Funding Council for England (HEFCE) to minimise the impact of introducing such changes in the same timeframe as the forthcoming REF, allowing ROs the opportunity to update their research management systems in

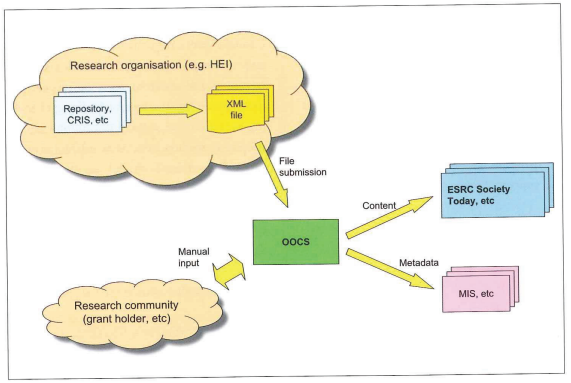


Figure 1: OOCS conceptual overview

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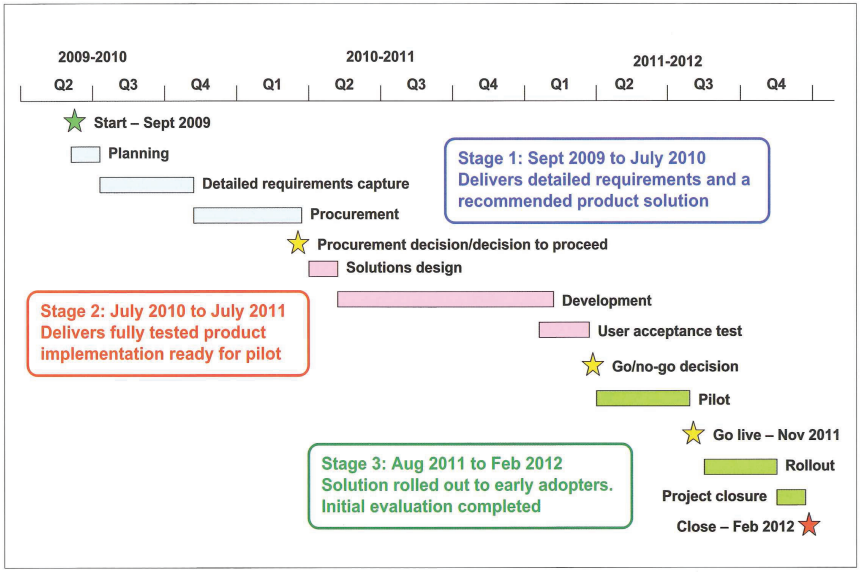


Figure 2: OOCS project roadmap

support of both initiatives, as well as their own internal needs, in a single operation. Clearly, there is a huge opportunity for ROs to use this requirement as a lever to improve their systems for internal management purposes.

Finally, the Research Councils will support wider initiatives, already underway, to define common standards for the exchange of information across the UK research sector. Formal tendering will then take place to choose a supplier to develop and implement a systems solution. The project is expected to report back by the summer of 2010, once a supplier has been selected, with firmed-up costs and timescales for delivery. Councils will then make a final decision whether or not to go ahead with implementation. If agreed, the project is expected to deliver a working system into pilot by summer 2011, with full rollout in autumn 2011.

The benefits to the Research Councils are more accurate and comprehensive data, consistent across all Councils and allowing the benefits of cross-Council collaboration to be identified, leading to improved reporting both internally and to government. Crucially, the new system will allow data to be collected at any time, representing significant improvement over the 'snapshot' nature of current arrangements. The data will provide an ongoing evidence base to inform evaluation exercises, allowing emerging impacts to be identified, and to be identified earlier than current ad hoc methods, hence facilitating the collection of impact assessment narratives.

For research organisations, the collaboration with other stakeholders seeks to ensure that outputs data is collected once and shared, minimising the cost of collection and the overall reporting burden for the research community. Some see the project as enhancing the business case to introduce, or to further develop, their own information management systems to collect this data, providing a unique opportunity, alongside the REF, to stimulate strategic development and improved efficiencies across the sector in the UK.

For individual researchers, the new system will promote a common reporting approach across participating Councils, reducing the confusion experienced by researchers who receive funding from more than one Council, and who currently need to negotiate different methods of reporting outputs for each Council. The contemporaneous input of data on a regular basis will make it easier for researchers to provide quality data to the Research Councils, rather than recalling information over the lifetime of the grant for a final report.

Research organisations are rightly concerned about why this data is being sought, how it will be used, and who will use it. To address these issues, Councils will set out a roadmap of how such information will be used in the short term, how it might be used further in the medium to long-term, and how systems will be developed to support these objectives, so that expectations can be set and concerns allayed accordingly. It is intended that this message be communicated by a series of roadshows and other promotional activities later in the project.

There is sure to be much debate in the coming months and indeed years about the

Continued on page 9

A summary of activities

2003
Knowledge Society vs Knowledge Economy: Knowledge, Power and Politics
First Global Research Seminar
8-9 December, UNESCO Headquarters, Paris, France

2004
Knowledge, Access and Governance: Strategies for Change
First Colloquium on Research and Higher Education Policy
1-3 December, UNESCO Headquarters, Paris, France

2006
Comparative Analysis of National Research Systems
First Workshop
6-7 April, UNESCO Headquarters, Paris, France

Universities as Centres of Research and Knowledge Creation: An Endangered Species?
Second Colloquium on Research and Higher Education Policy
29 November-1 December, UNESCO Headquarters, Paris, France

2008
Comparative Analysis of National Research Systems
First Symposium
16-18 January, UNESCO Headquarters, Paris, France

Current Trends in Post-Graduate Research: A Global Overview
Second Experts' Workshop
5-7 March, Dublin City University, Ireland

High Level Expert Working Group on Technology and Development
First Experts' Workshop
27-29 February, Manchester Institute of Innovation Research, UK

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potential requirements if OOCS goes ahead – the resource implications, who will benefit, and who should pay. In some respects, the last matter is moot. If ROs receive no additional direct funding, then in future years their indirect costs will be higher and so the Research Councils will in effect just be paying in arrears, though this is offset by changes already made to streamline final reports at an estimated saving of GBP £5.7 million per annum to the academic community. Of course, you do need some administrative resources to choose and support the best science, and this may mean that fewer projects will be funded, so the overall price that the public will pay for this additional information about the results of research may be less research.

On the other hand, the public may feel less aggrieved at being taxed, and even support a greater proportion of their tax going to science specifically, if they have better information about how that tax is used. If it means that, in the future, research might be selectively funded based on its potential for impact in terms of outputs and outcomes, then some might believe that that would be a price worth paying. Whether or not these issues can be addressed in any meaningful way is, of course, a different matter.

In the current economic climate, it seems likely that government will continue to seek evidence that funds are channelled to best effect, and that Research Councils will want to try and measure any direct or indirect, tangible or intangible benefits of research. 'Impact' is hence high on the agenda, but with little sound understanding about what leads to it. There are, however, some sensible hypotheses, but it is necessary that the correct metrics be obtained to test them. ROs may well have to collect this data whether they like it or not, and many would probably like to do so, on their own terms at least. Researchers, however, need to be reassured that there is no intention to squeeze risk out of the system, nor to be more directive about the choice of research. Instead, the approach focuses on improving the quality of information about the progress, productivity and quality of research output, better to tell the story of success we know we have in the UK and to make the case to government. If OOCS goes forward, as always, ROs would like the processes involved to be harmonised with other sector initiatives (e.g. the REF) and, where data overlaps, for efforts to be made to define and collect it consistently; this would also enhance the opportunities for ROs to use the same data, to better effect, internally.

Ideally, a worldwide standard for research outputs and outcomes would be agreed, and a transparent global system would collect, attribute and codify such data automatically. It seems unlikely that such a panacea will be available in the short term, but there is much activity in this area at the moment. If you are not already considering the implications of, or indeed developing such systems, it seems likely that you soon will be. RG

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Related links

Association of Research Managers and Administrators: **www.arma.ac.uk**
Directory of Open Access Repositories: **www.opendoar.org**
JISC Research Information Management: **www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt.aspx**
OOCS: **www.rcuk.ac.uk/aboutrcuk/efficiency/oocp.htm**
Research Councils UK: **www.rcuk.ac.uk**
Research Excellence Framework: **www.hefce.ac.uk/research/ref**
Science and Technology Facilities Council: **www.stfc.ac.uk**
UK Research Data Service feasibility study: **www.ukrds.ac.uk**

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http://www.ariadne.ac.uk/issue64/wrn-repos-2010-05-rpt/#8

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Learning How to Play Nicely: Repositories and CRIS

Nick Sheppard reports on the event examining integrated, systemic approaches to research information management
organised by the Welsh Repository Network and supported by JISC and ARMA at Leeds Metropolitan University in May 2010.

Introduction

More than 60 delegates convened at the Rose Bowl in Leeds on 7 May 2010 for this event to explore the developing relationship and overlap between Open Access research repositories and so called 'CRISs' – Current Research Information Systems – that are increasingly being implemented at universities.

The Welsh Repository Network (WRN) [1], a collaborative venture between the Higher Education institutions (HEIs) in Wales, funded by JISC, had clearly hit upon an engaging topic *du jour*. The event, jointly supported by JISC [2] and ARMA (Association of Research Managers and Administrators)[3], was fully booked within just five days of being announced. In the main, delegates were either research managers and administrators, or repository managers, and one of the themes that came up throughout the day was the need for greater communication between research offices and libraries (where repository services are often managed.)

As well as JISC and ARMA, euroCRIS [4], a not-for- profit organisation that aims to be an internationally recognised point of reference for CRISs, was represented at the event.

Delegates could also visit the software exhibition and speak with representatives of Atira, Symplectic Ltd and Thomson Reuters, among others.

Overview of CRIS and Repository Overlaps and Position Statements

Why a CRIS: Andy McGregor, JISC

As a JISC programme manager who has overseen more than 60 repository projects in the last 3 years, Andy is uniquely qualified to describe the repository landscape in the UK and asserted for us just how common repositories have become both in this country and internationally [5]. He also reminded us, however, that repositories are 'lonely and isolated'; still very much under-used and not sufficiently linked to other university systems. They are often under-resourced with low levels of full-text deposit and require continuous advocacy to academics and research staff, the end-users who would benefit most.

Andy went on to suggest that the ideal partner for a repository is, in fact, a Current Research Information System, or CRIS for short. Ostensibly they manage the same data for analogous purposes and for similar end-users; they have shared interests including reducing duplication, collating data for the Research Excellence Framework (REF) and feeding other institutional systems. Moreover, they must both integrate appropriately with the research lifecycle, recording bibliographic data and documenting grant-related information, for example, in the case of a CRIS, and archiving an appropriate full-text version of a research paper in the case of a repository.

This last comparison emphasises Andy's next point, that there are enough differences in the respective requirements that neither system can fully supplant the other and it makes sense to keep them separate. CRISs, for example, are more focused on monitoring rather than maximising impact, the latter being the goal of repositories which, in turn, tend to be more focused on preservation of full-text material rather than just bibliographic data. There are also likely to be significant differences between the administrative workflow and the research workflow itself that can be managed more appropriately by systems tailored to the specific requirements of each; it is also important to remember that institutions are different and there is no one-size-fits-all solution.

Andy finished his presentation by highlighting JISC-funded work in this area including Research Revealed [6], and Readiness 4 REF [7].

Institutional Repositories: Just a Bit of CRIS?: Simon Kerridge, ARMA

Simon [8] was representing ARMA, the professional association for research managers and administrators in the UK, and works in the central research support office at the University of Sunderland. He has designed and overseen the various stages of electronic research administration (ERA) systems at the University for the past 15 years and is currently working with the University Library Service to implement an Open Access repository and integrate it with the research office systems.

Simon emphasised the multi-skilled role of research managers as an interface with the academic community. They are in a position to give advice on the practicalities of submitting

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a research proposal, for example, and all the associated paraphernalia (costing, pricing, contracts, ethics) as well as contributing to governance, planning and other strategic objectives.

So what exactly is a CRIS? Like repositories, perhaps, it is not easy to offer a simple and definitive definition, however, they are 'loosely defined' by Rodman and Stanford [9] 'as improving [research] administrative processes through the application of technology, particularly computer technology'. CRISs go under a variety of names including the straightforwardly descriptive Research Management and Administration System (RMAS) or Sunderland's own Electronic Research Administration system (ERA) and are essentially tools for managing research information in several main areas:

- Staff (research)
- Publications (bibliographic data)
- Projects and proposals (funding information)
- Post-graduate research
- Impact
- Ethics
- Key Performance Indicators (KPI)

Such a system can be used for a range of management requirements including strategic planning and providing data to funders; notably HEFCE in the form of the Research Assessment Exercise (RAE) and its replacement, the upcoming Research Excellence Framework (REF). Internally they need to interact with a number of other university systems and processes including Human Resources and Finance, Library and Faculty systems and student databases; while externally they should be inter-operable with specialised funder systems including those for large-scale assessment exercises like the RAE and REF. Moreover, the exchange of research data is becoming increasingly important with Web-enabled systems and this has led to the development of the CERIF data-model [10] which is explored by the JISC-funded EXRI-UK (Exchanging Research Information in the UK) Project [11] and was discussed in more detail in the case study presented by Anna Clements (see below.)

All of which brought Simon back to his original question: Is an institutional repository (IR) a subset of a CRIS? A show of hands indicated that audience opinion was split, which was appropriate as Simon's answer was an equivocal 'Yes...and No…' Like Andy, he observed that, generally, they are not managed by the same service and emphasised that research managers and administrators need to work closely with their counterparts in 'the library'.

Events such as this, he concluded, are certainly a step in the right direction.

Case Studies:

The Ideal CRIS?: Anna Clements, University of St. Andrews representing euroCRIS

Anna is a data architect at the University of St. Andrews where she is responsible for establishing and leading a programme of information management improvement across the institution; she also represents euroCRIS and perhaps took a broader view of 'Who needs it and why?' than Simon [12]. While echoing many of his institutional-level drivers, she also emphasised 'political decision-makers', 'entrepreneurs and innovators' and 'media and general public,' citing researcher CVs, research bibliographies and commercial output reports as just some of the potential outputs from a CRIS.

Anna began with a broad definition of a CRIS as 'any information tool dedicated to provide access to and disseminate research information,' going on to describe the CERIF data model before providing an overview of the CERIF-CRIS that has been implemented at her home institution of St Andrews, based on Pure software from Atira.

In order to emphasise its constituent elements, Anna deconstructed the acronym favoured by euroCRIS before putting it back together in the historical context of the organisation:

- **Current** means timeliness and vitality (includes ongoing relevance not merely being contemporaneous)
  Also implicit is the dynamic nature of relationships, as staff move between institutions, or work on different funded projects for example.
- **Research information** comprises the various entity attributes required for comprehensive research evaluation (people, organisations, funding programmes, etc)
- **System** is the tools and, crucially, the data model to manage heterogeneous (meta)data from disparate systems

CERIF and euroCRIS have their antecedents in the mid-1980s when the need was identified to share information better about what research was being undertaken in institutions across Europe, in order to target funding more effectively, for example, and to facilitate collaboration. It was developed in two major phases between 1987-1990 and 1997-1999. The first iteration was relatively limited, based primarily on project information, but has become increasingly sophisticated with each release. In 2002 the European Commission authorised euroCRIS to maintain and develop CERIF and its usage [10] and the standard has become a European Union recommendation to member states.

CERIF 2008 recommends a 'core' of entities, attributes and relationships and allows entities to be separated from the semantic layer for greater flexibility when sharing local data with another institution as well as supporting multiple languages. The diagrams below are taken from Anna's slides and represent the different types of entities in different colours:

- Core entities (green)
- Result entities (orange)
- 2nd-level entities (blue)
- Link entities (purple)

The coloured loops indicate that there is recursive logic within the entities themselves with hierarchical relationships between people or within an organisational unit:

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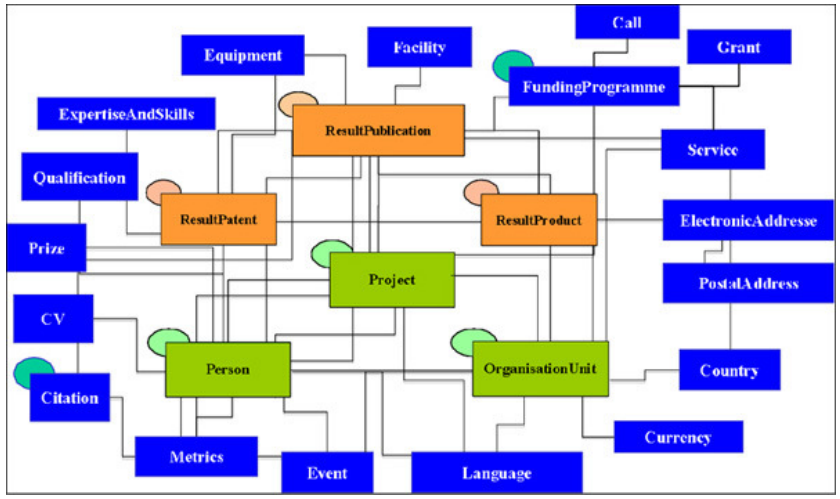


Figure 1: CERIF 2nd Level Entities (Image © euroCRIS 2010)

Link entities record the precise, time-bound relationships between and within entities, so a person might be a member of both a project and an organisational unit, for different periods of time. Such relationships can become extremely complex, and the strength of CERIF is that it is able to capture such web-like complexity with a data model that is essentially very simple.

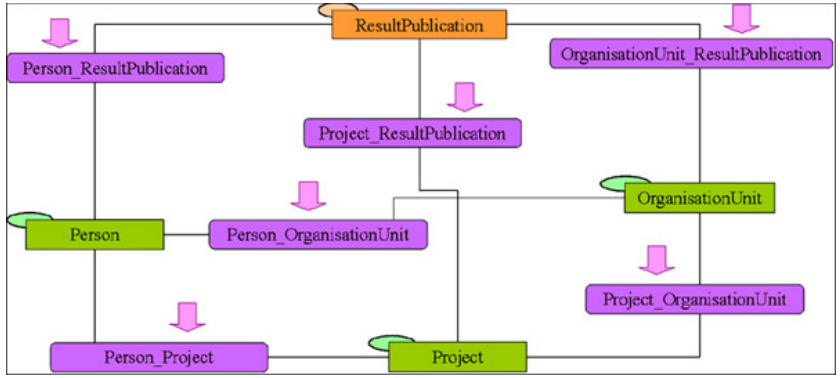


Figure 2: CERIF example Link Entities (Image © euroCRIS 2010)

Anna gave some examples of the types of questions that can be answered when research data are captured within such a sophisticated data model, pertaining, for example, to individual authors (how many articles author X published in 2007 as a first author; whether author X publishes with institutionally external authors) and/or specific projects (how many publications have resulted from project Y; how many women have been involved in FP6 projects).

CERIF is currently most widely used in Northern Europe, in both institutional and national systems in Denmark, Ireland, the Netherlands and Norway, but uptake has not been so great in the UK. After the difficulties encountered collating data for the RAE in 2008, however, it is increasingly on the agenda as universities aim to ensure the process is easier for the REF in 2012. This was the impetus behind the JISC funded EXRI-UK Project [11] which aimed to explore 'current and future scenarios for the exchange of research information in the UK' with the specific objective 'to appraise the options and, specifically, whether any particular format for exchanging research information (eg CERIF) would be suitable' though 'linked data' and 'known Semantic Web approaches to modelling the research domain' were also considered.

The RAE, in fact, was the driver for St. Andrew's in-house (non-CERIF) research information system implemented in 2002 and linked to its DSpace repository; Anna emphasised, as had Andy and Simon, the value of working together as well as the importance of good data management and re-using data that had already been gathered. This approach naturally led to a model with the research information management system at the centre of the process fed by data from other systems:

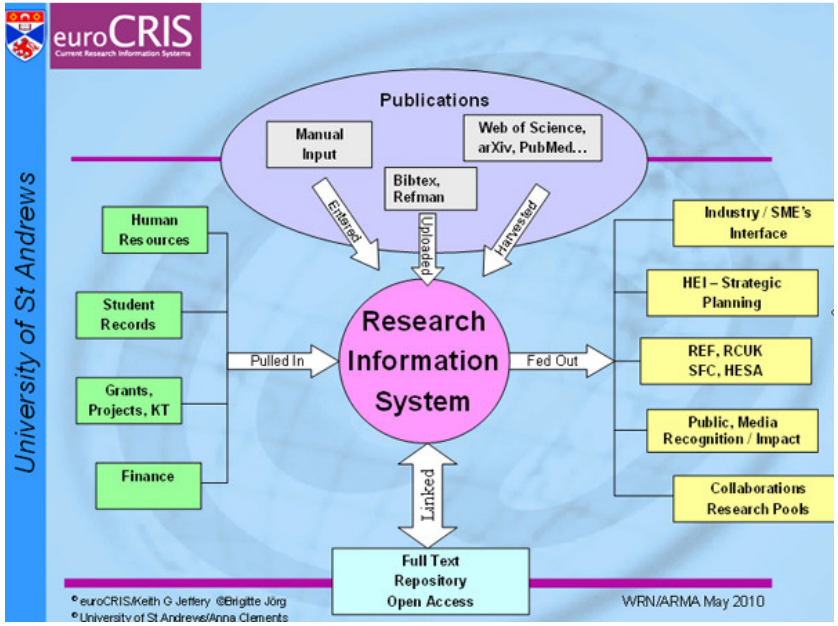


Figure 3: Schematic representation of the research management infrastructure at the University of St Andrews implemented in 2002 (Image © euroCRIS 2010)

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After the RAE in 2008, the issue of a highly functional CRIS was climbing up the agenda at St. Andrews; the functionality of the in-house system was relatively basic and though it provided a system to aggregate the various data, it did not adequately facilitate processing and retrieval of those data. Moreover, as a small institution, there were not the resources available to invest in ongoing development. It had become increasingly apparent that the requirements were similar across the sector and research into available systems and links with the University of Aberdeen ultimately resulted in a joint project to tender and implement a CERIF-CRIS to serve the two institutions.

The system that has now been implemented is Pure, a commercial CRIS from Atira which is also linked to the Institutional Repository; Pure itself does not preserve full-text research outputs but is able to use the CERIF data model to link to external systems like the IR which, in turn, provides the technology to preserve full text and ensure metadata are harvested by OAI-PMH. In addition, full-text deposit to the repository is mediated through the Pure interface itself giving an integrated system for the user.

Anna's concluding message was that the repository at St. Andrews is not being subsumed but rather put into context within the broader electronic research management infrastructure. The expertise and work already invested in repository development at universities are still essential. Moreover, there is an ongoing need for Open Access advocacy, but ultimately a repository linked to a CRIS is greater than the sum of its parts and will make the job of both repository managers and research administrators easier.

An Enlighten-ed View of Repository and Research System Integration: William Nixon & Valerie McCutchean, University of Glasgow

The next case study once again illustrated the importance of appropriate liaison between research management and repository development. William is the service manager for Enlighten, the IR at the University of Glasgow; he was the project manager for the recently completed JISC-funded project Enrich [13] and works closely with Valerie, operations manager in the Department of Research and Enterprise at the University. The broad aims of the Enrich Project were to establish Enlighten as a comprehensive, University-wide repository and central publications database, and to improve staff profiles by linking data from core institutional systems. In addition, it sought to ensure compliance with funders' open access policies and reporting requirements as well as improving publicity for research activity and outputs.

Valerie began by giving an overview of the systems underpinning research management infrastructure at the University of Glasgow which has had a 'data-rich' research system since 1994 with links to the Human Resources, Finance and Student systems; part of Enrich has been to also link to the repository. She illustrated how the various systems interact throughout the research lifecycle to facilitate an integrated process encompassing pre-award through to post-award and project completion, whereupon an automatic email will request full text for the repository, for example:

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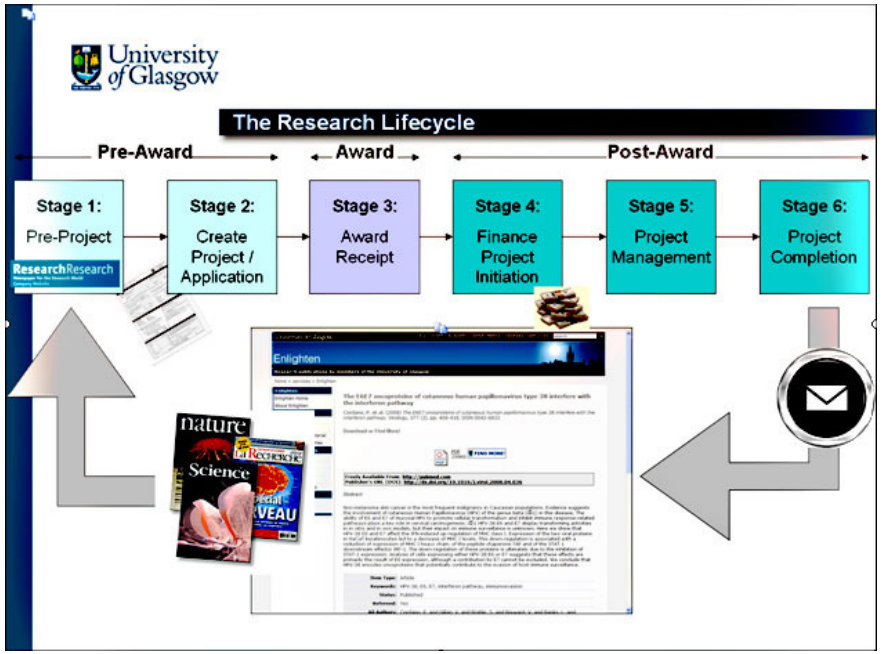


Figure 4: The Research Lifecycle (Image © University of Glasgow 2010)

The system, though based on relatively 'old' technology, broadly fulfils the requirements of research administration at the University and enables the Department of Research and Enterprise to collate and coordinate a large amount of data centrally, including staff and student information (from the HR system), funder details, internal and external collaborations, costings, ethics and awards. Ongoing development is overseen by the Research Systems User Group which enables the different stakeholder groups to communicate effectively what is required from the interoperable systems and, after Enrich, now includes members from the library as well as from faculties, HR and Finance. Staff are also trained across the different systems so that repository staff can administer the research system and vice versa.

After Valerie's introduction, William took over and spoke in more detail about their EPrints repository – branded as Enlighten - and the Enrich Project.

Glasgow's Publications Policy is a formal mandate which requires that, where copyright allows, staff deposit a copy of peer-reviewed, published journal articles and conference proceedings into Enlighten as soon as possible after publication. In addition, it also attempts to capture bibliographic metadata for all published outputs.

One of the crucial elements of Enrich has been to integrate Enlighten with the University LDAP system using a Glasgow unique identifier (GUID), meaning not only that users do not

need to register a separate account to begin depositing their outputs, but also that those outputs are tied to the same unique identifier in all systemic components of the institutional research infrastructure. This makes it easier to pull together all publications for a given author and to share and reuse the data across different systems. The technique also makes it easier to feed repository data to other areas of the University Web site, so that dynamic publication lists can be added to departmental or individual academics' Web pages, for example.

An additional benefit is the way that an author view can be constructed when author records are disambiguated in this way. Many repositories (and other research systems) lack a 'name authority file' which leads to several problems. When originally entered into a system, names are likely to be keyed in different ways by different users and common names may be duplicated within an institution. Academics may also change their name, due to marriage, for example. Until this development, author listings in Enlighten (as in many other repositories) were based on the author name in the metadata record, giving an ungainly mix of 'Jim Smith,' 'J. Smith,' 'Smith, James,' etc, which were all listed separately. However, users may now browse for all of their publications under their official University designation, irrespective of how their name is entered in individual records and also including an honorific (eg 'Smith, Dr James').

Another important development is that funder information can now be extracted from the research system, incorporated into individual repository records and facilitating 'Browse by Research Funder name'. The link is bi-directional, allowing browse by funder code in the research system, so that the Department of Research and Enterprise can more easily discover publications attached to a specific project. Valerie stressed that one of the main reasons for linking awards to outputs in this way is due to the rising profile of the impact and output agenda across both the institution and the HE sector; they are keen to integrate effort across the University to identify users of research outputs and to gain feedback to illustrate impact. Work is also ongoing to ensure that Enlighten can manage other types of research outputs (exhibitions, broadcasts, artwork, etc) as well as, from an OA perspective, an ongoing focus on increasing full-text content in the repository.

The take-home message from William, Valerie and Enlighten was encapsulated in the 'three Ps':

- People: good working relationships across stakeholder groups are essential to developing an integrated research management system
- Processes: developing synergies between the different workflows of the research system and the repository
- Policies: developing a coherent institutional publications policy and working with funders' policies (eg Wellcome Trust mandate)

Where Did It All Go Wrong?: Confessions of how not to do it and lessons learnt: Jackie Knowles, Project Manager, Welsh Repository Network

The final session of the morning was composed from anonymous 'confessions' from the community. By providing evidence from real-life situations, the aim was to address the issue of 'how not to do it/ pitfalls to avoid' when developing a repository, research management system or CRIS.

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An overarching theme was 'they just don't get it', but it was far from clear precisely who and what this referred to; Jackie suggested 'they' and 'it' had, in fact, become less vague throughout the morning sessions with the overall emphasis on the different stakeholder groups and the importance of communication. The value of training researchers and managers to understand the research lifecycle better, for example, was highlighted; one should not assume that people are already aware of the issues.

Other 'top tips' were to pursue simplicity – avoid reinventing the wheel - but also recognise that there is no one-size-fits-all solution to the disparate requirements of research management and associated workflows. It is valuable to map them in some detail and to elucidate where the respective elements fit into the 'bigger picture'. Detailed user scenarios were cited as a useful way of specifying functionality; what does a user actually require from the system?

The power of statistics as an advocacy tool was emphasised and the importance of advocacy in general. It was better to launch early rather than trying to perfect the system first, and to spread the word and address non-engagement.

'Lessons learned' again emphasised the importance of communication: one story described how, during the tendering process for a CRIS, repository staff had not been involved and the repository had therefore not been sufficiently prioritised. As a result, it took 2 years' work subsequently to tailor the systems to work together.

Another interesting point was to avoid making assumptions about other stakeholders' knowledge and perspectives; not everyone will automatically and unreservedly think Open Access is a good thing, for example. Moreover, there may well be specific barriers associated with the institutional context; an OA mandate, for instance, is powerless without the means to enforce it.

By way of conclusion, Jackie offered generalised personality types that she had encountered in her own work with repositories and that may well have a bearing on developing effective relationships. These included 'the obstinate preservationists' who manage their own data and see no need to work differently; 'the endless debaters' who like to attend events and engage in discussion around the philosophy of the approach but without actually changing their working practices, and 'the non-communicators' who may be working on similar systems without engaging with related projects already underway elsewhere in the institution - or even in the same department.

Café Society Discussions

After lunch, four topics were explored in café society discussions with delegates moving between sessions throughout the afternoon; session aims are summarised below and individual facilitators have posted full reports on the WRN blog [14]

Topic 1: Drivers:
Facilitator: Andy McGregor

The session [15] was designed to explore the issues that are driving the development of research management systems, processes and policies in universities. The range of drivers

was examined as well as the ways in which institutions were choosing to address the various issues. These approaches were used to develop a rough-and-ready action plan for institutions wishing to look at research management.

Topic 2: DIY vs Commercial Solutions:
Facilitator: Anna Clements

The session [16] explored the pros and cons of either developing a system in-house or implementing a commercial system (or systems). It also examined the implications of moving from one to the other.

Topic 3: Stakeholder Engagement
Facilitator: William Nixon

This session [17] asked the question 'Who are the main stakeholders and how do we engage them?' The focus was on researchers, research office and repository staff – many other stakeholders were also identified including funding bodies, university management, JISC and HEFC.

Topic 4: Data Quality
Facilitator: Simon Kerridge

This session [18] framed the issue of Data Quality as 'How do we ensure data quality in our systems? What are the best methods for getting data out of legacy systems?'

Panel Q&A and Concluding Discussions

At the end of the afternoon, facilitators fed back from their respective discussions and delegates had an opportunity to raise any final questions. The session was filmed and along with all presentations from the day can be viewed online [19].

Conclusion

Institutions are all different and there is no one-size-fits-all solution. A Russell Group university, for example, will have very different requirements to a Million+ institution, and it is important to focus on precisely what is required from a research management system in your particular context. Institutions should also, perhaps, take a broader view of their requirements and be circumspect about focusing too closely on one particular driver. With many institutions, for example, concentrating on the REF, there is a danger of developing systems that are too narrowly focused on the specific requirements of that one exercise.

The availability of human and other resources, in-house expertise and (as illustrated by the contrasting case studies at Glasgow and St Andrews) the existing infrastructure of an institution will all have a huge impact on the most appropriate course of action. That course of action may include whether existing systems should be developed in-house or tenders submitted for entirely new systems. If starting with a blank slate, it probably makes sense for a CRIS to be the central system with the repository as a linked peripheral component; but, of course, very few are actually starting from this point and different models can be just as effective.

The over-riding conclusion that was reinforced throughout the day was the need for effective communication channels between research administrators and repository managers in particular, but also among the full range of stakeholders at a given institution. By working together, the disparate systems of institutional research management infrastructure can become more effectively integrated.

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Author: Nick Sheppard
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Originating URL: http://www.ariadne.ac.uk/issue64/wrn-repos-2010-05-rpt/
Copyright and citation information File last modified: Wednesday, 18-Aug-2010 16:46:31 UTC

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JISC

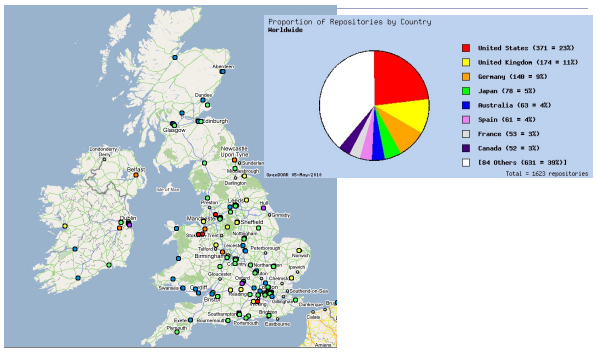
Repositories and CRIS

Why a CRIS

Andy McGregor
Programme Manager

JISC

Repositories are common



http://www.repository66.org/ http://www.opendoar.org/

JISC

But repositories are lonely. They are empty and they are isolated



http://www.flickr.com/photos/gmacorig/208929936/

JISC

But they needn't be...

Meet your repository's ideal partner:

CRIS



http://www.flickr.com/photos/58768707@N00/2747039594/

JISC

A good match

Same data

Same (or similar) end users



Similar purposes

Similar lack of end user engagement?

http://www.flickr.com/photos/26767541@N00/3291559589/

JISC

Shared interests

Reducing duplication

Research lifecycle



REF

Feeding other institutional systems

ARMA-JISC-WRN Workshop, May 2010
Andy McGregor, Why a CRIS?
Simon Kerridge, IRs... Just a bit of a CRIS?

JISC

But enough differences to keep things lively

Preservation

Usage and attention data



Linked data

Maximising vs monitoring impact

Research workflow and admin workflow

Joint Information Systems Committee 05/02/2011 | Supporting education and research | Slide 7

http://www.flickr.com/photos/88864835@N00/3008906272/

JISC

JISC funded work in this area



Research information management projects http://bit.ly/9qq208

Research Revealed http://bit.ly/8ZQeNp

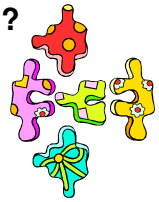
Readiness 4 REF http://bit.ly/bE06tQ

Embedding repositories in research management systems: http://bit.ly/cBhY3j

Joint Information Systems Committee 05/02/2011 | Supporting education and research | Slide 8

http://www.flickr.com/photos/thomashawk/185472365/sizes/l/

Institutional Repositories, just a bit of a CRIS?



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simon.kerridge@sunderland.ac.uk

Director
Association of Research Managers and Administrators

JISC Learning how to play nicely: Repositories and CRISs Friday 7th May, 2010 Rose Bowl, Leeds Met University | Rhaglwyth Cadwrfeydd Cymru Welsh Repository Network | www.arma.ac.uk research.sunderland.ac.uk Simon Kerridge, Head of GRS simon.kerridge@sunderland.ac.uk | arma | University of Sunderland

Overview

- Introductions (me, RMAs, ARMA)
- CRIS
  - What is one (see the exhibitors!)
  - What is it for
  - What does it 'talk' to
- Conclusions

JISC Learning how to play nicely: Repositories and CRISs Friday 7th May, 2010 Rose Bowl, Leeds Met University | Rhaglwyth Cadwrfeydd Cymru Welsh Repository Network | www.arma.ac.uk research.sunderland.ac.uk Simon Kerridge, Head of GRS simon.kerridge@sunderland.ac.uk | arma | University of Sunderland

Introduction

- Simon, a Research Manager:
  - Strategy
  - PGR
  - REF
  - Ethics
  - ERA, Research Information
    - Research Outputs
    - Research Outcomes



JISC Learning how to play nicely: Repositories and CRISs Friday 7th May, 2010 Rose Bowl, Leeds Met University | Rhaglwyth Cadwrfeydd Cymru Welsh Repository Network | www.arma.ac.uk research.sunderland.ac.uk Simon Kerridge, Head of GRS simon.kerridge@sunderland.ac.uk | arma | University of Sunderland

Research Management and Administration

- Information
- Pre-award
- Post-award
- Development / Planning
- Strategy / Policy
- Assessment / Governance
- Metrics
- Research Students (PGRs)



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ARMA-JISC-WRN Workshop, May 2010
Andy McGregor, Why a CRIS?
Simon Kerridge, IRs... Just a bit of a CRIS?

Research Managers and Administrators

- **Not** a 'Jack of all Trades'... But multi-skilled:
- Information, Opportunities, Advice, Costing, Pricing, Submission, Negotiation, IP, Contracts, Finance, Legal, Reporting, ICT, Influencing, Enabling, Monitoring, Development, Training, CPD, Strategy, Analysis, Returns, Advocacy, Marketing, HR, Procurement, Research Students, Ethics, Project Management, Networking, Dissemination, KT, Partnering, Governance, Planning, Policy...
- An interface



ARMA

www.arma.ac.uk



- 20 years old
- 1600 members
- 90% in Universities
- 75% female
- Training Provision
  - 3 'levels', Training Courses well established
- Professional Development
  - Mentoring, Study Tours, Workshops, ...

CRIS / RMAS / ERA

- Current Research Information System
  - You can tell its an EU acronym!
  - http://www.eurocris.org/
- Research Management and Administration System
  - http://as.exeter.ac.uk/rmas/
- Electronic Research Administration

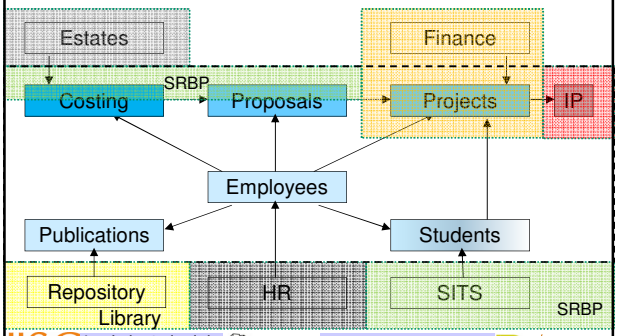
CRIS – What is it?

- ERA (cf Rodman and Stanford 2006)
  - *"... loosely defined as improving [research] administrative processes through the application of technology, particularly computer technology"*
- Information about:
  - Staff
  - Publications (references)
  - Projects & Proposals
  - PGRs, Impact, Ethics, ...

CRIS – Interactions

- HR
- Finance
- Library
- Student System
- Faculty
- Estates
- TRAC / Work-loading
- Other IT systems (www, email, filestore, ...)

CRIS - Sunderland



ARMA-JISC-WRN Workshop, May 2010
Andy McGregor, Why a CRIS?
Simon Kerridge, IRs... Just a bit of a CRIS?

CRIS – External Interactions

- Funder Systems (Je-S, eGAP2, EU, NSF...)
- Funder Systems (RAE / REF)
- Information Pooling
- ...
- Standards
  - CERIF2008: http://www.eurocris.org/
  - EXRI: http://ie-repository.jisc.ac.uk/448/

CRIS – What is it for?

- Management
- KPIs
- Planning
- Data for Funders
- Governance
- Marketing
- ...

Is an IR a subset of a CRIS?

- Yes!
- ... and No...
- Generally they are not managed by the same service
- We need more events like today...
- RMAs need to work closely with their counterparts in the '*the library*'

Questions?

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ARMA-JISC-WRN Workshop, May 2010
Andy McGregor, Why a CRIS?
Simon Kerridge, IRs... Just a bit of a CRIS?

Can ERA systems improve quality _ quantity of research
Return-path: <jhg@researchresearch.com>

Date: Mon, 27 Jul 2009 17:46:46 +0100
From: Jeska Harrington Gould <jhg@researchresearch.com>
Subject: Re: Can ERA systems improve quality / quantity of research

To: Simon Kerridge <simon.kerridge@sunderland.ac.uk>

Hi Simon
Thank you so much for remembering to send me this - very useful and interesting stuff.

Jeska

On 27/7/09 13:05, "Simon Kerridge" <simon.kerridge@sunderland.ac.uk> wrote:

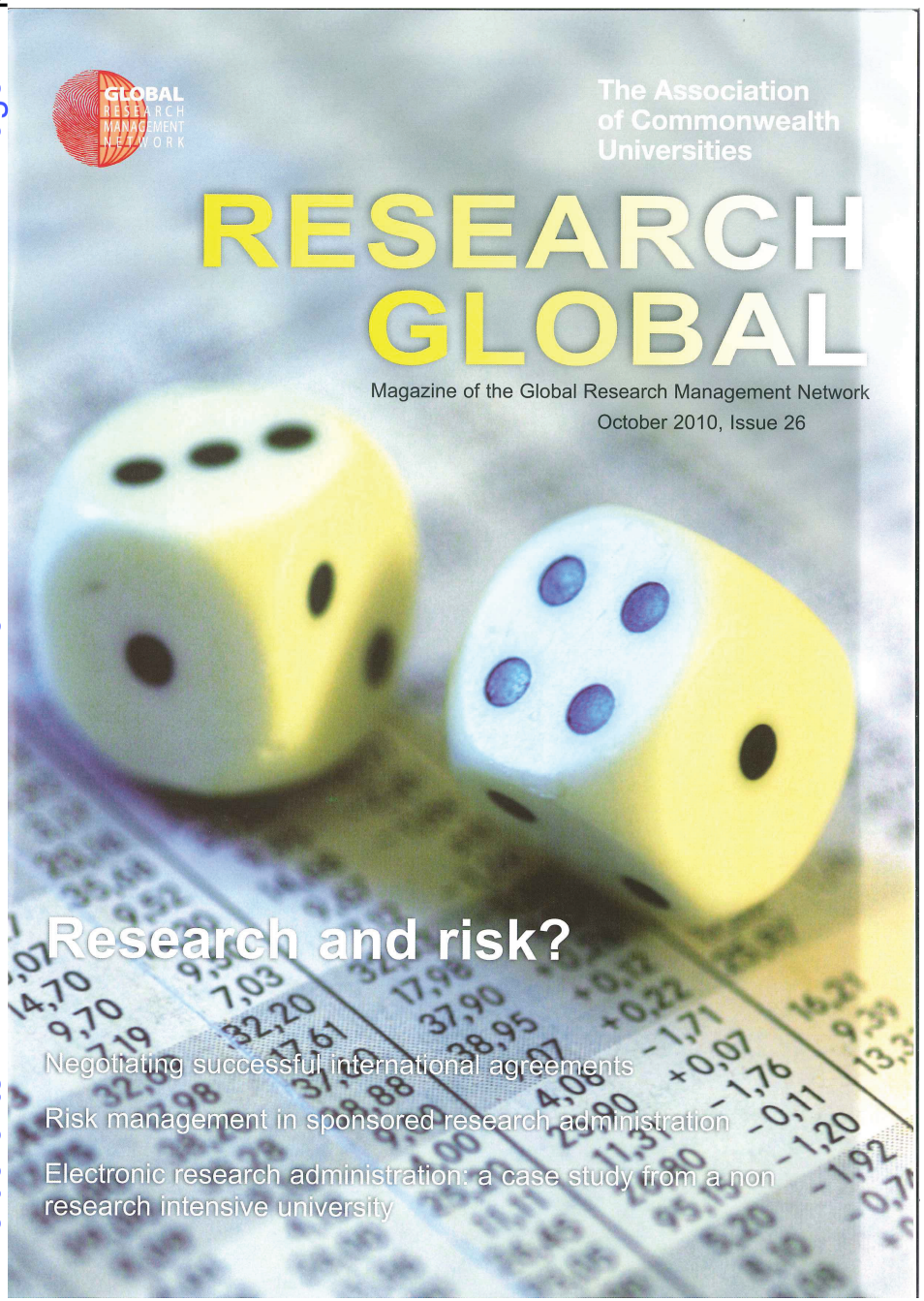
> Jeska,
> I hope you remember me... it has been a long time (but I can still say
> 'last month') since the ARMA
> conference, but I've finally managed to do the initial analysis form the
> questionnaire that I handed out
> in the session...
> Anyway I hope you find it useful...
>
> When I get a chance.... hopefully this week... I'll perhaps follow it up
> with a more rigourous questionnaire...
>
> Simon

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Research Global

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John Kirkland introduces this issue.

4-5 **Risk management in sponsored research administration**
Raina Rose Tagle, Kimberly Ginn, and Ashley Deihr highlight the importance of risk assessment.

6-7 **Research and innovation management for the Caribbean**
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Jonathan Harle summarises a new report.

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Risk and

Let's start with a statement on which we can all agree. Winning new grants and contracts is a *good* thing – right? Of course, (most) research managers realise that securing the grant is only a prelude to the real business of doing the research and applying the results. But in an increasingly competitive financial environment, it's an increasingly necessary prelude. And, of course, a key area in which the research management office can help.

Well, actually, that's not right. Not always, at least. As universities grow their research management function, much is learned about what can go *wrong*, as well as what can go *right*. And the downside does not only relate to research results; good sponsors realise that research is an uncertain process. It relates to costs, reputation, and a whole range of legal, contractual, and ethical risks.

Often, the more we learn about the risks, the more worried we become. An obvious strategy is to put in place more and more regulation in an attempt to eliminate the risk (or, at the very least, to ensure that responsibility lies somewhere else); a common strategy but not a very noble one. Research management offices have a legitimate 'defensive' function, but in exercising this, they need to protect the institution as a whole. Adopting systems that simply put the responsibility for checking onto hard-pressed academics is tempting and relatively easy, but will not be sufficient.

So, what kind of structures *do* we need? In this issue, Tagle, Ginn and Deihr suggest some of the systems that could be put into place – a useful checklist for those managing the process at institutional level, and one that helpfully stresses the need to work *with* stakeholders, rather than to control them. It is worth reflecting on this because the issue is so typical of the problems of research management more generally.

Put simply, our job is *not* to eliminate risk. Nor is it simply to pass on risk to others within our institutions. In essence, research managers have three tasks. First, we need to

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Electronic research administration

a case study from a non research intensive university in the UK

Simon Kerridge explores the University of Sunderland's use of electronic systems in supporting research management.

The University of Sunderland is a teaching-led university in the UK with research income accounting for only around 5% of its turnover. As such, research management and administration have never been a high priority for the university. Since the research office was created 15 years ago, various bespoke – and mainly in-house – electronic research administration (ERA) systems have been developed to meet its needs. Initially, simple spreadsheets were used but these quickly developed into linked databases with web interfaces to allow staff outside the research office to access and update data. These developments were managed in an ad hoc, organic manner and an overall development plan, accepted across the university, has only recently been achieved.

There are many definitions of the scope of research management and administration and the areas that electronic systems could support. The systems at Sunderland have changed over time to reflect the scope of responsibility of the research office, which, over the last 15 years, has undergone four major changes due to university reorganisations. The office initially had responsibility for pre-award research, to which were added research student (PGR) management and administration; post-award research; and enterprise support. Most recently, the disaggregation of pre and post-award and research and enterprise has meant a return to the position where the research office is again responsible for pre-award and PGR only. Whilst it is not impossible for separate services to 'own' parts of a system, experience has shown that such shared ownership often leads to strained relationships and can, without close management, end up with one party not using the system as intended or not using it at all.

Staff data: Initially, a spreadsheet was used to track the status of proposals for external research funding so that deadlines and success rates could be monitored. In order to then provide information on who was applying for funding and how often, it was necessary to link proposal information to staff data. As is often the case, the human resources department was unwilling to provide staff data to other services. However, a database of international travel was maintained by a service co-located with the research office. Luckily, those members of academic staff who were research active and likely to apply for funding were also those who travelled internationally and hence had a record on the travel database. A number of years down the line (when HR finally had a system that could share partial data), a process of linking these two staff records together had to be undertaken. However, it is often better to develop a sub-optimal solution sooner, rather than specify a perfect solution that is never implemented.

> The ad hoc organic growth of an IT system to meet changing requirements is not sustainable unless it is very carefully managed and, crucially, is recognised as being a core business system of the institution.

External drivers: The Research Assessment Exercise (RAE) in the UK collects retrospective data about research (publications, students, and income, amongst other things). As it determines the distribution of large amounts of core research funding each year, submissions are extremely important to most universities. The RAE, and more recently its successor the Research Excellence Framework (REF), has been used by many research offices as a lever to developing better data collection systems and Sunderland's is no exception. During the 1996 RAE submission, it proved extremely difficult to collect accurate and complete research output information. It was agreed that a publications (reference) system should be developed so that the next (2001) RAE submission would be easier to manage. A small amount of funding was provided and an in-house web-based publication reference system was developed. It was built using the existing employee information and project database and offered the added advantage of being able to link both publication and project information to academic staff in order to provide the basis for an online CV and an annual report.

Internal drivers: With the increasing emphasis on research governance, the existing internal paper-based project proposal approval system was replaced with a web-based version that included costing and pricing. The main advantages are the approval workflow, with the ability to know the exact location and status of each proposal approval and, of course, the robustness of the requisite costings. The addition of the enterprise team to the research office provided the catalyst to extend the online approval system to include consultancy and other 'third-stream' proposals, utilising a slightly different costing methodology. When the enterprise team were later disaggregated from the research office, they continued to use the system.

In summary, the various developments over the last 15 years have seen many examples of changing requirements due to internal and external drivers. However, perhaps the main lesson to be learnt is that the ad hoc organic growth of an IT system to meet changing requirements is not sustainable unless it is very carefully managed and, crucially, is recognised as being a core business system of the institution. The system is now extremely difficult to maintain and attempts to mainstream it into the remit of IT services have failed due to issues of resource, expertise in specific technologies, and even documentation. Although the core system has functioned now for over 15 years, perhaps it is timely to look at a system refresh.

Figure 1 gives an impression of the current (2010) main inter-relationships and ownership of data that comprise the research systems at Sunderland. The white area in the middle is 'owned' by GRS, the Graduate Research Support Office. The core research data elements – the blue boxes of Costing, Proposals, Projects, Employees, References (publications), and PGRs (research students) – are mainly looked after by GRS. However, in some areas the delineation is not clear. For example, the Costing area is controlled by Finance, but with input from GRS (for research activities) and the Student Recruitment and Business Partnership (SRBP) service (for 'third-stream' activities). The organic growth of the system, coupled with various university reorganisations, means that the system is currently sub-optimal in a number of ways.

Looking forward, Sunderland intends to build on these 15 years of experience by becoming a 'pathfinder' institution in the RMAS Project[1]. The project will utilise the CERIF[2] research information standard which has recently been promoted for use in the UK by a number of national bodies[3]. In addition, it is likely that the system will not be monolithic, but made up of a number of interoperable[4] (and potentially exchangeable) sub-systems. It is hoped that RMAS will become an exemplar for a new breed of shared-service 'cloud' enabled systems in the UK higher education sector. RG

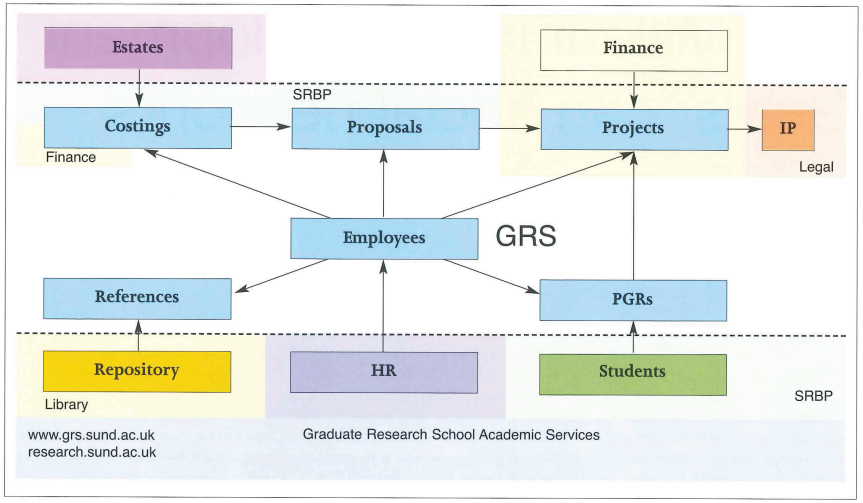


Figure 1: Overview of the research support systems at the University of Sunderland

This article is based on the poster presented at the INORMS conference in April 2010.

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[1] Research Management and Administration System: see http://as.exeter.ac.uk/rmas
[2] See www.eurocris.org
[3] See www.jisc.org.uk/publications/reports/2010/businesscasefinalreport.aspx
[4] Probably using the Systems Interoperability Framework (SIF) see www.sifinfo.org/uk/

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The Business Case for the Adoption of a UK Standard for Research Information Interchange

Report to JISC

Stuart Bolton

Stuart Bolton: Solutions

July 2010

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1 Executive Summary

There are complex information flows around the HE sector for research information. Information flows from institutions to HEFCE, Research Councils (RCs), HESA and other institutions. Additionally there are data flows between HESA, HEFCE, and RCs. The amount of resource spent sharing research information between data users can be radically reduced by the introduction of a common standard. The EXRI-UK report proposed that the CERIF 2008 (Common European Research Information Format) be adopted as a standard for UK HE research information interchange.

The standard is technically a European Union recommendation to member states and responsibility for maintenance of the standard resides with EuroCRIS; a not for profit association of Current Research Information System (CRIS) experts. Systems based on CERIF can be found throughout the European Union HE sector. In addition there are several large scale national systems such as FRiDA, FRIS and METIS all of which are based on CERIF.

The introduction of such a standard will affect not only institutions but national funding bodies, research councils and HESA. The introduction of a standard can be seen as a 'good idea' but this is not a sufficient reason to invest in adopting it and the costs and benefits need to be assessed to ensure that by adopting the standard there is a net benefit to the sector as a whole.

Significant amounts of resource are spent developing and maintaining interfaces to support communicating with funders and other institutions, the acceptance of a single standard interface will, along with other benefits, significantly reduce the costs associated with information interchange. It is reported that institutions spend £85 million each year submitting and monitoring grant applications to research councils and the RAE 2008 Accountability Review reported a sector cost of £47,335,706 or £1,127 per researcher submitted. For a (non-existent) average university this would represent an expenditure of about £600,000 per annum. Depending on the activity, this report projects savings of between 25% and 30% following the deployment of a CERIF compatible CRIS. For this example savings of approximately £177,000 per annum per HEI could be realised. The Research Council's plans for collecting research outcomes are evolving but, based on figures from the FRIS project in Flanders, a CERIF to CERIF collection system could, eventually, deliver efficiency savings to the sector of £94,500,000 per annum.

In the wake of the RAE 2008 and in anticipation of the REF there is a significant amount of activity in HE institutions to redevelop and upgrade research management systems. It is estimated that between ten and fifteen percent of UK HE institutions already have CERIF compliant CRISs. Research shows that the principal reasons for deploying new CRISs are the REF and the need to provide a better service to end users. The adoption of a CERIF CRIS will support both these strategic aims and at the same time realise financial and other benefits such as better management information, data driven web pages and increased transparency. Precise costs of a CRIS are very variable depending on a variety of factors including size of institution and the preferred supplier but for the 'average' institution are estimated at £15,665 annually over a ten year system life-cycle.

Of itself the CERIF standard is not a sufficient reason to replace fit-for-purpose systems. However those institutions with no plans to replace their Research Information Management (RIM) systems can still realise significant benefits by installing a CERIF 'wrapper' to act as an interface between

their internal data structures and the external environment. The cost of developing a CERIF wrapper is estimated at £13,000.

The above figures should be treated with some caution as they represent averages and in some cases projections. However they do give an indication of the probable scale of costs and benefits. Institutions are encouraged to use the formulae contained in this document to model their own cost benefits but should also be aware that there are other, significant, benefits that are less tangible.

Installing CERIF compatible systems will deliver benefits to institutions but for the full benefits to be realised HEFCE, the Research Councils and, possibly, HESA will need to implement CERIF compatible data collection mechanisms. All three agencies are confident that their internal systems (i.e. not external facing) are currently fit for purpose and have no short term plans for system redevelopment.

HEFCE will redevelop the data collection system deployed for RAE 2008 to meet the requirements of the REF. They are keen to support a new standard while at the same time do not wish to be seen to impose it on the sector. Consequently they will be deploying a CERIF compatible import/export interface as one of the alternatives that are available to institutions. The cost of this is minor at an annualised rate of approximately £2,600. The benefits to HEFCE are not directly financial but through CERIF to CERIF data transfers they will almost certainly gain in more timely and accurate information from institutions and make reputational gains through being seen to actively support a move towards standardisation of data within the sector.

The major interface between the Research Councils and institutions is the Je-S system for research funding applications and systems for gathering research output information. Until recently the Research Councils had planned to develop a new Research Output System but this has now been shelved and the existing three systems owned by individual councils will be developed. The councils calculate that the cost of developing an individual CERIF interface to one of their systems at £13,000. However if all four possible interfaces were developed there would be some economies of scale and the RCs calculate a total cost of £40,000. While this figure is a substantial cost to the Research Councils, in comparison to the savings that could be realised by institutions it is very modest. As for HEFCE, the benefits to Research Councils are not directly financial but through CERIF to CERIF data transfers they will almost certainly gain in more timely and accurate information from institutions and make reputational gains through being seen to actively support a move towards standardisation of data within the sector. Additionally the greater consistency of data may make peer review of grant applications more straight forward.

Currently HESA only collect a small amount of data that is in the research domain. The recent announcement that HESA will provide HEFCE with REF data on research funding and research students may expand the scope of their activity and data coverage, but currently they do not anticipate any significant impact from the CERIF standard.

2 Introduction

2.1 Background

UK Higher Education institutions exchange information about research activities with a variety of other institutions and statutory customers for a range of operational and reporting reasons. Information exchange is one aspect of an institution's need to manage information about the research carried out within their institutions and the staff and students that carry out that research.

Research information requirements are in a state of flux as HEFCE replace the RAE with the REF and the Research Councils implement a more unified approach to funding applications through Joint electronic Submission (Je-S) and seek to harmonise outputs and outcomes reporting. Additionally, institutions which historically did comparatively little research are extending their research activity (for both financial and reputational reasons), leading to a greater need to cooperate and share information across institutional boundaries.

To support the sector in this period of change JISC is funding a significant strand of work entitled Research Information Management[1].

2.2 EXRI-UK Project

The JISC-funded Exchanging Research Information UK (EXRI-UK) project explored current and future scenarios for the exchange of research information in the UK. It describedscenarios for research information exchange, outlined key requirements and benefits, highlighted risks and produced a 'roadmap' of actions. The project also aimed to explore specifically whether any particular format (e.g. CERIF) would be suitable for adoption as a standard for research information exchange in the UK.

The project was asked:

i) To identify and document scenarios, requirements and criteria for exchanging research information in the UK.

ii) To appraise the options and, specifically, whether any particular format for exchanging research information (e.g. CERIF) would be suitable.

The EXRI-UK project report was delivered in early 2010 and concluded that there was a need for a standard for Research Information interchange. The report reviewed the capabilities of CERIF and compared it with other available technologies for modelling the research domain such as those available via semantic web. It concluded that while CERIF 2008 does have limitations it is emphatically the most suitable standard for UK HE.

2.3 Business Case for a Research Information Exchange standard

A group of senior RIM stakeholders agreed to support this recommendation in January 2010. On receipt of EXRI-UK project report it was agreed, in consultation with the key stakeholders, that a cost benefit exercise was needed to establish a business case for the adoption of CERIF 2008 as a research information interchange standard. The present report was therefore commissioned, with the intention of informing institutions, research funders and other research information users of the costs and benefits of adopting a common standard such as CERIF.

[1] http://www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt.aspx

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This report does not re-visit any of the work undertaken by EXRI and takes as given, their conclusion that CERIF 2008 is the best standard available.

For the stakeholders identified in the EXRI report this report considers the data exchange scenarios and outlines the principal cost/benefit factors. The factors can be either quantitative (usually financial) or qualitative (increased good will, esteem etc). Some of the benefits described would accrue from any universally accepted standard but in the absence of any other viable alternative, and following the agreed recommendations of the EXRI report, this report assumes that the standard will be CERIF 2008.

3 Key Stakeholders

The EXRI-UK report identified a set of key stakeholders and users of Research Information:

- Higher Education Institutions
  - Principal Investigators
  - Research Office
  - Web promotion of an Institution's Research
- Research Councils
  - AHRC
  - BBRC
  - EPSRC
  - ESRC
  - MRC
  - NERC
  - STFC
- Higher Education Statistics Agency
- Funding Councils
  - HEFCE
  - SFC
  - HEFCW
  - DENI

For each stakeholder a set of scenarios was identified where research information is either output or imported.

4 Models for Information Interchange using a common standard such as CERIF

4.1 'Native' CERIF

Core CERIF 2008 is an Entity-Relationship (ER) model[2] and as a result is readily incorporated into any Research Information Management (RIM) system as its base data model. Several commercially available systems, such as Atira's PURE and Avedas's Converis, are examples of systems built on the CERIF data model and are in use as research information management solutions across the UK and

[2] http://www.eurocris.org/fileadmin/cerif-2008/CERIF2008_1.0_FDM_forReview.pdf

Europe. Any institution wishing to develop an in-house RIM system can base their system on CERIF and avoid the expense of developing their own data model. Responsibility for the CERIF standard lies with EuroCRIS[3], a not for profit association of experts. Any institution or organisation can join EuroCRIS for an annual subscription (currently €50 for an individual, €250 for an institution) and propose changes to the CERIF model.

Because of the underlying data structures, CERIF based systems consolidate research information and therefore simplify data transfer. The degree of simplification is governed by the format of the data that is being exported i.e. the degree to which the receiving system is at variance with the CERIF standard.

The diagram below shows a CERIF system exporting data to a series of statutory customers and an institution where none are CERIF based. In this case the number of interfaces that have to be developed is one per customer/institution which in this example is four.

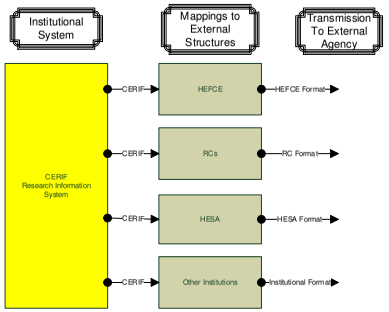


Figure 1. Institutions using a CERIF RIM to non CERIF data recipients

[3] http://www.eurocris.org/

An alternative, and ideal scenario, shows the CERIF system exporting information to statutory customers and institutions where all data recipients are also CERIF compliant. In this case there is no need for any interfaces as the system will support CERIF to CERIF data transfers as a standard task.

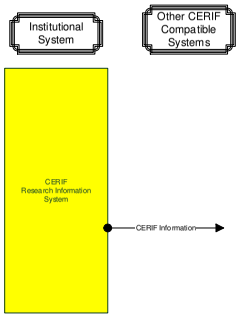


Figure 2. Institutions using a CERIF RIM to CERIF compliant data recipients

4.2 CERIF 'Wrapper'

It is also possible for CERIF to be used with systems whose underlying data model is not based on the CERIF standard. For these systems CERIF exists as a 'wrapper' where a mapping exercise between the underlying data model and the CERIF standard has been carried out and an interface developed which allows data in CERIF format (usually XML) to be exchanged between other systems either with similar wrappers or native CERIF.

Without a standard interface the overhead of maintaining interfaces to other systems such as collaborators and statutory data collections can be very significant.

The following diagram demonstrates the complexity of developing and maintaining multiple interfaces to external organizations. If the number of internal systems is N, and the number of external organizations in M, then the number of interfaces to be maintained in N*M, which in this example is sixteen.

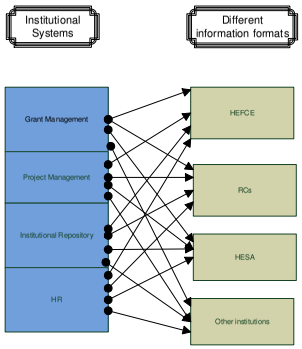


Figure 3. Institutions using a CERIF wrapper to non CERIF data recipients

This compares with the model where all interfaces are via a common, standard interface such as CERIF:

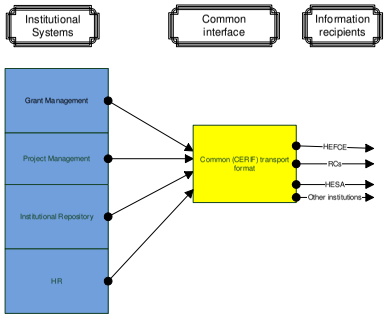


Figure 4. Institutions using a CERIF wrapper to CERIF compliant data recipients

In this case the institution simply needs to maintain N interfaces (the number of internal systems) to a common transport mechanism, which greatly reduces the number of interfaces that need to be maintained and additionally ensures that changes made to the interface are common to all data recipients.

All of the above examples represent a simplification of real life implementations but the differences that they highlight are real and the efficiency gains they demonstrate would be realised

Additionally the above examples illustrate a one-way flow of information, but of course there are instances when HEI's need to receive information from other information providers, and will benefit from implementation of a common exchange format.

Similar efficiency gains could potentially be made by RCUK, the Funding Councils and HESA if they were to move to a standard information exchange format like CERIF (qv).

5 Research Information Management Systems

The PA Consulting report on the 2008 RAE[4] found that many HEIs had poorly developed Research Information Management systems. This supports the research carried out by the RMAS project[5] and JISC infoNet[6] in January 2010 on the systems in use for RIM in institutions and found that many institutional systems to support research administration have grown organically and in response to specific needs rather than in a planned, coordinated way. PA Consulting concluded that this was to some degree exacerbated by the mismatch between the internal processes needed for effective management and the demands of external reporting, specifically RAE 2008. They reported:

'The RAE increasingly interacts with growing internal HEI capability in research management, which draws on functions of research support, financial administration and student and staff records systems. However, integrating these systems and processes has proved a barrier for some HEIs, and thus the cost of responding effectively to the RAE still requires dedicated and separate resource in most cases.'

To a degree these difficulties are aggravated by the breadth of information required for research administration. Even systems such as Atira, Converis, and Symplectic do not offer a 'cradle to grave' solution for institutions, as was acknowledged by the HEFCE RMAS project[7].

5.1 Current Activity in the RIM Systems

A recent survey of RIM activity within institutions by JISC infoNet[8] showed that over seventy percent of the respondents are planning development of their RIM systems within their current financial year. As far as we have been able to establish, most of this activity involves the purchase of RIM related systems rather than in-house developments. Forty percent of respondents were planning either developing or replacing their core RIM system and a majority are planning to replace or develop their institutional repository/publications database. The number of CERIF compliant CRISs installed in UK HEIs has risen from zero in 2007 to over twenty in 2010 with at least a further five institutions expected to purchase systems in 2010/11.

Some institutions have invested in in-house solutions to research management. Generally this has been in larger research intensive universities and has required significant effort. Some of the solutions were developed to support the RAE 2008. Much current activity is based on lessons learned from the REA 2008 and institutions are keen to improve their research management processes generally and prepare for future REF submissions.

The upsurge in activity around RIM systems is principally attributable to three factors.

1. The recent RAE highlighted the deficiencies in many university research systems and suggested that the cost of meeting the RAE had been higher than necessary. This coupled with the change from RAE to REF and concern for the work load that this may cause has stimulated activity.

[4] RAE 2008 Accountability Review
[5] http://as.exeter.ac.uk/rmas/report%20part%201.htm
[6] http://www.jiscinfonet.ac.uk/research/support-synthesis/systems
[7] http://as.exeter.ac.uk/rmas/overview.htm
[8] http://www.jiscinfonet.ac.uk/research/support-synthesis/plans

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2. There is a general need to provide better tools both for university staff and others wishing to access information on university research which has led to a significant amount of activity particularly in the area of Institutional Repositories and other research oriented web resources such as personal web pages and academic CVs.
3. The Research Councils have developed the submission system Je-S and are proposing new systems to track research outputs and link them to Research Council grants.

Suppliers of associated RIM systems such as grant management software are also becoming more aware of CERIF and its potential impact. Nick Gibson, Head of Education Solutions for Unit4 recently commented:

"… UNIT4 would support a CERIF interface standard for Research. As CERIF is already accepted across Europe where UNIT4 also has a large number of HE customers we would support such a standard if it gained traction in the UK and within the Agresso user groups. UNIT4 is already working very closely with a CERIF based Research Information System in providing a complete Research Solution Platform for UK universities and research institutions."

6 European Perspective

There are numerous examples of complex CERIF based CRIS systems in other European universities, institutes and national organisations as well as a movement within the European Commission itself towards CERIF.

The two principal RIM commercial systems available within Europe are Atira's PURE and Avedas' Converis. Currently PURE is installed in over fifty organisations in seven EU countries, including the UK, and Avedas', Converis is installed in a similar number of institutions and countries. Both companies report strong recent sales figures. The UK company Symplectic is continuing to develop its home and international markets and also reports strong sales.

Within the EU Commission's organisations and bodies, CERIF systems are now used in a number of areas such as the Bridge Network[9] and LifeCompetence[10] both of which are Converis installations. Additionally, the European Research Council and European Science Foundation are currently in the process of acquiring new grant application systems. Both have specified CERIF as a key selection criterion.

There are examples of large scale CERIF developments aimed at improving research information management in several European countries, incluing Norway (FRIDA), Flanders (FRIS), and the Netherlands (METIS).

6.1 FRiDA

FRIDA is an integrated research environment for the documentation and presentation of research activities, research results and scientific competence. Data from FRIDA is used to generate statistics for research activities at Norwegian universities and information provided by this system plays a major role in the annual research funding of universities. A working group was established in 2008 to look at the possibility of developing a common national research information system.

[9] http://www.nanobridge.eu/converis/
[10] http://www.lifecompetence.eu/

In 2009 it was decided that a restructured FRIDA named CRISTIN will be the common Research system in Norway which will include up to one hundred and fifty institutions. The main purpose of restructuring the FRIDA system is to make more of the data shared / common between the institutions while at the same time maintaining the institutional view, ownership and responsibility of their data.

6.2 FRIS

FRIS is a 'crossroads database' centralized at the Ministry in Flanders. The universities interact with this system using CERIF-XML. Some institutions have built CERIF-CRIS while others have wrapped legacy CRIS and associated systems to provide CERIF interfaces.

The return on investment modelling carried out by the EWI in Fanders[11] projects an overall saving on researcher effort of 1.25% in year one rising to five percent per annum over a four year period, increasing at 1.25% per annum. Over the first four years this will yield savings of €125 million (£104.5m) and €50 million (£42m) per annum thereafter.

6.3 METIS

The Dutch national system is rather more complex that the other examples and is currently being upgraded. The national central search facility, NARCIS, is intended as a one-stop-shop for all Dutch research outputs[12]. Each university has its own instance of the METIS CRIS system which is CERIF based and maintains its own record of the university's research outputs. The national CRIS, DANS (also CERIF based) combines information from all the METIS instances and standardises name, institutions etc. NARCIS harvests information from these and open access repositories to combine into the national portal.

6.4 Summary

As noted by Pablo De Castro[12], across Europe CERIF is gaining traction. As its use grows within the European Commission it is possible that systems such as Bridge that are pan-national will increasingly look to use CERIF as a common basis for information.

The national systems such as METIS, FRIS and FRIDA are in varying degrees of maturity but all demonstrate a significant national commitment to CERIF. The adoption of the FRIDA system as the basis for a national system which will inform funding decisions is a clear indication that in Norway the CERIF model is seen as robust and capable of developing to meet future demands.

There is some evidence that the use of CERIF is spreading beyond the EU, for example,it has been used in the U.S. Department of Agriculture's USDA-CRIS[13] and the SEMAT system in Iran[12].

[11] http://www.ewi-vlaanderen.be/en/landschap/about-ewi-flanders
[12] http://www.onderzoekinformatie.nl/nl/oi/papers/position_paper/Position+paper+CNR+May+2010+Elly+Dijk.pdf
[13] http://soneworkgroup.blogspot.com/2010/06/cris2010-aalborg-brief-report.html

7 Institutions

7.1 Background

The EXRI-UK report divided institutional usage into two sections, researchers and research administrators. For the purposes of demonstrating different scenarios for the use of research information this was a sensible distinction. However when considering the business case for the adoption of CERIF within institutions, the distinction is less clear cut.

Many of the costs of adopting CERIF are institutional rather than role based, most obviously investment in a RIM system. Here the cost of the purchase and implementation of a system will usually be viewed in the context of the institution as a whole rather than that of researchers or administrators and the corresponding benefits, while benefiting individuals, will be aggregated and applied to the institution as a whole in order to measure the success of the implementation.

7.2 Cost benefit Factors

In making a business case for the institutional adoption of CERIF it is necessary to acknowledge that there are wide differences between institutions which will affect both the attitude to a new standard and their ability to adopt it.

1. The research information management requirements of a large, research intensive university will be very different to those of a small teaching university. Those institutions with relatively small research portfolios will require proportionately higher savings per project to make CERIF financially attractive compared to those with large volumes of research applications, many collaborations and a high volume of statutory reporting.
2. The level of IT systems support in an institution will affect both the cost and the ability of an institution to adopt new standards. For example an institution that has invested heavily over a number of years in an in-house system to manage research information will probably be less willing to adopt new data structures than an institution which has no current systems and is embarking on an acquisition process.

   For the former, adopting a 'native' CERIF system would involve a costly and time consuming development of a new database and all data collection interfaces (and wrapping the legacy system for CERIF would be the most likely choice) while for the latter it is simply the inclusion of an additional criterion in a selection process.

7.3 Cost Benefit Analysis

7.3.1 Costs

RAE Baseline Costs According to PA Consulting[14] the total sector cost to HEIs of the RAE 2008 was £47,335,7090 which annualised to £6,762,200. Averaged across all institutions who submitted to RAE 2008 this equates to £612,800, annualised to £87,500 per institution. The PA Consulting report acknowledges that this is a generalisation and the figure is subject to variation by institution type and size. Their report argues that the chief determinant of cost for an institution is the number of researchers submitted and reaches the conclusion that the cost of RAE 2008 per researcher was

[14] http://www.hefce.ac.uk/pubs/rdreports/2009/rd08_09/

£1,127. This is an aggregated figure and does not simply express time spent by the researcher but all other associated expenses as well.

7.3.1.1 Discounted Consistent Overheads

With all ICT systems there is an overhead in institutional resource for the administration and running of the system. In the author's experience this overhead is generally consistent across proprietary systems and in-house developments and as such is ignored in the following sections.

7.3.1.2 CERIF System

According to EuroCRIS a CERIF CRIS costs in the range of €50,000 – €100,000 depending on a variety of factors including the size of the institution and number of either concurrent or registered users. Typically support and maintenance is charged at about 15%. The current average system lifecycle is approximately ten years[15] so an annualised cost of purchasing a CERIF CRIS would be in the range of €12,500 – €25,000 p.a. At current exchange rates this converts to sterling as £10,450 – £20,880 p.a.

7.3.1.3 CERIF Wrapper

To develop a CERIF wrapper requires a mapping exercise to the institution's internal data model and software a package developing to extract/import information into/from CERIF format. The most common estimate for this work is for twenty days development and ten days testing for a complete package. Institutions have a variety of different algorithms for calculating this type of development but an FEC costing provided by the Research Councils gives a figure of £13,000. As the standard develops, a wrapper will require updating and consequently we have made the 13,000 an annual cost rather than a one-off. Given that this represents approximately one third of an FTE in real terms or thirty days development and testing in FEC terms this is almost certainly a gross over estimate but provides a quantifiable annual cost. For consistency this figure will be used across all occurrences of a CERIF wrapper in this report.

For those institutions which already have fit for purpose RIM systems in place, as outlined above, a CERIF wrapper is the most cost effective way of meeting the standard.

7.3.2 Benefits

7.3.2.1 REF

As noted above, for RAE 2008, PA Consulting concluded that the cost of participating in the exercise was proportional to the number of academics submitted and calculated the cost per researcher to be £1,127. They annualised the cost over the seven year period to be £161. It is reasonable to assume that the REF will incur similar overheads and the figure from the RAE 2008 will be applicable to future REF collections. As the REF reporting cycle is likely to be every five years, the figure of £1.127 would annualise as £225*. The annual cost of the REF to an institution can therefore be expressed financially as a factor of the number of academics they submit.

A small university submitting one hundred academics would have an annualised cost of £22,500 while an institution submitting one thousand academics would have an annualised cost of £225,000 and so on.

[15] Educause 2004

EuroCRIS estimate that the savings on resource of preparing a REF submission could be as high as fifty percent. However this has yet to be tested and for the purposes of this analysis we have assumed a more conservative twenty-five percent (£56.25). For the two examples above this would give an annual saving of £5,625 and £56,250 respectively.

7.3.2.1.1 REF Pilot

The 2008/09 REF pilot was primarily focused on bibliometric submission but some wider lessons were also learned. Generally those institutions with a CRIS in place, such as Queens University Belfast and the University of Birmingham, were able to meet the needs of the pilot more easily and quickly than those without. The JISC infoNet analysis of the pilot[16] concluded that institutions should carry out their own cost/benefit analysis of their CRIS needs. An obvious extension of this would be to consider as part of the analysis the benefit of having a system that could provide data directly to HEFCE without remapping or secondary manipulation.

7.3.2.2 Research Councils

7.3.2.2.1 Grant Applications

Grant applications to Research Councils have varied significantly in recent times, particularly during the introduction of fEC payments. Appendix B shows the latest figures available, with around 12,230 grant applications annually. In the RAE 2008 Accountability Review, PA Consulting state that:

"Research Council bidding and monitoring is estimated to cost over £85m annually, …"

Which gives an average institutional spend of £6,951 per application*.

EuroCRIS estimates that on average* a fully populated CERIF based CRIS could cut the institutional costs of making a RC proposal by up to one third since one can automatically generate cross linked sets of CVs, bibliography, relevant past research etc. Some degree of individual tailoring for an application is inevitable but the gains in time and resource saving of related and grouped resources over the more common unstructured set of references is significant. Given the above figures this would realise a gross saving of approximately £2,317 per application.

Irrespective of the savings made in meeting the REF, balanced against the cost of either the development of a CERIF wrapper or the purchase of a CERIF CRIS the annualised breakeven point is a low number of grant applications:

CERIF/Standard 'engine'	Calculation	Break even point
Small Institution native CERIF RIM System	10,450/2,317	4.51 applications
Large Institution native CERIF RIM System	20,880/2,317	9.01 applications
CERIF Wrapper	13,000/2,317	5.61 applications

*These figures need to be treated with some caution. The benefits for an institution with very poor, inefficient, mainly manual processes will be significantly higher and easier to realise as they are

[16] http://ie-repository.jisc.ac.uk/338/

starting form a low base while an institution with mature, centralised, efficient processes and systems which will probably have a skilled resource readily available and the benefits would be smaller but more quantifiable and quickly realised. However an average figure does provide a unit of currency from which comparisons can be made.

7.3.2.2 Research Outputs

The RCs have recently changed their plans for the collection of research outputs. Institutions will be expected to provide more information on the outputs they generate as the result of RC grants. The existing RC systems are to be developed and a more rigorous linkage of income and output developed. The FRIS system in Flanders is principally output based and the projections for this systems is that it will yield efficiency gains of 1.25% per researcher in year one, rising to 5% in year four[17]. If the implementation of a CERIF to CERIF research outcomes system in the UK reproduced these efficiency gains the savings to HEIs would be significant. Approximately 42,000 researchers were submitted to the RAE 2008 at an average researcher salary of £45,000. This would yield sector savings of £28,350,000 in year one which would rise to £94,500,000 per annum in year four and beyond. Expressed as a saving per researcher this would be £675 in year one and £2250 in year four and beyond.

Using the previous examples of 100 and 1,000 researcher institutions this would yield year one savings of £67,500 and £675,000 respectively rising to £225,000 and £2,250,000 in year four.

The FRIS projections are that much of these savings are made up of saved researcher effort but there is also some premium on administrative overheads. If this is again replicated in the UK then much of these savings will be freed time for academics to pursue other activities.

7.3.2.3 Collaborations and Web Pages

The EXRI-UK report highlighted the needs of institutions to share and publicise their research. Commercially available CRISs easily support this and provided added value to Institutional Repository output by linking outputs to project details, academic CVs, previous publication histories and institutional data. It is self evident that, for collaborations across institutions, a standard format will greatly ease the generation of shared resources such as joint reports, researcher profiles etc. The CRISpool project[18] will provide concrete information on the benefits of this but it is also possible to develop some projections.

The government interoperability agenda (www.data.gov.uk) provides a platform for linked data development. A CERIF based system will support the linking of related data such as projects (and their associated funding), people (researchers), outputs and institutions to their datasets. Amongst other benefits this would allow the dataset to be placed in context and support correlations between it and other datasets to be developed. This in turn would lead to greater ability to integrate different strands of research in innovative and different ways breaking down the 'silo' effect of much research output and data.

The cost of maintaining web pages for researchers, department etc using conventional web authoring tools is of the order of 10 hours per page per year. The cost of developing and maintaining a CERIF-CRIS system to drive generation of web pages requires perhaps 20 days/year.

[17] EWI, Flanders, Belgium
[18] http://www.crispool.org/

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Given 1000 researchers, and assuming there are group pages per 5 researchers and department pages per 100 researchers then the cost comparison is for 1200 pages (12000 hours = 1500 days) against 20 days per year. Using FEC costings of £433/day this gives a comparison of £649500 against £8660.

In addition to information exchange, there are clearly benefits to the strategic management of research in a Research institution to be obtained with a populated CERIF-CRIS. Decisions can be made with quality information on strategic directions, investment decisions, departments where increased assistance/coaching should yield results etc. It can affect the strategy to choice of publication and dissemination channels for research results, and track innovation, knowledge exchange and impact on society. It also is available to answer 'what-if?' type questions.

For the individual researcher there are also benefits in finding collaborators – especially in fields adjacent to their own (where presumably they know the key players) – and in tracking competitors.

With CERIF being more widely adopted internationally this allows the extension of these benefits to an international scope. This is particular important for example in finding appropriate external examiners or referees.

A CERIF based CRIS can provide significant added value to an institutional repository when seeking to promote an institution's research profile to a wider audience. By providing linked data sets of research outputs, researcher profiles/CVs and institutional information, prospective partners from the commercial and private sectors are able to more fully assess the extent to which the research and expertise that it represents can be leveraged by their organisation. It also can provide easier pathways into an organisation and allow contact to be established more directly with the experts with whom commercial sponsors wish to liaise. The value of such contacts will vary from one institution to the next.

A further benefit to the sector of a widely adopted standard would be the availability of developers and administrators who can share experience and expertise of the common interoperability standard. Consequently they could provide support networks and a more mobile workforce.

7.4 Summary

From the above figures it would appear that the breakeven point for the ownership of a CRIS is very low in terms of research activity.

For any given institution an expression of annualised savings of owning a modern CRIS using CERIF or a CERIF wrapper can be expressed as:

(X*56)+(Y*2317)

Where X is the number of researchers to be submitted to the REF and Y is the number of grant applications per annum to Research Councils.

Balanced against the savings is the cost of either a CERIF wrapper (£13,000) per annum or CERIF CRIS (£10,450 - £20,880 per annum).

The efficiency gains of a CERIF CRIS for reporting research outcomes cannot be expressed in the same terms as grant applications and REF submissions but, based on the Belgian projections for FRIS, sector savings of at least £25m would appear possible.

There are significant gains to be made by basing the research 'shop window' on a CERIF CRIS. These are both reputational and tangible.

8 Funding Councils

The EXRI-UK report identified in the past the principal research information flow between institutions and HEFCE was in support of the RAE and that in the future will be the REF data. Given that the final definition of REF is still not confirmed there is a degree of 'best guess' when discussing the information requirements of the REF. However the circular letter 4/2010[19] gives a clear indication of HEFCE's intentions.

In addition to the REF there are a set of formal and informal data flows between HEFCE and other funders, such as RCs, and HESA.

EXRI-UK also acknowledged that as well as HEFCE there are other UK national funding bodies SFC, HEFCW and DENI but given the pivotal role that HEFCE plays as a data collection agency for the REF this report will follow the EXRI lead and concentrate on HEFCE.

8.1 RAE 2008

In the wake of the RAE 2008 there were two independent reports; the PA Consulting 'Accountability Review' and Price Waterhouse Coopers' Review of the Data Collection System for RAE 2008[20]. The former was principally focused on the institutional perspective of the RAE while the latter addressed the support for submitting RAE information to HEFCE. The PWC report concluded:

"Our findings from this review indicate that the Data Collection System supported the RAE2008 effectively and resulted in a 'fit for purpose' system for the HEIs."

"The financial estimate of the costs of delivering and supporting the Data Collection System from 2004 through to 2007 has been calculated at £735,000."

"Utilise the RAE2008 Data Collection System as a basis for future systems moving forward. The Data Collection System was effective for the majority of HEIs and given that the HEIs are familiar with the system it would be sensible to develop this existing system further or design any new system using that same familiar functionality."

The report found that while institutions did have issues with the software, generally the data collection system worked well. HEFCE are conscious of the differing research profiles of institutions submitting information to the RAE and their ability to invest in complex RIM systems. As a result their systems supported a range of methods for submitting data and exporting it back to institutions. The list of supported formats was:

[19] http://www.hefce.ac.uk/pubs/circlets/2010/cl04_10/
[20] http://www.rae.ac.uk/pubs/2008/HEFCE_RAE_DCS_Review.pdf

- XML
- Excel
- Access
- Delimited text file
- End Note
- Reference Manager
- RTF

8.2 REF Collections

Work has already started on developing a REF data collection system. In line with the recommendations of the PWC report the RAE 2008 system is being redeveloped to provide institutions with a similar system for the REF.

HEFCE are confident that their internal data model reflects their information needs which are, in part, policy driven by bodies such as the REF Steering Group. The development team at HEFCE estimate is that a redevelopment of the underlying data model into a CERIF format would take approximately three months. Notwithstanding the year's delay announced to the REF timetable, HEFCE feel that a redevelopment of their base data model into CERIF is a risk to their data collection and an unnecessary learning load on their development team. An additional concern for HEFCE is that CERIF does not currently formally support some uniquely HEFCE concepts such as Unit of Assessment (UoA). However, both the Readiness for REF project at Kings College London[21] and St. Andrew's University (a UK PURE installation) have considered how to map UoA and arrived at workable solutions which map UoA to OrgUnit .

However to support institutions, as part of the redevelopment of the data collection system, a CERIF import/export format will be supported by HEFCE. The proposed list of supported import/export formats has been revised and now reads:

- Microsoft Excel (1997 – 2003 and 2007)
- XML – REF Format
- Microsoft Access – REF Format
- Microsoft Access – RAE 2008 Format
- Delimited text file
- Endnote export
- Reference manager export
- CERIF
- PDF attachments

[21] http://www.jisc.ac.uk/whatwedo/programmes/inf11/sue2/r4r

We strongly recommend that before developing their CERIF interface HEFCE staff discuss the design with the R4R project and institutions implementing or running CERIF systems such as the universities of St Andrew's, York and Hull.

By developing a CERIF import/export facility HEFCE stand to benefit from greater consistency in the information they receive and a much quicker turnaround from CERIF compatible institutions. In addition they are seen to be actively supporting the HEBRG[22] work aimed at minimising the reporting burden on institutions. Finally there would be reputational gains from being seen to provide a standards compliant interface and a strategic lead to the sector in adopting a new standard.

A further possible benefit would be the potential to pass information between HEFCE, HESA and the research councils using a common format. This would, of course, require a tripartite agreement that CERIF is capable of supporting these data flows.

Though the work to develop the interface will be bundled in with the development of the system as a whole, HEFCE accept the RC figure of £13,000 as a 'worst case' cost to assign to the development work but expect it to be rather less.

8.3 Other Collections

While the RAE/REF is by far the biggest collection from institutions to HEFCE other data collections such as the annual Transparent Approach to Costing (TRAC) returns are also supported by CERIF and institutions would reduce the cost of making these returns by deploying a CERIF CRIS. As with the REF it would be helpful if HEFCE considered whether a CERIF compliant data collection system is viable as part of their periodic data collection systems review process.

8.4 Summary

The principal data flow between HEFCE and institutions is the REF.

The benefits to HEFCE of a CERIF interface for this data flow are likely to be principally qualitative, as the data will be less ambiguous, more accurate and delivered more quickly. Additionally there would be reputational gains from being seen to provide a standards compliant interface and a strategic lead to the sector in adopting a new standard.

To develop the interface for a single REF event will be a one off event and as it will not have to function through intervening periods a single development per REF. Assuming a five year cycle of REF collections this gives worst case annualised costs to HEFCE of £2,600 per annum.

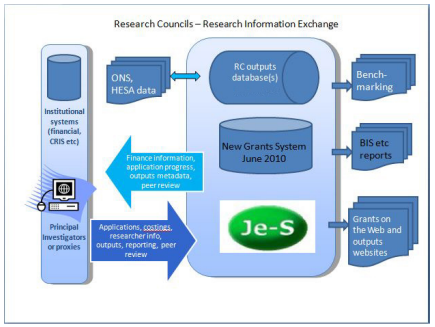
9 Research Councils

There are seven Research Councils in the UK each of which covers a specific area of expertise. In total, the research councils are responsible for distributing about £2.8 billion annually to institutions for research projects. Research proposals from institutions can be either in response to a specific call from an RC or a request to fund a research idea developed within an institution. Currently the success rate for proposals being accepted and funded by an RC is 23%.

[22] http://www.universitiesuk.ac.uk/ABOUTUS/ASSOCIATEDORGANISATIONS/Pages/HEBRG.aspx

The RC's exchange information with over 150 HEIs, and PA Consulting reports that the annual institutional cost of bidding and monitoring bids to the Research Councils is in excess of £85 million. While this figure is substantial, in the context of the £2.8 billion which is distributed annually is represents an overhead of only 3.4%.

The EXRI-UK project represented the research information flows involving RCs as:



Though it should be noted that the new Grants System will now not be in use until some time in 2011.

The two major interfaces between the Research Councils and institutions are for incoming proposals (Je-S) and the end of project information. The current proposal is that research outcomes will be collected by the RCs in a systematic manner for a considerable period after the end of a project.

9.1 Joint Electronic Submission (Je-S) System

The Je-S system has been in use for a number of years and is embedded as the submission mechanism for all grant applications to all research funding councils. Currently there are two upload facilities:

1. RODES for uploading a complete proposal uploaded from an institutional back end system.
2. A facility to upload costing information into an existing Je-S proposal.

These facilities were reviewed by Duke & Jordan Ltd in 2009[23]. The review concluded that only the most research intensive universities had considered using RODES and that a significant number of users of the costing systems found the system difficult for a number of reasons. Within the report Duke & Jordan noted:

"If the use of CERIF were to be the cause of lack of use of the upload system, RCUK would be prepared to invest in adaptation of the upload system to handle CERIF, as long as this did not require a major re-engineering of the system. However, RCUK has no direct evidence that its lack of CERIF compliance is the cause of its lack of use. "

Historically the final sentence is undoubtedly true but since the Duke & Jordan report was written a number of factors have changed:

1. The EXRI-UK project has reported and their report has been generally accepted. Because of this and the increasing market penetration by PURE, Converis and Symplectic, CERIF is now in the process of becoming the de facto standard for research information interchange in the UK.
2. Institutions have increased their system acquisition activity and increasing numbers of institutions now have, or soon will have, CERIF compliant systems such as PURE, Converis and Symplectic.
3. The RMAS project is progressing and, as set out in the Invitation to tender, the suppliers, and therefore pathfinder installations, are expected to be CERIF compliant.

The Research Councils estimate that the cost of developing an additional (CERIF) interface to be in the order of £13,000. EuroCRIS estimates that a fully populated CERIF based CRIS could cut the institutional costs of making a RC proposal by up to one half (but herein we use the more conservative 25%) since one can automatically generate linked sets of CVs, bibliography, relevant past research etc.

As discussed in section 4 the benefits of an internal CRIS are substantially increased by a common interface between institutions and funders. The largest gains are made when data from internal systems do not have to be mapped to external systems; a process which is both time consuming and will probably introduce inconsistent data due to mismatched data definitions. It should be noted that a well developed CRIS does not, of itself, guarantee easy data interfacing; as part of the REF pilot, one institution with well developed, mature internal systems struggled badly to provide usable data to HEFCE's third party data collection agency. Meeting the requirements of the REF pilot required more than one hundred and fifty days resource compared to a similar university which required less than ten[24]. This was principally caused by having a system that was almost entirely modelled on internal processes and information needs and failed to appreciate the evolving needs of the wider community. Had the system been either based on a standard or designed to interface with an external standard the problems encountered might have been avoided.

As noted above, even if the estimate for savings per application is high, and the actual savings are nearer twenty-five percent, this still represents a sector saving of £21 million; a payback ratio of in

[23] Desk study to review the potential for reinvigorating the Je-S costing upload service
[24] http://ie-repository.jisc.ac.uk/338/

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excess of 1000:1 on a fully compliant sector. Alternatively, there is already a take up of CERIF CRISs by more than ten percent of institutions which would still yield a sector saving of £2.1 million, a return of more than 100:1.

Each Council currently runs their own Grants on the Web system. There is an intention to provide a cross-council system, and this should be provided with a CERIF-xml data extract format to enable institutions more easily to exploit the data made available in this way.

9.2 Research Outcomes System

Late in the preparation of this report the Research Councils jointly took the decision that in the current economic climate the development of a new Research Outcomes System could not be justified. Consequently the option of a CERIF based new system is no longer a possibility.

Currently within the Research Councils there are three individual research output collection systems in place:

- ESRC, Society Today
- MRC, e-Val
- NERC, ROD

It is planned that each of the seven Councils will use one or other of these systems, rather than developing a single replacement system. The expectation is that four of the councils will use Society Today, two will use e-Val, and NERC will continue to use ROD. It is anticipated that over time there will be increasing convergence of data collection formats, and exchange options. Use of SWORD for multiple deposition of output information is being investigated. The common specifications could, but not necessarily will, be CERIF compliant.

None of the existing systems is built on the CERIF model and there are no plans to redevelop the base data models. It is possible however that CERIF wrappers could be developed to front end these systems. Given that the underlying structures of these systems are substantially different from each other it is probable that each would need its own wrapper. However it is probable that savings will be possible as there will be a degree of economy of scale and shared effort especially in the data mapping exercises. The Research Councils estimate that the total resource require to build a CERIF wrapper for each of the outcomes collection systems and Je-S would come to a total of £40,000.

9.3 Internal Exchange Formats

As with the Funding Councils the Research Councils are clear that their internal systems are currently fit for purpose and that there is no immediate need to make them standards compliant. However as the councils move to increasingly harmonise data definitions and share common definitions and processes it would be sensible to incorporate CERIF into any system review as and when internal systems are routinely replaced at the end of their lifecycle.

9.4 Liability

There is a reasonable concern within the Research Councils that by adopting the CERIF standard the councils could be viewed as imposing a standard on the sector and find themselves subject to demands that they meet the costs of its implementation. We believe that this fear is unfounded for a number of reasons:

1. The motivation for the adoption of CERIF did not come exclusively from the Research Councils but from JISC chaired Research Information Management Stakeholders Group, which represents the whole sector.
2. By implementing a CERIF wrapper to their systems the Councils are not imposing a new requirement but complying with an existing standard (and an EU recommendation).
3. In the review of the HESA student record in 2006, HESA changed the submission format from a single denormalised record to a moderately complex relational model and the submission method from a flat, comma delimited file to an XML stream. Institutions were required to fund the development work to allow them to make this new submission which for some, smaller institutions represented a significant technology upgrade but HESA did not receive any requests for compensation. Similarly despite the, at times, difficult interface[22] the Research Councils did not receive requests for compensation when Je-S was implemented.
4. With the growth of awareness of CERIF in the last twelve months and the increasing number of CERIF compliant institutions in the UK it is more likely that the development of an interface using a familiar standard will be welcomed rather than the converse, especially as the alternative would be an interface based on the internal research Council data structures which are unlikely to map onto any institutional system without the investment of considerable development resource.
5. Given the overwhelmingly positive cost/benefit analysis for institutions of a CERIF interface it would be perverse of institutions to object to one being put in place.

9.5 Summary.

The principal data flow between Research Councils and institutions are via Je-S and the various evolving, research outcomes systems.

The benefits to RCs of a CERIF interface for these data flows are likely to be principally qualitative, as the data will be less ambiguous, more accurate and delivered more quickly. Additionally there would be reputational gains from being seen to provide a standards compliant interface and a strategic lead to the sector in adopting a new standard. An indirect benefit to RCs could be that the greater consistency of data flowing from CERIF CRISs may make peer review of grant applications more straight forward.

To construct a 'one off' additional interface to Je-S is estimated at £13,000 with annual on costs to maintain the interface as the standard changes. However in light of the recent developments with research outcomes project the RCs estimate that a cost of £40,000 will be sufficient to develop all four required interfaces (one for Je-S, three for research outcomes).

10 HESA

In comparison to HEFCE and the Research Councils the amount of research related data collected by HESA from institutions is currently small. The impact of the recently announced decision that financial data on research income and post graduate research (PGR) students for the REF will be supplied by HESA is still being assessed and could lead to both organisational and information requirement changes.

HESA stress that they are, in principle, in favour of standards and as and when their data collection systems are reviewed they will be happy to consider CERIF definitions as part of the review process.

HESA note that just as for HEFCE's Unit of Assessment , cost centres are not explicitly supported by CERIF and they would want an agreed definition for such items. Additionally in some areas, such as gender definitions, the international standard used by HESA is at odds with the standard within CERIF.

Many of the data flows from HESA are to statutory customers such as HEFCE and the Department for Business, Innovation and skills. There would be efficiency gains to be made by having a common format for all outward information flows but HESA does not anticipate any demand for this in the medium term. In part this is because CERIF by its very nature imposes a common 'world view' and currently the different customers do not share a common world view. As a data collection agency HESA are not in a position to dictate a world view on other statutory agencies and must therefore supply information in the format it is requested.

The EXRI-UK report noted:

"HESA currently collect information about the institution as a whole, its staff, students and finances. Although some of the information they collect is research-specific, it would be an expansion of its role to collect the kind of detailed information required by the Research Councils. Similarly, collecting all the information the REF requires would be a wider remit. There is no obvious reason why this should not happen in the future and there are obvious efficiency gains in having all the HE data collection exercises under one roof, providing the responsible agencies were confident that their needs were being met. If each institution were only dealing with one point of collection for this data rather than three, then presumably this would also lead to efficiency gains at HEIs. It might be argued that in a world of linked data with all HEIs using a standard data format for research activity data it becomes irrelevant where the collection exercises are based, but it is likely that a single point of collection would push forward any progress towards standardisation and help to remove obstacles and barriers."

We also support the concept of a single, specialist data collection agency and would agree with the above statement. A single agency would undoubtedly be in a better position to support the 'Better Regulation' agenda and its 'collect once use many times' philosophy. Unfortunately we have found that currently it impossible to quantify the efficiency gains that would accrue to institutions, RCs, and funding councils from such a change in data collection mechanisms.

11 Barriers to Success

There are very few technical barriers to the success of CERIF 2008 as a standard for research information interchange. As has been discussed CERIF compliant CRISs are readily available and are reasonably priced. There is general agreement that constructing a CERIF wrapper needs a competent data architect and developer but is relatively straight forward and quick to achieve. One danger to be avoided when developing wrappers is when there is potential for ambiguity in a mapping (i.e. two institutions may map the same piece of information from their CRIS onto different CERIF entities/attributes). In this case it is important that there is a mechanism for identifying a defined 'correct' mapping. This may require some community or shared resource (such as a repository) or may be within the scope of EuroCRIS to manage.

A more substantial risk to this project is that of leadership. There is possibility that all parties will wait for others to take the lead; funders wait for a demonstrable demand from the institutions before reacting and institutions wait for funders to put in place the mechanisms that guarantee a return on their investment before implementing CERIF systems. Given that between ten and fifteen percent of institutions already have CERIF compliant systems it can be argued that a critical mass has been achieved and the demand from institutions has already been demonstrated. Thus the benefit to this group of CERIF to CERIF interfaces already significantly outweighs the cost to the funders. HEFCE have already committed to providing CERIF compatible interfaces for the REF in addition to other more established ones. We would suggest that other funders should follow the HEFCE lead in order to reassure institutions.

A final barrier to success could be capital outlay. For institutions the cost/benefit analysis will usually be extremely positive but all software implementation or development projects require an initial outlay, which may coincide with a period of austerity. Also it must be acknowledged that some of the savings identified will be in the form of increased research staff efficiency and as such will not result in 'money in the bank'. It is for each institution to make a decision on where its spending priorities lie but in a time when teaching budgets are likely to be under pressure those universities with effective systems for maximising research income will be at an advantage.

12 Conclusions

12.1 Cost benefit Summary

12.1.1 Institutions

Precise institution by institution figures are impossible to derive. The table below provides indicative figures that can be applied. Appendix C contains a worked example of an artificial 'average' university.

Costs	Direct Benefits	Indirect Benefits
One of: Institutional CRIS @ £10,450 – £20,880 p.a.	Potential savings of £56 p.a. for every academic submitted to the REF.	
CERIF wrapper for existing CRIS systems @£13,000 p.a.	Potential savings of £2,317 per application to the research Councils	
	Increased efficiency in managing data driven web pages and academic CVs	
	Increased efficiency in managing intra institutional collaborations	
	Increased transparency to the wider sector.	

12.1.2 HEFCE

Costs	Direct Benefits	Indirect Benefits

Development of a CERIF compatible interface to the REF data collection system @ £2,600	Increased data accuracy through CERIF to CERIF data transmission	Contribute to savings within institutions of up to £56 per researcher per year.
	Increased timeliness of data through CERIF to CERIF data transmission.	Support for the HEBRG concordat
	Reputational gain by being seen to conform and promote a standard	

12.1.3 Research Councils

Costs	Direct Benefits	Indirect Benefits
Development of a CERIF compatible interface to the Je-S and three research output systems. Either £40,000 collectively or £13,000 each.	Increased data accuracy through CERIF to CERIF data transmission	Contribute to savings within institutions of up to £2,317 per research application.
	Increased timeliness of data through CERIF to CERIF data transmission.	Support for the HEBRG concordat
	Increased efficiency of peer review due to greater consistency of format	
	Reputational gain by being seen to conform and promote a standard	

12.1.4 The HE Sector

Scaling costs and benefits to sector wide figures can only provide crude approximations. However the following figures do give a feel for the scale of the costs and benefits.

Assuming annual institutional expenditure of £13,000 on CERIF CRIS systems or CERIF wrappers; £40,000 expenditure by RCs and £2,600 by HEFCE; total annual expenditure would amount to:

£2,109,600

Annual financial savings across the sector would be those in institutions, which, based on RAE 2008 figures would be:

REF savings: £2,366,756

RC Applications savings: £28,332,276

Giving gross annual savings of: £30,699,032

12.2 Other Conclusions

The degree to which an institution will gain by implementing a CERIF CRIS will depend on the sophistication of any pre-existing RIM systems. For institutions with poor systems a CRIS will be cost effective for even those institutions with a relatively modest research portfolio. Any institution

purchasing a CRIS should specify CERIF compliance as a mandatory criterion. For those institutions with pre-existing, fit- for-purpose systems, developing a CERIF wrapper is a relatively low cost alternative to system acquisition which will also yield significant benefits. Institutions can use the formulae supplied in section 7.4 to calculate the gross benefits of implementing CERIF compliant systems compared to the costs. For most institutions there will be a significant financial benefit to adopting the CERIF standard.

The balance of the benefits of a widely implemented CERIF standard will fall to institutions who can import and export CERIF information either directly from a CERIF based CRIS or from a CERIF wrapper. However for the full benefits to be realised the statutory customers such as HEFCE, and the Research Councils will need to make CERIF compatible facilities available for accepting and disseminating research information related to the REF, research applications and research outputs. HEFCE have already committed to including a CERIF interface as an option within the REF data collection system which will be of increasing value as more institutions switch to CERIF compliant systems and processes.

The decision of the Research Councils to discontinue the research outcomes project in its original form has a significant effect on the impact of CERIF on the RCs. While incorporating CERIF into a new system represented a modest saving in development costs the development of three additional CERIF wrappers for the existing research outcomes systems is a noticeable additional cost. To minimise the cost this development could be bundled in with the development of a CERIF compatible interface for Je-S. Without the relatively modest expenditure by the Research Councils to update Je-S and the research outcomes systems some of the potential gains to institutions will be lost as institutions will have to continue to use Je-S interactively or map their data to the RODES and research output systems.

There are potential efficiency gains to be made by developing CERIF compliant systems for data transfer between HEFCE, research Councils and HESA. However within these organisations this is not currently seen as a priority.

The Readiness for REF project and those UK institutions which have proprietary CERIF based systems have built up a valuable pool of expertise in mapping CERIF to HEFCE and Research Council structures which could be leveraged by the sector as a whole, including HEFCE and the research Councils.

The benefits for research funders are less clear cut than for institutions and are mainly qualitative in that they will receive more consistent, less ambiguous and more timely data. In addition they would benefit by being seen to be actively supporting the HEBRG work aimed at minimising the reporting burden on institutions.

In light of the conclusions in the EXRI-UK report, the development of CERIF interfaces by HEFCE and the Research Councils should be portrayed as them providing a lead to the sector in adopting a standard rather than imposing a variety of non-standard interfaces based on internal and individual data models as has been the case in the past.

In light of the EXRI-UK findings it would undoubtedly be beneficial to the sector as a whole if institutions, HEFCE, the Research Councils and HESA joined EuroCRIS and formed an active

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community to ensure that the standard continues develop and better support the UK HE information needs.

13 Recommendations

13.1 For JISC

1. That JISC continue to promote the CERIF standard to the sector and engage with other bodies to further embed the standard into UK research management processes.
2. That JISC consider what support can be given to developing definitive mappings from non CERIF RIM systems from which CERIF wrappers can be developed. JISC should consult with organisations such as UCISA and ARMA as to the best way this support can be delivered but may take the form of a shared open access repository for institutions to deposit mappings for re-use.

13.2 For Institutions

1. That institutions without a modern CRIS consider the above cost/benefit analysis in relation to their research profile and consider investing in a system.
2. That institutions currently investing in a proprietary CRIS make the inclusion of CERIF as a database and input/output standard mandatory selection criteria.
3. That institutions developing an in-house CRIS make CERIF compatibility a mandatory design criterion.
4. That institutions join EuroCRIS and actively engage with the organisation and the standard to ensure that the needs of institutions are fully met.

14 Appendix A

14.1 Interviews carried Out

The author would like to express his gratitude to all those who met with him and helped in the production of this report.

Name	Organisation
Professor Keith Jeffery	EuroCRIS
Pamela MacPherson-Barrett, Chris Taylor	HEFCE
Nikki Rogers	University of Bristol/EXRI-UK project
Simon Kerridge	University of Sunderland/ARMA
Andy Youell, Catherine Benfield, Rachel Shapton	HESA
Alan Green, Dale Heenan, Gerry Lawson, David Thomas	Research Councils UK

15 Appendix B

15.1 Research Council Grant Applications

The following figures were supplied by the research Councils and are principally taken from individual council's annual reports:

year	Council	Applied	Funded	
08/09	NERC	1685	400	
07/08	STFC	344	138	
08/09	MRC	1925	401	
09/10	ESRC	245	40	
09/10	BBSRC	1865	415	
08/09	AHRC	1830	329	
08/09	EPSRC	4334	1148	
Total		12228	2871	23%

16 Appendix C

16.1 Worked example of Institutional Costs and Benefits

It is extremely difficult to present exact cost benefit figures for institutions as there are huge variations in size and research profiles across the sector as well as the differing states of ITC support for RIM.

One artificial indicator for calculating potential savings would be to invent an average university by taking median figures for academics submitted to the REF and grant applications to the Research Councils and feed these through the formulae described in Section 7.5.

Given the number of participating in the REF HEIs is 159, this would give a figure of academics submitted to the REF of:

42001/159 = 264

and the number of applications to Research Councils as:

1228/159 = 76.

Therefore average annual costs are:

(76 *6951) + (264 *225) = (534591) + (59541) = **£594,132**

Given the estimated savings of 25% for REF and 30% for grant applications this will realise savings of:

(76 *2317) + (264 *56) = £ **175,262 per annum**

There would then be additional savings of data driven web pages, inter institutional communication etc. as well as reputational gains.

An average annual cost of a CERIF CRIS would be £15,665.

This would give net annual savings of **£159,597 p.a**.

For institutions using a CERIF wrapper the annual cost would be £13,000

Yielding net benefits of £**162,262 p.a**.

17 Appendix D

17.1 Glossary.

Term	Meaning
HESA	Higher Education Statistics Agency
HEFCE	Higher Education Funding Council for England
RAE	Research Assessment Exercise
REF	Research Excellence Framework
CERIF 2008	Common European Research Information Format 2008
RIM	Research Information Management
CRIS	Current Research Information System
Je-S	Research Councils UK's: Joint Electronic Submission System
RCs	Research Councils
EXRI-UK	JISC funded project: Exchanging Research Information in the UK
ER model	Entity Relationship model
XML	Extensible Markup Language – a definition for data transport
RMAS project	Research Management and Administration System project
FEC	Full Economic Costing
SFC	Scottish Funding Council
HEFCW	Higher Education Funding Council for Wales
DENI	Department of Education Northern Ireland
RTF	Rich Text Format
UoA	Unit of Assessment; a HEFCE classification of research areas
PDF	Portable Document Format
HEBRG	Higher Education Better Regulation Group
PGR	Post Graduate Research

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Spring 2010 Newsletter

The Professional Association of Research Managers and Administrators



ARMA e-news

From the Chair

I'm pleased to report that ARMA membership has exceeded 1,500. To put this in context, our target in 2005 was to stabilise at or above 650, and to achieve 800 by 2008. This level of growth shows that we continue to offer relevant events and opportunities, providing value to participants.

Since the last Newsletter, we have been involved in a number of meetings and groups. These have included the TRAC Development Group, an RCUK meeting for learned societies and associations to discuss impact and relevance of research, interactions with JISC on research information and systems, and a discussion with RIN about how we can work together. The Board has also recently been discussing a significant development in support of the profession, which we will be announcing shortly.

In the current context of constraints on public funding, institutional ambitions to grow research and related income remain strong. We therefore believe that there continues to be an essential place for research managers and administrators, and for their professional development.

Ian Carter

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New Special Interest Groups (mailing lists)

The special interest groups are being used regularly and the number of members subscribing continues to rise. Current special interest groups are:

- Arts & Humanities
- Best Practice
- EC Research
- Ethics
- Job Vacancies
- NHS Research
- Electronic Research Administration
- Project Management
- REF
- PGR
- Research Governance

If you would like to suggest a new SIG, then please contact Rosemary or Jenny who will be pleased to create one for you. If you haven't already signed up, you'll find instructions from a link on the ARMA Home Page.

ARMA Conference 2010 - 'Making an Impact'

8/9th June, the Midland Hotel, Manchester

We look forward to welcoming ARMA members to the annual conference in June. This year the venue is the Midland Hotel in Manchester's city centre.

Over thirty, themed parallel sessions will cater for all levels of experience - and are designed to interest members working both in specific areas or across a wide range of activities. Check out the website for details. The event is an opportunity for research managers and administrators to meet major funders and policy makers, as well as each other, to discuss and debate this year's theme of "Impact" and also the wider challenges facing us all. Booking will open shortly.

We've negotiated special accommodation rates at the conference hotel. So if you'd like to book your accommodation now, please contact Rosemary or Jenny for the booking code.

For the fourth successive year the conference will include a poster presentation exhibition. It's not too late to submit a poster!

Please contact Anna Harding for details: email: aijh@le.ac.uk

Check out the website for details
https://www.arma.ac.uk/news/conferences/c10intro.xhtml

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Membership Renewals Update

For the first time, membership of ARMA has topped 1,500 - another landmark in the development of the association. Members are reminded that the cost of membership of ARMA is eligible for tax relief (see http://www.hmrc.gov.uk/list3/list3.htm for details) under the professional bodies section.

A reminder to all members that the ARMA membership year runs from 1st April to 31st March and, once again, you will be invited to log in to the website, renew your membership and produce your own subscription invoice online. We no longer send invoices in the post. This also applies to the ever-increasing numbers of institutions taking advantage of the group membership discount scheme - group co-ordinators should raise their single, group invoice after 1st April.

The Board have decided to increase individual membership subscriptions by £4 this year. This will take effect from 1st April 2010, when the subscriptions become due. You will recall that the threshold for the group membership scheme was lowered last year to six members (rather than eight) for groups of members at the same institution who pay on a single invoice. This means that if you decide to join the organisations taking advantage of the discount scheme, your subscriptions will be reduced by £5 per person (to £62 after the discount is applied). And for larger groups of 20 or more, a larger discount of £10 pp still applies. So if you are not already part of a group, now is the time to initiate one - you only need to find five colleagues to join you!

If you wish to join an existing group or form a new one, then please contact Rosemary or Jenny immediately for more information. Group lists should be finalised by 19th March. For a list of current groups please see https://www.arma.ac.uk/about/whoweare/allmembers.xhtml

New membership rates summary 2010/2011:

- £67 for individuals
- £62 per individual in a group of 6-19 members
- £57 per individual in a group of 20+ members
- £168 for commercial members

Simon Kerridge
Membership Secretary

ARMA Study Tours: FAQ's

What is a Study Tour?
A Study Tour is a half day or full day visit to the HQ of a major UK funding organisation with this explicit aim of engaging Research managers and Administrators with current and forthcoming issues relating to the funder and which may be of significant importance to University departments as well as helping members of the profession develop their understanding of funding issues.

Who should attend Study Tours?
Each tour is put together between the host organisation and ARMA and they are in general intended for members of research teams who are unfamiliar with a particular funding organisation, either because they are relatively new to the profession or their research brief has changed, and they may be experienced but looking after a new area. Occasionally the sponsors request that all attendees should be inexperienced, whereas other sponsors prefer to have a mix of less experienced and established research administrators and managers.

What does a typical event cover?
Typically a study tour will include information on the organisation's basic funding streams, including helpful guidance and common pitfalls made in the applications they receive. New and proposed funding streams are also highlighted, along with some of the less well known routes for funding. Current issues in research are also included somewhere in the day's event. Networking opportunities with other delegates, as well as key personnel from the hosting organisation, add to the benefit of the Study Tour as do the opportunities to ask questions of the funder. Feedback from delegates and sponsors alike are always very positive.

How much does it cost?
As a paid-up member of ARMA, one of the benefits is that there is no additional cost for the Study Tours. Delegates are asked to cover their own travel costs but lunch is usually provided. Given the current economic challenges the sector is facing, this represents a major benefit to develop and gather intelligence for the research offices.

Which Funders do you cover?
The pattern of funding organisations tends to change year by year and this is very much dependent on the organisation's own priorities and structures. In the late summer we start to build a calendar of events for the forthcoming academic year, but because internal changes do take place it is not possible to confirm the exact details. However we do advertise the funders we expect to offer us Study Tours during the year. This year we can include: the AHRC, BBSRC, ESRC, Leverhulme Trust, Wellcome Trust, Cancer Research UK. Exact dates will be advertised via e-mail.

How do you book a Study Tour?
All Study Tours are extremely popular so we advertise about one month before the event via e-mail to all ARMA members. The number of delegates varies from funder to funder but most Study Tours are booked up the same day as the advertisement. Those wanting to attend will be asked why and what relationship their job role is to the Study Tour to ensure that those most associated with the funder are prioritised.

Sheena Bateman

Recent and Forthcoming Training Events

Since the last newsletter, a total of four training events have taken place, including the popular Supporting Research Proposals course, held in Manchester in December. Similarly, the Post Award Finance seminar took place in London in November. Both events received good feedback from attendees and were well attended. In keeping with tradition, ARMA worked with HEFCE to put on two seminars during the REF consultation period in November, one each being held in Newcastle and London. Questions were created using post-it notes and were voted for by the delegates over the lunch break and addressed in the final panel session. A session was also held to discuss institutional preparations for the REF and, due to its popularity, this will be reprised at the forthcoming annual Conference. HEFCE have agreed to run further events in conjunction with ARMA once the definitive guidance has been published and they will be presenting again at this year's conference.

Although much of our attention at this time of year is drawn towards the annual conference, we are holding a new seminar on 5th March in Southampton on Clinical Trials and we are planning to run an event on the thorny issue of VAT before the summer. More details will be posted on the website as soon as they are available.

The annual conference will take place in Manchester on 8th and 9th June. Three separate, pre-conference events have been planned for Monday 7th June. These are the:

- **Executive Forum**, which is a facilitated interactive discussion group for senior members of staff
- **Fundamentals of Research Administration**, a one-day intensive training course, taking the key elements of our long-established annual Induction Workshop and concentrating them into a single day, specifically designed for those new to research administration and attending their first conference
- An Expert seminar on **Impact Developments** which will continue to follow the debate and developments around the impact of research, exploring how far funding bodies and the sector have come, new developments and thinking as we approach the REF and the increasing need to illustrate real world benefits

The dates have already been set for the annual **Induction Workshop**, a two day residential course, designed for those new to the profession. It will take place at Burleigh Court in Loughborough on 16th/17th September.

Pauline Muya

Research Information Management update

JISC organises a series of meetings on Research Information Management, the most recent of which, in January, included representatives from JISC, ARMA, JISC infoNet, RCUK, HEFCE (REF), UUK and a number of related projects, including: RMAS, St. Andrew's-Aberdeen joint system, Oxford BRII, Readiness4REF and EXRI. See **http://www.jiscinfonet.ac.uk/research** for more details of the Research Information Management programme. Also **http://www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt.aspx** provides a good summary of current developments in electronic research administration.

One of the main topics of discussion was the final report from the EXRI project (**http://exri.ilrt.bris.ac.uk**) which should be available soon. It is expected that it will recommend that the sector looks to adopt CERIF2008 as the basis for a UK research information data exchange standard; this proposal was generally supported at the RIM meeting.

Simon Kerridge

Occasional Papers (IRMA)

Two editions of Issues in Research Management & Administration (IRMA) are scheduled for publication in 2010:

IRMA 6: The Role of Research Administrators in Peer Review

Editors: Tony Weir (Heriot-Watt) and Richard Bond (UWE)

Contents:

- What is peer review - including summary of recent changes (RCUK review, EPSRC final reports)?
- Can RMAs act as 'peers' to improve bid quality, and if so, in which areas?
- If an RMA has a Ph.D., does it make a difference to the way they support the review process?
- Case studies, examples of models of support

IRMA 7: Hard Times? Building Research Capacity in Universities

A joint publication with Vitae

Editors: Tristram Hooley (Derby), Ray Kent (Loughborough) and Sara Williams (Cardiff)

Contents:

- Research careers in HEIs - introduction
- Impact of the Fixed-Term Directive (2002), including 'objective justification' for non-renewal of contract
- fEC and sustainability of the research base
- Career progression for researchers: promotion versus re-grading
- Supporting research leaders in universities
- How should we be building research capacity?
- The CROS Survey: insights into the management of researchers and research projects

Ray Kent

Joan Hughes Bursary Scheme

Guidelines and link to form on the ARMA website:

https://www.arma.ac.uk/about/individuals/index.xhtml

www.arma.ac.uk

RMAS Update

The Research Management and Administration (RMAS) project was an HEFCE funded shared services feasibility study to explore the demand and options for a 'cradle to grave' RMAS system, a system to embody the best processes for research management and administration, whilst maintaining the capability (through open systems architecture) to interface with a university's existing corporate and other administrative systems. The study arose because of the need within HEIs to address the current inefficiencies in research administration and the lack of a commercially available, fully integrated system to provide the functionality required.

The Part 1 report, which concentrated on the demand from the HE sector and the available and potential solutions, was submitted to HEFCE on 3 June 2009. Key findings were:

- There was clear demand for an integrated solution;
- Core requirements included:
  - Status tracking of application/award
  - Application costing and approval
  - Ability for electronic submission to grant awarding bodies
  - Post award management including re-costing, budget profiling and commitment management
  - Internal peer review
  - Reporting, to include individual academic performance
  - Need to integrate effectively with multiple systems, including finance and personnel software
  - Workflow, milestone alerts and document management across all elements
- There was no single system currently available that could meet the full suite of requirements;
- The lack of a comprehensive system resulted in institutions using a variety of corporate and other systems that together held, sometimes in multiple formats, data that was required to manage research activity effectively;
- It was anticipated that an integrated RMAS solution would produce both cashable and non cashable savings.

Over the period June - December 2009, further work was undertaken to explore possible solutions in more detail and to refine the business case. The Part 2 report was submitted to HEFCE in January 2010 and included the following key recommendations:

- Funding should be provided to support the development and implementation of an RMAS solution within three pathfinder institutions;
- A commercial solution or HEI/commercial solution should be selected which could be developed in multiple modes including commercial off the shelf, hosted and software as a service;
- The chosen system should embody SOA principles, be capable of being integrated with an Enterprise Service Bus and delivered in modular form to facilitate 'pick and mix';
- Pathfinder institutions would enter into contractual relationships with the chosen supplier and meet their own software costs.

Subject to funding, it would be hoped to progress the project within the following timescales

- Identify pathfinder institutions Jan/Feb 2010
- Procurement activities Jan - Nov 2010
- Implementation within pathfinder institutions Dec 2010 - Aug 2011
- Develop further functionality and roll out to the wider HEI community Aug 2011 - June 2012
- ESB development and integration June 2012 - May 2013

The Executive Summary of the Part 2 report is now available on the RMAS website at **http://as.exeter.ac.uk/rmas/report%20part%202.htm**

If you have any questions or require any further information please feel free to contact Deborah Welland **d.welland@exeter.ac.uk** or phone 01392 725390

INORMS Congress, Cape Town

The Third Congress of the International Network of Research Management Societies (INORMS) is taking place in Cape Town, South Africa, from 11-15 April 2010. The theme of the conference is 'Managing Research for Impact: New approaches to Research and Innovation Management'. INORMS 2010 will be hosted by the Southern African Research and Innovation Management Association Universities and the Association of Commonwealth Universities

PraxisUnico Conference, 16-17 June 2010, East Midlands Conference Centre, Nottingham

For further details, please see www.praxisunico.org.uk or contact conference@praxisunico.org.uk

Please feel free to contact us with your feedback and suggestions: we are always pleased to hear from you.

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Autumn 2010 Newsletter

The Professional Association of Research Managers and Administrators



ARMA e-news

From the Chair

As September starts, I'm pleased to welcome Marie Garnett as the first ARMA Professional Development Manager.

The primary responsibility of this position is to develop and implement the ARMA Professional Development Framework, to provide the basis on which we create and deliver our training events and other offerings. Her role involves engagement with ARMA members, along with other external interested parties (from whom we've had a number of positive comments), to determine the structure and contents of the Framework. The session on the Framework at this year's conference had a lot of very useful discussion and input, and Marie will be building on this. Her connections with other organisations and activities, for example, the Researcher Development Framework, should prove very helpful.

Marie's background is in staff development, with a strong understanding of both HE and research specifically. She joins us from Lifelong Learning UK, where she is involved in HE workforce development. Before that, she was Learning and Development Advisor at the University of Warwick, covering areas including the Roberts agenda and a project on managing research projects.

I'm sure all members will make Marie feel welcome to the Association, as she undertakes this very important piece of work for us, and I have no doubt that Marie will fulfil this role very well.

Ian Carter, Chair

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ARMA AGM

For those of you who were unable to attend this year's Annual General Meeting on June 8th at the conference in Manchester, here is a quick résumé. The minutes of the previous meeting AGM (of 2nd June 2009 in Southampton) were agreed as a true record. The annual report was received and the financial report was approved as a true and accurate record of the position of the Association. These were four director appointments for approval.

Dr Ian Carter (Sussex) was approved as Chairperson for a further term of three years to 31st July 2013. Dr Tony Weir (Heriot-Watt) was appointed as Director of Member Services and Deputy Chairperson for two years until 31st July 2012. Steff Hazlehurst (Institute of Education) returns to the ARMA Board as Treasurer from the date of the AGM to 31st July 2011; and Dr Louise Shelley (Bangor) was appointed for the first time for three years from 1st Aug 2010 until 31st July 2013 as a non-executive director.

There was much discussion on the future plans for the Association, with a focus on progressing towards a framework for professional development of research managers and administrators in the UK. ARMA has decided to further this ambition by employing a Professional Development Manager for an initial one year period; she is introduced elsewhere in this newsletter by the Chair.

Simon Kerridge, Company Secretary

Special Interest Groups (mailing lists)

The special interest groups are being used regularly and the number of members subscribing continues to rise. The current special interest groups are:

- Arts & Humanities
- Best Practice
- EC Research
- Electronic Research Administration
- Ethics
- Job Vacancies
- NHS Research
- PGR
- Project Management
- REF
- Research Governance

If you would like to suggest a new SIG, then please contact Rosemary or Jenny who will be pleased to create one for you. If you haven't already signed up to any of the lists, you'll find instructions from a news box on the ARMA Home Page.

Tony Weir
Deputy Chair Member Services

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ARMA Study Tours

This year the Study Tours have been with the AHRC, Leverhulme Trust, the BBSRC and the ESRC. For various reasons we were unable to complete the planned schedule of tours for the year, but next year we already have some firm offers in hand, and I am still in discussion with other Research Councils and other funding organisations.

All the Study tours remain an extremely popular member benefit and we are delighted to work with our sponsors in organising events with them. Historically, it does appear that funders are particularly keen to host an event with us following a major change to their operational structures. Having the opportunity to disseminate information directly to those in Research Organisations who have responsibility for processing applications and managing awards is seen as very valuable to funders as well as being particularly beneficial for our community of research managers and administrators.

Organising the dates of Study Tours can sometimes be challenging in a number of different ways; the timing needs to be compatible with key institutional milestones (RAE, Spending Review for example), key events in the academic calendar, such as enrolment weeks; key funding deadlines; the Annual ARMA Conference, and then there are the constraints of the funding organisations themselves such as the implementation of a new electronic application system or a physical move such as we have witnessed this year with the AHRC moving to Swindon, and the ongoing implementation of the Shared Service Centre. In the planning cycle we may indicate a Study Tour with a particular funder and then find that due to other factors this gets postponed until a later date or even another year.

All Study Tours continue to provide good quality programmes and a valuable opportunity for members to network with both the host organisation and other Research Managers and Administrators. Over the years we have built good relationships and continue to create new ones with funders and from my perspective, it has been a pleasure to attend events to see both the funding organisation and our members getting as much from the day as each other.

For those of you who try to attend study tours, I would encourage you to continue to do so, particularly if you are fairly new in post, but also if you have recently changed role or have new responsibilities. Demand for Study Tours is always extremely high and, with an average limit of about 40 people able to attend any one event, all places are usually allocated within hours of being advertised. We usually screen applications to ensure that wherever possible we can be fair. Rosemary and her staff check that all applicants are members, that there is a match between their direct area of responsibility and the Study Tour they wish to attend and that they have not previously attended the tour in the last few years. All of this is to ensure that as many of our members get the chance of a place at one of the tours.

Study Tours are advertised via the mail list approximately a month before the event so keep your eyes open- the Autumn/Winter will feature Study Tours to AHRC, CRUK and the Wellcome Trust.

Sheena Bateman

Recent and Forthcoming Training Events

Apart from the usual activity of planning and running training events, the main focus of activity recently has been in the recruitment of Marie Garnett as the Professional Development Manager. As mentioned in the Chair's report, Marie has just taken up her post and is keen to engage with ARMA members about the scope and breadth of the framework. This work will evolve over the year-long project to influence our future training offering and will also explore some of the many and complex questions surrounding accreditation. We continue to talk with other associations about their work and how ARMA can interact with them.

Since the last newsletter, a total of five training events have taken place, including a training seminar on Clinical Trials in March and VAT and Other Taxing Issues in April. Pre-conference events in June included the Executive Forum, an expert seminar in Impact Developments and the popular one day Fundamentals of Research Administration course. All events received good, constructive feedback from attendees and were well attended. We will continue to follow and report the debate on developments around the impact of research as the REF approaches.

The **Induction Workshop**, a two day residential course, designed for those new to the profession, is taking place at Burleigh Court in Loughborough on 16th/17th September.

Forthcoming Events:

Supporting Research Proposals (one-day Training Seminar), 11th November, London

Post Award Financial Administration (one-day Training Seminar), 23rd November, London

Please email Rosemary or Jenny if you wish to be added to the waiting list/s. Booking will open soon.

Pauline Muya
Deputy Chair, Training

Get Active!

Are you able to contribute some of your knowledge, skills, opinion or time to help the Association develop, and hopefully get some valuable experience for yourself? If so then please register as an 'Active Member'.

The ARMA Board is continuing with its objective of reducing the number of its directors down to bring it into line with best practice in company governance. This means that the number of individuals who take a significant and direct role in the Association's activities is quite small (the unpaid Board and the very small team employed by ARMA). Therefore, a dynamic and vigorous Association can only be brought about by individual Members taking an active role in the range of activities. We are very lucky that many enthusiastic individuals have helped the Association achieve some of its successes in the past.

We believe that Active Members benefit as well:

- it can be an opportunity to expand and develop your own range of skills;
- Active members can feel closer to the research management and administration community;
- there is a sense of achievement for the whole team in successfully concluding a training event, or producing a new publication, etc.;
- the experience will add to the range of experience you can put on your CV;
- you will have the opportunity to engage with research administration professionals from a diverse range of organisations across the UK (and sometimes from further afield).

Of course, ARMA will meet any approved expenses involved for those taking part in any of these activities.

The Association is grateful to all those who already contribute in this way and we encourage all those interested in becoming an 'Active Member' to contact us, rosemary@arma.ac.uk.

Occasional Papers (IRMA) Hard Times to Come?

The development of strategies that emphasise investment in the human capital of Higher Education has been a key feature of Government science policy over the past ten years. However, in the current climate of reduced public spending, this investment is vulnerable. In its defence, the sector has marshalled evidence to support a direct link between high levels of human capital investment and enhanced research output, leading to practical benefits - people, policies, products and processes that contribute to social and economic growth. Nevertheless, it remains unclear as to whether UK universities have been effective in developing a sustainable level of 'research capital'.

The current edition of 'Issues in Research Management and Administration' (ARMA's Occasional Papers series) explores this topic. The Paper, entitled 'Hard Times? Building and Sustaining Research Capacity in UK Universities', has been produced in conjunction with Vitae. It was launched at Vitae's Researcher Development Conference in Manchester on 6 September 2010, and was made available on the ARMA website on the same day. The Paper consists of six articles, exploring how a decade of changes in the ways in which researchers are employed, managed and rewarded within UK HE institutions, has contributed to building and maintaining research capacity. Its launch will coincide with the publication of the RCUK Review of 'Roberts' funding, and so will have a particular resonance with ARMA Members with an interest in supporting research staff.

Ray Kent

Research Jobs

A reminder that details of research administration/ management jobs are posted only to members who have signed up to the Jobs Special Interest Group

What is an 'Active Member'?

Members of ARMA who currently support the Board in various ways. Here are some examples of the ways the Association benefits from these individuals:

- helping at the conference, seminars and other events;
- using knowledge of a particular aspect of research administration and management to present at conference, training course, or expert seminars or contribute articles to ARMA's publications;
- joining and contributing to one of the sub-committees of ARMA (Training, Membership Services, and Conference);
- organising events in their own regions;
- web editing;
- helping to review Bursary applications, IRMA contributions, the Mentoring programme, or other applications of expert knowledge.

These are just examples; there are many ways that you can help so please don't assume that your skills or experience would not be of value to the Association.

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Research Information Management update

Following on from the JISC funded EXRI project, which recommended that the UK should adopt CERIF as a standard for the exchange of research information, a series of invitation only workshops has begun, and of course ARMA is represented. The first workshop took place earlier this month to start to scope the current definitions for Project [proposal/project/award]; Person; Result [publication/patent/...]; and Organisation Unit [institution/department/group/...]. A further meeting is planned for September with details to be worked on in the interim. The meeting was hosted by UKOLN for JISC with the other participants being from various Universities, the Research Councils, HESA and HEFCE. It is hoped that this initiative will prove useful for anyone developing research information systems in the future. You may wish to sign up to the [era] email list to keep a watching brief on this and related electronic research administration activities.

Over the period June - December 2009, further work was undertaken to explore possible solutions in more detail and to refine the business case. The Part 2 report was submitted to HEFCE in January 2010 and included the following key recommendations:

- Funding should be provided to support the development and implementation of an RMAS solution within three pathfinder institutions;
- A commercial solution or HEI/commercial solution should be selected which could be developed in multiple modes including commercial off the shelf, hosted and software as a service;
- The chosen system should embody SOA principles, be capable of being integrated with an Enterprise Service Bus and delivered in modular form to facilitate 'pick and mix';
- Pathfinder institutions would enter into contractual relationships with the chosen supplier and meet their own software costs.

Subject to funding, it would be hoped to progress the project within the following timescales

- Identify pathfinder institutions Jan/Feb 2010
- Procurement activities Jan - Nov 2010
- Implementation within pathfinder institutions Dec 2010 - Aug 2011
- Develop further functionality and roll out to the wider HEI community Aug 2011 - June 2012
- ESB development and integration June 2012 - May 2013

Simon Kerridge, Company Secretary

ARMA Conference Manchester 2010 and Glasgow 2011

With winter fast approaching and memories of what barely passed for a beautiful British summer fading, the ARMA team are reflecting on a great conference in Manchester back in June and are busy planning for our June 2011 Conference in that great Scottish city, Glasgow. Rosemary Hatch, ARMA Executive Administrator comments "Manchester was a great event this year, with over 400 delegates, speakers, sponsors and exhibitors on site, there was a fantastic atmosphere and I was delighted that we had the opportunity to welcome over 100 new members to conference".

With over 36 parallel sessions as well as four high profile plenary speakers, our aim is to provide something for everyone and our delegates tell us we are hitting the mark with session comments such as "useful and thought provoking" and "stimulating and worthwhile" widely used. Of course our event would not be the same without the continued support of our sponsors and exhibitors who offer delegates the chance to see new and innovative products and services. The contribution the exhibition makes to conference is fantastic, our sponsors this year Research Fortnight and Symplectic and indeed all our exhibitors bring a new dimension to proceedings, providing quick and easy access to their latest offerings and on the spot demos, helping to create discussion and debate around some of the big issues we all face and of course it's a great opportunity for them to meet with their key customers as well as reach out to potential new ones. Lita Denny, ARMA Conference Director comments "This year we had a great mix of things going on outside of the conference sessions themselves, a really excellent mix of exhibitors and Research Fortnights blog and editorial team created a real buzz. I thought that this year's poster exhibition was the best ever. Entering a poster is a great way to get ideas and good practice out there, with a top prize of a fee waiver to INORMS 2012 Denmark it's a fantastic opportunity to go and meet research managers from across the world in wonderful, wonderful Copenhagen!"

Of course Conference never really stops and we are already well underway with 2011 planning. Hot off the press: the dates for next year's conference are 7th and 8th June at the Radisson Blu Hotel in the centre of the city. Every year we take on board feedback from our delegates and next year we aim to increase the number of interactive sessions, which proved very popular this year. Of course conference is all about our members and we are always looking for new speakers, new topics and suggestions for the event overall. So if you have an idea for a presentation, topic or poster and want to know more about how to get involved then contact the ARMA office: rosemary@arma.ac.uk

Lita Denny, Director, Conference Planning

INORMS Congress 2010, Cape Town

Joan Hughes Bursary: A report from Louise Shelley, Bangor University

I have identified four key themes from the 2010 INORMS Conference, 'Managing for Impact: New Approaches to Research and Innovation Management' which I found particularly thought provoking and would like to share these with ARMA members. I hope members can relate them to their own areas of work and that the themes might act as catalysts for further discussions.

Communication

In the sessions I attended, the plenary sessions, the panel discussions and within the presentations there was always the underlying message of the importance of communication. The conference was attended by over 400 delegates from 40 countries, 69% from African countries, 14% from Europe, 12% from Australasia and 5% from USA. Yet despite our divergent and different cultural and socio-economic and political environments, there was an honest acknowledgement that life in our respective home institutions would be enhanced if we managed to improve the two-way flow of communication across the university.

Collaboration

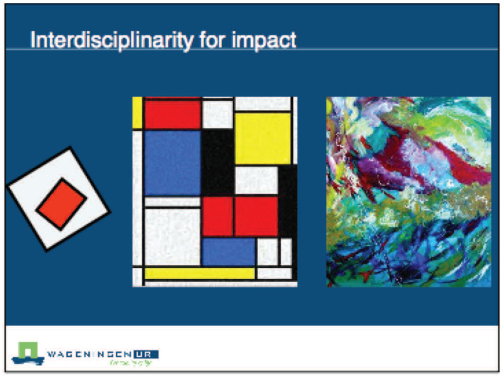
Another striking similarity we all seemed to share was a common goal stated in our mission statements that our university was, or at least was striving to be, a world leader. This does make one wonder how many HEI world leaders are necessary, and arguably points towards the benefits of collaborations and new arrangements to support research which might include new strategies, networks, structures and frameworks. Interestingly one of the overarching conclusions of the conference was that global knowledge production requires new strategies, structures and frameworks.

New Solutions

There was an acknowledgement and excitement at the conference that reflected a shared realisation that the HE landscape was rapidly changing. There was a strong message that there was the need for science to address global challenges throughout the research spectrum, starting with fundamental research, and moving through strategic and applied research as well as addressing knowledge transfer applications. The challenges to be faced are without doubt complex problems that will call upon new solutions. An underlying theme throughout many of the presentations was the need to develop and find new arrangements for networking and ways to enable science, industry, society and policy to be considered together in our approach to research.

A Pictorial Image

Professor Martin J Kropff, Rector Magnificus, Wageningen UR, gave a fascinating presentation on Science for Impact: Towards a next generation University. He concluded his talk with a slide that gave a pictorial representation of research - the first image represents the lone researcher, the second image represents research collaborations as they happen today, the third image represents what future interdisciplinary research collaborations could look like… If his vision is correct the future seems likely to hold many new approaches to research and innovation management.



Joan Hughes Bursary Scheme
Guidelines and link to form on the ARMA website:
https://www.arma.ac.uk/about/individuals/index.xhtml

Please feel free to contact us with your feedback and suggestions: we are always pleased to hear from you.

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Research Information Management in the UK: CERIF and metadata alignment

A supporting document for the JISC RIM Call, October 2010

Document details

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Research Information Management in the UK: CERIF and metadata alignment

A supporting document for the JISC RIM Call, October 2010

1 Introduction

1.1 Scope

The current document is designed to support the Research Information Management (RIM) strand of the JISC Call for proposals in October 2010. It therefore aims to provide an up to date picture of current RIM activities in the UK, with a focus on the CERIF standard and recent work towards alignment of metadata and vocabularies across research organisations.

Consequently the main body of the text focuses on current relevant projects and activities, together with the key organisations involved - including research funders and supporting agencies. The approach included telephone/Skype interviews with relevant stakeholders, as well as emailed queries to the RIM Group and information gathering from existing reports and documentation.

1.2 Background

Several existing RIM documents[1] provide a background to the UK research domain and the issues surrounding research information exchange. It is not proposed to summarise these here. However it is important to mention the context for the current document, and the expert group consulted.

The RIM Group of experts and stakeholders from universities, funders and representative organisations was convened by JISC in order to consider the results of the EXRI-UK (Exchanging Research Information in the UK)[2] report. EXRI recommended that CERIF should be the basis for the exchange of research information in the UK; it also recommended that work should be undertaken to align and map metadata semantics across the research domain. As a result several workshops and meetings were organised by UKOLN in July and August 2010 which examined the use of CERIF to map research information between institutions, RAE2008 and HESA; the Research Council's Research Outcomes Project (ROP) draft specification was also included, although there have since been significant changes to RCUK plans, as described in the funders section below.

2 Current projects and initiatives

2.1 Overview

As indicated, the focus of this document is tight, and this section describes only the particularly significant projects and initiatives in the context of this Call. Other documents and web sites describe related RIM projects. For example the UKOLN RIM page includes the five JISC RIM projects (with different foci) which were funded at the beginning of 2010, as well as other UK projects such as RMAS (Research Management and Administrative System)[3], funded by HEFCE

Rather than describe each key project in turn, project activities are grouped into three key areas, the first looking at data sharing across institutions using CERIF, the second REF-specific work and the third, project work which is institutional repository-focused. Relevant work being undertaken by research funders and other related organisations is also covered later.

The importance of CRIS working together with institutional repositories to exchange research information is recognised. Examples of other initiatives include the European Knowledge Exchange CRIS-OAR project[4] which has produced documentation to support interoperability between CRIS and Open Access Repositories; a CNR/euroCRIS workshop on CRIS, CERIF and institutional repositories was held in Rome in May 2010; and in the UK an event was held to explore synergies and opportunities for integration, also in May 2010.

2.2 Inter-institutional data sharing

Aggregating CERIF data from across multiple institutions is still very much at the pilot stage in the UK with two leading JISC-funded projects, R4R (Readiness4REF)[5] and CRISPool[6], offering case studies and demonstrators in this area. These case studies are producing valuable results in terms of successes, problems and issues involved in aggregating multiple institutional data using the CERIF data encoding standard.

2.2.1 CRISPool

The commercial supplier Atira recently wrote the aggregation system for CRISpool (the pooling of data for SUPA, the Scottish Universities Physics Alliance) with a resulting demonstrator - see the first version, search/browse demonstrator portal[7]. Some scalability issues were experienced (the performance of the XML aggregator database used by Atira declined rapidly as one university's - rather atypical in that it averaged 80+ authors per publication - data was integrated with the others). Visual design and usability testing work for this interface to the integrated data solution is still at an early stage. However, the demonstrator illustrates the advantage to Scottish universities of pooling their information in this way, and more institutions and pools are keen to join the initiative.

An informative final report has been delivered from the CRISpool project[8] (see References). To reach the point where the aggregator system could be developed, each participating university first had to undertake a conceptual mapping from its institutional repository/database schemas to the CERIF data model. Some CERIF 2008 classifications extensions and workarounds were necessarily devised as a result of this process. Next, CERIF-XML export files had to be created from each existing institutional database. Given the time and resource limitations of the project, a manual approach for this was used at some partner universities. This process, although straightforward from a technical point of view, was time-consuming, as described in the final report. It was quick and efficient in the case of St Andrews who have the PURE (commercial, CERIF-based) system fully deployed. The initial conclusions from the project on the suitability of CERIF as an exchange format are that it works well for mapping from the internal databases/schemas, because of the flexibility provided by the fragmentation of the model; however this very fragmentation causes scalability issues when aggregating data with many related entities e.g. publications with many authors. The project recommends continuing with the approach including work on solving these scalability issues in the interests of standardisation for information integration.

2.2.2 Readiness4REF

One of the goals of R4R is to demonstrate interoperability by automatically exchanging full (RAE-like) research data between institutions. At the time of writing in September 2010 the project has not yet achieved this, but developers are working on plugins for three repository platforms typically used for institutional research information (DSpace, EPrints and Fedora), with the project running until March 2011.

So far, Kings College London have exported from their CRIS to a REF and CERIF-based XML format they have developed - CERIF4REF (less complex than full CERIF). (The KCL CRIS can however also export to full CERIF format in addition to CERIF4REF.) Meanwhile the University of Southampton have been concentrating on extending their EPrints repository to be compliant with the CERIF data model. The Southampton work effectively offers a reproducible way for an institution to create a CERIF-CRIS from an EPrints repository. Southampton are currently planning to export CERIF4REF compliant data from this repository; the results could be two-fold in that they could firstly offer an example of how such a CERIF-CRIS can be helpful in generating REF data and secondly how this approach can be combined with KCL outputs, to demonstrate the interoperable sharing of institutional data. The project involves a similar effort regarding the creation of a CERIF-compliant DSpace plugin.

2.3 REF-specific

2.3.1 Readiness4REF

Although R4R concludes before final Research Excellence Framework REF requirements will be released, it has developed a CERIF4REF schema based largely on the earlier RAE 2008 format and with input from euroCRIS. This exercise has helped inform how CERIF may need to be extended for use within the contexts of both the REF and inter-institutional research information exchange.

R4R has undertaken case studies at six UK institutions (Goldsmiths College, University of London, Kingston University, University of Leicester, University of Reading, University of Ulster, University of the Arts) to produce in each case a thorough mapping of institutional data to CERIF2008. Keith Jeffery (euroCRIS) supported all six case studies, and there was also input from Anna Clements (CRISPool, St Andrews). The project's soon-to-be-released synthesis report will contain a useful summary of findings.

As mentioned above, R4R is also developing repository plugins at the Universities of Edinburgh, Southampton and Kings. These aim to demonstrate interoperability between institutions via use of the CERIF4REF common standard for exchanging data about research activity.

2.3.2 Symplectic software

Commercial vendor Symplectic[9] has been working to embed its information management software solution in approximately 17 institutions across the UK to date. Symplectic is involved with three JISC projects currently - ConnectedWorks[10] (a VRE project focusing on Sakai integration), the RePosit project[11] and the Dura project[12]. The Symplectic system is based on CERIF and its continued development focuses particularly on supporting the REF data collection format (as it emerges), and facilitating integration with institutional repositories (it has native compatibility with DSpace, EPrints, Fedora), thus potentially supporting the creation of REF submissions.

2.3.3 REF Impact pilot

In Autumn 2009, HEFCE conducted a REF Impact pilot[13] with several UK institutions. The results of this study are due in late 2010. Early investigations have shown that CERIF could be extended to cater partially for impact reporting in the REF, but there are no immediate plans to work on this. The research councils and other funders are also considering ways in which to collect and classify evidence of funded research impact.

2.4 Repository-focused

2.4.1 BRII: Building the Research Information Infrastructure

The BRII project[14] at the University of Oxford (now completed) focused on the use of semantic web technologies to share information about the institution's research activities. It has created a 'University Blue Pages' directory of researchers, interests and projects that captures information about research activity from a wide range of sources (including ORA, the institutional repository). The registry containing harvested data was constructed using the same architecture as the repository. CERIF was not used within the project, although the final report notes that 'the adaptation of the BRII registry to accept and distribute CERIF compliant data would be reasonably straightforward'.

2.4.2 Enquire: Enrich and Research Outputs and Impact

The University of Glasgow's Enquire project[15] has been using Enlighten, their institutional repository (which is EPrints-based), to record information about impact for a range of research outputs. Enquire initially used the draft requirements from the RCUK Research Outcomes Project to identify information to capture. Some extra fields have been added to allow the EPrints repository to record this data.

Initial work has been carried out looking at the RCUK/REF/HEBCIS/University of Glasgow entities and CERIF, and also exploring the export of impact data to the Medical Research Council's e-Val system.

2.4.3 ResearchRevealed

ResearchRevealed[16] is a two-year, JISC-funded project at the University of Bristol, due to complete by April 2011. Like the BRII project, it is piloting a semantic web solution to institutional research information integration, demonstrating how University central systems data about researchers, publications, organisational units and so on, can be linked to external online resources about the same things (for example, Web pages about collaborator researchers in other institutions or fuller details about grants from funder websites). ResearchRevealed's solution is particularly pertinent to the Web of Linked Data and a full demonstrator and open source software is being made available by the project. The project is also looking at the relationship of CERIF to a possible, harmonised, semantic web schema for the UK research domain - it has conducted a number of workshops on this theme,

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collaborating with the Universities of Oxford and Southampton. Finally, with the collection of 'impact evidence' in mind, the ResearchRevealed project is developing an Impact Bookmarklet tool[17].

2.4.4 OpenAIRE

The EU OpenAIRE[18] project has mapped the OpenAIRE data model to CERIF. The project is working on a solution to enable repositories and CRIS (including CERIF-based ones) to harvest and expose additional information to publication data via OAI-PMH – such as person, project, event and organisation entities related to publications. The work is based on experience with DIDL for compound objects in the Netherlands and the metadata format developed in the CRIS/OAR project. It is not yet completed.

2.5 Publishers

There are some UK examples of where institutions have developed automated solutions for importing purchased publications data to their institutional repositories - by contractual agreement with the publisher in question. For example, commercial supplier, Atira, wrote a plug-in for their PURE software to allow the system at St Andrews University to ingest publications data from Thomson Reuters (which provides an API that offers data in a proprietary XML format).

Thomson Reuters and Elsevier are members of euroCRIS and it is expected by euroCRIS that more publishers will join. Elsevier worked recently with Imperial College London on a JISC-funded RIM project[19]. At the project report[20] launch in August 2010, recommendations included addressing the lack of data consistency and (perceived) differences in research systems within the UK - this can include publication data as well as other, more metrics-based research information data. There are naming/identifier issues in terms of the integration of distributed publications data from suppliers - for example, although Thomson Reuters and Elsevier could be seen as usefully providing naming authority services for publications, they each have separate sets of publications identifiers.

3 Research funders

3.1 HEFCE (REF)

The REF system for data collection (and distribution of data to review panels) at HEFCE is currently under development. It is based on the previous system that was used for the RAE exercise, with current work focusing on core processes such as authentication mechanisms and workflow implementation, as opposed to Web forms for online submissions or data import/export formats. Meanwhile, the policy team continues to fix on REF data collection requirements and following finalisation of this, the specification for automated submissions by institutions will be decided upon and is likely to be published in 2011.

The R4R project has produced a 'CERIF4REF' XML file format as the potential basis of a core, standard, automated institutional REF return. REF Impact pilot projects findings will be available by the end of 2010 and will further inform the composition of the full REF submission. During 2011/2012 it should therefore be possible for institutions to test making their REF submissions either by Web form or via an XML-based, automated process. In the background to this, HEFCE have been exploring data alignment possibilities with RCUK and HESA, the key being to align definitions regarding the information being requested from institutions wherever possible.

3.2 Research Councils and CERIF-related activity

The Research Outputs Project (ROP)[21] had the goal of providing an integrated system for collecting and disseminating RCUK-funded research. However this system is now not to be implemented in the near term. A workshop was held in summer 2010 to investigate the suitability of CERIF 2008 for representing data collected by the Research Councils, in collaboration with euroCRIS. The general conclusion from the workshop was that in the vast majority of cases, the information that Research Councils collect from institutions maps well between Research Councils and could be modelled successfully using CERIF. Certain outputs (such as 'spin off company') are not explicitly modelled in CERIF, but euroCRIS were able to demonstrate how this can be easily accomplished as a role-based time-stamped relationship to the project, or other organisational units and/or persons.

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Some further work was undertaken looking at mappings between the CERIF4REF XML format (produced by the R4R project) to the data schema developed in ROP. There was found to be a good match regarding descriptions of typical outputs (such as publications), with some non matches (for example regarding encapsulating career development).

Despite the fact that ROP is not proceeding as planned, there is likely still to be benefit in the Research Councils doing continued work in relation to the CERIF standard. However, there are no plans to hold another CERIF-related workshop at present.

A single system for research outputs information is to be adopted by four of the seven research councils, with a further two systems for the remaining research councils. One of these systems (MRC) is already a CERIF 2003 compliant system. Further work in relation to the harmonisation of data collection by the Research Councils could include trials with institutions with CERIF-compliant CRIS, submitting CERIF 2008-compliant reporting data as well as ingesting imports from RC systems, in order to test how easily this data could be exchanged by the systems in use.

3.3 The Wellcome Trust

Wellcome is currently considering the development of an online reporting tool to support the tracking of progress and accomplishments of those it funds; its approach is likely to have some similar functionality to the MRC e-Val system and is also likely to have some interoperability with UKPMC to harmonise the reporting burden on individual researchers. Wellcome is also in the process of developing a Data Warehouse to bring together data from across its internal systems; any online tool would link directly through to the Data Warehouse (and hence other data).

Currently there are no definite plans to implement CERIF in existing or future Wellcome data resources, although the facility to share data is recognised as desirable and a watching brief will be kept on CERIF-related development at HEFCE and other organisations

Wellcome is also involved in the Open Researcher & Contributor ID (ORCID)[22] initiative. This is a not-for-profit initiative that aims to solve the author/contributor name ambiguity problem in scholarly communications by creating a central registry of unique identifiers for individual researchers and an open and transparent linking mechanism between ORCID and other current author ID schemes. ORCID is a collaboration between research funders, publishers, data providers and researchers. The JISC Names project[23] is a participant in ORCID – it is developing a UK prototype name authority system for repositories.

4 Other related organisations

4.1 HESA: Higher Education Statistics Agency

During summer 2010 CERIF and HESA data experts met to evaluate the extent to which there are overlaps between the sort of information requested in a HESA return and the information that can be modelled using CERIF 2008. A detailed cross-mapping between the two data models was not attempted. The workshop concluded that although there are some clear overlaps on a few aspects, for example relating to the profiling of an institution's funding sources, it does not look worthwhile to attempt to extend CERIF coverage to cater fully for HESA's needs in the immediate (or even long) term.

Further work might usefully look at using a CERIF-compliant institutional CRIS to export data automatically to compile a subset of a HESA return where applicable, and to help inform how to 'tighten up' CERIF for that overlap with the HESA data model.

An institution's data about programmes of study and teaching modules are usually stored or administered as part of systems and/or processes separate to the management of research information within institutions, hence there is not a large overlap between HESA reporting and reporting for the REF, say. However, where there is overlap (such as with expressing data about postgraduate students), there is an opportunity for harmonisation. HESA is planning discussions with HEFCE to look at alignment where HESA data could be re-used for the REF.

4.2 ARMA: support from UK research managers association

ARMA[24] is the professional association for research managers and administrators in the UK (90% of members are in universities). It provides professional development including training and information events (eg a recent event was a Repositories and CRIS workshop jointly hosted by ARMA and JISC), supports Special Interest Groups, and publishes Occasional Papers.

ARMA is supportive of the outcomes of the EXRI project and the JISC business case for CERIF in the UK:

> *Adopting CERIF as a UK wide standard for the exchange of research information will undoubtedly save valuable time and effort for research managers and administrators in supporting collaborative research proposals and projects. It will also enable better exchange of information with research funders and statutory bodies and opens up all sorts of opportunities for benchmarking. It also paves the way for research information to be properly integrated with the other core management information within research organisations.*

4.3 euroCRIS: providing support for CERIF

euroCRIS is the official custodian of CERIF. It supports and promotes CERIF and provides a growing range of documentation including the standard itself and tutorials (however there have been some requests for additional documentation, especially with regard to where UK requirements relate to the need for specific classification schemes). There is a biennial euroCRIS conference as well as biannual membership meetings. The core of the work is carried out in Task Groups. Membership fees are low and provide access to additional resources such as draft releases and newsletters as well as meetings and discussion fora.

There are now many euroCRIS members in the UK and they are generally willing to support CERIF-related initiatives by discussion or workshop attendance, in the interests of sharing knowledge, experience and good practice. CERIF-related activity in the UK has effected modifications to CERIF 2008 in the last year. Changes (including classifications) were requested by R4R and CRISPool on behalf of the UK community. They were approved by the CERIF Task Group and it is expected that the November 2010 release will include these changes as well as more detail on the funding entity. After that it is expected that there will be expansion of the facilities, equipment and services entities. UK members of euroCRIS are encouraged to attend member meetings (the next is in Prague in November 2010) to contribute views.

5 Directions

5.1 CERIF-CRIS growth in the UK

There is a growing momentum of CERIF-CRIS related activity in the UK, which the JISC Call in October 2010 will further encourage. Despite some frustrations experienced in the UK community over the complexity of the CERIF approach to using XML, the wider benefits and efficiency gains for the exchange of data are recognised. In parallel to the Call JISC is continuing to work with the RIM Group of experts and stakeholders in order to bring the many initiatives described together under a clear strategy.

As indicated, a number of UK players are already very actively involved in euroCRIS activities and recent euroCRIS newsletters have listed many new UK members. The growth in euroCRIS membership is unsurprisingly running in parallel to the installation of CERIF CRIS software at a number of institutions, eg in recent months Royal Holloway and University of York have installed PURE, and University of Hull, CONVERIS. Most recently, it was announced in September 2010 that the University of Stirling has also purchased CONVERIS. Several other institutions are in the process of tendering for systems.

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Increased UK uptake means that more peer support for CERIF is likely to be available, as well as best practice guidelines for UK-specific requirements. The ability to use CERIF for REF submissions will be a further incentive.

5.2 CRIS beyond Europe

There are also indications that RIM/CRIS work is likely to become more international in scope – CASRAI[25] in Canada has proposed an international research metadata interoperability initiative, and hopes to involve US agencies, as well as euroCRIS, JISC and others. CERIF CRIS activity is already happening outside Europe, in the Middle East, South America and Canada (an institution in Mexico recently expressed interest in participating in a euroCRIS project).

6 CERIF contacts

The following people have indicated that they are happy to be contacted about their experiences of using CERIF:

- Anna Clements, University of St Andrews <akc@st-andrews.ac.uk>
- Mark Cox, King's College London <mark.cox@kcl.ac.uk>
- Keith Jeffery, STFC/President euroCRIS < keith.jeffery@stfc.ac.uk>

7 Acknowledgements

The authors are grateful to the many people who have contributed to the content of this document. The following people participated in one or more CERIF alignment workshops and meetings during summer 2010 and in addition many responded to detailed emailed queries. Those marked with an asterisk were also interviewed specifically for this document.

- Gordon Allan, University of Glasgow
- Les Carr, University of Southampton/EPrints
- Anna Clements*, University of St Andrews
- Mark Cox*, King's College London
- Michael Day, UKOLN, University of Bath
- Alan Green, STFC
- Bill Hubbard, CRC, University of Nottingham
- Neil Jacobs, JISC
- Neil Jefferies, University of Oxford
- Keith Jeffery*, STFC/President euroCRIS)
- Simon Kerridge, University of Sunderland/ARMA & RMAS
- Gerry Lawson, RCUK
- Scott Rutherford, HEFCE
- Andy Youell, HESA

Other interviewees

- Tim Brody, University of Southampton
- Richard Gartner, King's College London
- Gareth Edwards, HEFCE
- Daniel Hook, Symplectic
- Kevin Dolby, Wellcome Institute

8 References

[1] Links to key documents including JISC RIM information are available from the UKOLN RIM page: http://www.ukoln.ac.uk/rim/

[2] Exchanging Research Information in the UK: http://ie-repository.jisc.ac.uk/448/

[3] RMAS: http://as.exeter.ac.uk/rmas/

[4] KE CRIS-OAR project: https://infoshare.dtv.dk/twiki/bin/view/KeCrisOar/WebHome

[5] Readiness4REF: http://www.kcl.ac.uk/iss/cerch/projects/portfolio/r4r.html

[6] CRISPool: http://www.st-andrews.ac.uk/crispool/

[7] CRISPool portal: http://crispool.atira.dk/portal/

[8] CRISPool final report: http://www.st-andrews.ac.uk/crispool/media/crispool%20final%20report%20v2.1%20with%20appendices.pdf

[9] Symplectic: http://www.symplectic.co.uk/

[10] ConnectedWorks: http://www.caret.cam.ac.uk/page/jisc-collectedworks

[11] RePosit: http://jiscreposit.blogspot.com/

[12] DURA: http://jisc-dura.blogspot.com/

[13] REF Impact pilot exercise: http://www.hefce.ac.uk/research/ref/impact/

[14] BRII project: http://brii.bodleian.ox.ac.uk/

[15] Enquire project: http://www.jisc.ac.uk/whatwedo/projects/enquire.aspx

[16] ResearchRevealed: http://researchrevealed.ilrt.bris.ac.uk/

[17] Research impact tool prototype: http://researchrevealed.ilrt.bris.ac.uk/?p=69

[18] OpenAIRE: http://www.openaire.eu/

[19] Developing tools to inform the management of research and translating existing good practice: http://www3.imperial.ac.uk/research/jisc

[20] Developing tools final report: http://www.researchdatatools.com/downloads/2010-research-information-management.pdf

[21] ROP: http://www.rcuk.ac.uk/aboutrcuk/efficiency/Researchoutcomes/default.htm

[22] ORCID: http://www.orcid.org/

[23] Names project: http://names.mimas.ac.uk/

[24] ARMA: http://www.arma.ac.uk/

[25] CASRAI: http://casrai.org/

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Working with Uncertainty

Working with uncertainty: research administration in the real world

Collingwood College,
University of Durham
10th-11th July 2006

The Professional Association of Research Managers and Administrators

Working with Uncertainty

Introduction and course overview

The Professional Association of Research Managers and Administrators

Association of Research Managers and Administrators

Working with Uncertainty

Overview

- Professional context for research administration
- Managing risk in research
- Research contracts
- Human resources *(note change to programme)*
- Facilities management
- IT, data and systems
- Financial issues *(note change to programme)*
- Research ethics
- Collaborative research
- Review and looking ahead

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Working with Uncertainty

Course objectives

- extend and consolidate knowledge in a variety of areas;
- opportunity to encounter new approaches to existing tasks and reflect on current practice;
- consider current role and how it might develop in the future;
- opportunity to meet other members of the profession and extend professional network.

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Working with Uncertainty

Course pack

- Copies of all presentations and associated handouts
- Other background materials
  - Course overview and objectives
  - Information about ARMA
- Evaluation form

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Working with Uncertainty

Approach

- All sessions include interactive elements
  - Group exercises
  - Whole group discussions/Q&A
- Changing groups, meeting more people
- Acronyms and jargon

- Questions not answers!
- Learning from each other

Working with Uncertainty

The Professional Context

Ian Carter,
University of Liverpool
Steff Hazlehurst,
Institute of Education

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Managing Risk in Research

Ian Carter
University of Liverpool
Steff Hazlehurst
Institute of Education

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Working with Uncertainty

Research Contracts: is the contract good for our organisation?

Kerena Green,
University of Bath

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Personnel Issues

Pauline Muya
School Manager
School of Crystallography
Birkbeck College

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Facilities management

Bob Chamberlain,
University of Leicester

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IT, Data and Systems

Simon Kerridge,
University of Sunderland
Ian Carter,
University of Liverpool

Acknowledgements: Ian Wilson, Nottingham

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Overview

- Corporate Systems
- Electronic Research Administration
- Technical Issues

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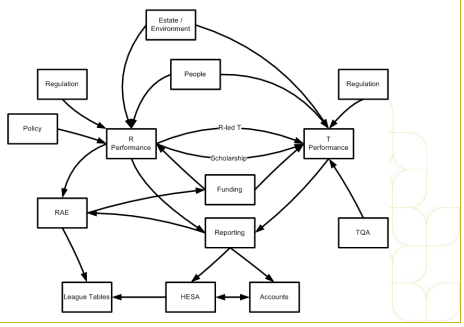
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Corporate Systems

- What systems are there?
- Are there any under development?
- Who uses them?
- Who owns them?
- How do they interrelate?
- Are they integrated?
- Is there overlapping data?
- Where is the primary data?
- How do these relate to external systems?

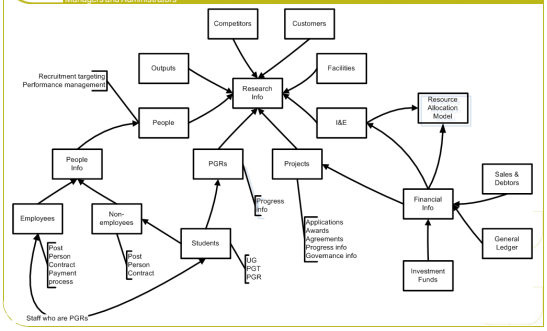
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- Publications, new areas
- Manage outputs for reporting, marketing and other purposes
- Exploit outputs for IPR and to generate new ideas
- Market expertise

An Academic Research Lifecycle…

Opportunities

- Identify expertise
- Identify and encourage collaborations
- Establish Institutes and Centres
- Promote networks/contacts (internal and external)
- Identify resources (equipment and infrastructure)

Outcomes

Ideas

Pre-award

- Identify projects and synergies
- Identify and investigate funding
- Targeted proposal development
- Types of awards (staff, students, time, equipment, infrastructure)

Post award

- Project management
- Financial reports
- Management information

Award

- Setup budgets and identify responsibilities
- Focus on margins and recoverable costs

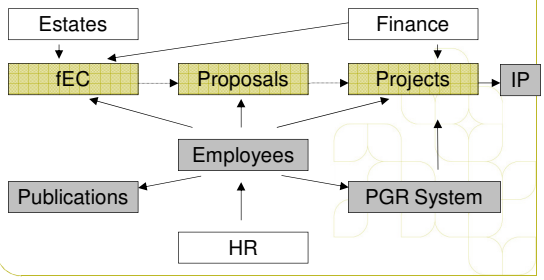
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- Not just about what is going on
- Also about what could happen, and what is needed or desired

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Possible Simple System Architecture



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Other Related Systems

- Web
- Email
- Filestore
- CRM
- Alumni
- Travel
- …

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Electronic Research Administration

- Funding Opportunities
- Proposal Development
- Internal Approval
- Proposals Submission / Tracking
- Project setup
- Project monitoring / management
- Project closing
- Reflection
- Integration

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ERA Funding Opportunities

- Funders
- Word of mouth
- 3rd party systems
- Networking
- Relationship developing

- Repository?
- Distribution… how?

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ERA Proposal Development

- Funder forms
- Templates
- Workshops
- Internal Peer review
- On-line collaboration
- Costing

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ERA Internal Approval

- Who
- When
- How
- How Many
- Funder requirements
- Timescales

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ERA Proposals Submission / Tracking

- On-line submission
- Off-line submission
- Proposal status tracking
- Expected results date
- Reviewer feedback and response turnaround
- Contract negotiation

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ERA Project setup

- Starting certificate / contract signature
- Income budget
- Expenditure budget
- Internal info / KPIs
- Allocation of resources
- External dissemination

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ERA Project monitoring / management

- Internal Audit
- Internal Dipstick
- Management Reports
- External Requirements
- Reporting Periods / Reminders / Tracking

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ERA Project closing

- Final claim
- Final report
- Finance system closure

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ERA Reflection

- What went well
- What went badly
- How could things be improved
- How could processes be improved

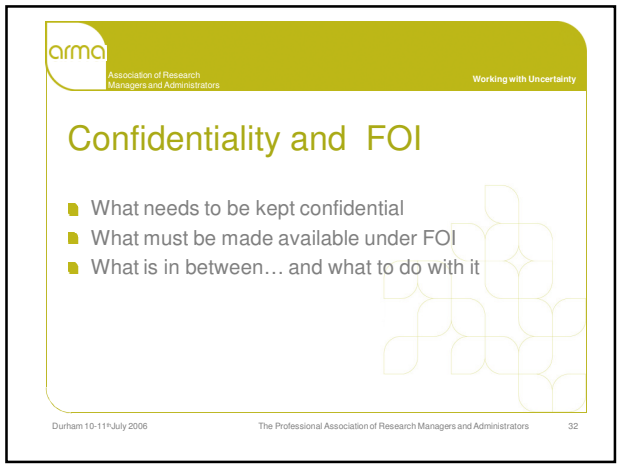
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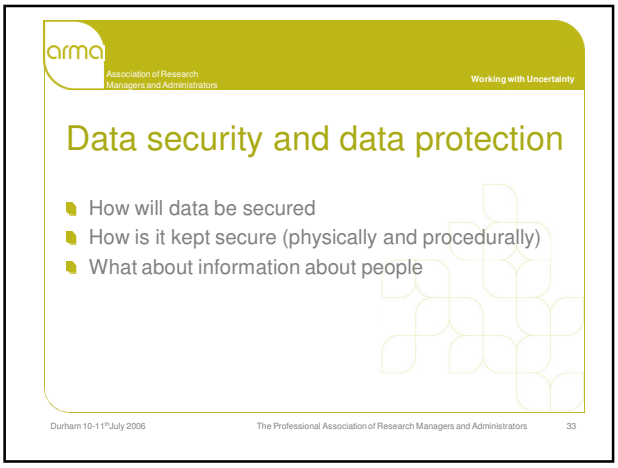
ERA Integration

- Links to other internal systems
- Links to external systems
- Research only?

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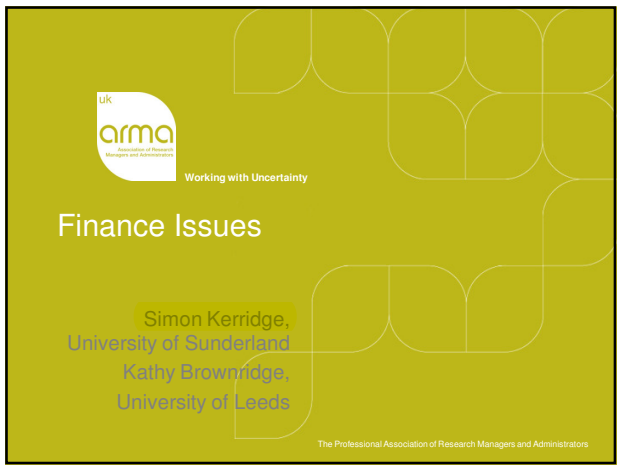

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Technical Issues
Confidentiality and Freedom of Information
Data security and data protection
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Confidentiality and FOI
What needs to be kept confidential
What must be made available under FOI
What is in between… and what to do with it
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Data security and data protection
How will data be secured
How is it kept secure (physically and procedurally)
What about information about people
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Conclusions for IT Development
Its important to assess the options and critically evaluate what, when and why
By developing an understanding of the target Community and 'what makes them tick', it makes developments more applicable and effective
Consultation, engagement and listening and responding goes a long way
Don't underestimate the power of pilots and exemplars
Appreciate diversity and that agendas differ (and usually for good reason)
You won't please everyone all the time but by using the right approach you'll be surprised at how effective changes can be
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University of Sunderland
Kathy Brownridge,
University of Leeds
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Overview

- Financial Planning
- Management and Reporting
- fEC in Practice
- *Groupwork*
- Balanced Portfolio
- *Groupwork*
- Cash-flow and Debt Management
- Identifying Risk and Appraising Opportunity Costs

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Financial Planning

- Research income and expenditure forecasting
- Indirect and Estates costs forecasting
- Internal (match / contribution) Fund Commitment forecasting

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Research income and expenditure forecasting

- Forecasting expenditure (normally reported on)
- Current projects and new projects
  - Applied for / to apply for / success rates
- Profile: linear or yearly / monthly
- By Project / Expenditure Type / Subjective
- Compare with targets… annually / monthly
- Forecasting income (see cash-flow later)

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Indirect and Estates costs forecasting

- Often internally important
- Institutional targets?
- Used as incentives?
- Make up part of core budget?
- Splitting of costs between departments

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Internal fund commitment forecasting

- Institutional level or department level?
- Fixed match fund budget?
- By project or by year?
- Only for certain project types (eg RC)
- Earn additional matched fund (eg consultancy)

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Management and Reporting

- Project account summaries, transactions
- New awards, expenditure, application success rates
- PI and technician time
- Exception reports – underspends, overspends, late starts

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fEC in Practice

- Costing and pricing
- Costing systems and tools
- Price versus downstream benefits 'IP' / kudos / positioning
- Post award
- Award types: RC, Charity, Govt, Industrial, EU, …
  - see balanced portfolio later

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Groupwork

fEC in practice

- What sort of mechanisms for the internal distribution of funds are there? What would you advocate?
- Eg for a £100K fEC RC project £80K would be recovered, where does the £20K come from. How are the Directly Allocated (DA) and Indirect costs allocated internally?

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Balanced Portfolio

- fEC recoveries from different sponsors
- QR/Charity research support fund
- Consultancy income
- Teaching cross-subsidies
- Academic considerations

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Groupwork

Portfolio Balance

- Given a number of existing projects what types of additional funded projects would you like to attract?

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Cash-flow and Debt Management

- Euros / foreign currency
- Setting up anticipated cashflows at the start of the grant(s)
- Getting some money in for a bad debt is better than none!
- Timeliness vs Accuracy of claims

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Euros / foreign currency

- Exchange Rate
  - Set at start, monthly, on claim, by sponsor?
- Use a Euro / Dollar / … account?
- Contingency for fluctuations – dept / central
- Bank charges
- … in indirect costs eventually

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Project Cash-flow

- Set up an income profile
- Match against expenditure profile
- Monitor cash flow and determine worth
  - Use as a bargaining device

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Bad Debts

- Clear contracts
- Penalties for late payment
- Problem payments – identify problem early!
  - Payment scheme
  - Part payment
- Central debt chasing department
- External agency
- Debt write-off / contingency?

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Timeliness vs Accuracy

- Final claim must be accurate
- Interim claims need not be
  - Can be adjusted / compensated for in next / final claim
  - Save time and get money earlier – cash flow
  - Reputation effect – time vs accuracy!
- Compare to profiled payments

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Identifying Risk and Appraising Opportunity Costs

- Project and portfolio risk assessment
- Identifying and appraising opportunity costs
- Costs of risk assessment / compliance

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Project and portfolio risk assessment

- Risk assessment before proposal
- Risk assessment at start of project
- On-going (annual?) risk review – Governance
- Portfolio risks
  - PI burden, Systems burden, Finance risk, Resources, …

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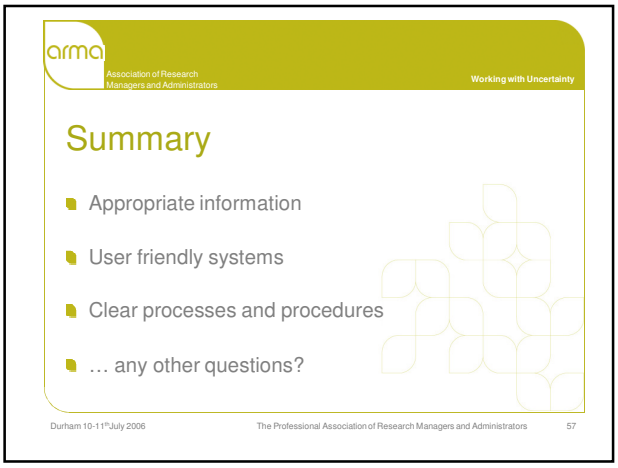
Risk assessment

- Health and Safety
- Ethics, Governance
- Capability (key staff)
- Reputation (subject)
- Resources (staff, equipment, location, …)
- Contractual (funder instability)
- Might the project fail?
- Mitigation
- … compliance

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Opportunity Costs
What!
When?
How to estimate
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Costs of risk assessment / compliance
Silver, Gold or Platinum standard
Importance of the risk
How bad could things get if we get it wrong?
Compliance
Penalties for non compliance
Reputation and loss of status / ability to have new projects
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Summary
Appropriate information
User friendly systems
Clear processes and procedures
… any other questions?
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Ethical issues in research
Richard Hudson
University of Sheffield
Steff Hazlehurst
Institute of Education
The Professional Association of Research Managers and Administrators


uk
arma
Working with Uncertainty
The challenge of collaborative research
Pauline Muya
Birkbeck College
Steff Hazlehurst
Institute of Education
The Professional Association of Research Managers and Administrators


uk
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Working with Uncertainty
Review and discussion
The Professional Association of Research Managers and Administrators

Association of Research Managers and Administrators

EVALUATION FORM

TRAINING WORKSHOP

Working with Uncertainty: research administration in the real world

It would be very helpful if you would spend a few minutes of your time completing this evaluation form. Please mark the delivery of presentations and their content separately in columns A and B, using the following numerical scale to indicate your level of satisfaction:

5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor
This will help us to assess whether your expectations were met, and enable us to make any necessary improvements for the next event.

Session title	Speaker	A Format/ Delivery	B Content & Material	Any further comments and/or suggestions for improvement
The Professional Context	Ian Carter Steff Hazlehurst	4.31	4.10	[redacted]
Managing Risk in Research	Ian Carter Steff Hazlehurst	4.30	3.95	[redacted]
Contracts	Kerena Green	4.5	4.1	[redacted] red [redacted]

				[redacted]
Personnel Issues	Pauline Muya	3.68	3.52	[redacted]
Facilities Management	Bob Chamberlain	3.60	3.05	[redacted]

				[redacted]
IT & Data Systems	Ian Carter Simon Kerridge	3.80	3.60	Interesting ideas although I feel there is limited scope for me to apply them in my job – depends on institution coordinating/integrating systems. I would have liked more information – to be honest I would like to pinch ideas. Another set of lists. Interesting sessoin and this would have been expanded further. A longer session would have been good as it raised a lot of really interesting points. Could have had more substance. Considering this was aimed at experienced administrators, it was quite basic and relied on the speakers' own methods, which are not necessarily the right way. I am not sure of the immediate usefulness of this session to me personally but feel sure it is something I will refer back to as my current role develops. I would have preferred this session earlier in the day – recommendations of different systems would have been useful. Nice double act! This is of particular interest to me and it was a shame that you had to rush through it at the end of the day! I would be very interested in a more focussed event on this area.
Financial Issues	Kathy Brownridge Simon Kerridge	3.81	3.66	Good session as it raised post award issues that I need to be aware of but am not directly involved in. Not applicable to my current position. I need to keep more up to date with finance. Interesting how different universities deal with finance in different ways. Interesting and useful. Too rushed – probably tried to cover too much. Not enough time for delegates to contribute. A possible course for FEC of best practice for accounting post award for FEC – but we're probably not at that stage yet! Finance session good – useful to hear what is happening in two other universities. How can you talk about QA without mentioning RAE. Exercises inappropriate for those with no financial background. I didn't think this presentation was relevant to the group. Although this is not within my usual remit, I found it useful in understanding basic processes and issues.
		3.75	3.90	

Ethical Issues in Research	Richard Hudson Steff Hazlehurst			[redacted]
The Challenge of Collaborative Research	Steff Hazlehurst Pauline Muya	4.04	3.95	[redacted]

Please comment on the extent to which this event:

(a) met your expectations
Yes, met expectations.
Yes, this was a well organised broad course that raised a number of different issues. As a suggestion for future courses I would introduce a more discursive session on issues like RAE and Metrics for example. It would be good to have a debate approach on current issues affecting research in HEI;s tolookat a more strategic approach.T I had thought it would be far more interactive thani t was. I would have preferred parallel sessions that we could choose appropriate topics with break out sessions to have more informal discussions led by the delegates. Networking opportunities were by far the most relevant/important part of the two days. Sessions on second day very long and ran over as well. Fewer or parallel sessions would be better. Nice to have had a conference dinner on Monday evening as well.
This is a good follow up course from Induction.
Exceeded. Some things were in depth rather than being vague. Enlightening and certainly provides a different way of thinking.
The course content was really good and thought provoking. AS research admin is so broad I felt it was well put together and generally appropriate for my career stage.

Potential to be much more interactive – very presentation based rather than sharing expertise – but I enjoyed it, meeting other RA's from around the UK and sharing information/problems/stories.
A lot of the content was knowledge I already have, and I felt therefore that it could have gone into more depth about particularl problems/issues rather than trying to cover everything in a more shallow way. However, there were useful sessions – in areas which I have less expertise.
No criticism of course content as all presentations were very thorough. However, felt programme was very ambitious for two day course and would suggest 10 a.m. start on day one with shortening of the two hour sessions to accommodate this.
The course was advertised for people with knowledge of research administration but some presentations were too basic. I do thik that too much was covered in avery little detail and it would have been more useful to look at fewer topics but in greater detail.
Yes, met all my expectations.
Ambitious to fit all this within two days. Perhaps doing this in more detail over three days may be useful in future.
Contained more post-award related areas than I expected but raised some useful points to think about.
I missed day 1. Possibly needed a bit more networking opportunity during sessions – there's a lot of experience within the audience we could extract this through formal networking sessions.
Some sessions not relevant to my job. Questions raised but not addressed or work through processes to arrive t i.e. check lists, processes, methodologies to deal with them.
Not really. The event sounded extremely relevant to experienced administrators but I think it was quite basic and didn't meet the description provided. Much was irrelevant to a lot of attendees and parallel sessions may have been more appropriate. However, meeting other people in similar positions was very useful and good for networking.
Generally met with expectations, however being in a pre-award team I felt that although interesting was based on post award needs.
I am not sure what expectations I brought to the workshop but I have encountered new concepts, terminology and had the opportunity to meet colleagues working in similar or related areas so the whole experience has proved positive for me personally.
Quite intensive but food for thought! Useful to share experiences with other institutions.
I think I have a little feeling of "unrealised potential". I think the concept was good, the speakers were all very good and knowledgeable but I didn't feel "pushed" or challenged by it (although it was all interested and I don't want to seem too negative). I think maybe focussing on issues in a more discursive way would have been more beneficial.
I expected the workshop to be more interactive and have discussion rather than having directed exercises to complete.
Would have preferred more interactive discussions in groups of people with an interest in specific topics, so could share problems, solutions, best practice etc. Was more basic level than I had expected.

(b) will make a difference to some aspect of your work
No difference to my role at the moment at the moment as I work in a support unit to the NHS. However one of my aims at attending was to keep up with environment and changes, which has happened.
I will take back and use ideas from most of the sessions – especially the contracts and ethics.
Not usre – but will be able to say in future!
I have pages of questions to find answers to when I get back to the office.
Coverage of issues that are not at present part of my remit was useful as we are considering a change from a pre-post award split to a project lifetime model of research administration and support.
Yes, useful contacts made – always useful to discuss issues and know that you are in the same situation as others.
Yes, I will have greater confidence with looking at contractual issues (or in discussion with IP Managers) and have a better understanding of post award issues.
Yes, although not all areas directly relevant to my role, it was good to get an overview of other aspects of managing research.
Yes, wholly in some areas, not so much in others. Contracts & HR issues very useful.
Learnt a bit more on EU and picked up (through networking) processes on taking on the administration of an EU project. Also learnt and will follow up useful suggestions for further information.
If I find the time (!) I will certainly try to address risk assessment/management formally for our projects and meet with our Research Accounting Dept. to discuss the data systems issues as our VC has promised to commit funding in future for better IT systems.
Yes, with particular emphasis on risk management.
Has asked questions about how procedures might be improved to ensure all aspects of proposal development are covered.

This workshop has come at the right time as we are currently looking to capitalise our current systems. There has been a lot of information which will be very useful.
I have a couple of tings I would like to take forward on my return. But it would be telling to say what they are!
I have picked up a couple of differing views on practice and will take these back to the office for discussion.
Will make me think more about how to do certain things in improved ways and wider implications of my role.

Please score the following elements, using the same scale as previously, i.e.
5: excellent; 4: good; 3: satisfactory; 2: unsatisfactory 1: poor

The Overall Event	*Score*	**Any further comments or suggestions for improvement**
C. Structure and timings		Well organised – and well done! First day very long – better to have choices of parallel sessions prior to the conference and made both days shorter. First afternoon was very long. Long day on first day – but OK. Wish I'd known we were finishing at 4pm, I'd booked my train for 6.30pm. Never mind! Some useful sessions, but I felt that the two hour slots were maybe a little long for me. A brief five minute break halfway could have helped. Sessions lasting two hours are too long. A short break is essential between sessions. May want to think about running parallel sessions so that one can choose topics of relevance. Shorten the facilities session. Very long days and sessions – more breaks would be appreciated. Sessions could be made shorter, although appreciate that a lot of information – perhaps split subjects over several seminars? Day 1 was very busy – could have allowed some site-seeing time?
D. Venue		Good meeting room. Beds were quite hard! Accommodation was fine but session room uncomfortable – better chairs and bigger tables please. Not very impressed with venue as a whole but the meeting room was a good size. I'm hard of hearing and found it quite difficult to hear some of the speakers and especially contributing to the participative element in the room. Some form of amplification would have been useful. *(I did check that there was an induction loop in the room for this lady before the event)*
E. Catering		Rather disappointing, very bland and non-exciting food. The food itself was good. However, we were rushed through our meals, heading to indigestion. Dinner, as a three course meal, needs time to be enjoyed – not inhaled in 30-40 minutes!! Breakfast and lunch were good but the evening meal average.

		Evening meal was disappointing. Staff were efficient, maybe a little too efficient at clearing away?
F. Online registration and payment procedures		Easy and straightforward. There were some slight problems but Rosemary was very helpful and sorted things out. Concern about emails about missing expressions of interest. Great, though minor issue with email system. My expression of interest bounced with no notification but this was sorted out in the end.
G. Course administration & practical arrangements		Great to be able to meet and travel up with someone from my area. Very well organised.
H. Delegate pack		

Future Topics: Are there any areas or topics you would like future ARMA events to cover? You might also like to suggest potential speakers.
This conference is a really good idea. Would like more collaborative working of the NHS/Dept. of Health or any health related topics.
Career development/personal development for research administrators.
RAE – developing a research strategy.
Managing RAE issues?
Helping researchers finding funding opportunities.
Managing/supervising a research office – for those aspiring to a managerial role.
Best practice in managing and maximising success of major bids
How to influence your institution's policy on research matters – costing, pricing, FP7 participation, etc.

Extras:

A A couple of points that had no natural home on the form.

1. Generally I would like to see a more varied group of speakers to get perspectives from a wider view (though they were all very good)
2. I know this isn't your fault but I would like to see more people form the bigger universities – maybe some work on branding and targeting?
3. It maybe a challenge too far to run two day events that satisfy both generalists and specialists, something to think about maybe?

B Overall, all topics were of interest. It was good to meet and listen to others in different roles, with different responsibilities. Ag reat start: I will be very interested to see feedback/any follow up from this event and perhaps futiure courses could be more specialised and more intensive.

Expert Seminar
Websites for Research

Steff Hazlehurst
RAG*net* Website editor
Simon Kerridge
Graduate Research School,
University of Sunderland

Overview

- What information do I want and how do I get it?
- Designing the site: structure and layout
- Databases on the web: how can they work for me?

What information do I want and how do I get it?

- How is web strategy determined?
- Who will supply the information?
- Who makes it web-ready?
- Devolution of responsibility for the site/parts of the site

Information

- Why (who wants it)
- What (do they want)
- Where (do you get it from)
- How (do you collect it)
- Manage (the collection process)
- Manage (the data)
- Manage (the timeliness)

Information – Questions

- Directory structures
- Archiving

Designing the site: structure and layout

- Choice of software
- Information structure
- Graphics and good design
- Coping with institutional design
- Access issues
- Browser compatibility

Choice of software

- Microsoft FrontPage
- Allaire HomeSite
- Dreamweaver
  - 'clean up Word html'

Information structure

- Is at least as important as graphic design
- Broad categories, not too many of them
- Look at other people's sites
- Ask users
- Review it

Graphics and good design

- Images
- Showy code
- Frames
- Institutional constraints
- Keep it simple

Top web retailer, boo.com collapses

- Its fashionable range of sports-oriented designer clothing won admirers, as did its all-singing, all-dancing website.
- But…a large proportion of its potential market was unable to use boo's site because the website design was too advanced for most computers and access frustratingly slow.

Time

- 'Last updated' - but is it updated monthly, weekly, once in a blue moon?
- Whose responsibility is it?
- Is there enough news for a news space or better to have something you can turn off when there's no news?
  - http://www.cvcp.ac.uk/Links/LinkedActivities/RCI_/rci_.html

Access issues

- Who is using your site?
- What sort of network connection do they have?
  - via network or via modem?
- How up to date is their browser?
- Which browser is it?
- Visually impaired users
  - http://www.rnib.org.uk/digital/hints.htm

Databases on the web: how can they work for me?

- How do they work?
- What can I use them for?
- Collaborative development

Slide 13 Expert seminar: Websites for Research London, 31 May 2000

Databases

- What is one
- Why use one
- For what purpose

- Integrating with other databases
- Distributed databases

Slide 14 Expert seminar: Websites for Research London, 31 May 2000

Databases – Data

Types of data (Fields)
- Numbers
- Strings
- Lists
- Multi-media

Tables

Relationships

Slide 15 Expert seminar: Websites for Research London, 31 May 2000

Databases - Issues

Access Levels

Updating

Validation

Integrity

Verification & Control

Slide 16 Expert seminar: Websites for Research London, 31 May 2000

Database – Applications

- Publications
- Research Projects
- Research Student Administration
- Staff Details (Interests… → Directory)
- Contacts
- Event Booking
- …

Slide 17 Expert seminar: Websites for Research London, 31 May 2000

Databases and the Web

Platform (eg NT)

Database (eg Oracle, Access)

Connection (eg ODBC)

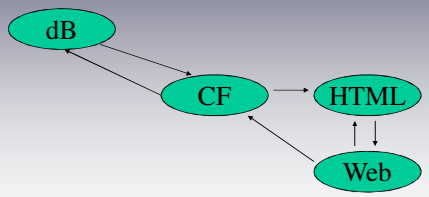
Data Collation (eg SQL)

Page Construction (eg Cold Fusion)

Page (Web) Publishing (eg IIS)

Slide 18 Expert seminar: Websites for Research London, 31 May 2000

Database - Web



Slide 19 Expert seminar: Websites for Research London, 31 May 2000

Databases – Questions

- As we go…

Slide 20 Expert seminar: Websites for Research London, 31 May 2000

Collaborative development

- ColdFusion
- Netskills training day
  - www.netskills.ac.uk
- Generic database supplied
- Some example pages
- Then tasks set to design other pages
- Support for learning

Slide 21 Expert seminar: Websites for Research London, 31 May 2000

GRSdB Statistics

By Simon Kerridge, 2nd May 2011

Introduction

The Graduate Research School (GRS) is a central service at the University of Sunderland responsible for research support and post graduate research (PGR) student administration. Since its inception in 1994 (then called Research Development) it has gone through various re-organisations with resulting changes in remit, at times including post award research administration and commercial activity.

In 1995 when I joined, initally a set of spreadsheets were used to record data, quickly these were extended to an access database with some dynamic (Cold Fusion) web pages. The system was migarted to an Oracle database and various areas of data and functionality were added over time, see (Kerridge 2010) for further details of the developments over time. This report provides a snapshot of the system from 24th August 2010 data.

Overview

The system comprises an Oracle database, a web interface and a simple filestore together with an MS-Access view into the Oracle tables to allow for ah hoc reports to be generated in the central research office. The main web interface is accessible around the world and has a publicly open as well as restricted access area for University staff.

The main databae driven website is accessible from www.grs.sunderland.ac.uk (accessed 1st May 2011)

The Interface

Note that the follow screen shots were all taken on 1st May 2011, and so any temporal data shown will be relative to that date.

The open access web interface is available via: http://www.grs.sunderland.ac.uk/. The data is also used to drive other mini websites such as the RAE2008 mini site, http://www.sunderland.ac.uk/research/rae/; and a guest site: http://www.sunderland.ac.uk/research/new-dir/, is in development. Access to the restricted area of the main GRS on-line system is via the login page at http://www.grs.sunderland.ac.uk/grssite/grshome.cfm (see Figure 10) and there are various standard queries available to visitors to the site:

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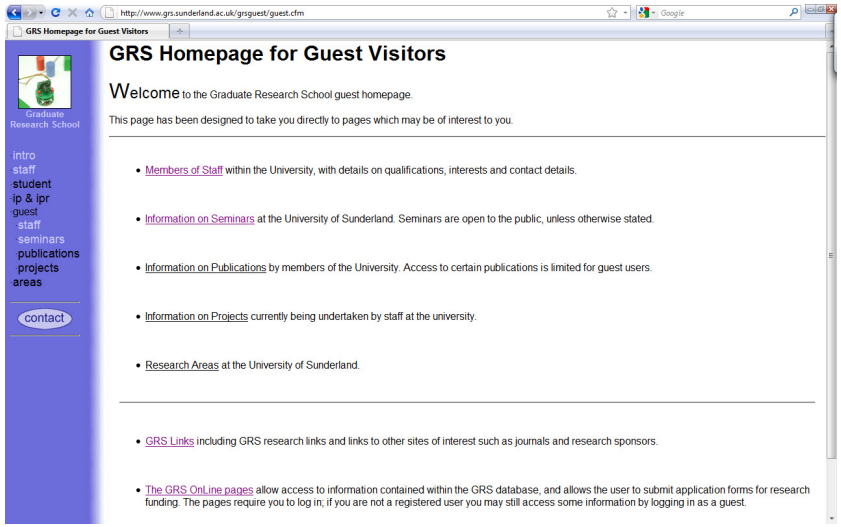


Figure 1: The Home Screen for Guest Visitors to the site

For example, clicking on ***Information on Seminars*** and then on the ***forthcoming seminars*** button provides:

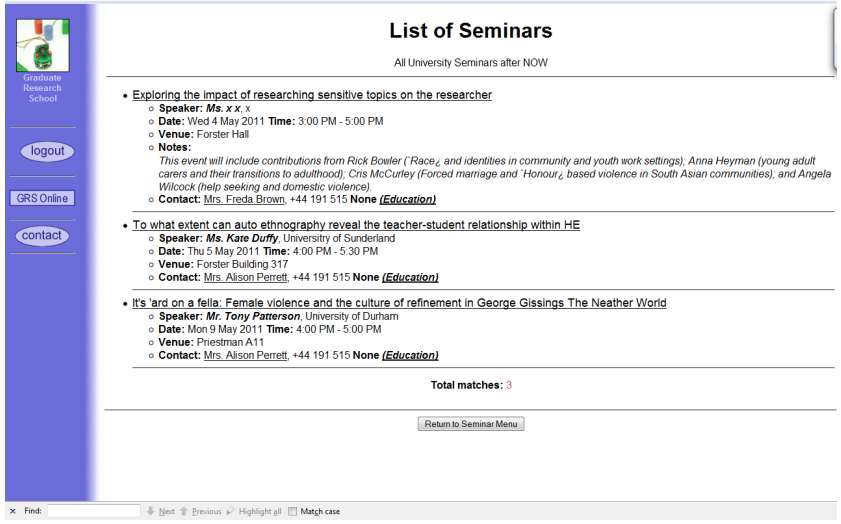


Figure 2: Guest Access "Forthcoming Seminars" results

Whereas clicking on ***Information on Publications*** and selecting "Kerridge, Mr. Simon" from the ***Author*** pull-down list gives:

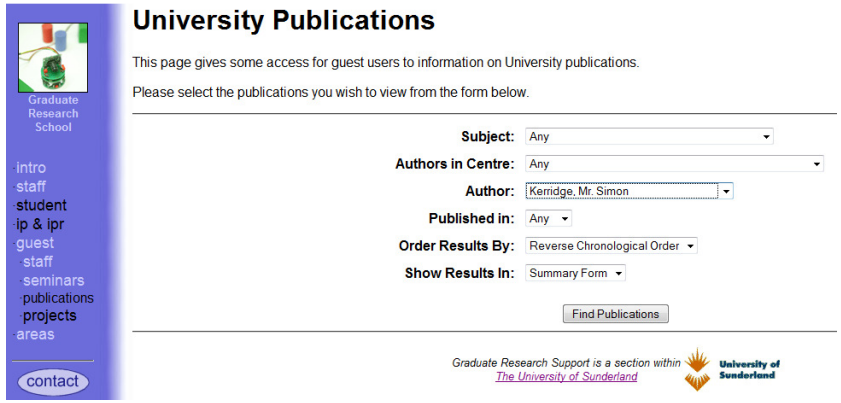


Figure 3: Guess Access Publication Search Screen

Clicking on the ***Find Publication*** button retreives the following results:

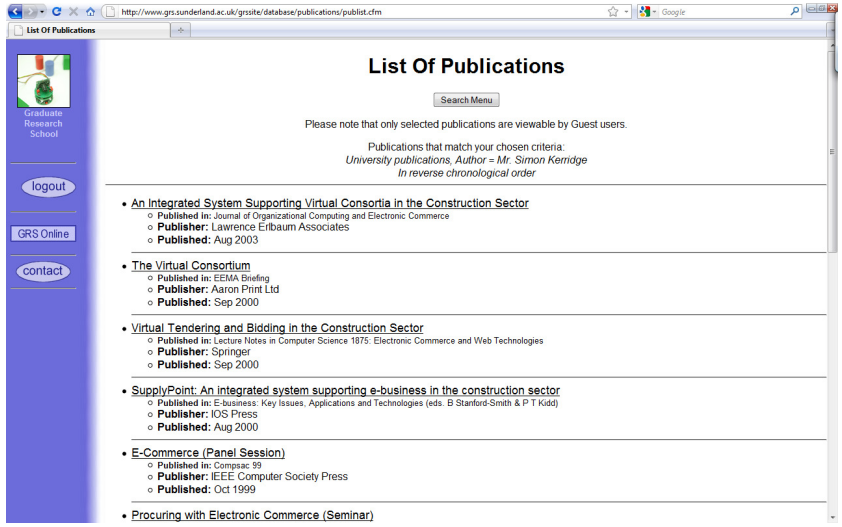


Figure 4: Guess Access Publication Results Screen

Note that with guess access only data on those publications that have been approved for external viewing are shown, and a restricted set of details. Comparing this to the results gained when logged in as a used with central research office access levels:

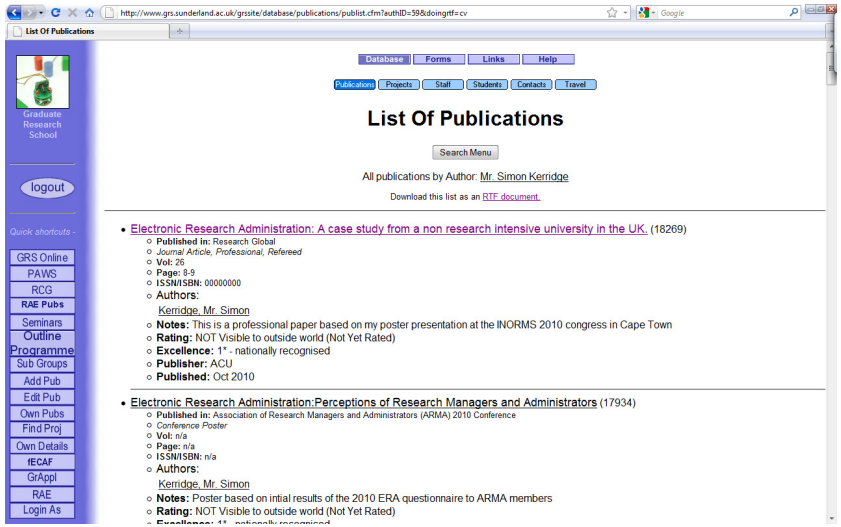
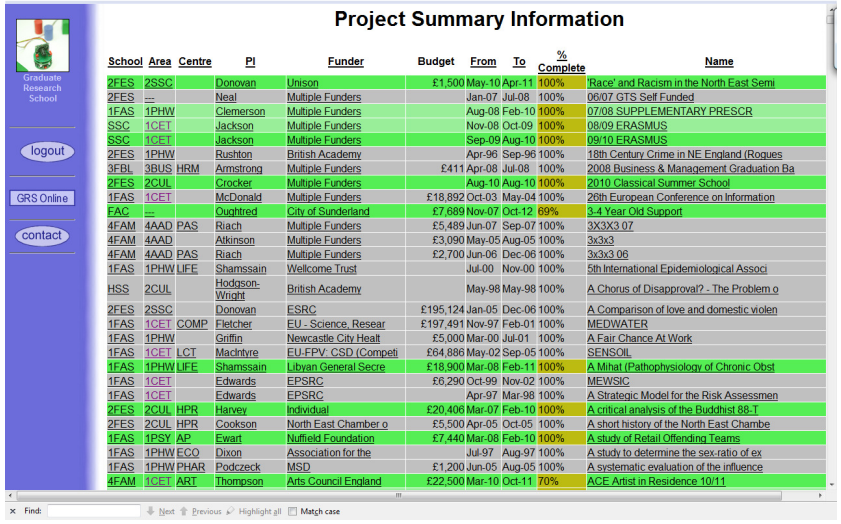


Figure 5: Staff Access (Level 9 User) Publications Results Screen

Back to guest access, as well as information on publications and seminars, list of projects and information about staff can also be found:



School	Area	Centre	PI	Funder	Budget	From	To	% Complete	Name
2FES	2SSC		Donovan	Unison	£1,500	May-10	Apr-11	100%	'Race' and Racism in the North East Semi
2FES	---		Neal	Multiple Funders		Jan-07	Jul-08	100%	06/07 GTS Self Funded
1FAS	1PHW		Clemerson	Multiple Funders		Aug-08	Feb-10	100%	07/08 SUPPLEMENTARY PRESCR
SSC	1CET		Jackson	Multiple Funders		Nov-08	Oct-09	100%	08/09 ERASMUS
SSC	1CET		Jackson	Multiple Funders		Sep-09	Aug-10	100%	09/10 ERASMUS
2FES	1PHW		Rushton	British Academy		Apr-96	Sep-96	100%	18th Century Crime in NE England (Rogues
3FBL	3BUS	HRM	Armstrong	Multiple Funders	£411	Apr-08	Jul-08	100%	2008 Business & Management Graduation Ba
2FES	2CUL		Crocker	Multiple Funders		Aug-10	Aug-10	100%	2010 Classical Summer School
1FAS	1CET		McDonald	Multiple Funders	£18,892	Oct-03	May-04	100%	26th European Conference on Information
FAC	---		Oughtred	City of Sunderland	£7,689	Nov-07	Oct-12	69%	3-4 Year Old Support
4FAM	4AAD	PAS	Riach	Multiple Funders	£5,489	Jun-07	Sep-07	100%	3X3X3 07
4FAM	4AAD		Atkinson	Multiple Funders	£3,090	May-05	Aug-05	100%	3x3x3
4FAM	4AAD	PAS	Riach	Multiple Funders	£2,700	Jun-06	Dec-06	100%	3x3x3 06
1FAS	1PHW	LIFE	Shamssain	Wellcome Trust		Jul-00	Nov-00	100%	5th International Epidemiological Associ
HSS	2CUL		Hodgson-Wright	British Academy		May-98	May-98	100%	A Chorus of Disapproval? - The Problem o
2FES	2SSC		Donovan	ESRC	£195,124	Jan-05	Dec-06	100%	A Comparison of love and domestic violen
1FAS	1CET	COMP	Fletcher	EU - Science, Resear	£197,491	Nov-97	Feb-01	100%	MEDWATER
1FAS	1PHW		Griffin	Newcastle City Healt	£5,000	Mar-00	Jul-01	100%	A Fair Chance At Work
1FAS	1CET	LCT	MacIntyre	EU-FPV: CSD (Competi	£64,886	May-02	Sep-05	100%	SENSOIL
1FAS	1PHW	LIFE	Shamssain	Libyan General Secre	£18,900	Mar-08	Feb-11	100%	A Mhat (Pathophysiology of Chronic Obst
1FAS	1CET		Edwards	EPSRC	£6,290	Oct-99	Nov-02	100%	MEWSIC
1FAS	1CET		Edwards	EPSRC		Apr-97	Mar-98	100%	A Strategic Model for the Risk Assessmen
2FES	2CUL	HPR	Harvey	Individual	£20,406	Mar-07	Feb-10	100%	A critical analysis of the Buddhist 88-T
2FES	2CUL	HPR	Cookson	North East Chamber o	£5,500	Apr-05	Oct-05	100%	A short history of the North East Chambe
1FAS	1PSY	AP	Ewart	Nuffield Foundation	£7,440	Mar-08	Feb-10	100%	A study of Retail Offending Teams
1FAS	1PHW	ECO	Dixon	Association for the		Jul-97	Aug-97	100%	A study to determine the sex-ratio of ex
1FAS	1PHW	PHAR	Podczeck	MSD	£1,200	Jun-05	Aug-05	100%	A systematic evaluation of the influence
4FAM	1CET	ART	Thompson	Arts Council England	£22,500	Mar-10	Oct-11	70%	ACE Artist in Residence 10/11

Figure 6: Guest Access: List of All Projects

The entire list of (research and commercial) funded projects on the system (excluding those marked as confidential) has 1,551 projects with a total value of £67,556,627.

Clicking on the project name reveals further information, for example:

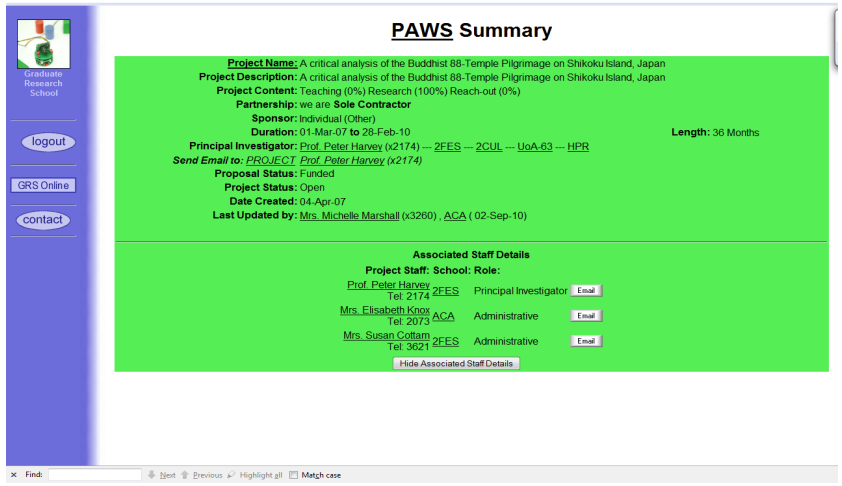


Figure 7: Guest Access: Project Information Screen

This allows visitors to find the contact details for the staff involved with the facility to email them. Also by clicking on the Principal Investigator name link more can be found out more about them:

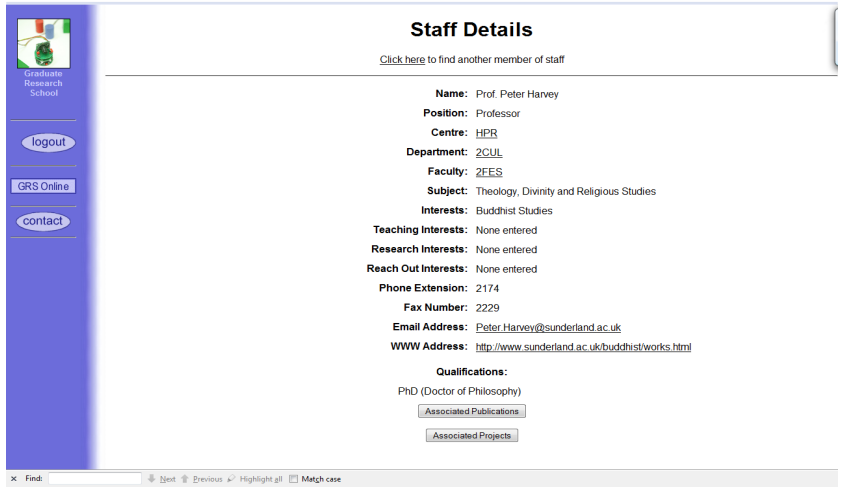


Figure 8: Guest Access: Staff Information

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Again, further information is provided to those logged into the system

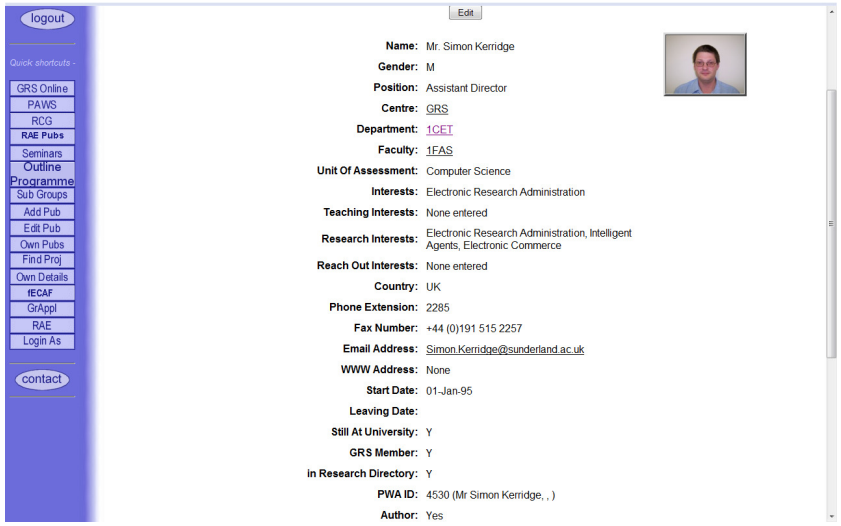


Figure 9: Staff Access (Level 9): Staff Information

In order to view (and depenging on the access rights of the individual) and update information a login is required:

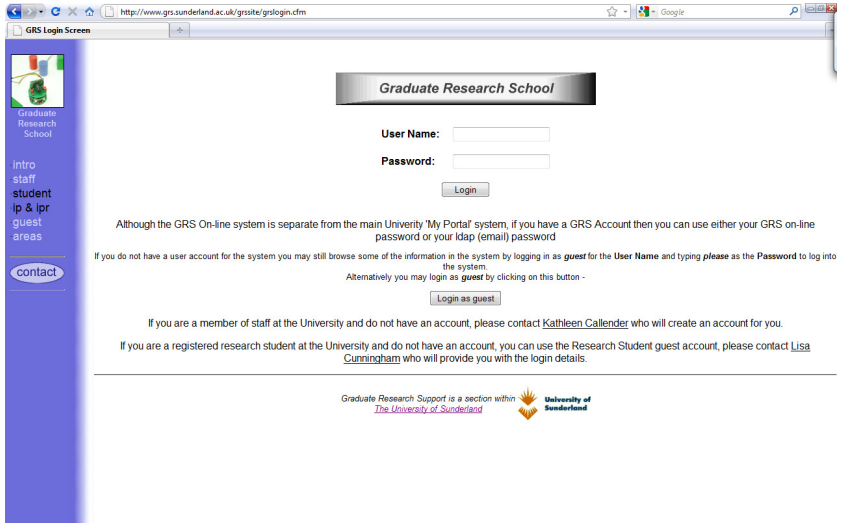


Figure 10: GRS Login Screen

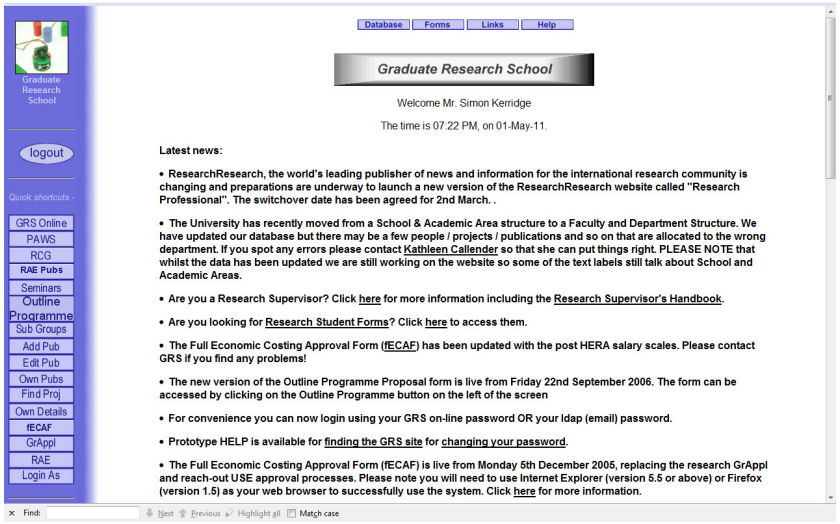


Figure 11: Welcome Screen

After a successful login the welcome screen is shown which provides some navigation buttons at the top and some shortcut buttons on the left hand side for one click access to frequently used functions (dependant on user access).

The **PAWS** (Project Administration Workflow System) area provides information on project proposals and funded projects with access to project files. There is also an email alerting service to aid workflow.

The **RCG** (RAE Core Group) area has minutes and papers for the research strategy group of the University

RAE Pubs is a bespoke area developed to allow the selection of staff and publications for submission to research assessment exercises; it was used in RAE2008 but would need to be updated for use in the forthcoming REF2014.

Seminars is a link to the seminar listing / searching / adding area

Outline Programmes is now a defunct area

Sub Groups provides a list of schedules PGR student sub group meetings (for assessing progress)

Add Pub starts a blank publication reference input screen, with the current user selected as the default author.

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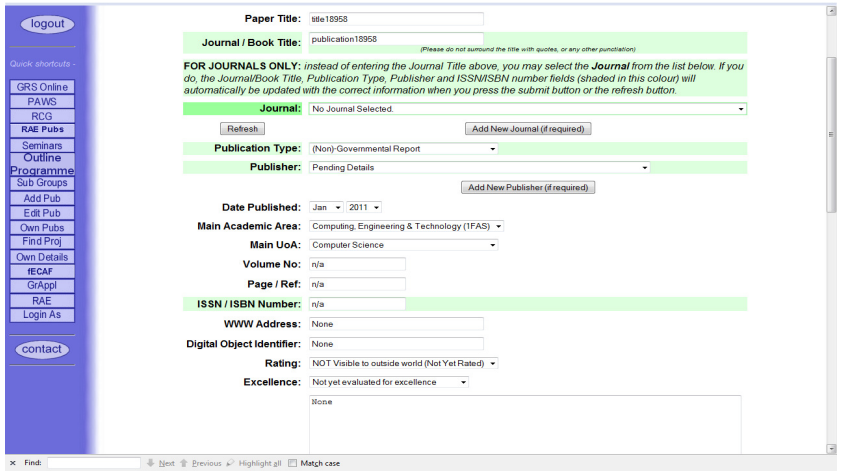


Figure 12: Staff Access: Add a Publication (Reference) into the GRSdB

Edit Pub links to a list of the publications that the user can edit (either their own or ones that they have entered for other staff – useful for research administrations), selecting one will open the details for editing

Own Pubs provides a list of a persons publications, which can then be edited or exported in an rtf document for use outside the system.

Find Proj goes to the Projects and Proposals search screen:

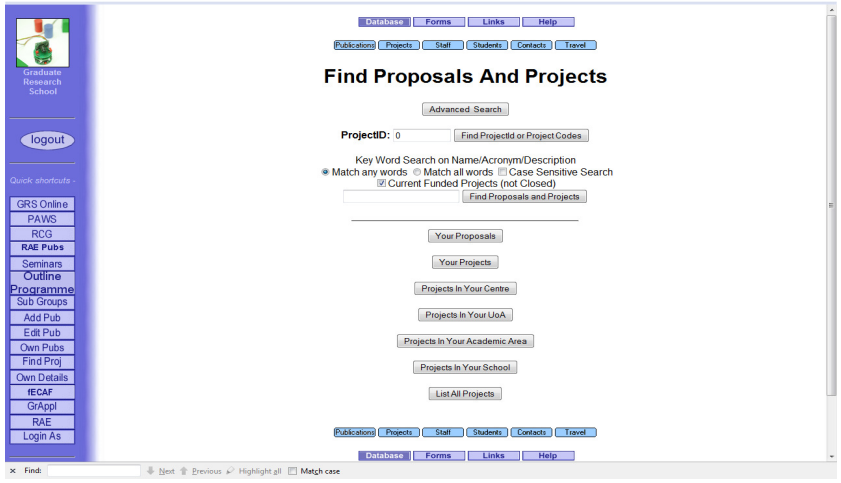


Figure 13: Projects and Proposals (Simple) Search screen, for common searches

The **advanced search** button provides a comprehensive Boolean search facility:

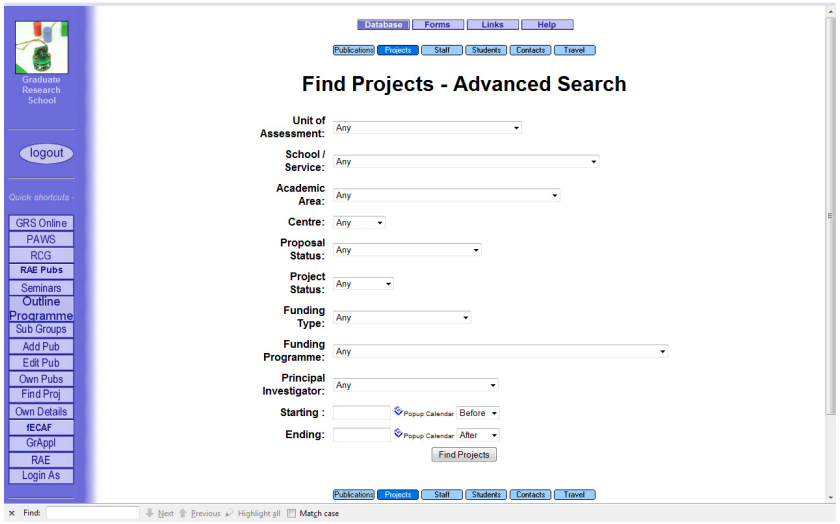


Figure 14: Projects and Proposals Advanced Search screen

There are similar search screens for finding publications and staff details.

Own Details shows the user what information the system holds on them (see Figure 9).

fECAF (Full Economic Costing Approval System) is a link to the project proposal approval (including costing and pricing) system. This area has now been superseded by a pFACT implementation.

GrAppl (Grant Application) is a link to the approval system for proposals used before the introduction of fEC in the UK, when it was superseded by fECAF.

RAE (Research Assessment Exercise) is a link to general information about UK research assessment for Sunderland staff

Login As is a super-user facility to be able to log in as any other user of the system (without knowing their password) and hence be able to see exactly what they are seeing – very useful for diagnosing problems for users.

Overall there are more than 100 distinct screens to search for, list, provide details and update information on staff, publications, seminars, proposals, projects and costing and pricing information.

Note that PGR information was never made available through the web interface (although the data is held in the same database, so it could potentially be).

The data is (subject to access control) available to other university users and has been used for a number of dynamically created mini research sites; once the site is created it does not need updating as the underlying data is maintained by the central GRS processes.

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Data

As of the snapshot date (24th August 2010) the database had been collection data for nearly 15 years (and some data, particularly pubication information, had been backfilled) and holds a large amount of data about research activity at the University of Sunderland. There are 400 different tables holding data and 468 main queries used by the system to extract and update data, although as hoc queries can be developed and dynamic ones are generated based on user interaction through the web interface. Some of the 400 tables are lookup tables (for example department and country lists); in the remaining substantive data tables are over 40,000 records.

The following highlights some of the data held but does not go into detail on the fields and relationships.

Users

The system has 1,128 registered users, all either staff, students or people associated with the university, now (or in the past). User accounts are linked individually to employee (staff) records in the system and there are nine levels of access rights which can be assigned to users at varying levels for different parts of the system. So a person might have Faculty level access for publications information but only departmental level for project information and just individual level for proposals approvals, and so on.

Staff

The system holds information about 2,387 members of staff (employees) and people affiliated with the University. The Employee record is the main driver for database relations: users are linked to (a single) staff record; publication authors are linked to staff; project/proposal principal investigators are staff; PGR supervisors are staff; seminar speakers are staff, and so on.

PGR Students

There are 1,954 post-graduate research students records on the system and they are linked to 1,740 supervisors (most of whom are staff) and examiners (some of whom are staff) records together with 15,745 individual notes on progress and any issues that might need to be recorded.

Proposals

The system has information on 3,340 proposals with 2,996 associated costing and approval forms (971 on the pre-fEC GrAppl system and 2,025 on the post-fEC fECAF system). 344 proposals either pre-date the mandating of on-line approval in 2006 or were never developed to a sufficient stage to require costing and pricing. The total proposal throughput value was £123,974,791.20. There are 12,032 notes associated with these proposals, each having the potential to generate a series of automated email reminders should the action not be completed on time. Associated with proposals (and projects) there are 38,300 files (available via the web interface and locally for central research office staff) using 3.89GB of storage.

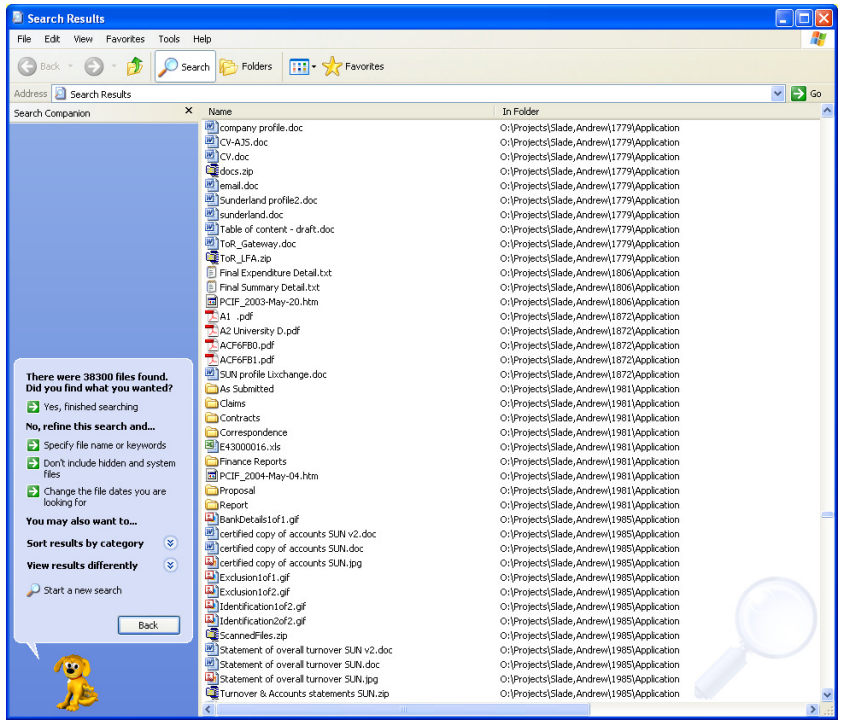


Figure 15: Screen Shot of Project Files drive (files are also accessible via the website, depending on access rights)

Projects

Projects are in effect just proposals that have been funded (and hence have a special status and additional post-award information is then associated with them. There are 1,148 funded projects in the system with a total value of £67,387,089.59; giving an average success rate of 54.4% in terms of proposal value and 34.4% in terms of number of proposals funded; both respectable figures.

GrAppl

The pre-fEC costing and pricing system approval system was used from 1997 to 2005 and has 971 proposal costings.

fECAF

The post-fEC costing and pricing approval system was used from 2005 to 2010 and has 2,025 proposal costings recorded.

Funders

The system holds information on 1,097 funders that are grouped into 24 funding types which themselves are grouped into 7 summary groups that match the subjective codes in the finance system to aid reporting and reconciliation.

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Publications (Research Outputs)

The original driver for the online system was to collect publication information from staff in 1996 (after the problems with locating information for the 1996 RAE) on an on-going basis. As such the publication record (meta data only, not the outputs themselves, although many are linked to on-line) in complete going back to 1996. There are 8,797 research outputs (publications) recorded on the system. These are associated with 2,207 publishers on the system; although there are some that appear more than once, for example Elsevier has eight entries (for different locations).

Authors

Most members of academic staff are publication authors (and their author record is linked to their staff record). Although the academic staff complement is around 450 there are 1,306 authors linked to staff records due to staff turnover and RAs and PGRs authoring). There are of course many publications with people from outside the institution and there are 4,071 author records not associated with staff records, giving a total of 5,377 authors on the system.

Journals

The system holds information on 1,506 journals (and 2,834 of the 8,797 research outputs are papers appearing in these journals); however 330 of these journals do not have any publications associated with them. 720 journals on the system only have one article, and only 8 have 20 more articles associated with them; the most, 31, is in the Journal of Criminal Law.

Publication Types

The systems records 50 different types of research outputs, although only 48 of them have been used. They are grouped into 7 summary types: there are 2,834 journal articles; 2,556 conference publications; 1,507 books or book chapters; 607 exhibitions; 65 performances; 65 installations; and 1,163 other research outputs. As publications are linked to authors which are linked to employees which have information about department and faculty then data can be presented in various formats. For example:

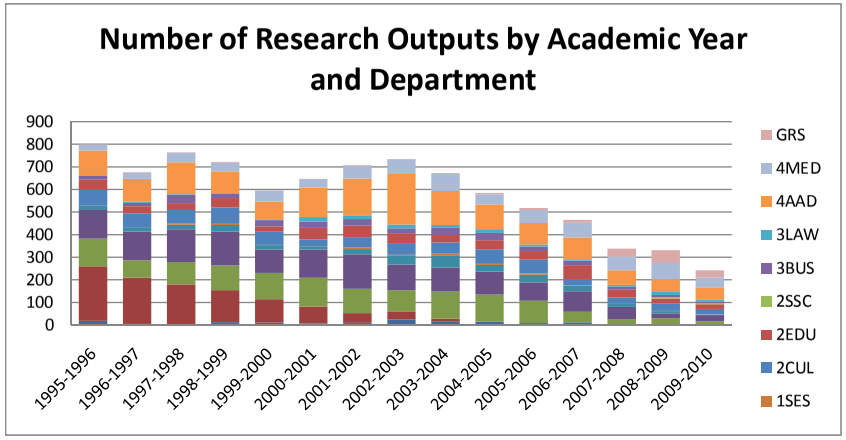


Figure 16: Publication Output Volume by Department by Year

The unlabelled dark red area are those publications authored by people who are not associated with any department (that is they have left the University prior to a departmental reorganisation; there have been three over the period). This graph clearly shows a decline in overall research output since 2003. There has been a decline in the output of most departments, but Media (4MED) for example has stayed relatively stable.

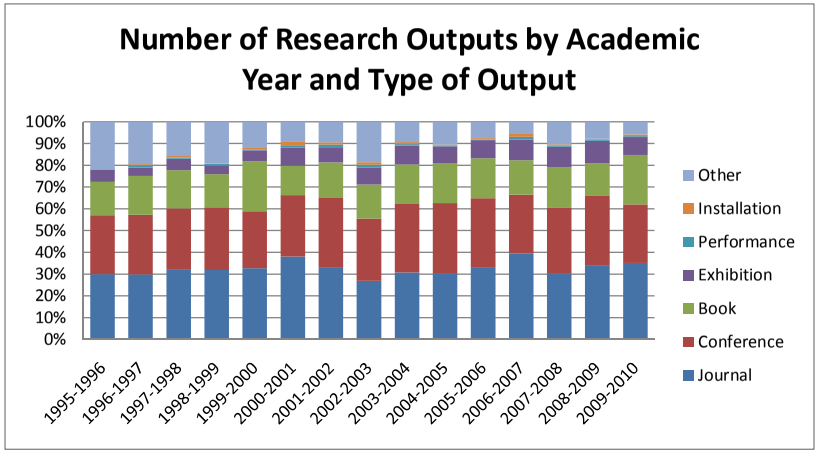


Figure 17: Research Outputs by Type (Proportion of Total) and Year

The same data split down by publication type share of the output by year shows a relatively stable picture. Whilst the overall volume has reduced consistently since 2003, the share of output types for journal articles and books has gone up; an indication that resources are being focussed.

This data can of course be drilled down to research group and individual academic staff so that a picture of projects, publications and PGR supervision can be generated.

Seminars

There are 777 seminars recorded on the system (from 2000 onwards), and similar graphs and statistics can be drawn from these data. For example:

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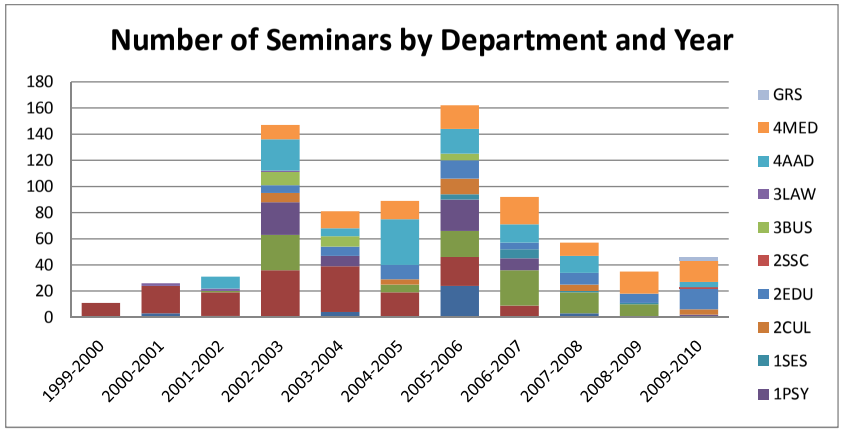


Figure 18: Seminars by Department by Year

The graph shows a real decline in recent years for seminars in Computing and Engineering (1CET), and Pharmacy Health and Wellbeing (1PHW), but Media (4MED) again holding up well, and a recent resurgence in Education (2EDU).

System Use

Whilst there are around 500 potential system users, concurrent users normally only reach a maximum of around 20. There is an audit trail built into the system to record data updates (who changed what) and since 2nd Nov 2000 there have been 999,232 recorded transactions; approximately 500 per working day. The highest usage was 16th Nov 2009 with 4,042 transactions.

Summary

The system has grown organically over the past 15 years and in some places shows its age. However it has been an invaluable tool for research management and planning, being used for the 2001 and 2008 RAEs and for monthly KPI reporting to research committees over that period.

References

Kerridge, S. (2010). Electronic Research Administration: A case study from a non research intensive university in the UK. International Network of Research Managment Societies (INORMS) Congress 2010. Cape Town, INORMS / SARIMA / ACU.

JISC Grant Funding 15/10

Cover Sheet for Proposals *(All sections must be completed)*	JISC
Name of Strand:	Research Information Management
Name of Lead Institution:	University of Sunderland [Sund]
Name of Proposed Project:	Integrated Research Input and Output System (IRIOS)
Name(s) of Project Partners(s) (except commercial sector – see below)	University of Glasgow [Glas], University of St. Andrews [StAnd], NERC, EPSRC, euroCRIS
This project involves one or more commercial sector partners ~~**YES /**~~ **NO** (delete as appropriate)	**Name(s) of any commercial partner company (ies)**
Full Contact Details for Primary Contact: **Name:** Simon Kerridge **Position**: Assistant Director (Research), Academic Services **Email:** simon.kerridge@sunderland.ac.uk	**Tel:** 0191 515 2285 **Fax:** 0191 515 2257 **Address:** 212 Edinburgh Building, Chester Road, Sunderland SR1 3SD
Length of Project:	6 months
Project Start Date:	1st Feb 2011 **Project End Date:** 31st July 2011
Total Funding Requested from JISC:	£64,365
Funding requested from JISC broken down across Financial Years (Aug-July)	
Aug10 – July11	**Aug11 – July12**
£64,365	n/a
Total Institutional Contributions:	£46,214
Outline Project Description To develop a proof of concept demonstrator based on the Universities for the North East Information System (UNIS)[1] platform for a CERIF compliant "grants on the web" system for Research Council (RC) funded projects. UNIS is a collaborative project management system which has been developed over 15 years, funded by the 6 partner organisations (Universities of Durham, Newcastle, Northumbria, Teesside and Sunderland, and the Open University in the North). The 3 HEI partners will then validate this grant data and subsequently attempt to link research output (publications) data to these projects. RCUK are currently migrating to a shared service centre (SSC) for the grant management process, and the RCUK Information Management Group has also supported the CERIF standard. This proposal will accelerate the shared usage of CERIF by the Research Councils and Research Organisations (ROs) alike by providing access to information on RC funded projects in CERIF format and linking grants to publications to provide added value.	
I have looked at the example FOI form at Appendix K and included an FOI form in this bid	**YES** ~~**/ NO**~~ (delete as appropriate)
I have read the Funding Call and associated Terms and Conditions of Grant at Appendix L	**YES** ~~**/ NO**~~ (delete as appropriate)

[1] As of July 2010, the Knowledge House Information System (KHIS) was re-branded as UNIS

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1. Appropriateness and Fit to Programme Objectives and Overall Value to the JISC Community

1) The aim of the project is to develop a 'demonstrator' CERIF-enabled interrogation tool for Research Council (RC) funded projects and their outputs. This will enable users external to the RCs to gather and re-use information about research projects and contribute additional metadata on outputs, and, potentially, on data records relating to them. The HEI project-partners will link information on research grants with their internal databases of information on the research outputs deriving from these grants.
2) The main aim of the RIM call is *"to expand the community of higher education institutions and organisations which are using the CERIF standard."* This proposal will develop a resource of Research Council (RC) grant information in CERIF-xml interchange format. The Research Councils are seen as the gold standard research funders and lead the UK research funding arena in electronic research administration. Most HEIs and Research Organisations (ROs) are keen to work with the various RCs as a funder of choice. The RCs (through the RCUK Information Management Group) are committed to moving towards the use of CERIF as a research information data standard, and this proposal will accelerate that usage. Research Organisations have frequently expressed the desire to have access to integrated grants information spanning the seven Research Councils. This project will demonstrate a mechanism to provide this in a UK standard format (initially with the participation of two RCs).
3) The pilot validation exercise will prove the CERIF-based system in the 3 partner HEIS: the Universities of St. Andrews, Glasgow and Sunderland. This CERIF-based system will extend the UNIS existing collaborative platform (currently used by the five North-East regional universities to provide the core project demonstrator. UNIS has been designed to meet the core requirements of rapid customisability and extensibility to satisfy the requirements of user groups within the five North-East universities. By adapting this platform for research management purposes (from the existing application of reach-out activity management and tracking), we will be taking advantage of a robust and secure platform already familiar to some users. This will give us a head start and offer exceptional value for money as the investment of development time will be directed to customisation rather than a full development process.
4) The proposal covers all four sub-areas of the scope of the RIM call:-
   - ***Using CERIF to support the interoperability of systems and processes within one or more institutions (for example repositories, HR systems, research management systems) to enable better internal information management.***
     Currently, the management of information regarding research grants is handled by a number of systems with limited interoperability. Mostly these systems are quite disparate, and there is little commonality between institutions. This project will provide a central platform, and a common data architecture, improving information management internally for example with such features as Excel exporting (this is currently implemented in UNIS) and CERIF export (will be a core development feature of this project).
   - ***Using CERIF as a basis for data warehousing within one or more institutions.***
     UNIS currently supports archiving of data on projects and contracts. Combined with a CERIF export, archived data will be made available for other systems and purposes.
   - ***Using CERIF as a structure for research information gathered from outside the bidding institution but relevant to it, for example from funder databases, sources of bibliographic information or services offering authoritative information about the names of people, organisations, etc.***
     A core objective of the project is to tailor the data structures and interface of UNIS to manage external research grant data and enable linkages with other datasources, especially publication information. This could potentially be extended to eg DataCite[2].

[2] http://datacite.org/

- ***Using CERIF as a wrapper for research information about one or more institutions, enabling it to be more easily shared, for example in preparation for the REF, or aggregating information for research pools or other collaborations***
  UNIS is a collaborative platform. Adapting it to interface with other systems using CERIF will facilitate the sharing of research data, and aggregation of information for the REF.

2. *Project Workplan*

5) The project will be managed at Sunderland by Kevin Ginty from the Centre for Internet Technologies (CIT) who has extensive experience of managing IT projects from a research and commercial background. The main technical input will be from Paul Cranner who has over ten years experience as a programmer and technical analyst working with Kevin Ginty.

6) The partner HEIs are the University of St. Andrews, and the University of Glasgow. They will ensure that the project is implemented in a manner relevant to a range of HEI information systems. Crucially, the project also includes the NERC and EPSRC who will provide the detailed knowledge of the RC Shared Services Centre (SSC) systems. They bring experience of similar projects, such as the RCUK Energy Portal[3] which provides data from the two RCs through a single service. The inclusion of euroCRIS significantly strengthens the CERIF expertise in the project.

2.1 Workpackage List

WP	Workpackage Title	Person Days	Start Month	Gantt Chart F	M	A	M	J	J	End Month
1	Project Management	42	1 (Feb)	◆		◆			◆	6 (Jul)
2	Requirements Analysis	42	1 (Feb)							2 (Mar)
3	Develop Wrapper (CERIF interface)	55	2 (Mar)							3 (Apr)
4	Demonstrator Development	33	3 (Apr)							4 (May)
5	Validation and Evaluation	55	5 (Jun)							6 (Jul)
6	Dissemination	36	1 (Feb)						●	6 (Jul)

WP1: Project Management	**Partner ID**	Sund	Glas	StAnd	NERC	EPSRC	euroCRIS	**TOTAL**
	Person Days	12	6	6	6	6	6	**42**

Description of Work

There will be a kick-off meeting in February to ensure a shared understanding of the project and agree the overall schedule in light of any developments in the time before the project starts. The Steering Group will oversee the progress of the project, this will be chaired by Simon Kerridge and include senior staff from each of the partners. The Steering Group will meet on a monthly basis (physically in M1, M3 & M6; virtually in M3, M4 & M5). Due to the short timescale of the project there will be weekly teleconferences between the project technical group with monthly progress updates to the Steering Group.

Tasks

ID	Description
T1.1	Establish steering group
T1.2	Project tracking, reporting and production of financial return and final report.

Deliverables

ID	Description	Month Due
D1.1	Project final report	M6

[3] http://www.rcukenergy.org.uk/

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WP2: Requirements Analysis	**Partner ID**	Sund	Glas	StAnd	NERC	EPSRC	euroCRIS	**TOTAL**
	Person Days	24	4	12	1	1	0	**42**

Description of Work

This workpackage will source from the User Group the requirements as to which data are the crucial sub-set for demonstration. An Extended User Group will be drawn from the wider RO community (e.g. through the ARMA electronic research administration special interest group email list). There may also be significant data protection issues. The starting point will be data currently made available by RCs on their Grants on the Web system. The requirements analysis will be signed off by the Steering Group.

Tasks

ID	Description
T2.1	Establish the User Group, and analyse the existing UNIS platform for fit to the business needs of the user partners
T2.2	Produce the functional specification for the adaptation of the UNIS platform

Deliverables

ID	Description	Month Due
D2.1	User requirements analysis	M1
D2.2	Functional specification	M2

WP3: Develop Wrapper (CERIF Interface)	**Partner ID**	Sund	Glas	StAnd	NERC	EPSRC	euroCRIS	**TOTAL**
	Person Days	38	8	6	1	1	1	**55**

Description of Work

The CERIF XML schemas for research project information will be confirmed and the translations from the existing SSC bespoke Oracle tables will be defined. It is likely that this will involve CERIF experts from the RO partners visiting the RCs for extended periods (Virtual meetings using, for example, Webex will also be used) although in order to ensure that the semantics and schemas are correctly understood. The schemas will be used to map between the UNIS and SSC structures and CERIF.

Tasks

ID	Description
T3.1	Development of the CERIF wrapper (XML schema) and database structures for interface

Deliverables

ID	Description	Month Due
D3.1	CERIF interface	M3

WP4: Demonstrator Development	**Partner ID**	Sund	Glas	StAnd	NERC	EPSRC	euroCRIS	**TOTAL**
	Person Days	24	4	3	1	1	0	**33**

Description of Work
Using the CERIF Wrapper the UNIS system will be adapted to support a simple search interface for users to interrogate the RC Grants database. This will provide summary information on screen and also allow results to be downloaded in CERIF format for use by ROs with their internal data sources. For example to compare their local data on RC funded projects with the official RC grants data; this will be used to 'validate' the translation process (although it is likely that the data will not be identical).

Tasks	
ID	**Description**
T4.1	Develop the demonstrator system to use CERIF structures to manage research data and import/export data to other applications

Deliverables		
ID	**Description**	**Month Due**
D4.1	CERIF Infrastructure system	M4

WP5: Validation and Evaluation		Sund	Glas	StAnd	NERC	EPSRC	euroCRIS	**TOTAL**
	Partner ID							
	Person Days	42	8	3	1	1	0	**55**

Description of Work
This work will be carried out with the Extended User Group, possibly including commercial parties that may have been recruited during the course of the project. It will ensure that the demonstration system meets the original specification, and continues to satisfy the business needs of the User Group. The exploitation plan for the project will be formulated.

Tasks	
ID	**Description**
T5.1	Use cases and testing plan – will be developed by the User Group
T5.2	Carry out the testing plan with defined use cases and document the results
T5.3	Case Studies – production of a case study describing the implementation

Deliverables		
ID	**Description**	**Month Due**
D5.1	Use Cases and Testing Plan	M6
D5.2	Evaluation Report	M6
D5.3	Case Studies	M6

WP6: Dissemination		Sund	Glas	StAnd	NERC	EPSRC	euroCRIS	**TOTAL**
	Partner ID							
	Person Days	18	6	6	2	2	2	**36**

Description of Work
Throughout the project, information will be provided to interested parties through a number of mechanisms (in addition to those required by JISC). A website and blog will be established. The website will be maintained for a period of at least two years beyond the end of the project, and will include all public deliverables. The Association of Research Managers and Administrators (ARMA) Electronic Research Administration (ERA) special interest group (196 members) will be utilised as an avenue of

dissemination. The project will also be written about in the ARMA newsletter. The ARMA annual conference (held in June) will provide a timely platform for dissemination. The project will set up an Extended User Group for those outside the immediate partnership but wishing to contribute to the requirements of the project and utilise the CERIF RC Grants resource. The Higher Education Better Regulation Group (HEBRG) will be informed of the contribution made by IRIOS to the improvement of information exchange in the sector. The project will also identify the most appropriate way of releasing the system as open source. The detailed plan for achieving this is deliverable D6.2. The project will also run workshops during the final month to demonstrate and promote the system.

Tasks	
ID	**Description**
T6.1	Establish project website and blog (hosted at Sunderland).
T6.2	Investigate the scope for releasing the system with an open source license by liaising with OSS Watch and Open Middleware Infrastructure Institute, and input from related organisations and licensing templates
T6.3	Workshops
T6.4	Attend Programme level meetings and events, and community building activities supported by JISC InfoNet and UKOLN as necessary

Deliverables		
ID	**Description**	**Month Due**
D6.1	Project website and Blog	M1
D6.2	Open Source feasibility study and deployment plan	M3

3. Risk Assessment

ID	Risk	Probability*	Impact*	Score	Contingency
1	CERIF is not adopted by the sector	1	5	5	If CERIF is not adopted then most of the value of the project is lost. However, the project itself, together with the other ongoing initiatives should mitigate this risk
2	The wider RO community are not interested in accessing RC grant information	1	4	4	The use of an extended user group and the various dissemination channels mitigates against this risk. The RCs are seen as leaders in the UK funding arena and ROs are keen to work with them
3	The scope of data to be released cannot be agreed	2	3	6	Even if data is restricted to that which is currently available on RC's GoW sites the demonstrator will remain valuable. The scope could be enhanced in the future.
4	The SSC–CERIF and/or UNIS–CERIF translations cannot be made	1	5	5	If the grants data cannot be transformed into CERIF compliant data the project will be stuck. However previous work by the RCs and Readiness4REF[4] has shown that this is unlikely

[4] http://r4r.cerch.kcl.ac.uk/

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5	The (UNIS) User Interface cannot be adapted	2	3	6	If the user interface cannot be adapted to allow searching of the grants on the web, it will impact negatively on the demonstrability of the project, but the machine query-able CERIF data source should still be viable
6	The CERIF grants data wrapper cannot be constructed	1	5	5	This is the crux of the project. If the data source cannot be made machine readable to enable data re-use then the project will be stymied. This is mitigated by the experience of the team and the previous work in this area (by the RCs and previous RIM projects).
7	The service is not maintained	1	5	5	The project will establish a proof of concept Grants on the Web demonstrator for 2 RCs and 3 ROs. This could evolve into a cross-council "Research Inputs and Outputs Service", but this extension is not part of the current proposal.
8	Releasing the system under an OS licence turns out to be more difficult than expected	2	3	6	The project will still complete, however a review of alternative strategies e.g. Software as a Service (SaaS) may be needed to identify the best approach
9	Scale of the development work turns out to be too great	1	4	4	Revise workplan and prioritise objectives
10	Disagreements over the direction of the project	1	3	3	The steering committee will adjudicate over any conflicts
11	Key staff leave the project early	1	4	4	Identify existing staff in other roles who may be redeployed to back fill

* The probability and impact have been assessed on a 5 point scale (1 - Low, 5 - High).

4. Intellectual Property

7) The data itself is managed by the RCs who are responsible for its quality, but it is in the public domain. The software to be implemented will consist of a number of components. The back end interface to the Oracle SSC database may pragmatically need to be developed using propriety software, however the RCs will commit to exposing the data in CERIF format on a free basis. The ethos of the project is to provide a large data source to act as a catalyst for the development and usage of CERIF compliant data systems. The outputs from the project will be published online, and the software outputs will be released under an open source licence. The IP of the project itself will therefore be in the public domain. The detail of the open source licence will be considered as part of workpackage 6. D6.2 will be the feasibility study and definition of the open source licence approach that is most appropriate for the project outputs.

8) Some information on Research Council funded grants is obtained confidentially from Principal Investigators. Data released to the Project, and made available for searching on the Grants on the Web site, will be compliant with national Data Protection regulations.

5. Sustainability

9) The project partners all wish to use the data in slightly different ways. This reduces risk in the project and promises more varied use-cases for others to learn from.

10) For example, Sunderland intend to use the RC project data with their e-prints institutional repository to provide on-line mini CVs for members of staff. This will also include data from a local projects database which is not currently CERIF compatible.

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11) Glasgow and St. Andrews will interface with their existing databases (some CERIF and some non CERIF compliant) providing for a rich mix of case studies.

12) NERC hopes that the project demonstrates its commitment to the use of CERIF as a Research Information Exchange format, and will look to the interface developed as a possible forerunner of a system where UK research inputs and outputs can be searched using common semantics and authority files.

13) The underlying data source itself is core to the business processes of the Research Councils and so will be maintained by RCs as a matter of course. It is possible that the GoW demonstrator may grow to become a 'Service' containing information from all research councils, and possibly, information on research outputs submitted by ROs, or harvested from their Institutional Repositories. The possibilities will be demonstrated by the 3 RO Partners, but any transition to a service will be subject to a negotiation and bidding process, with the possible assistance of JISC.

14) It is hoped that other funders would also wish their research project information to be available in an equivalent CERIF wrapper in order to further increase the usefulness of the resource. For example, the European Heads of Research Councils (EuroHORCS) and ESF in 2007 considered establishing a mechanism where European countries could exchange information on research projects. They recommended that EuroHORCS members should seek to implement the CERIF standard in preparation for this.[5]

15) A discussion is underway in the UK on whether collation of information on the attribution of outputs to specific grants is best handled by harvesting from Institutional Repositories (of which there are now 200+ in the UK) or by supply of information through Research Organisations Current Research Information Systems (CRIS). This project focuses on CRIS systems, but allows the partner HEIs to use their repositories as the outward-looking information source on published outputs.

6. Engagement with the Community

16) The project partnership is well positioned to ensure a high level of engagement.

17) Simon Kerridge is a director of ARMA and champion of the Electronic Research Administration (ERA) special interest group with 196 members. Simon sits on the RMAS[6] project steering group and the Research Council's Je-S Management Board.

18) A number of the Steering Group (Simon Kerridge, Anna Clements, Gerry Lawson and Keith Jeffery) sit on the JISC RIM stakeholder group, providing excellent opportunities to cascade information. The consortium also has direct access to the wider euroCRIS community through the president, Keith Jeffery and will also use other avenues such as UCISA.

19) The progress and results of the project will be disseminated through these various fora and through the workshops to be run towards the end of the project.

7. Stakeholder Analysis

20) The main stakeholders are:

- **euroCRIS** – which is committed to the adoption of CERIF in the UK and Europe
- **Research Organisations** – ROs will be able to access data, in a re-usable format, on their projects and projects of others. The demonstrator will provide point-in-time data on EPSRC and NERC grants. Establishment of a regularly updated service, with data from all Councils, will depend on further negotiation. Access to this extended dataset will assist ROs to data cleanse their own research information, search for partners for future projects, share information for joint proposals and accelerate the conversion of their existing data into CERIF. ROs will also see benefits in terms of increased efficiency and savings on data re-use.

[5] http://tinyurl.com/2whfy55
[6] http://as.exeter.ac.uk/rmas/

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- **Research Councils** – The RCs (and the SSC, their Shared Services Centre) will be able to demonstrate their commitment to CERIF as the UK standard for research information. The project will also enable them to develop CERIF expertise which they are currently light on. RCs will see benefits in terms of reduced time responding to cross-council queries. They will also benefit from the work of the project partners in attributing research outputs to specific grants.
- **Other Funders** – In the future other funders (perhaps via the BIS Research Base Funders Forum) may wish to replicate this work for their research funding databases.
- **JISC** – Will see benefits from the realisation of a UK standard for research information as per the rationale for the call for proposals
- **Government** – Will see benefits in terms of the sector working better together, giving efficiency savings; and potentially also in terms of better access to research grants information for policy. Some of the information collected will contribute directly to BIS's annual collection of Science, Engineering and Technology (SET) statistics, and to the www.data.gov.uk initiative.

8. Previous Experience of the Project Team

21) The project team comprises the following personnel from the six partners:

- **Simon Kerridge** (steering group chair), Head of Graduate Research Support, University of Sunderland, is an experienced PRINCE2 trained research manager with over 20 years experience. He has successfully led many IT development projects, including an ESPRIT project (EP-27007). Simon is also a director of ARMA.
- **Kevin Ginty** (technical manager) from the Centre for Internet Technologies (CIT), University of Sunderland, has a vast experience of managing IT projects from a research and commercial background. He also chairs the eBES workshop for CEN, which is the European entry point for EDI and ebXML.
- **Paul Cranner** (internet systems developer), CIT, University of Sunderland, will be the main technical developer and analyst. He has over ten years experience as a programmer and technical analyst working with Kevin Ginty in CIT, and has recently had a secondment with Universities for the North-East, developing the UNIS system.
- **Val McCutcheon** (steering group), Operations Manager, Department of Research & Enterprise, University of Glasgow, is an experienced PRINCE2 registered practitioner with a successful project management history including several database and data capture projects. She is responsible for the University of Glasgow Research System.
- **Gordon Allan** (database expert), Database Manager, Department of Research & Enterprise is the University of Glasgow's foremost expert on the data processes in the Research System. He has a lead role in managing and developing the Research System.
- **Anna Clements**, (steering group) Data Architect, University of St Andrews, responsible for establishing and leading a programme of information management improvement across the institution. She is a member of euroCRIS and was project manager CRISPool.
- **Niall Lockhart** (CERIF expert), St. Andrews University, Niall has recently worked extensively with CERIF on the CRISPool project and will work closely with Paul Cranner
- **Gerry Lawson**, (steering group) Coordinator of Research and Business Information, NERC. Manages policy on external and internal management information systems. He has participated in ERA-Nets exchanging information on European national research programmes, and in a EuroHORCS/ESF project to exchange information on national research portfolios.
- **Colin Haylock**, (steering group) Technical manager for Web and Electronic Document and Records Management Systems including "Grants on the Web", EPSRC. He is PRINCE2 qualified with ten years experience of collaborative IT projects in the RCs

- **Keith Jeffery**, (steering group) President, euroCRIS. Keith serves on a number of international expert groups, conference boards and assessment panels. He has extensive experience of CERIF and of IT systems within both universities and RCs, previously having been the Design Authority Chair for the RCs Shared Services Centre.

All the project members are existing staff already in post / readily available.

22) The Steering Group bring a wealth of recent relevant expertise including managing some recent JISC projects (CRISPool[7], Enquire[8], Trialling Collaborative Online Tools for BCE[9]). The main strength of the group however is the mix of HEI types (Russell Group, 1994Group and Million+), together with Research Councils and euroCRIS the custodians of CERIF.

23) Crucially, the project includes the NERC and EPSRC who will provide the local knowledge of the RC Shared Services Centre (SSC) Oracle database. They also bring experience of similar projects, such as the RCUK Energy Portal[10] which provides data from the two RCs through a single service.

9. Project Budget

Directly Incurred Staff	**Aug 10–Jul 11**	**Aug 11–Jul 12**	**TOTAL £**
Developer, D, 825 hours, 0.50 FTE	£ 17,156	£	£ 17,156
Developer, StA, 180 hours, 0.11 FTE	£ 2,920	£	£ 2,920
Total Directly Incurred Staff (A)	**£ 20,076**	**£**	**£ 20,076**
Non-Staff	**Aug 10–Jul 11**	**Aug 11–Jul 12**	**TOTAL £**
Travel and expenses	£ 10,800	£	£ 10,800
Hardware/software	£	£	£
Dissemination	£ 7,200	£	£ 7,200
Evaluation	£ 1,000	£	£ 1,000
Total Directly Incurred Non-Staff (B)	**£ 19,000**	**£**	**£ 19,000**
Directly Incurred Total (C) (A+B=C)	**£ 39,076**	**£**	**£ 39,076**
Directly Allocated	**Aug 10–Jul 11**	**Aug 11–Jul 12**	**TOTAL £**
Staff	£ 25,288	£	£ 25,288
RC Staff (not charged)	£ 9,409	£	£ 9,409
Estates (not charged)	£ 5,414	£	£ 5,414
Directly Allocated Total (D)	**£ 40,111**	**£**	**£ 40,111**
Indirect Costs (E) (not charged)	**£ 31,709**	**£**	**£ 31,709**
Total Project Cost (C+D+E)	**£ 110,897**	**£**	**£ 110,897**
Amount Requested from JISC	**£ 64,365**	**£**	**£ 64,365**
Institutional Contributions	**£ 46,532**	**£**	**£ 46,532**
Percentage Contributions over the life of the project	**JISC 58 %**	**Partners 42 %**	**Total 100%**
No. FTEs used to calculate indirect and estates charges, and staff included	**No FTEs 1.05** (2.09 over 6 months)	**Which Staff** Kerridge, Ginty, Cranner, McCutcheon, Allan, Clements	

[7] http://www.st-andrews.ac.uk/crispool/
[8] http://www.gla.ac.uk/enrich/
[9] http://collaborativetools4bce.jiscinvolve.org/
[10] http://www.rcukenergy.org.uk/

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FOI Tick List

FOI Withheld Information Form

We would like JISC to consider withholding the following sections or paragraphs from disclosure, should the contents of this proposal be requested under the Freedom of Information Act, or if we are successful in our bid for funding and our project proposal is made available on JISC's website.

We acknowledge that the FOI Withheld Information Form is of indicative value only and that JISC may nevertheless be obliged to disclose this information in accordance with the requirements of the Act. We acknowledge that the final decision on disclosure rests with JISC.

Section / Paragraph No.	Relevant exemption from disclosure under FOI	Justification
None		

Letters of Support

The following pages contain the letters of support from the partners for this proposal:

- University of Sunderland
- University of Glasgow
- University of St Andrews
- Natural Environment Research Council (NERC)
- Engineering and Physical Sciences Research Council (EPSRC)
- euroCRIS

University of Sunderland

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CHESTER ROAD
SUNDERLAND SR1 3SD
UNITED KINGDOM

TEL: 0191 515 2715
FAX: 0191 515 2456
peter.strike@sunderland.ac.uk
www.sunderland.ac.uk

12 November 2010

JISC
Northavon House
Coldharbour Lane
Bristol
BS16 1QD

Dear Sir/Madam,

JISC Funding Call 15/10: Infrastructure for Education and Research Programme: Research Information Management

On behalf of the University of Sunderland I write to confirm support for our proposal "Integrated Research Input and Output System (IRIOS)" in partnership with the University of Glasgow, the University of St Andrews, the Natural Environment Research Council (NERC), The Engineering and Physical Sciences Research Council (EPSRC) and euroCRIS.

This project contributes strongly to the University of Sunderland Corporate Plan 2009/10-2013/14 particularly in area 5.4 (Sustainability) by providing better management information. The project focuses on matching grant data from the Research Councils with our own management information, and then extending this by linking research outputs (publications) to the research inputs (the grants) that led to them.

The work complements a wide range of activity at Sunderland on electronic research administration focused around the RMAS project.

Crucially, the project will also accelerate the update of CERIF amongst the wider HEI community by proving a demonstrator of the system.

Yours sincerely

Professor Peter Strike
Deputy Vice-Chancellor (Academic)
Research, Knowledge Exchange and Business Engagement

INVESTOR IN PEOPLE

DEPUTY VICE-CHANCELLOR
PROFESSOR PETER STRIKE
BSc PhD
Professor of Genetics

VICE-CHANCELLOR AND CHIEF EXECUTIVE
PROFESSOR PETER FIDLER
MBE DL MSc DipTP DipSoc MRTPI MInstD

University of Glasgow

JISC
Northavon House
Coldharbour Lane
Bristol
BS16 1QD

10th November 2010

Dear Sir/Madam,

JISC Funding Call 15/10: Infrastructure for Education and Research Programme: Research Information Management

On behalf of the University of Glasgow I write to confirm support for the work proposed by the University of Sunderland "Integrated Research Input and Output System (IRIOS)" bid.

This project contributes strongly to the University of Glasgow strategic plan 'Glasgow 2020: A Global Vision'. It will focus on efficient exchange of information about awards and their outputs between Research Council's and HEI's.

The project will assist us in publicising achievements. The University of Glasgow's mature systems and comprehensive data coverage position us well to assist with this project.

The work complements a wide range of JISC funded projects and bids that are being submitted to current calls. This includes work recently done by Glasgow under the Enquire project as part of Research Information Management call 11/09.

Yours sincerely

Professor Steven Beaumont OBE CEng FREng FRSE
Vice Principal for Research & Enterprise

10 The Square, University of Glasgow, Glasgow G12 8QQ
Tel: +44 (0)141 330 2112 Fax: +44(0)141 330 5856
Steve.Beaumont@Glasgow.ac.uk

The University of Glasgow, charity number SC004401

University of St Andrews

Deputy Principal & Vice-Principal for Research

Ref: JISC_ARMA_RCUK_Let.doc

03 November 2010

JISC
Northavon House
Coldharbour Lane
Bristol
BS16 1QD

Dear Sir/Madam

JISC Funding Call 15/10: Research Information Management Grant Funding

On behalf of the University of St Andrews I write to confirm support from this institution for the proposal 'Integrated Research Input and Output System (IRIOS) : To develop a proof of concept demonstrator for a CERIF compliant "grants on the web" system for Research Council (RC) funded projects'.

We are delighted to have the opportunity to work with ARMA, RCUK and others to develop a more efficient method of exchanging project information between organisations.

The project will also assist the University in our obligation to comply with research funder mandates and benefit the wider community in demonstrating the reuse of robust project data within a CERIF-based Research Information System.

Yours faithfully

Chris J Hawkesworth
Deputy Principal & Vice-Principal Research

Professor Chris J Hawkesworth
Office of the Principal, University of St Andrews, College Gate, North Street, St Andrews, Fife, KY16 9AJ, Scotland
Tel: +44(0)1334-463202 Fax: +44(0)1334-462543; e-mail: deputyprincipal@st-andrews.ac.uk
The University of St Andrews is a charity registered in Scotland: No SC013532

NATURAL ENVIRONMENT RESEARCH COUNCIL

Polaris House
North Star Avenue
Swindon SN2 1EU
United Kingdom

Telephone (01793) 411500
Main Fax (01793) 411501
www.nerc.ac.uk

To whom it may concern

12/11/2010

Dear Sirs,

I confirm that the Integrated Research Input and Output System (IRIOS) proposal has the support of the Natural Environment Research Council.

NERC supports the activities of the JISC Information Management Group, and recognises that two reports commissioned by this group have recommended wider implementation of the Common European Research Information Format (CERIF). This project will facilitate provision of our data in this format, and will demonstrate how research input (funding) and output (publications) information can be integrated in a simple search facility.

We therefore agree to providing 'non-confidential' information on our research grants to the project consortium in required formats, and to engage with the project appropriately.

Yours sincerely

David Thomas

Head of Information, Systems and Technology
Natural Environment Research Council

EPSRC

Polaris House
North Star Avenue
Swindon
SN2 1ET
Switchboard: 01793 444000

12th November 2010

To whom it may concern

I confirm that the Integrated Research Input and Output System (IRIOS) proposal has the approval of the Engineering and Physical Sciences Research Council (EPSRC).

EPSRC supports the activities of the JISC Information Management Group and recognises that two reports commissioned by this group have recommended wider implementation of the Common European Research Information Format (CERIF). This project will facilitate provision of our data in this format and will demonstrate how research input (funding) and output (publications) information can be integrated in a simple search facility.

We therefore agree to provide 'non-confidential' information on our research grants to the project consortium and to participating in the project as non-funded partners.

Yours sincerely

Chris Moulsley

Head of Information Services Operations for EPSRC and ESRC

euroCRIS Office of the President
CCLRC Rutherford Appleton Laboratory
Chilton
Didcot
Oxon, OX11 0QX
UK

Tel: +44 (0) 1235 446103
Fax: +44 (0) 1235 445147

http://www.eurocris.org

11th November 2010

Dear Simon,

Proposed RIM Project:
"Integrated Research Input and Output System" (IRIOS)

I am pleased to be asked to join your new proposed project with EPSRC, NERC, Glasgow and St Andrews – extending the previous work to more participants and increasing the scope of research information covered. I am delighted to be involved and, of course, support strongly this project proposal. This combination of partners should be able to demonstrate the power of CERIF for research information management and interchange.

Yours sincerely,

Prof Keith G Jeffery CEng, CITP, FGS, FBCS, HFICS
President euroCRIS

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Mentoring Programme Evaluation Report

Mentee Name:	redacted	Mentor Name:	Simon Kerridge
Organisation:		Organisation:	
ARMA Member No:		ARMA Member No:	
Address:		Address:	
Email:		Email:	
Phone:		Phone:	

Original development need (problem/issue/skill):

ERA systems, in particular electronic appraisals process.

Original desired outcome(s) of the mentoring process:

Develop experience, best practice and skills, regarding e-research admin. Gain a greater understanding of the impact of this on research management as a whole.

Nature of the interactions (meetings, phone, email), frequency, structure:

Two one day visits one in Sunderland and one in Manchester and an evening meeting in Manchester.

Various telephone and email support conversations

Professional development achieved:

I think the experience helped significantly to raise my profile within the professional community. I think this was as a direct result of being mentored by person who is very active within ARMA, but who is also a well connected within the field.

Being paired with someone from a completely different institution has also given me a valuable perspective on the broader issues surrounding research, that are all to often lost when working in a specialised area in a large institution.

Being given full access to systems that have been developed elsewhere has been really useful in-terms of generating my own ideas for ERA and also in building an understanding of scalability issues, which is particularly problematic in my own institution.

The downside has been that I have tended to let the experience drift a little too much because of the usual pressures of work and the pace of change both in the sector and my own organisation over the last two years. I think it's fair to say I've not effectively achieved my initial development need of gaining a greater understanding of the impact of ERA on research management as a whole. However, I found the requirement to clearly define a specific need in the first place a little bit difficult and in hindsight what I needed was a research management "buddy" more than a mentor helping me achieve a defined goal.

Personal development achieved:

Without question the experience has helped me to think much more broadly in terms of research management and given me a real sense of their being someone totally independent supporting me in developing into my current role. The nature of Research Admin often means we rely on the opinions of colleagues we've know for many years, who work in similar environments. It's a real bonus to be paired up with someone you would not necessarily cross paths with and who's skill set and experience is so different from your own. That it throws up all sorts of interesting ideas in your own head.

With Simons' consent I'd like to continue down the "buddy" route that this experience has sort of grown into and hope to be able to maintain a dialogue and maybe even the odd visit just to keep my ideas fresh.

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Mentor's report:

Lita has managed to distil things in an accurate and succinct way. As usual (?!) she is being self effacing, as she knows that I have got at least as much as her from the experience.

The initial target has not been achieved, but actually the journey has been more useful than the (not) getting to the initially defined destination. And indeed, to keep up the analogy I suspect that we will visit many interesting places together in the future!

Without doubt the most useful thing has been the development of the buddy relationship rather than a mentor-mentee relationship. I know that we both feel able to pick up the phone or drop an email on whatever issue might be bothering either one of us and that we'll get the required support. This is certainly something that will continue!

How might the mentoring programme be improved?

I think that the pairing as worked so well because it was not mentoring, but buddying. We both brought areas of skills, knowledge and experience to the relationship, which could perhaps (and maybe was?) have been planned. I would suggest that (as well as?) mentoring, ARMA might like to consider buddying. I have many other people that I think of as buddies, but never seem to have the time to go and see them. I think that I actually made the effort to go and see Lita because it was an ARMA initiative.

Mentee: Signed: Date:	Mentor: Simon Kerridge Signed: Date:

Please send your completed evaluation form to the ARMA office at PO Box 499, Exeter EX1 9DE or fax this page to 0845 868 7067
Thank you.

Simon Kerridge

From: Deacon, Helen [Helen.Deacon@durham.ac.uk]
Sent: 20 May 2010 12:05
To: Simon Kerridge
Cc: paul.karamath@sunderland.ac.uk
Subject: RE: CRIS/Repositories Event

Hello Simon

As mentioned yesterday, I am writing to enquire whether or not you would be available to come to Durham and meet with Wendy Harle, Jenny Gilmartin (Head of Research operations) and Sally Hewlett to discuss costing tools etc.

Short notice, I know, but might you be available on 24 May at 11am?
Failing that, then how about 14th June at the same time. Then, if you have time, Wendy would like to take you to lunch afterwards.

I look forward to hearing from you.

Kind regards

Helen Deacon
PA to Director/Office Administrator
Research Office
Durham University
Mountjoy Research Centre Block 2
Stockton Road
Durham DH1 3UP
T: +44(0) 191 334 4635
F: +44(0) 191 344 4634
~~~~~~
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-----Original Message-----
From: Simon Kerridge [mailto:simon.kerridge@sunderland.ac.uk]
Sent: 17 May 2010 13:11
To: Deacon, Helen
Subject: Re: CRIS/Repositories Event

Hi Helen
I think they are all up there now:
http://welshrepositorynetwork.blogspot.com/

Simon

Deacon, Helen wrote:
>
> Dear Simon
>
>
>
> Wendy Harle has asked me to contact you to enquire if you could email
> a copy of the slides (and feedback) from the Research Repositories and

> Current Research Information systems JISC/ARMA meeting in Leeds on
> 7^th May? I would be grateful if you could get back to me to confirm
> whether or not this is possible.
>
>
>
> Kind regards
>
>
>
> Helen Deacon
>
> PA to Director/Office Administrator
>
> Research Office
>
> Durham University
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> Mountjoy Research Centre Block 2
>
> Stockton Road
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Simon Kerridge

From: Rawnsley, Andrew [A.Rawnsley@tees.ac.uk]
Sent: 14 December 2010 18:34
To: Simon Kerridge
Subject: RE: Systems for management of research information

Simon:

Thanks, really helpful and plenty to look at. Having a chat would be useful - I'll be in Sunderland on 24 Jan for NECGRD, perhaps then?

Have a good Christmas (even if at home in the cold this year!)

regards

Dr Andrew C. Rawnsley
Research Governance & Training Manager Graduate Research School
Teesside University

Sent from my Palm® smartphone.

From: Simon Kerridge <simon.kerridge@sunderland.ac.uk>
Sent: 14 December 2010 17:34
To: Rawnsley, Andrew <A.Rawnsley@tees.ac.uk>
Subject: Re: Systems for management of research information

staying at home this year...

there are some options, but nothing that does everything out of the box.
We might need to chat about this; as some will depend on what you have already.

There are a few reports available which might help you - or it may be better to arrange to meet?

Check out
RMAS: http://as.exeter.ac.uk/rmas/
Some JISC funded work: http://www.researchdatatools.com/
http://www.researchdatatools.com/downloads/2010-research-information-management-draft.pdf

JISC RIM pages (hosted by UKOLN)
http://www.ukoln.ac.uk/rim/
and similarly
http://www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt.aspx
This has some useful links to some software suppliers such as Avidas (Converis), Atira (PURE), Symplectic etc

You should also be aware of the current push for the UK do adopt CERIF2008 as RIM data standard
http://www.jisc.ac.uk/publications/reports/2010/businesscasefinalreport.aspx

Too much? - I hope you are not bamboozled!?
Depending on how much of a hurry you are in, if the RMAS project gets funded, it would mean that a single supplier
would be able to provide a complete system and you should then be able to buy / licence it through JISC - but not until 2012 I suspect....

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Also... while I'm thinking about ERA... have you managed (or could I persuade you...) to send out to your academic (and research admin) staff a request to do a quick (10-15 min) national survey on electronic research
administration...???

See:
http://www.sunderland.ac.uk/research/news_and_events/electronic%20research%20administration%20%28era%29%20survey/
and also on there there is a link to the previous (admin only) survey, which may be of interest

THANKS
Simon

On 14/12/2010 16:09, Rawnsley, Andrew wrote:
Simon:

Hope you're doing well – and looking forward to another Christmas/New Year trip again this year?

Quick question – my Dean has asked me to look into possibilities for software packages that could be purchased/licensed that would serve to provide reliable reporting systems on all kinds of research information and data, including student data and funding/grants etc. I thought you'd be the person who would know of options in this area. Would be grateful, when you've time, if you could let me know of where we might look for such options, and whether any companies or pieces of software are available that would suit this purpose.

regards

Dr Andrew C. Rawnsley

Research Governance & Training Manager
Secretary - University Research Ethics Committee
Secretary - University Research Degrees Committee

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Office: Stephenson IC1.45

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Simon

Je-S Programme Seminars 2008

Date 2008
Venue

Draft Agenda

10.30am	Registration and refreshments	
11.00am	Introduction	
11.10am	Je-S Programme – overview, remaining projects, future	Speaker
11.45am	Je-S System – recent changes	Speaker
12.30pm	Lunch	
1.30pm	Shared Service Centre Ltd – Update on developments	Speaker
2.15pm	Topical Issues – Research Council & Research Orgn.	Speaker
2.30pm	Open discussion	
3.00pm	Je-S Helpdesk – Open Session	
3.30pm	Close	

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Mailing lists

This page displays the mailing lists that are currently in use on the website. Use the form below to add a mailing list or use the icons beside a mailing list to manipulate them.

Add a mailing list

Tag: e.g MEMBERS
Name: e.g. Members
Description:
Admin senders only:
Make list invite-only:
Save

Mailing Lists

List name	Tag	Description			
Active Members	acmem	A by invitation group for Active Members of ARMA	34	0	0
Active Members	am	A list for communication between Active Members, MS committee and administrators	0	0	0
Arts & Humanities	arts-humanities	A administrators/ managers working exclusively in A & H	188	8	9
Best Practice	b-p	Sharing best practice	287	31	40
Commercial Members	comm	Messages from ARMA commercial members concerning their products	41	1	1
Directors	board	a test list for Board members	1	0	0
Directors Forum	forum	Research Directors Forum	3	0	0
Directors Forum	d-forum	for Research Directors	42	5	9
EC Research	ec	For members involved in EC grant applications	231	7	12

List name	Tag	Description			
Electronic Research Administration	era	Electronic Research Administration	199	29	49
Ethics	ethics	Members concerned with ethics, medical or otherwise	207	6	8
Job Vacancies	jobs	Current job vacancies in the research administration/management sector	322	70	79
Members	member-announce	Sent to all current members.	1688	125	133
NHS Research	nhsresearch	A mailing list for members employed by the NHS	155	2	2
PGR	pgr	List for members working in PGR area	174	20	27
Professional Development Framework	pdm	An open list for members wishing to contribute to the PDF	80	2	3
Project Management	proj-man	project management issues	214	3	4
REF	ref	For members involved in Research Excellence Framework	271	5	5
Research Governance	res-gov	a mailing list for members concerned with Research Governance	282	8	14
Test list	test	Internal test list	4	14	19

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UKRO Achievements 2001/2002 and Priorities for 2002/2003

Martin Penny
Director, UKRO
Tel: +32 2 286 9050
martin.penny@bbsrc.ac.uk

UK Research Office

Our mission

To promote effective UK participation in EU funded research, higher education & training & related activities by:

- ☑ alerting subscribers to the opportunities available
- ☑ providing updates on developments
- ☑ exchanging information between UK & EU

The UK Research Office

Staff

Director:	Martin Penny
European Advisors:	Steve Conibear Amanda Crowfoot Carole McKinlay Ramon Noguera Clair Watts
IS Manager:	Cindy Mertens
Admin Assistant:	Sofie Werkers

The UK Research Office

Our services

- Electronic publications: FP Calls, FP Spotlight European Funds, European News, RTD Insight
- Enquiry service - advice, guidance and support for subscribers and sponsors
- UK subscriber visits - briefing, training, consultancy
- IHP National Contact Point service
- Brussels based meeting room and visitors' office
- Annual conference and training courses
- UKRO and NCP web sites

The UK Research Office

External relations

- Research Councils
- European Commission
- European Parliament
- UKRep
- OST and Government Departments - FP Network
- IGLO (Informal Group of RTD Liaison Offices)
- Science attachés from third countries
- EUROHORCs
- Foreign and Commonwealth Office
- Professional Societies / Learned Bodies etc
- Other NCPs
- ACU
- Regional Offices & RDAs etc. etc.

The UK Research Office - review of the year

Highlights of 2001/2002 (i)

- Increase in number of subscribers (+6)
- Obtaining early drafts of key FP6 documents
- Attendance at key workshops on the Thematic Priorities and new instruments
- Agreement with OST to take on the role of IHP National Contact Point
- New European Advisors appointed
- On-line tutorial on FP6
- New regional groupings of ELOs - MELOS & London Group

The UK Research Office - review of the year

Highlights of 2001/2002 (ii)

- Presentations at the Top Management Programme AUA, Russell Group, RAG*net*, HEURO & Universities UK
- Extension of contract with BC Science Directorate
- New training course - *Getting the Most out of European Research Funds*
- UKRO - new Secretary of IGLO
- Enhanced credibility of the Office with key contacts
- Student work experience placement
- Approval to develop new UKRO information dissemination system

The UK Research Office - review of the year

Outputs 2001/2002

- 23 issues of *FP Spotlight*
- 21 issues of *European News*
- 44 issues of *FP Calls*
- 89 issues of *European Funds*
- 12 issues of *European RTD Insight*
- 86 briefing visits by staff to subscribers
- 22 IHP NCP events and meetings
- 438 visitors to the Office

The UK Research Office - objectives 2002/03

Improved information dissemination

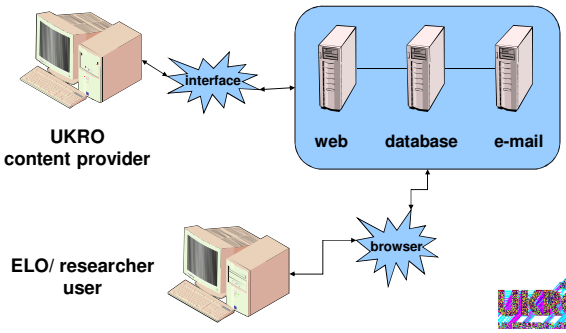
New service for early 2003

Tailored information services:

- Targeted e-mail alerts allowing a choice of:
  - Information type
  - Subject area
  - Frequency of alert
- Personalised web pages
- Access for ELOs to management information on users from their organisations

The UK Research Office - objectives 2002/03

New information management system



The UK Research Office - objectives 2002/03

Improved information dissemination - IMS Project

Project Board: Doug Yarrow, BBSRC
Pierre Espinasse, University of Oxford
Martin Penny and Cindy Mertens, UKRO

User Group: Yvonne Fox, Lancaster University
Juliet Gayton, University of Exeter
Gwynfor Hughes, UMIST
Simon Kerridge, University of Sunderland

The UK Research Office - objectives 2002/03

New and improved products and services

- New on-line tutorials - incl. contract management, mobility programmes
- New training courses - incl. proposal writing for FP6, contract and IPR management
- Collection and analysis of data on web usage
- More in-depth *FP Spotlight* 'Specials'
- Improved partner searching (through IGLO)
- NCP events and promotional material on FP6 mobility measures

The UK Research Office - objectives 2002/03

Improved and more efficient infrastructure

- Stabilise staffing base
- Examine potential for further student placements
- Expand IT services for Office visitors
- Upgrade the Office Frame Relay Service
- Redevelop the UKRO Intranet
- Invest to develop services for the future, to the benefit of all members
- Contain costs and generate income to maintain the pricing of services

The UK Research Office - objectives 2002/03

Representing interests of sponsors and subscribers

- Closely monitor policy and personnel developments relating to ERA/FP6 and other European programmes
- Inform and facilitate members' contributions to ERA/FP6 policy debate
- Assist Universities UK and EUA with their European policy
- Maintain and develop relations with key MEPs and Commission staff
- Foster and develop links with UK Government departments
- Develop more collaborative projects with IGLO
- Work with PMs and other NCPs
- Deliver effective NCP service on behalf of OST

The UK Research Office

Your views count

How to contribute to future Office developments:

- Direct to UKRO Director and / or your European Advisor
- Questionnaire in Conference pack
- Through your UKRO Steering Committee representatives:
  Pierre Espinasse, University of Oxford
  Martin Hamilton, University of Leeds

The UK Research Office

UKRO expertise

UKRO facilitates your participation in EU Programmes by providing:



- a **critical path** to successful participation
- identification of **key contacts**
- **expert interpretation** of issues
- **advice on influencing policy** developments

JISC

13 January 2011

Mr S Kerridge
Assistant Director (Research)
University of Sunderland
212 Edinburgh Building
Chester Road
Sunderland S1 3SD

JISC
Northavon House
Coldharbour Lane
Bristol BS16 1QD

phone +44 (0) 117 931 7403
website www.jisc.ac.uk

Chairman
Professor Sir Timothy O'Shea

Deputy Chairman
Professor David Baker

Executive Secretary
Dr Malcolm Read

Our Ref: SRDEVB05

Direct line +44 (0) 117 9317251
email j.hutcheon@jisc.ac.uk

Dear Mr Kerridge

JISC RESEARCH INFORMATION MANAGEMENT PROGRAMME
Integrated Research Input and Output System (IRIOS)
Funding Award

1. I am writing to offer you funding for the above project. This funding is administered by JISC via the Higher Education Funding Council for England (HEFCE).

2. The JISC has agreed to support the six month project from February to July 2011 at a total cost of £64,365. During the current Academic Year (2010–2011) funding of £64,365 will be paid to the University of Sunderland, as the lead institution, in four monthly instalments from February 2011 to May 2011. Funding will be paid via HEFCE on, or about the 20th of the month.

3. Institutions should be aware that no additional funding will be available during the period of this grant, therefore all milestones and deliverables must be met through the agreed recurrent element of the grant.

Grant Conditions

4. The JISC makes this grant available for the project on the condition that it is used only for the purpose of implementing the agreed proposal, a copy of which is enclosed.

5. Please see the Terms and Conditions of Grant attached as an annex to this letter. This also draws attention to the Project Management Guidelines available electronically at http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx. Please read both of these documents carefully. The lead institution and its partners must adhere to the Terms and Conditions of Grant and the Project Management Guidelines. The Guidelines will be updated from time to time, and the lead institution will be notified of any major changes. It is the responsibility of the lead institution to inform its project partners about the above documents and any notified updates.

Higher Education Funding Council for England hefce
Scottish Funding Council
Cyngor Cyllido Addysg Uwch Cymru Higher Education Funding Council for Wales hefcw
Llywodraeth Cynulliad Cymru Wales Assembly Government
Department for Employment and Learning

6. An additional condition of funding for this grant is that the institution provides the Programme Manager with additional evidence regarding the precise nature of the research councils' involvement with this activity.

7. Institutions should be aware that the recent government announcement of £6.2bn savings included a freeze on all government marketing and advertising for the rest of the 2010-11 Academic Year. JISC funded projects should exercise care that their activities do not infringe the 'spirit' of the guidelines: for instance 'above the line' work such as sponsorship, paid for advertising/advertorials should be curtailed.

Intellectual Property Rights

8. The IPR conditions for the activity are outlined in the Terms and Conditions of grant. As a general rule, JISC does not seek to retain IPR in the project deliverables created as part of its programmes. For all project and/or service outputs, acceptance of the terms and conditions of the grant will provide JISC and its representatives with an irrevocable, non-exclusive royalty-free licence in perpetuity to exploit the outputs in any way it sees fit, including enabling the JISC to use, archive, preserve and disseminate the outputs.

Consortium Agreement

9. If more than one party is involved in a project, it is essential there be a consortium agreement. This can vary with the size and the nature of the consortium, from informal to legal contracts and should be tailored to reflect the project's needs. This should be submitted to the Programme Manager within three months of the start of the project. Further information is available in the Project Management Guidelines (http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx) regarding the minimum requirements for a consortium agreement.

Reporting and Audit

10. The project will be overseen by the JISC Innovation Group based in the London office. Josh Brown is the Programme Manager for the project and will be your first point of contact should you have any queries (tel: 0203 006 6073, email j.brown@jisc.ac.uk).

11. The JISC website will include information about your funded project and a copy of the original bid accepted for funding. The Programme Manager will review the FOI form completed by you prior to putting a copy of the original bid on the JISC website programme page. Projects are also required to write a project web page for the JISC website within one month of the project start date.

12. Every project must have a formal, written Project Plan which must follow the outline provided in the Project Management Guidelines. This should be submitted to the Programme Manager within one month of the start of the project, by 1 March 2011. You should notify the Programme Manager as each milestone is achieved, and provide associated deliverables. Any substantial revisions to the Project Plan or any changes to these arrangements generally will need to be agreed formally with the Programme Manager.

13. A framework for reporting has been put in place and is included in the Project Management Guidelines. You will be required to provide two reports each academic year (for the periods to the end of January and July respectively, or parts thereof) detailing activity during the previous period. A draft version of the final report is due one month before the end of the project. The final version will be due on the project end date along with a completion report. The final report should be submitted in both PDF and HTML format. Further information and

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templates for reporting are available in the Project Management Guidelines (http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx).

14. Institutions are expected to provide contact and access to the JISC Executive at any reasonable time, and to make a serious commitment to disseminating and sharing learning from the project throughout the community. This may involve attending programme meetings, participating in events which JISC intends to promote in support of the initiative and contributing to programme evaluation activities.

15. Please let me know if your institution is able to accept funding on the above basis by arranging for a competent representative of the institution to return one completed and signed copy of this letter as soon as possible. You should be aware that JISC is not in a position to commence monthly project grant payments until one signed copy of this letter is received from your institution.

Yours sincerely

Joseph Hutcheon
Policy Officer
JISC Executive

cc Josh Brown
Finance Officer, University of Sunderland

I agree to the terms and conditions of the grant as detailed in the grant letter dated 13 January 2011

Signed on behalf of the University of Sunderland:

Name:

Job Title:

Date:

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Schedule

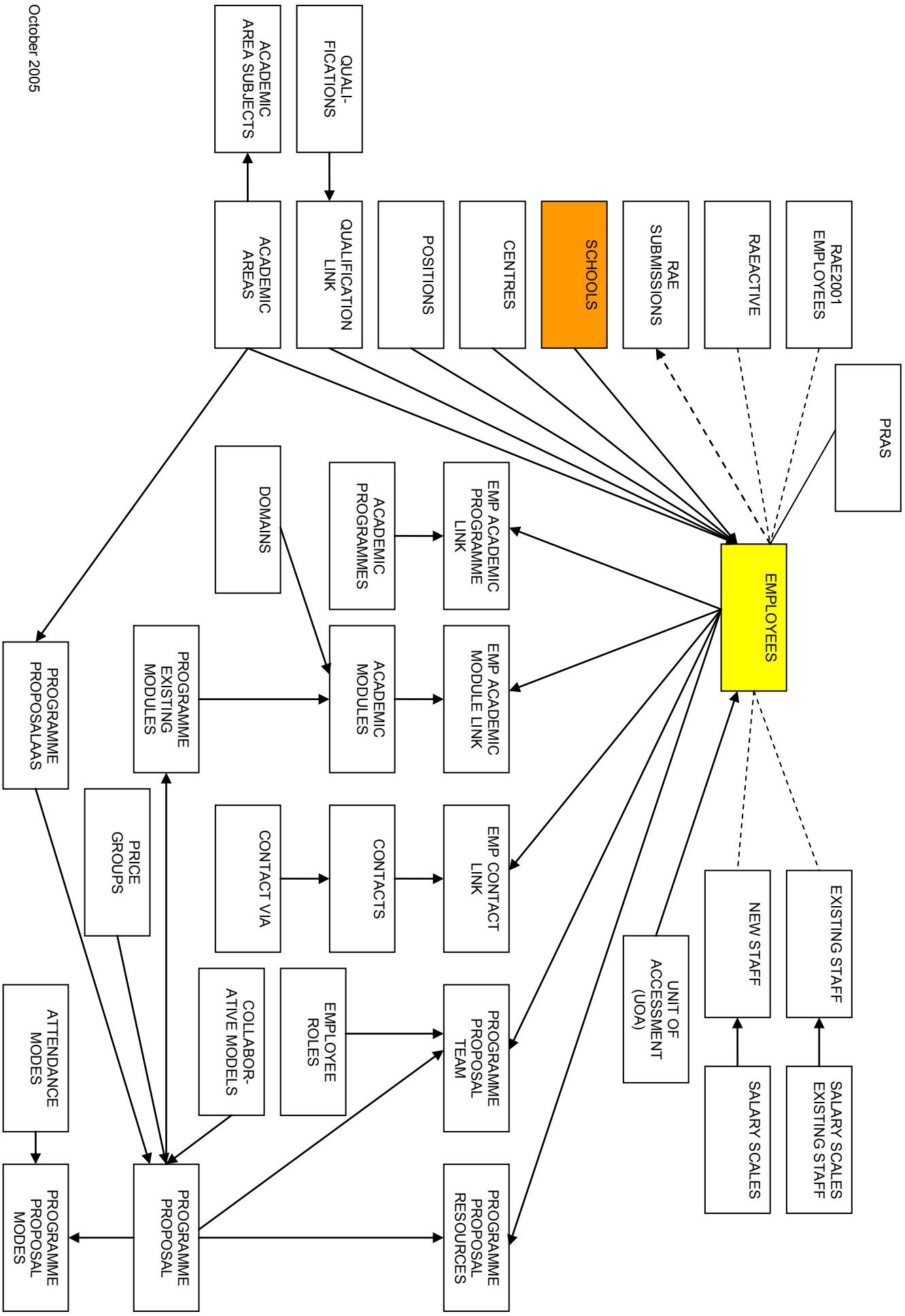
JISC RESEARCH INFORMATION MANAGEMENT PROGRAMME

IRIOS

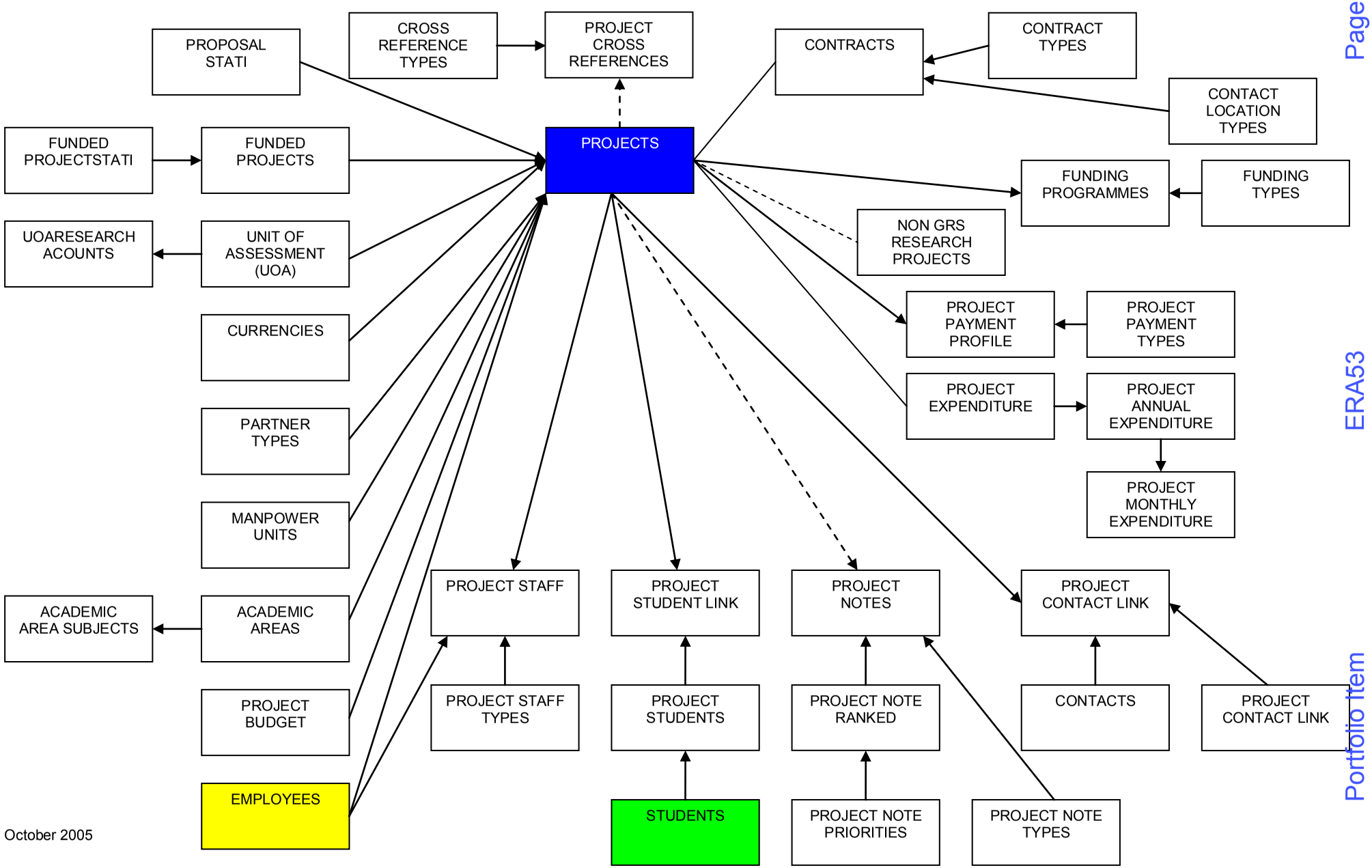
Funding Arrangements

JISC funds which will be paid in the 2010/11 Academic Year in the following instalments:

February 2011	**£16,091**
March 2011	**£16,091**
April 2011	**£16,091**
May 2011	**£16,092**
Total	**£64,365**


GRS Entity Model – Employees
October 2005
ACADEMIC AREA SUBJECTS
QUALI-FICATIONS
ACADEMIC AREAS
QUALIFICATION LINK
POSITIONS
CENTRES
SCHOOLS
RAE SUBMISSIONS
RAEACTIVE
RAE2001 EMPLOYEES
PRAS
EMPLOYEES
DOMAINS
ACADEMIC PROGRAMMES
EMP ACADEMIC PROGRAMME LINK
PROGRAMME PROPOSALAAS
PROGRAMME EXISTING MODULES
ACADEMIC MODULES
EMP ACADEMIC MODULE LINK
PRICE GROUPS
CONTACT VIA
CONTACTS
EMP CONTACT LINK
UNIT OF ACCESSMENT (UOA)
NEW STAFF
EXISTING STAFF
ATTENDANCE MODES
COLLABOR-ATIVE MODELS
EMPLOYEE ROLES
PROGRAMME PROPOSAL TEAM
SALARY SCALES
SALARY SCALES EXISTING STAFF
PROGRAMME PROPOSAL MODES
PROGRAMME PROPOSAL
PROGRAMME PROPOSAL RESOURCES

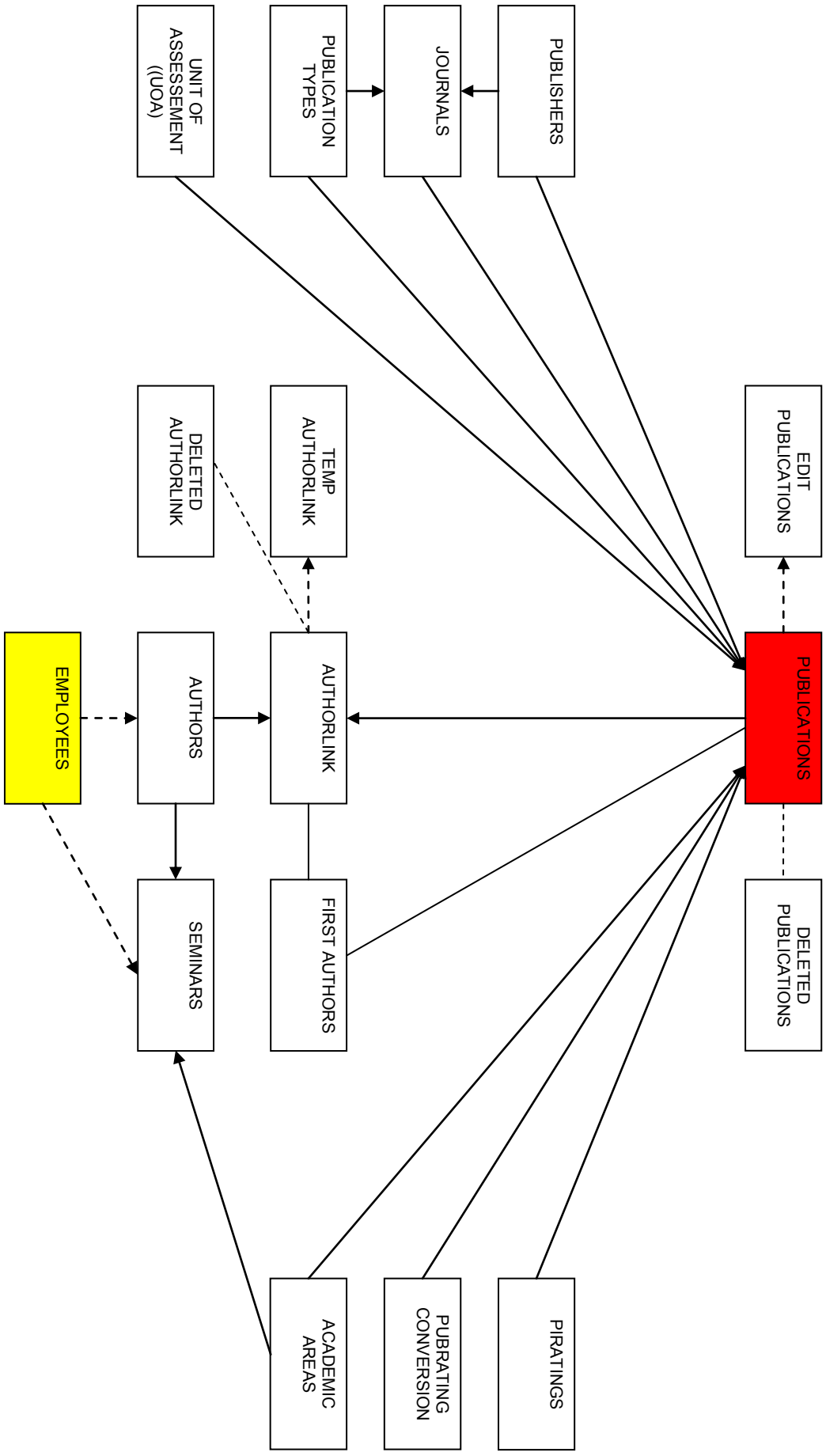
GRS Entity Model – Projects

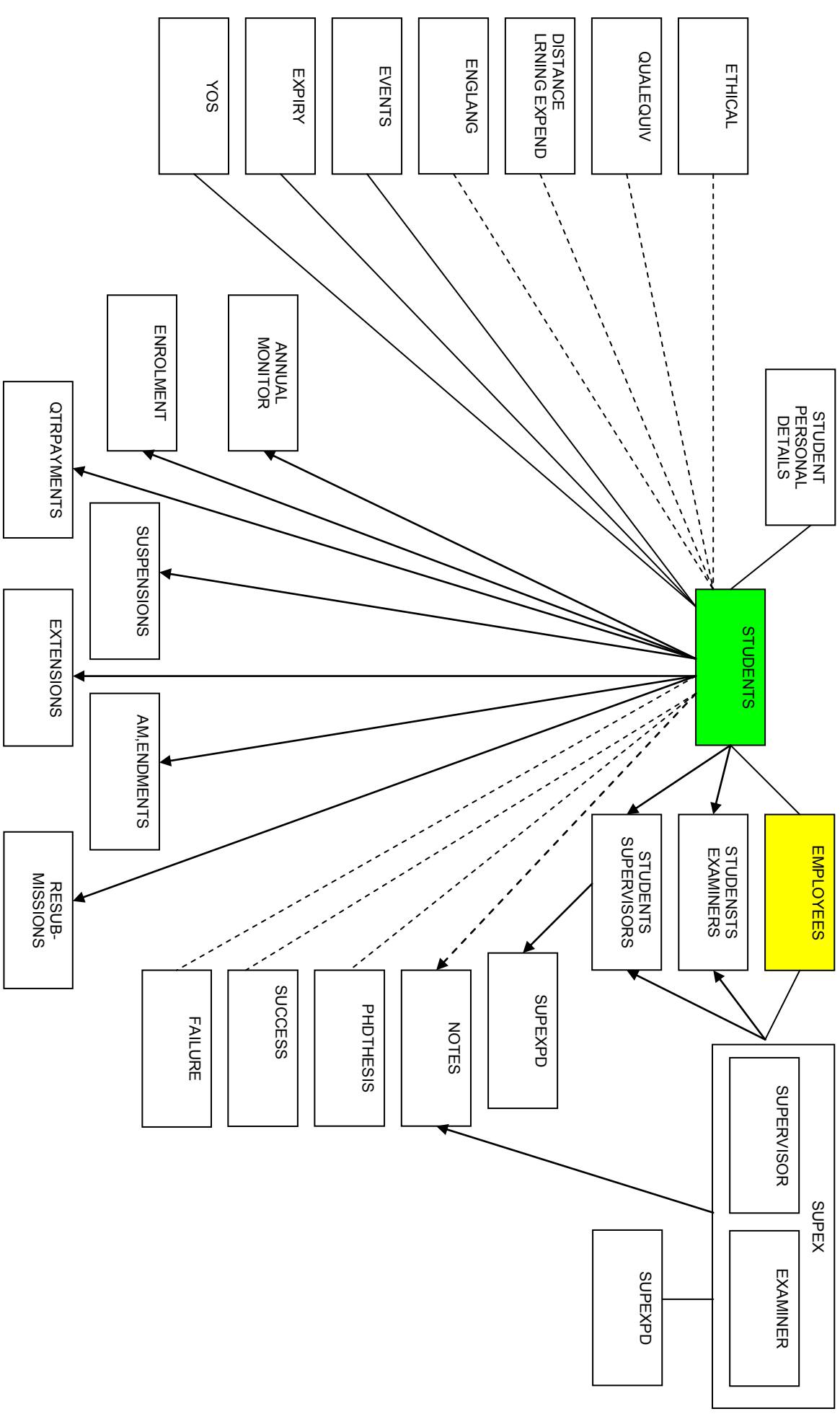


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GRS Entity Model – Publications and Seminars

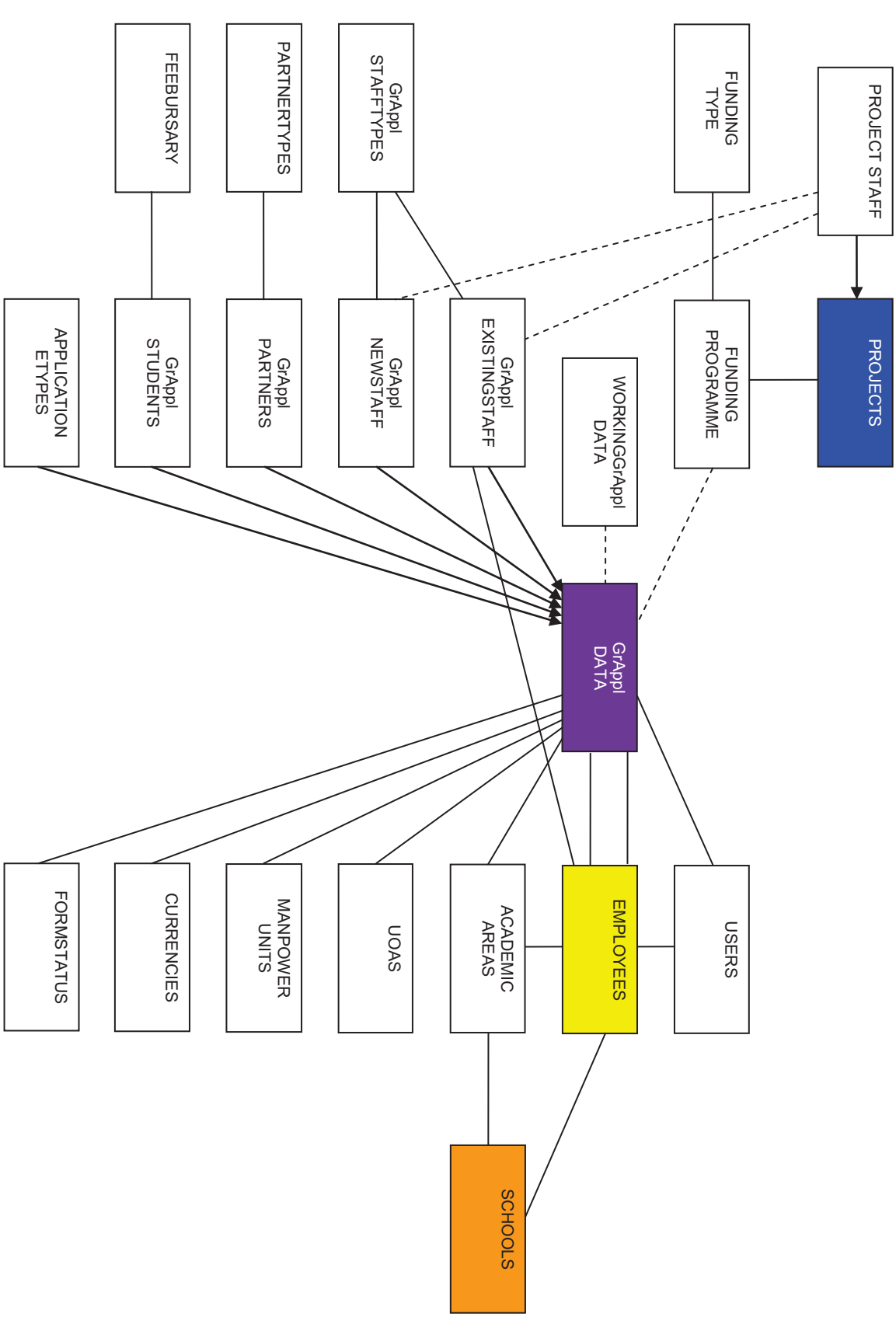
October 2005




GRS Entity Model – Students
#
October 2005
ETHICAL
QUALEQUIV
DISTANCE LRNING EXPEND
ENGLANG
EVENTS
EXPIRY
YOS
STUDENT PERSONAL DETAILS
ENROLMENT
ANNUAL MONITOR
QTRPAYMENTS
SUSPENSIONS
EXTENSIONS
AM,ENDMENTS
RESUB-MISSIONS
STUDENTS
STUDENTS SUPERVISORS
STUDENSTS EXAMINERS
EMPLOYEES
SUPEXPD
NOTES
PHDTHESIS
SUCCESS
FAILURE
SUPEX
SUPERVISOR
EXAMINER
SUPEXPD

GRS Entity Model – GrAppl

as at October 2005



Summary of Publication Information on the GRSdB

At Sunderland, after the experience of the 1996 Research Assessment Exercise submission where a number of publications were known about but the details could not be easily traced, it was decided by the Deputy Vice-Chancellor that a publication information database should be developed. The main driver was so that the submission to the 2001 RAE could be more efficient and better managed. However the system also enabled much better management information and some key performance indicators (KPIs) were developed. It also supports the semi-automatic generation of annual research reports. The database can be accessed through the GRS on-line interface at www.grs.sunderland.ac.uk.

In terms of the specific aim of the Publications section of the GRSdB; it was devised as a database of publication reference information rather than as a full text repository, it does however allow for a link to an on-line version of the output if such exists. The system was designed to allow academic staff to enter their own publication information (or for research administrators to do so on their behalf). Once entered the information was included on internal reports and KPIs, however it would not be visible to the outside world (on the GRS website) until the details had been checked by a department or centre leader – at this time they could also give it an internal quality rating to aid in a future selection for the RAE. Whilst the entering of publication information was mandated it was also supported by internal promotions boards only using reference lists generated from the database.

The system itself is relatively simple to use (there are not the usability issues of the more complex fECAF system for example), and by the time it was supplemented by the institutional repository in 2010 has been in use for 14 years. However over that time there had only been a number of minor updates, mainly to store additional information required for subsequent RAEs – there were no major updates to the user interface. When the system was introduced in 1996 web technology was rather less sophisticated than in 2010, so the interface itself looks very dated and the additional functionality has not always been seamlessly integrated. As such the major concerns raised by the 2010 focus groups centred on functionality that was in fact available, it was just that casual users did not know that it was.

Notwithstanding the minor gripes about the system, it has been well used over the years and has been indispensible for two RAE submissions. A snapshot of data (24th August 2010) is summarised here. Some overview statistics are included here.

The Publications database holds information on 9,626 research outputs. 7 of these have no authors associated with them (some data needs to be looked at as this should not be possible), 5,529 have one author (which is the median), the mean is helped to 1.90 authors per research output by a few publications have many authors; there are 43 having 10 or more and the highest number of authors is 26 for a conference paper on "OBK – An Online High Energy Physics' Meta-Data Repository".

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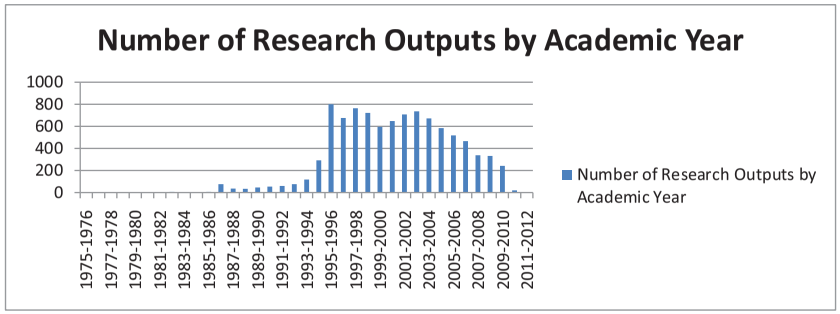


Figure 1: Number of Research Output References by year on the GRSdb

There are 5,377 author records (of which 1306 have been members of staff at the University). Of these 1,254 have no research outputs attached to them, and of the remaining 4,123 there are 2,220 with one (the median) output. The mean number of research outputs per author is 3.49. There are many prolific authors, with 200 having 20 or more articles; 47 of these have 50 or more; and 6 have 100 or more articles to their name; the most is 141 (currently a tie between Prof. Barrie Thompson and Prof John Storey).

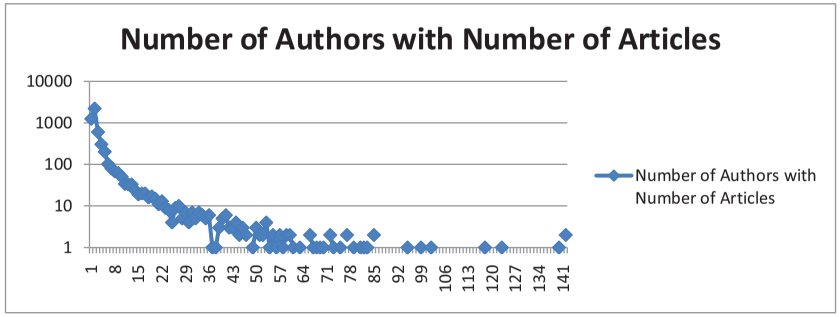


Figure 2: Volume of Authors (on a logarithmic scale) with specific number of research outputs

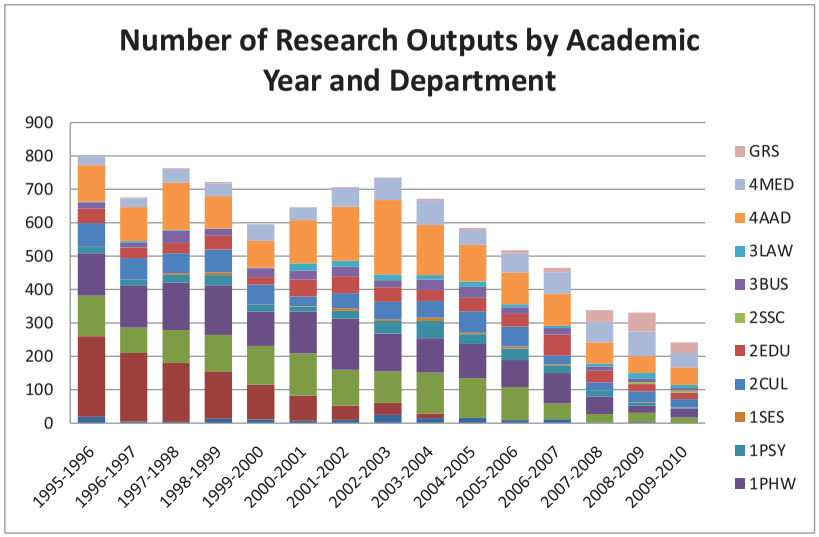


Figure 3: Breakdown of Research Output by year and Department

Information on a total of 1,508 journals is held, although only 1,176 have any publications attached. There are 8 journals with 20 or more publications, the most popular being the *Journal of Criminal Law* (with 31 publications) and most of the others are pharmacy journals with the *British Educational Research Journal* coming in at 21. The mean number of articles per journal is 1.67, with the median at 1 (there are 720 journals with only one article in the database).

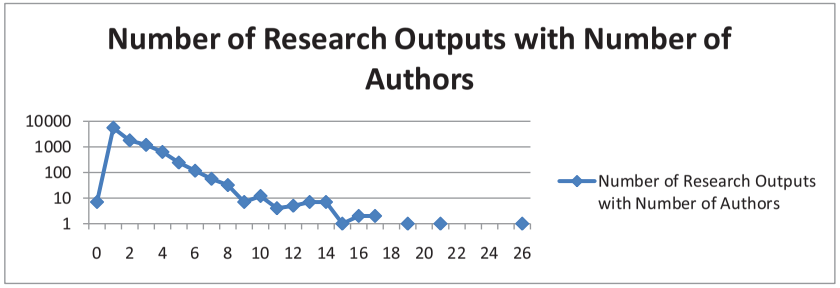


Figure 4: Volume of Articles (on a logarithmic scale) with specifc number of authors

There are also 777 seminars (from the year 2000 onwards) listed in the database.

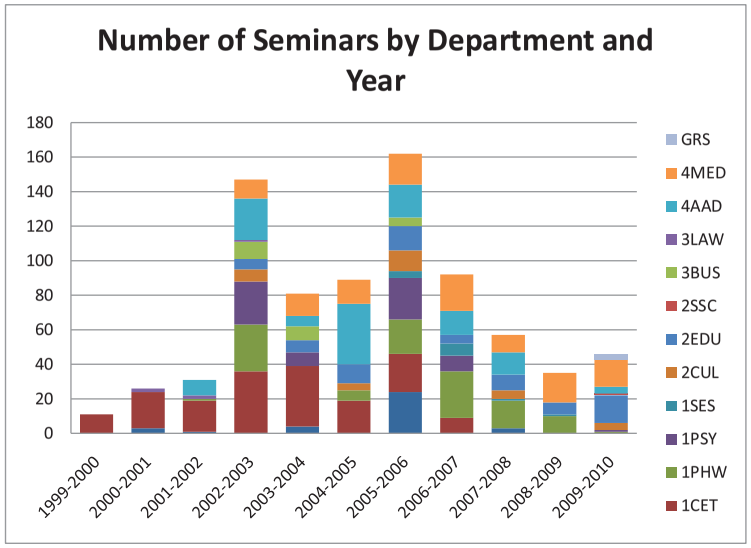


Figure 5: Volume of seminars broken down by Department per year

As well as standard journal, conference and book research outputs it contains information on exhibitions, performances, installations and other outputs (under a total of 50 different headings).

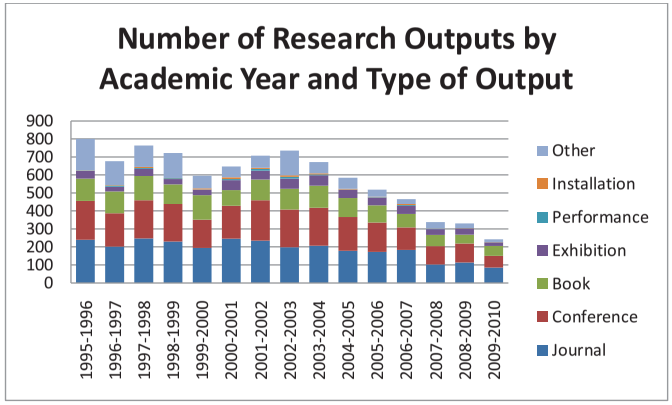


Figure 6: Breakdown of Research Output by Year and Main Type of Output

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JISC

Research Information Management

Towards a common standard for exchanging research information

Briefing paper March 2010

Universities rely on accurate and reliable research information to support strategic planning, manage the research process and improve reporting to external bodies such as funders. This briefing outlines recent developments to help UK universities effectively manage research information.

Research information – administrative information about researchers, projects, outputs and funding that arises from the research process and from managing grant applications – is currently fragmented. It is spread across different systems (in university departments such as finance and human resources, in institutional repositories or with external bodies such as research funders or the Higher Education Statistics Agency (HESA). It is also stored in incompatible formats.

By communicating research information more effectively between systems, the process of sharing data becomes more efficient, duplication of effort is reduced and information becomes more accurate. This in turn gives a truer picture of the current situation, provides universities with reliable information on which to base their strategic plans, and enables them to report on their research more easily.

Meeting the UK's research information requirements

At a time when universities are considering investment in research information systems and the market for providing these solutions is in its infancy, there is an opportunity to consider options that will meet university needs long-term in areas such as:

- Strategic management of research: mapping, benchmarking, assessing the costs and benefits of collaboration, etc
- Providing funders with information about research outputs and outcomes
- Presenting evidence relating to the research they host – a requirement of the Research Excellence Framework (REF)

JISC, the Higher Education Funding Council for England (HEFCE), the Research Councils and others are helping to develop an infrastructure to connect university– and nation-wide data, improve the management of UK research information and provide guidance, support and opportunities to work together. To this end JISC is currently funding a significant programme of work between 2009 and 2011.

The Research Councils have commissioned a joint Research Outcomes project intended to collect and share research information. In 2009 HEFCE funded a feasibility study into a shared Research Management and Administration System (RMAS), anticipating further work in this area. Nationally and internationally, various initiatives are underway to bring together information about individual researchers stored in a variety of locations, to identify inconsistencies and improve the reliability of this data.

Identifying a common standard

A consensus is emerging amongst experts in universities, national funding bodies and funding councils on the value of a common standard to share research information. The aim is to prevent duplication of effort, remove the need for continual modifications to technological solutions for information exchange, and enable universities and national bodies to plan on the basis of a shared understanding of the research domain.

JISC commissioned the Exchanging Research Information in the UK (EXRI-UK) project to document and promote this emerging consensus, examine how research information is exchanged and consider how such exchanges might be supported. The project made recommendations, drafted a roadmap for sharing research information for the UK, and reviewed two main approaches to encoding research information, described below.

CERIF (Common European Research Information Format): a data model that can be used to describe the research domain, including relationships between researchers, funders, institutions, projects and their outputs. CERIF is a European Union recommendation to member states. Developed under the aegis of the European Commission, care and custody of CERIF has since been handed to euroCRIS, a not-for-profit organisation dedicated to the promotion and development of research information systems.

Linked Data, unlike CERIF, is not a data model but an approach to encoding information on the web so that it carries semantics. This can be done by using the Resource Description Framework (RDF) language or embedding elements into web pages to give them meaning. Linked Data relies on common ontologies – mutually agreed classifications used to describe an area of interest. In the case of research, these might convey information about individual researchers, their work, or changes to their responsibilities over time. The UK Government is using the Linked Data approach, for example in the www.data.gov.uk initiative.

CERIF and Linked Data are similar, complementary approaches. However, there are significant differences in the way they encode relationships. EXRI-UK reviewed these approaches against higher education needs and recommended that CERIF should be the basis for the exchange of research information in the UK. CERIF is currently better able to encode the rich information required to communicate research information, and has the organisational backing of EuroCRIS, ensuring it is well-managed and sustainable.

The EXRI-UK report concluded that:

> *'...there are great potential benefits of a standard format for exchanging research information. It will allow cooperation between researchers, between institutions and research organisations and between research funders, within and beyond the UK. It will allow the rationalisation of data about what research is being funded and is taking place across the UK and the querying of that data by individuals, stakeholders and government.'*

In January 2010 experts from universities, national bodies and representative organisations met informally to discuss and reach consensus about the best direction for the future. The meeting brought together representatives from the Research Councils, Wellcome Trust, HEFCE, HESA, Association for Research Managers and Administrators (ARMA), Universities and Colleges Information Systems Association (UCISA) and Universities UK. There was broad support for EXRI-UK's recommendations.

As higher education is undergoing a period of somewhat unpredictable change, progress toward a common exchange format will be challenging, nevertheless, a sense of common direction is a significant achievement and should lay the foundations for more efficient and effective research information management in the UK.

Next steps

HEFCE and the Research Councils now need to assess whether the adoption of a UK standard can benefit investment in ongoing systems development (for the REF and Research Outcomes project respectively) and consider the EXRI-UK recommendations in the context of their responsibilities as public sector organisations.

Universities need to consider the EXRI-UK recommendations, specifically those relating to CERIF, in their procurement and other investment decisions for 2010 to 2011. Advice on this is available from JISC infoNet, along with support in using an 'impact calculator' to assess the costs and benefits of adopting this approach.

JISC plans to commission work to address EXRI-UK recommendations to:

- Document evidence to support a business case for using an open standard such as CERIF
- Harmonise the lexicons and vocabularies used to describe research outputs
- Review the medium-term potential to adopt a Linked Data approach using CERIF as the data model

Further Information and Advice

Exchanging Research Related Information report:
http://ie-repository.jisc.ac.uk/448/

Information on the work of JISC and others in the area of research information management:
www.jisc.ac.uk/whatwedo/themes/informationenvironment/researchinfomgt

HEFCE feasibility study into a shared Research Management Administrative System:
http://as.exeter.ac.uk/rmas/

Information about CERIF and EuroCRIS:
www.EuroCRIS.org

Research information management guidance and tools from JISC infoNet:
www.jiscinfonet.ac.uk/research

Technical advice and support from UKOLN:
www.ukoln.ac.uk

Research Managers and Administrators

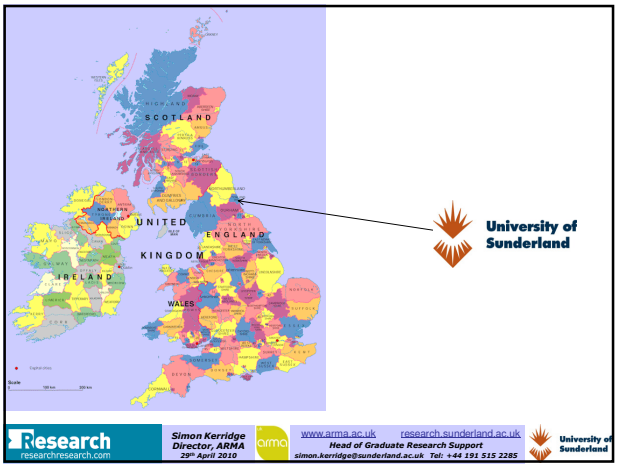
Simon Kerridge

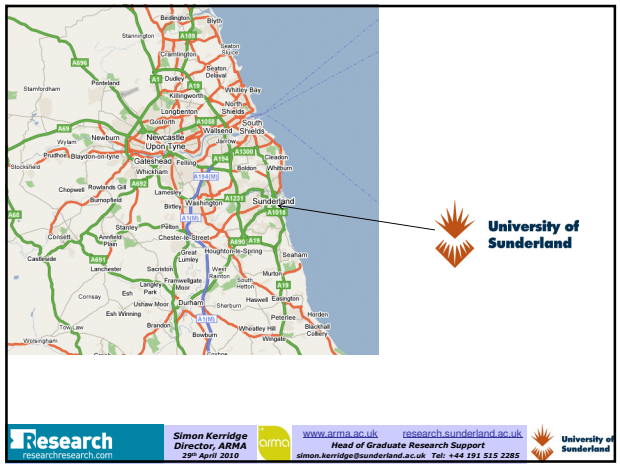
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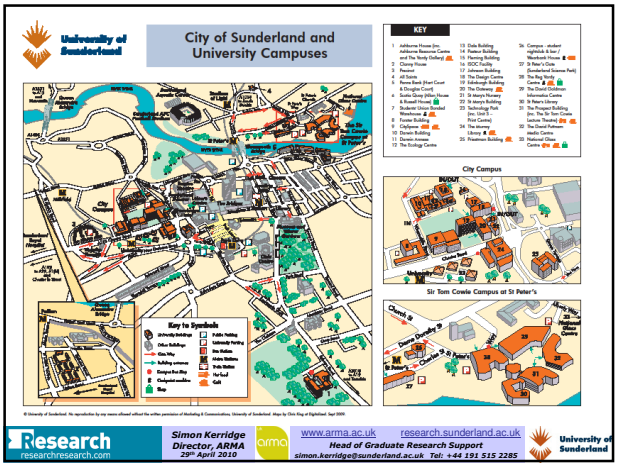
Director (and Company Secretary)
Association of Research Managers and Administrators UK (ARMA)

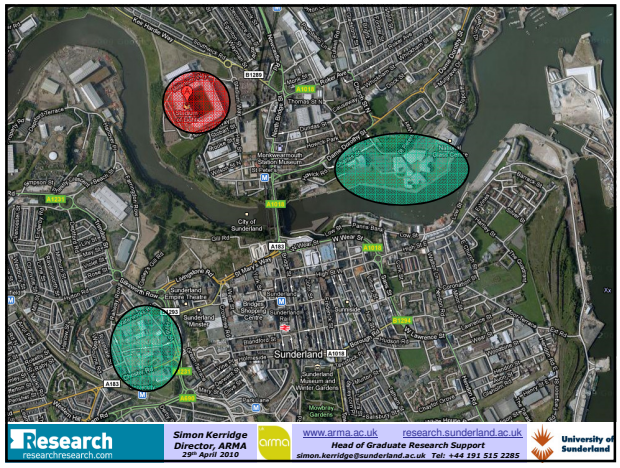
Overview

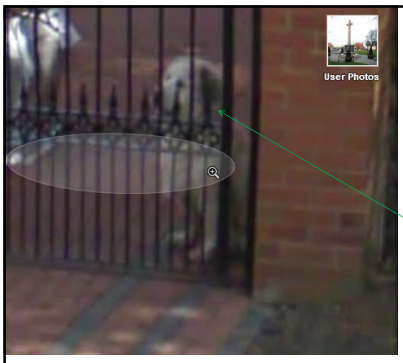
- Research Management & Administration
- ARMA
- Electronic Research Administration











Holly...!

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Research Management and Administration

- What is it?
  - leadership, management or support of research activities (from Chronister and Killoren 2006)
- Who does is?
- Where do we do it?
  - central, department, elsewhere
- What is ARMA?

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arma Association of Research Managers and Administrators

Overview

- Research Management and Administration
- Who are we?
- Where are we?
- What are we?
- ARMA – What is it?
- ARMA – What does it do?
- Summary

ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 9

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Research Management & Admin

- Information
- Pre-award
- Post-award
- Development / Planning
- Strategy / Policy
- Assessment / Governance
- Metrics
- Research Students (PGRs)

ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 10

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RMA: who

- Secretarial (e.g. clerical support)
- Admin (e.g. admin support)
- Professional (e.g. Research Development Officer)
- Managerial (e.g. Head of Section)
- Senior Management (e.g. Director)
- Leadership (e.g. Pro Vice-Chancellor)

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RMA: where

- Universities
  - central office, faculty office, research centre
- Research Institutes
- Other Research Performers
  - E.g. NHS, Companies
- Research Funders
  - E.g. Research Councils, Charities, Companies, Government, European Commission
- Worldwide

ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 12

RMA: what

- **Not** a 'Jack of all Trades'... But multi-skilled:
- Information, Opportunities, Advice, Costing, Pricing, Submission, Negotiation, IP, Contracts, Finance, Legal, Reporting, ICT, Influencing, Enabling, Monitoring, Development, Training, CPD, Strategy, Analysis, Returns, Advocacy, Marketing, HR, Procurement, Research Students, Ethics, Project Management, Networking, Dissemination, KT, Partnering, Governance, Planning, Policy...
- An interface

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ARMA – What is it?

- Association of Research Managers and Administrators
- UK based
- CLG
- Formed in 1991 (as RAG*net*)
- Over 1600 members
- The Leading UK RMA professional association

ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 14

ARMA – What does it do?

- Annual Conference (2+1 days)
- Professional Development
  - Training Seminars
  - Expert Seminars
  - Special Interest Groups
  - Study Tours
  - Mentoring
  - Publications: IRMA, Newsletter, Fact Sheets and Web Site
- Representation
- Peer Support Network

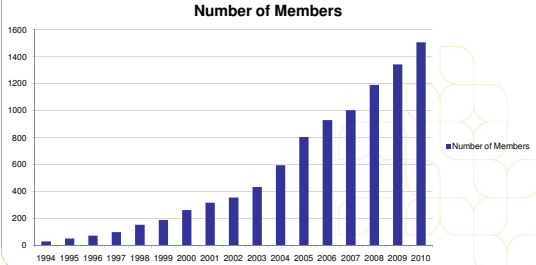
ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 15

ARMA – Who is it?: Board

- Chair: Ian Carter (Sussex)
- Deputy Chair: Pauline Muya (Birkbeck)
- Deputy Chair: Tony Weir (Heriot-Watt)
- Conference: Lita Denny (Manchester)
- Treasurer: John Green (Imperial)
- Secretary: Simon Kerridge (Sunderland)
  - **Sheena Bateman** (Keele), **Ray Kent** (Loughborough), **Ian McCormick** (UEA), **Karen Sergiou** (Imperial), **Maggy Taylor** (MMU), **Mark Wight** (Open)

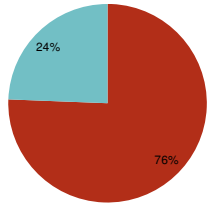
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ARMA – Who is it?: Members



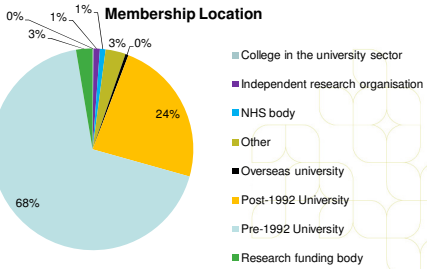
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ARMA – Who is it?: Members



ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 18

ARMA – Who is it?: Members



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INORMS

- International Network of Research Management Societies
  - Formed 2001
  - ARMA (UK), ARMS (AU), CAURA (Can), DARMA (Den), EARMA, (EU) NCURA (US), SARIMA (S.Africa), SRA (US), WARIMA (W.Africa), GRMN (ACU)
  - Biennial conference
  - 2010 Conference, Cape Town
  - 2012 Conference, Copenhagen

ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 20

Summary

- Research Management and Administration is:
  - A diverse and growing profession
  - Spread across the University and the Research Sector
- ARMA is:
  - The professional association for research managers and administrators in the UK
  - See www.arma.ac.uk for more information

ARMA Overview February 2010 The Professional Association of Research Managers and Administrators 21

ARMA

- Leading UK association
- 20 years old
- 1600 members
- Training Provision
  - 3 'levels', Training Courses well established
- Professional Development
  - Mentoring, Study Tours, Workshops, ...

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Other Providers in the UK

- AUA
- AURIL
- IKT
- PraxisUnico
- LFHE
- Universities themselves
- ... many more

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International Perspective

- INORMS
  - SRA, NCURA, CAURA
  - DARMA, EARMA, SARMA
  - ARMS
  - SARIMA, WARIMA
  - IARMA, Malaysia, Singapore, Middle East
  - GRMN (ACU)
- RACC

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A Way Forward for the UK

- Professionalising Research Management (Green and Langley 2009)
- Defining the Scope
- Agreeing the Core Training
- Additional Professional Development
- Ensuring 'buy-in' from stakeholders
- ... Accreditation?

ARMA Conference 2010

- Mon 7th June: Pre-conference sessions
  - Fundamentals of Research Administration
  - Impact Developments
  - Executive Forum
- Tue 8-9th June: Main conference
  - 2 Plenary Sessions
  - 36 Parallel Workshops
- AGM, Poster Session

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Conference Plenaries

- Brace for Impact
  - Professor Julia Goodfellow, CBE, Vice-Chancellor, University of Kent
  - Dr James Wilsden, Director of the Science Policy Centre at the Royal Society
- Research Concentration
  - Professor Dame Nancy Rothwell, DBE, FRS Deputy President & Deputy Vice-Chancellor, University of Manchester
  - Professor Nick Petford, Pro Vice Chancellor (Research & Enterprise), Bournemouth University [University Alliance]

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Conference Workshops

- 6 time slots with 6 parallel sessions each; structured into 8 themes:
  - **Research Funding and Funding Opportunities (FUN)**
  - **Policy and Strategy (POL)**
  - **Research Integrity, Ethics and Governance (GOV)**
  - **Operations, Systems and Structures for Research Support (OPS)**
  - **Developing professional research managers and administrators (RMA)**
  - **Developing and supporting researchers (RES)**
  - **Assessing Research (ASR)**
  - **Dissemination, use and exploitation (DIS)**

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Conference Speakers: from

- British Council, Leverhulme, HEFCE, EPSRC, BBSRC, ESRC, Joseph Rowntree, RCUK, UKRIO, British Academy, Royal Society, AEA Technology, AMRC, Wellcome, SHERPA, JISC, NIHR, MRC, BL, Vitae
- Manchester, Birkbeck, Glasgow, Oxford, Newcastle, Bournemouth, UWE, Sussex, Loughborough, Liverpool, Kent, Nottingham, Exeter, St. Andrews, Aberdeen, Leeds, Heriot-Watt, Bristol, UCL, Sheffield

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Electronic Research Administration

- What is ERA / RMAS / CRIS
- Why the Survey
- Some preliminary Results

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What is ERA

- RMAS (cf HEFCE project)
- CRIS (cf EuroCRIS, CERIF)
- ERA (cf Rodman and Stanford 2006)
  - *"... loosely defined as improving [research] administrative processes through the application of technology, particularly computer technology"*

What is ERA

- Academic expertise information
- Pre application funding source identification
- Costing of grant applications
- Internal Peer review & Ethics review
- Applications and awards management
- Post award financial management
- Outputs & impact recording and archive
- and PGR, Forecasting, Strategy, Governance

Why the ERA Survey?

- Not an 'official' ARMA survey [endorsed]
- Follow-up from a 2009 Conference session
- Perceptions of RMAs towards ERA...
- Can ERA improve/increase research
  - Quality
  - Quantity
- Where might RMAs focus effort

ERA Perceptions: The Survey

- In relation to RMA overall and the 7 areas:
  - RMA can improve quality / quantity?
  - ERA can further improve quality / quantity?
  - Ranking areas in terms of quality / quantity
- Classification questions for analysis

ERA Perceptions: Survey Results

- 1623 (1515) ARMA members surveyed
- 621 responses (41%)
- 475 complete responses (31%)
- 21st Feb – 23rd Mar 2010

ERA Perceptions: Issues

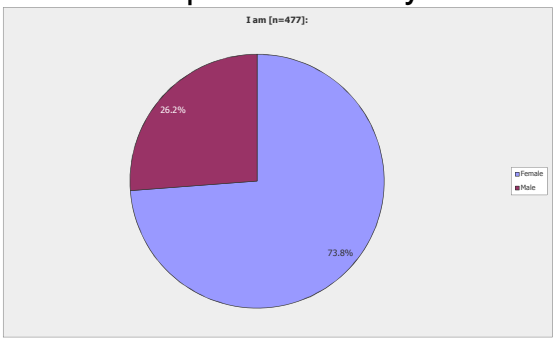
- Questionnaire repetitive
- Some (few) technical issues
- Question on salary range
- Possible confusion over negative responses
- Did not cover all of ERA (eg Planning)
- Only asked RMAs (not eg Academics)
- Focus on Research (not Enterprise)

ERA Perceptions: Issues

- Difficult to disaggregate RMA & ERA
- Does not address workflow/integration
- Easier to think about quantity than quality
- No direct analysis of responders areas of expertise

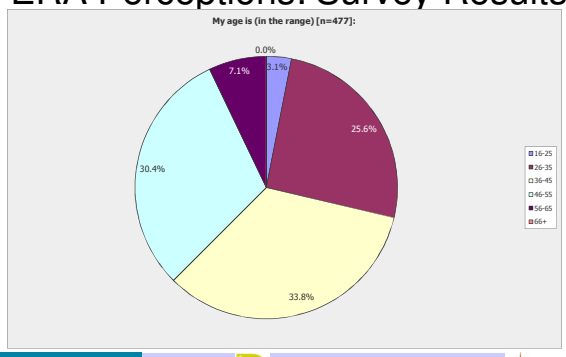
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ERA Perceptions: Survey Results



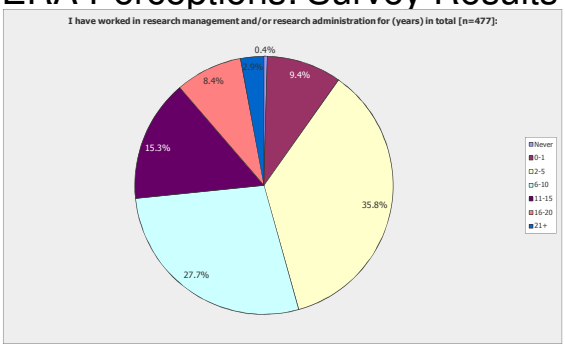
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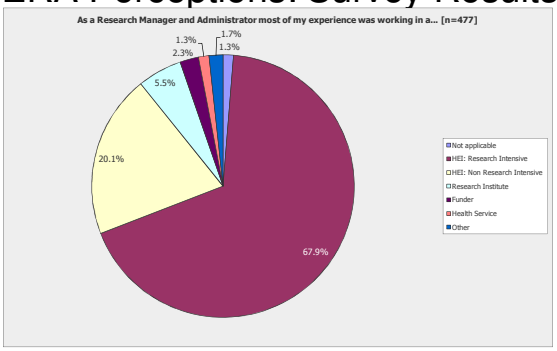
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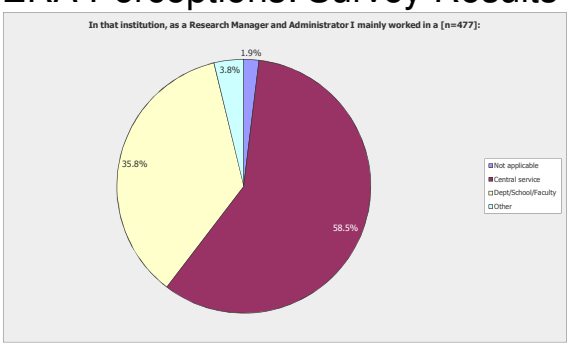
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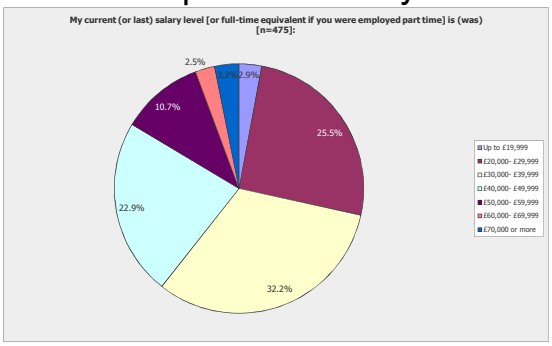
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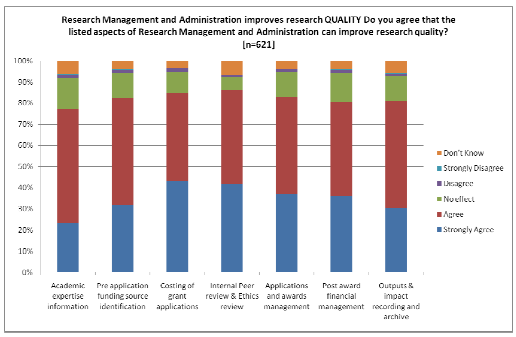


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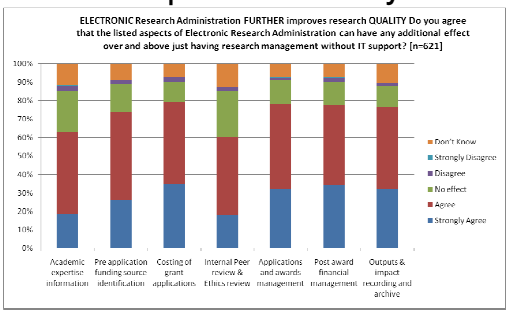
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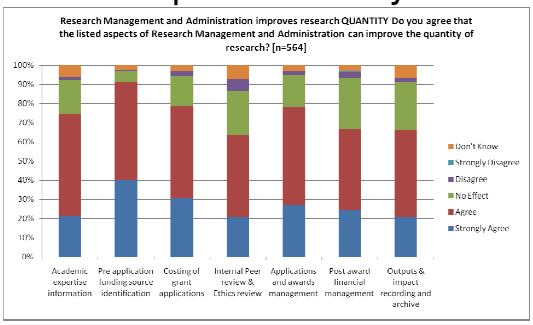
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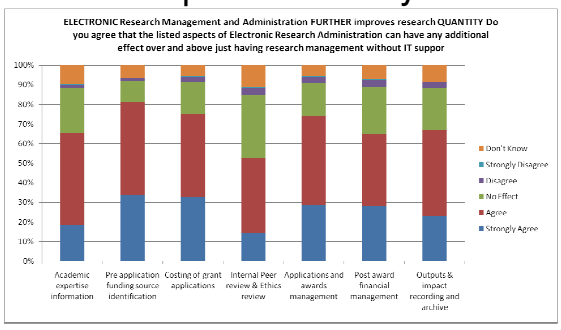
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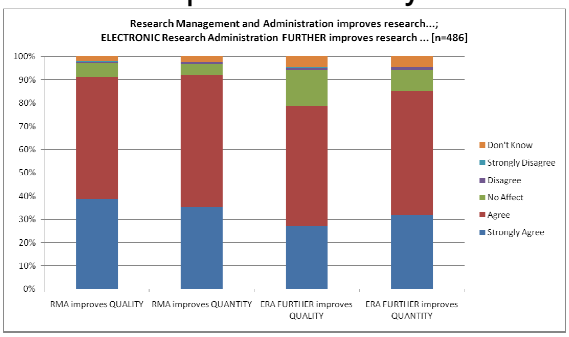
ERA Perceptions: Survey Results



ERA Perceptions: Survey Results



ERA Perceptions: Survey Results



ERA Perceptions: Survey Results

Research Management and Administration improves research QUALITY [n=448 to 458]

	1 (most)	2	3	4	5	6	7 (least)	Average
a) Academic expertise information	15.0%	15.5%	10.4%	9.5%	8.0%	15.7%	25.9%	4.31
b) Pre application funding source identification	10.0%	20.8%	17.4%	17.6%	15.0%	13.6%	5.6%	3.70
c) Costing of grant applications	18.7%	22.0%	17.8%	19.3%	13.8%	3.8%	4.7%	3.18
d) Internal Peer review & Ethics review	30.4%	10.6%	11.1%	10.0%	10.6%	13.7%	13.5%	3.55
e) Applications and awards management	15.0%	15.8%	20.3%	15.4%	18.5%	9.4%	5.6%	3.57
f) Post award financial management	7.9%	10.7%	12.9%	14.8%	17.2%	18.8%	17.7%	4.50
g) Outputs & Impact recording and archive	4.4%	6.6%	11.1%	12.9%	16.8%	22.9%	25.3%	5.01

ELECTRONIC Research Administration FURTHER improves research QUALITY [n=441 to 451]

	1 (most)	2	3	4	5	6	7 (least)	Average
a) Academic expertise information	12.2%	12.9%	8.7%	10.2%	10.0%	15.8%	30.2%	4.61
b) Pre application funding source identification	15.6%	16.7%	15.8%	15.6%	15.6%	15.8%	5.0%	3.66
c) Costing of grant applications	23.0%	24.2%	19.9%	14.2%	10.8%	3.8%	4.1%	2.93
d) Internal Peer review & Ethics review	15.9%	8.8%	7.9%	14.1%	12.5%	19.7%	21.3%	4.44
e) Applications and awards management	15.2%	18.1%	21.5%	16.3%	14.1%	10.7%	4.1%	3.44
f) Post award financial management	12.9%	12.0%	15.1%	14.7%	17.6%	13.8%	13.8%	4.09
g) Outputs & Impact recording and archive	7.8%	8.9%	11.1%	14.6%	18.2%	19.3%	20.2%	4.65

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ERA Perceptions: Survey Results

Research Management and Administration improves research QUANTITY [n=439 to 445]

	1 (most)	2	3	4	5	6	7 (least)	Average
a) Academic expertise information	13.1%	14.0%	11.3%	11.5%	12.9%	12.7%	24.4%	4.33
b) Pre application funding source identification	37.5%	19.1%	13.9%	13.0%	7.4%	6.7%	2.2%	2.63
c) Costing of grant applications	17.6%	25.9%	25.9%	15.1%	7.9%	5.2%	2.7%	2.97
d) Internal Peer review & Ethics review	8.8%	9.3%	10.0%	15.0%	15.9%	20.6%	20.4%	4.63
e) Applications and awards management	15.0%	17.8%	19.6%	16.2%	20.0%	7.3%	4.1%	3.47
f) Post award financial management	7.0%	10.2%	11.3%	18.8%	17.2%	21.9%	13.6%	4.49
g) Outputs & Impact recording and archive	2.5%	4.3%	8.8%	10.1%	18.0%	24.3%	32.1%	5.38

ELECTRONIC Research Administration FURTHER improves research QUANTITY [n=429 to 439]

	1 (most)	2	3	4	5	6	7 (least)	Average
a) Academic expertise information	8.9%	14.6%	13.2%	9.6%	13.9%	14.8%	25.1%	4.50
b) Pre application funding source identification	38.9%	15.6%	13.3%	14.2%	8.5%	7.1%	2.7%	2.71
c) Costing of grant applications	20.5%	28.1%	24.0%	14.4%	7.5%	3.9%	1.8%	2.80
d) Internal Peer review & Ethics review	5.6%	6.3%	8.6%	14.9%	16.5%	22.3%	25.8%	5.01
e) Applications and awards management	15.6%	18.9%	19.6%	17.9%	15.9%	9.3%	2.8%	3.39
f) Post award financial management	8.0%	10.3%	12.6%	19.1%	17.0%	20.5%	12.4%	4.38
g) Outputs & Impact recording and archive	4.1%	6.9%	8.7%	9.4%	20.0%	22.0%	28.9%	5.16

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ERA Perceptions: Survey Results

	QUALITY				QUANTITY			
RMA improves...	1 (most)	2	3	Rank	1 (most)	2	3	Rank
a) Academic expertise information	15.0%	15.5%	10.4%	5	12.2%	12.9%	8.7%	6
b) Pre application funding source identification	10.0%	20.8%	17.4%	4	15.6%	16.7%	15.8%	3
c) Costing of grant applications	18.7%	22.0%	17.8%	1	23.0%	24.2%	19.9%	1
d) Internal Peer review & Ethics review	30.4%	10.6%	11.1%	2	15.9%	8.8%	7.9%	5
e) Applications and awards management	15.0%	15.8%	20.3%	3	15.2%	18.1%	21.5%	2
f) Post award financial management	7.9%	10.7%	12.9%	6	12.9%	12.0%	15.1%	4
g) Outputs & Impact recording and archive	4.4%	6.6%	11.1%	7	7.8%	8.9%	11.1%	7
	QUALITY				QUANTITY			
ERA FURTHER improves...	1 (most)	2	3	Rank	1 (most)	2	3	Rank
a) Academic expertise information	13.1%	14.0%	11.3%	4	8.9%	14.6%	13.2%	5
b) Pre application funding source identification	37.5%	19.1%	13.9%	1	38.9%	15.6%	13.3%	1
c) Costing of grant applications	17.6%	25.9%	25.9%	2	20.5%	28.1%	24.0%	2
d) Internal Peer review & Ethics review	8.8%	9.3%	10.0%	6	5.6%	6.3%	8.6%	6
e) Applications and awards management	15.0%	17.8%	19.6%	3	15.6%	18.9%	19.6%	3
f) Post award financial management	7.0%	10.2%	11.3%	5	8.0%	10.3%	12.6%	4
g) Outputs & Impact recording and archive	2.5%	4.3%	8.8%	7	4.1%	6.9%	8.7%	7

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ERA Perceptions: Survey Results

- Much more analysis is required...
- Multivariate
  - Any differences by (eg) HEI type, experience
- Consistency
  - Rankings agree with Scales?
- Textual analysis of free text

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Questions / Discussion

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Event Summary
Research Management and the REF Consultation

25 November 2009, Research Beehive, Newcastle University
30 November 2009, Regus Centre, London

Presenters
Jill Golightly - Head of Research Office, Newcastle University (NCL)
Simon Kerridge - Head of Graduate Research Support, University of Sunderland (NCL)
Pamela Macpherson-Barrett, Higher Education Policy Advisor, HEFCE (LDN, NCL)
Scott Rutherford, REF Programme Co-ordinator, HEFCE (NCL)
Tony Weir, Head of Research & Legal Services, Heriot-Watt University (NCL)
Andy Youell, Director of Quality & Development, HESA (LDN, NCL)
Ian McCormick, Director of Research, Enterprise & Engagement, University of East Anglia (LDN)
Graeme Rosenberg, REF Project Manager, HEFCE (LDN)
Andrew Slade, Pro Vice Chancellor Research and Enterprise, University of Bedfordshire (LDN)
Glenn Swafford, Director of Research Services, University of Oxford (LDN)
Andy Youell, HESA Director of Quality and Development (LDN)

See: https://www.arma.ac.uk/news/expert_seminars/REF.xhtml

The Newcastle event had 25 attendees, making for a reasonably informal and friendly atmosphere within the framework of the day. The London event had 72, with best efforts made to retain the Newcastle environment. There was a slight change to the running order in London to accommodate Graeme needing to leave early.

Overview

Pam outlined the current issues relating to the proposed Research Excellence Framework (REF) and the on-going consultation (deadline for responses noon on 16th Dec 2009, email to ref@hefce.ac.uk). All the REF documentation can be found at:
http://www.hefce.ac.uk/Research/ref/
Andy presented HESA and gave an overview of what data they currently collect – and why, and indicated some potential ways in which data collected by HESA might be modified so as to be used for the REF (or perhaps the one after)
Scott (NCL), **Graeme** (LDN) then talked about the REF data requirements (such as they are known at the moment) and HEFCE's plans for the data collection system, with lessons learnt from the 2008 software.
It was also mentioned that HEFCE, RCUK, HESA and MRC had had an initial meeting with regard to possibilities for data harmonisation (mainly staff, PGRs and income for HEFCE/HESA and publications/outcomes for HEFCE/RCUK&MRC), but that there was a long way to go before HESA data could be used for the REF.
Around 40 questions were created at each session and voted for by the delegates over the lunch break, which were addressed in the final panel session.
After lunch, **Jill**, **Simon** and **Tony** (NCL) presented what they had done at Newcastle, Sunderland and Heriot-Watt (respectively) in the run up to the RAE2008 submission, what

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they had done so far in preparation for the REF and what they plan/hope to do from now until the submission itself (scheduled to be at the end of 2012). It was stressed that although the final requirements will not be known until autumn 2010, that, assuming the proposed timescales are agreed, we are already nearly 2/5ths into the REF assessment period.
Andrew, **Ian** and **Glenn** made a similar pitch in London, although Glenn and Andrew (latter in particular) took a more global approach, steering in and out of policy and concepts rather than hands-on management issues – both certainly had an entertaining and engaging style, so the session overall was well received.
All speakers (at the respective events) contributed to the plenary session, where a wide variety of questions from the audience (from the post-it notes) were addressed.

In summary, it was suggested that it might be useful to reflect on lessons learnt from the RAE2008 submissions and that IRMA4 is a useful source:
https://www.arma.ac.uk/resources/irma/irma4.xhtml
In terms of standards that might be used for data exchange, the JISC funded EXRI project (http://exri.ilrt.bris.ac.uk/) is for example looking at CERIF (http://www.eurocris.org/). On the publications and outcomes front there is also the Research Councils' Research Outcomes Project (formerly OOCS) to consider.
Also, the Readiness for REF project (http://www.kcl.ac.uk/iss/cerch/projects/portfolio/r4r.html), also JISC funded, was mentioned, and will be of interest to many. Ultimately it seems likely that HEFCE, RCUK, HESA, etc will have to adopt any standards approved by the Information Standards Board (http://www.escs-isb.org.uk/) so any new system developments in HEIs should also keep an eye on these.
It was of course noted that the REF consultation is still open and ARMA members are encouraged to provide their ideas. Scott Rutherford, the REF Programme Coordinator, indicated that he is happy to receive ideas / issues around the data collection and software functionality from ARMA members.
Whilst there was, of course, much debate about Impact it was noted that the current proposal is for it to be worth 25% of the overall profile, with outputs still having the lion's share of 60%. HEFCE are currently running an Impact pilot exercise which is not due to report back until towards the end of 2010.
The proposed role of citations has been much reduced from the initial ideas.
Environment seems much unchanged from RAE 2008 although it was noted that due to the (proposed) large UoAs it might not be possible to write a single coherent environment statement for some panels (e.g. Engineering), but that this might not be required; it is expected that templates will be provided.

As to how institutions may respond, clearly one size does not fit all, and a project-systems hybrid of some sort is inevitable, i.e. investment will be in-line with the size and scope of the submitting institution's research portfolio.

Report by Simon Kerridge and Ian McCormick
1 December 2009

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Re Research data management systems (with header cleaned up)

Date: Mon, 11 Oct 2010 16:08:32 +0100
From: Simon Kerridge <simon.kerridge@sunderland.ac.uk>
Subject: Re: Research data management systems
To: [redacted]ac.uk>

  Assuming you mean the current systems here at Sunderland; then yes..
here goes
* in house; apart from pFACT (costing and pricing and approval) and
Oracle Financials (post award finance) - the other elements have been
developed in house
* Baum Hart (or is it Unit4 now) and Oracle respectively. We have only
have pFACT for 3 months now (we had a bespoke system before that)
* I guess that they maintain it (Finance look after rather than me - or
though that may not be ideal...). I guess we pay Oracle a maintenance
fee for the finance system... I can check these costs out if you would like?
* for the rest of the system we should have 1FTE (I believe) we
currently have 0 - this is by no means ideal!
* yes
* yes - although the pFACT approval process is now somewhat disjoint
from the main system which means some re-keying... but the costing are
more robust
* the finance system is separate. We did have an overnight transfer
process, but that has fallen into disrepair (due to the point above re
maintenance). When it was operational, it was of course view only - but
told the academic staff what they wanted to know... how much money have
I got left to spend on travel...
* documents - yes... nothing too clever just a directory area accessible
through the web interface
* integrated system - tailored to the way we work. we can add extra
things at will (eg a new section for impact)
* what was a system for a single service is now shared between 3
(pre-award research; pre-award reach-out and post-award) and people are
starting to use it differentially. bespoke system, tailored to the way
we used to work. as the system was developed in house as a when it has
never been a 'business system' of the university and hence is not
supported by our IT services. the local IT support was not deemed
necessary when the service was divided up...

Note that we a just about to roll our e-prints as an IR (currently we
just have publication info on the system).

So we are slowly moving to replace parts with 'industry standard'
elements whilst trying to keep things well integrated... RMAS would give
us the oppotrtunity to accelerate this process by about 2 years.

some of the above it 'warts and all' so I'd appreciate a Chatham House
approach is you need to use any of the snippets. thanks.

all the best
Simon

On 11/10/2010 15:39, [redacted]cted wrote:
>
> Dear Simon,
>
>
> The recent JISC report on the RMAS project has prompted some thought
> here at King's about research data management systems (i.e. systems
> used to manage the university's externally-funded research project
> portfolio), and I wondered if you would mind sharing some information
> about your current systems with me, in confidence?
>
>   * Is your current research data management system in-house or
>   externally provided?
>   * If it is externally provided, what is the system and who
>   supplies and maintains it?
>   * If it is externally provided, what is the cost of any annual

Re Research data management systems (with header cleaned up)

>   licence fees to use it?
>   * If it is internally provided, what level of FTE is necessary to
>   support it?
>   * Does the system handle pre- and post-award activity?
>   * Does the system incorporate the university's system for
>   approving new research proposals, or is that handled separately?
>   * Does it carry live financial data on research accounts, or is
>   there are separate finance system?
>   * Does your current system store documents as well as data?
>   * What are the _major_ benefits of your current system, if any?
>   * What are the _major_ drawback of your current system, if any?
>
> Many thanks,
>
> [redacted]ed
>
> The information contained in this e-mail or attachment is confidential
> to the addressee and may contain information that is privileged or
> confidential, the disclosure, distribution or copying of which may be
> prohibited by law.
>
> If you are not the intended recipient (or responsible for delivery of
> this message to the intended recipient), you must not use, copy,
> distribute or disclose this e-mail or any part of its contents or take
> any action in reliance on it. If you have received this e-mail in
> error, please notify the sender by replying to this message and delete
> your copy. All reasonable precautions have been taken to ensure no
> viruses are present in this e-mail. King's College London cannot
> accept responsibility for loss or damage arising from the use of this
> e-mail or attachments and recommend that you subject these to your own
> virus checking procedures prior to use.
>

--
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and Director, ARMA
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Research Support Systems

5 Year Plan: 2009-2014

University of Sunderland

2009: Current Situation

Most of the RSSs are predicated on the RDISLIVE Oracle database, which has been built up over the past 13 years, and is perhaps due an overhaul. It has the following components:

Server Hardware (all housed in the Murray Library Server room).
Database Server [157.228.98.203]
RDISLIVE: Windows Server 2003 64bit; Oracle 11g 64bit (2.30 Gb). RDISLIVE is OK (is 4 years old in Aug 2009)

Development Server
RDISDEV: Windows Server 2003 32bit; Oracle 11g 32 bit; IIS 4.0; ASP.NET 1.1. RDISDEV (is 4 years old in Aug 2009)

Website Server [157.228.32.128]
GRSHUB: Windows Server 2000 32 bit; IIS 4.0; Cold Fusion 4.0; ASP.NET 1.1; www.grs.sund.ac.uk (1.1 Gb)
GRSHUB PAWS Projects Files (7 years: 16.295 files: 3.62 Gb)
P20 MS-Access (2000) PGR database front end (20 Mb)
BSRG Website & Data (43 Mb)
RDISHUB is full (and 7 years old in Feb 2009) and should be migrated to (eg) RDISDEV

It is understood that the RDISLIVE oracle instance and the GRSHUB Inetpub and Projects files are backed up by SLS on a daily basis.

The RDISLIVE Oracle instance supports a number of web based systems:

GRSdb (staff data underpinning RSSs)
Web front (CF) end allows viewing and updating

fECAF (Full Economic Costing Approval System) – used to approve bids for external (project) funding of all types (→ pFact)
Driven by GRSdb (Employee) information in RDISLIVE
Imports data from Chris21 on a monthly basis (manual process).
Links to PAWS
To be replaced by pFact (due to be ready March 2009)

PAWS (Project Administration Workflow System) – used to track pre- and post-award project bids and awards (links to fECAF)
Driven by GRSdb (Employee) information in RDISLIVE
Imports data from Oracle Financial on a daily basis (automated process).

Publications & Seminars (publication references)
Driven by GRSdb (Employee) information in RDISLIVE
Will need to work on links and integration with the proposed Institutional (Open Access) Repository.

P20 (→ SITS)
Driven by GRSdb (Employee) information in RDISLIVE
Used to manage Post Graduate Research (PGR) Students. Will migrate to SITS when SITS can properly support PGRs (expected April 2009)

RAE mini websites and GRS web pages (Terminal 4)
(www.sunderland.ac.uk/research)
Driven by GRSdb (Employee) information in RDISLIVE

Other RSSs, not directly built on GRSdb

Research Professional (www.researchresearch.com)
Externally hosted web based research news and funding opportunity system.
New system (Research Professional) being rolled out early 2009.

Research Professional Benchmarking Tool
(www.researchresearch.com)
Externally hosted web based and (more functional) local database: research benchmarking and analysis.

UKRO (www.ukro.ac.uk)
Externally hosted web based EU research news and funding opportunity system.

Graduate Research Support local hardware
8 PCs (staff of 8) for servicing and utilising the above and other University systems. These will be 5 years old in March 2009 and should be replaced.

Submission Systems (incl. Je-S, EAA, eGAP, FP7)

Plans for the next 5 years.

2009
RSS1: PCs in research support (GRS) office need replacing urgently.

RSS2: GRSHUB hosted services need to be migrated to new hardware (RDISDEV would be fine)

RSS3: SITS to be modified to deal with PGR students (ITS&GRS working on this) GRS to train Faculty research adminstrators. P20 to be migrated to SITS (ITS&GRS working on this)

RSS4: Research Professional new version to be rolled out (GRS working on this)

RSS5: On-line Ethics Approval

RSS6: Institutional Repository for:
Theses (includes eTheses project)
Research and related Outputs

RSS7: On-line enrolment for PGR students

2010
RSS8: Full use of Sunspace for PGR programmes

By 2014

RSS9: Integrated Research Support System:
a) Funding News / Policy
b) Proposal Funding Opportunities
c) Staff information (incl Chris21 links)
d) Staff profiles and CVs
e) Individual / Centre / Beacon / University web pages
f) Internal approval system (risk, peer review, ethics etc)
g) Costing system
h) Submission system
i) Proposal Tracking System
j) Contract negotiation
k) Project Management (incl Oracle Financials links)
l) Project Tracking (incl, PGR, Outputs, Staff, Records Management etc links)
m) Research Outputs (incl Project, Institutional Repository and Intellectual Property links and Bibliographic information)
n) Management Information

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Outline Business Cases:
1. *Proposed Development Benefits*
2. *Timescale*
3. *Costs*
4. *Risks*

RSS1: PC replacement.
1. Enables r (GRS) staff to operate current suite of services efficiently
2. Feb 2009
3. £4K (plus installation costs?)
4. unable to use current software unless the issue is addressed

RSS2: Move GRSHUB hosted services
1. Enables more reliable service provision (for example PAWS spending profiles often fail to import due to lack of space
2. Mar 2009
3. ITS staff time to re-designate GRSHUB server
4. Unreliable services with increased downtime

RSS3: P20 → SITS Migration
1. All students administered on a single database, better HESA and related returns. Also need developments for Home Office Points Based System compliance.
2. Apr 2009
3. SITS upgrade already budgeted for, ITS staff time, GRS staff time, possibly some data entry costs
4. Running two parallel systems is inefficient, and current setup means that SITS does not hold all student data. If no PBS compliance then no overseas students.

RSS4: Research Professional
1. Existing system being upgraded, provides research information required for proposals for funding
2. May 2009
3. Licence paid for, by ongoing annual subscription. GRS staff time, retraining for research administrators and academic staff
4. If not undertaken research income will probably drop further

RSS5: On-line Ethics Approval
1. Can then be linked to research proposal approvals and allows for a greater volume to assessed
2. Jul 2009
3. Currently being developed by ITS, needs work for integration
4. Improved audit trail, integration with other on-line systems

RSS6: Institutional Repository

1. required for eTheses, will supplement Docushare and allow for showcasing research
2. Jul 2009
3. Business case being developed for BSSG
4. If not implemented will adversely effect Citation Rates of our research outputs (compared to others in IRs)

RSS7: On-line Enrolment for PGR Students

1. Expected by today's students
2. (late?) 2009
3. Needs to be scoped by ITS
4. Potential loss of students as they can enrol elsewhere

RSS8: Full use of Sunspace

1. Expected by students (and QAA)
2. On-going (2010)
3. GRS staff need support (training & development) from Sunspace team
4. Needed to better support PT students in particular

RSS9: Integrated Research Support System:

1. All research information in one place. More efficient
2. By 2014
3. Needs a detailed business plan, but progress to date is:
    a. Research Professional (in hand) RSS4
    b. Research Professional (in hand) RSS4
    c. OK but needs a direct link/view to Chris21
    d. OK but needs more flexible output options
    e. Prototypes, but need to be structured and developed
    f. To be rebuilt on pFact and RSS5
    g. pFact (to replace fECAF) needs to be integrated
    h. need to be developed – for each funder
    i. internal (PAWS), external; to be developed (by funder)
    j. ok, in PAWS
    k. ok, needs RSS2 to increase reliability, and need rework
    l. needs much development
    m. needs redevelopment and linking and citation analysis
    n. needs redevelopment and reworking

    Overall much rework, some new developments, and crucially linkages between GRS, pFact, Oracle Financials, Chris21, Institutional Repository, Research Professional, IP database, Citation Analysis, and potentially other systems
4. Without this GRS will be unable to provide the high level of support that the new Beacon Research Areas and Research Centres would reasonably expect to receive.

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Full Economic Costing

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Contents

- Background (why bespoke)
- fECAF Process
- Future Plans
- Experiences so far
- Demonstration
- Q & A

Why bespoke

Jan 2005

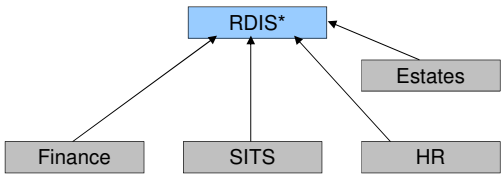
- GRS & BD → RDIS* (now separate!)
- Current GrAppl system (since 1997)
- Paper based USE (consultancy)
- 5 system demos BUFDG, London
  - InfoEd / BaumHart; not integrated
- GrAppl + USE → fECAF

Why bespoke?

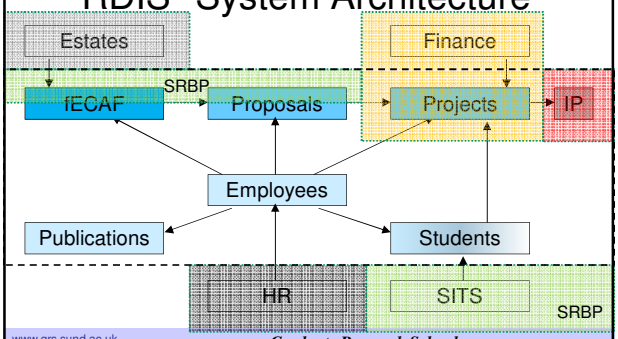
Integration…

- Academic Strategy: L&T, R, RO (&WP)
- RDIS*
- fECAF
- Work Flow, not just costing, PAWS

Systems Architecture



RDIS* System Architecture



fECAF Process

- All bids for external funding*
- Completed by PI (or admin)
- Approved (or otherwise) by Academic Area
- Approved (or otherwise) by RDIS (GRS/SRBP)
- PAWS entry creation/link
- Submission of bid for external funding
- Result
- PAWS Project Monitoring (Project Finance)

fECA Form

- General Info
- Costs
- Staffing
- Risk
- Proposal

- Detail on the demo…

Near Future Plans

- PAWS creation*
- Infrastructure Technicians
- Studentship info [currently DI fudge]*
- KTP support
- Facilities [P&F to identify]
- Interactive/Tailored Budget Profile
- Better reporting
- Multi-School/Interactive totals page
- On-line Training
- Off-site speed

Future Plans

- Direct HR Lookup
- Direct SITS Lookup
- L&T costing
- PI workload reporting
- Je-S Direct Submission
- Archiving

Experiences so far

- fEC/fECAF User Group (academic / admin)
- PI Training
- Approver Training
- Circulars / emails / edicts
  - But still bedding in… even after 2 years!
- University Executive buy-in
- Service reorg: RDIS → GRS/SRBP/Legal
- Academic reorg: Schools/AAs → Faculty/Depts

Experiences so far

- Browser issues – IE only (but mac friendly)
- Special cases (interactive totals)
- Academic Area buy in – governance
- Consultancy culture change
- Integrated approach to external activities

Questions

Demo

- Development Test Site:
- http://rdistest/rdis/fecaf/
- Demonstration Site:
  http://www.rdisdev.sund.ac.uk/fecaf/
- Or LIVE from the home page of GRS On-line

http://www.grs.sund.ac.uk/grssite/grshome.cfm

Questions

simon.kerridge@sunderland.ac.uk

0191 515 2285

The End




National Research Council
Institute for Research on Population and Social Policies

Integrating Research Information: CRIS + OA Programme 20110306

Rome Workshop 23-24 May 2011 Keith Jeffery, Daniela Luzi, Anne Asserson

20110522	Dinner (self-pay)	
20110523		
0900-0930	OPENING SESSION	
	Review of Workshop 1	Daniela Luzi
	Purpose of Workshop 2	Keith Jeffery
0930-1030	KEYNOTE	
1030-1100	BREAK	
1100-1230	ARCHITECTURE REQUIREMENTS	
	e-Infrastructure /e-science requirements of researchers	Brian Matthews
	Research evaluation requirements	Jose Manuel Barrueco Cruz
	Research manager and administrator requirements	Simon Kerridge
	Discussion	
1230-1330	LUNCH	
1330-1500	STATE OF THE ART	
	Architecture based on semantic web	Sally Rumsey
	Architecture based on Repositories	Paolo Manghi
	Architecture based on CRIS	Keith Jeffery
	Discussion	
1500-1530	BREAK	
1530-1700	METADATA SCHEMES	
	Librarian-Based: IFLA/FRBR/MARC	Istituto Centrale per il Catalogo Unico (ICCU)
	Web-based: OAI / ORE / DC / MODS / METS	Ed Simons
	Database-based: CERIF	Brigitte Joerg
	Discussion	
1700-1800	REAL WORLD EXAMPLES ARCHITECTURE INTEGRATION	
	Norway	Anne Asserson
	Flanders	?
	UK	Simon Kerridge
	Cilea	Susanna Mornati
	Cineca	Fabrizio Luglio
2000-2230	DINNER (self-pay)	
20110524		
0900-1030	Preparation of White Paper 2 and way forward	
1030-1100	BREAK	
1100-1230	Finalising white paper and planning next steps	
1230-1400	LUNCH	

RAE Software – report from ARMA workshop 13th Jan 2005

A small (by invitation only) side workshop, focussing specifically on the (being developed by HEFCE) **software** for the RAE2008 exercise, was held.

The session was given by Jennifer Crook (RAE Systems Developer) and Gareth Edwards (Database Manager) from HEFCE, and chaired by Simon Kerridge (University of Sunderland). All the invited attendees were in attendance:
Benaddi, Omar: University of Leeds
Brocklehurst, Anne: University of Gloucestershire
Crawford, Angela: Loughborough University
Fowler, Carolyn: Durham University
Fox, Yvonne: Lancaster University
Holt, Tamsin: Sheffield Hallam University
Jefferies, Kate: UWIC
Manning-Press, Sarah: University of Essex
Mera Nelson, Claire: Trinity College of Music
Quinn, Martin: University of Plymouth
Taylor, Sarah: Oxford Brookes University
Warnock, Betty: Kingston University
Wilson, Ian: University of Nottingham

Jennifer and Gareth outlined the technology to be used: Web-based – database (SQL Server) held at HEFCE and accessed / updated / submitted via web interface (.NET)
They then showed the group a mock up of the ideas for the system so far, the functionality being very similar to the 2001 system, with there being menu structures for: Passwords, Data Entry, Import, Export, Delete, Print, Validate, Reports, Administration, Submit, and Logout.

Notes

There is a user steering group which has fed into the requirements so far, JC indicated that she would distribute the membership of this group to those present.
The final version of the RAE2008 software should be available in Nov 2006 with a prototype available in summer 2006.
The XML schemas will be published with the guidance for submission in summer 2005.
The main areas for comment from the group were that the system should be as flexible as possible, for example allowing more than 4 publications to be entered and then selected those to be submitted; similarly allowing a number of staff to be entered and then selected subsets for reporting on (in effect to allow what-if scenarios for HEIs before submission).
There was also mention of a possible link to on-line versions of publications in order to reduce the burden of having to send in publications during the assessment by the panels.
There are some areas that have not yet been addressed, such as joint submissions.

Je-S: A Research Organisation's View

Je-S Regional Seminars
January/February 2007

Je-S will be the main interface between the Research Councils and the User community (75% of which is the University Sector).

It will not matter whether you are centrally organised or devolved to faculties/schools/departments or whether you are an administrator, PI, supervisor of students or involved in Peer review activity, it will have an impact on you all in some way or other.

These changes are going to affect your organisation in the next 12 months – and I intend to share some of my thoughts on the changes with you now.

[Strathclyde] But I'll not go into too much detail as Alison Mitchell will expand on the effects of Je-S on institutional policy and process. I'll try to comment on the important issues that have been raised so far.

I would point out that the Je-S Monthly Bulletin is 1-2 pages and well worth the 2 mins a month it takes to keep up to date with what is happening.

Please stop me any any time for questions or comments

Don't forget though that Glasgow is the most polite city in the UK, so please no heckling from the incomers!

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Introduction

- Je-S
- Future Developments: RO Wishes
- ROCG News

We'll cover these three areas

[Strathclyde only:] and I won't take long… honest

Je-S

- PGR data capture
  - May help to capture data earlier
- Data uploading
- Peer review

Regarding PGR data capture, there are three main streams to consider:

1. Student data capture – much the same as for EPSRC and MRC, each RC will determine it's own "go live" date. Should help data capture and quality, given consistency across RCs, but will need additional attention from ROs. Are your processes organised, centrally, or departmentally? We are supposed to enter data within 30 days of student commencement – this informs the FES that is created on Je-S so it is important.
2. The completion of student proposals awarded by competition or quota will be submitted through Je-S – just like an application for Research Grant.
3. Nomination Forms – student inputs data and validated by host institution. Depending on how this is implemented it could create an administrative burden (more students apply for places than host institutions have available, they can also apply to many individual organisations). This data will have to be managed and culled as appropriate.

NOTE Student accounts not "validated" by RO until submission of proposal. Should encourage students to use name on passport (need a "known as" field?) to aid validation

[Each presenter can add their own institutional experiences.]

Data (cost) uploading: there's continued interest, but no one is yet approved / live (as far as I know). UCL and Leeds working on it… others (inc Glasgow) are also starting

Peer Review – this will also have an impact on staff within HEI's and we need to communicate widely that this change is coming. There have been some efforts to gather a number of peer reviewers from the sector to review the developments, but there seems to be a bit of apathy in the system.

Continuing need for strong communication within the institution, to ensure awareness and maximum benefits.

Je-S Planned Developments

- 2007/8
  - Pre-Award Grant Services
  - Post-Award Grant Services
  - Post-Award Studentship Services
- 2008/9
  - Je-S Validation
  - MRC Integration
- User Satisfaction Survey

Je-S Projects planned for April 2007 - March 2008:

Pre-Award Grant Services

To cover remaining pre-award transaction (incl. proposal status tracker) and re-vamping of Je-S GUI in line with outcome of "Vision for Je-S" consultation. To include peer review functionality not delivered by Je-S (+ eVolumes, Peer review panel scores). Will include MRC-specific functionality. Plus announcement requirements.

Post-Award Grant Services

To address all remaining post-award transactions. Maintenance and reporting requirements – grants. Eg slippage of start / start certificate. Annual statements

Post-Award Studentship Services

To address remaining post-award transactions (mainly turnaround documents). Maintenance and reporting requirements - studentships. Plus remaining AHRC proposal requirements

Je-S Projects planned for April 2008 – March 2009:

Je-S Validation

Enhanced validation common to Je-S and back-office systems. Delivery phased to coincide with the implementation of the SSC (Shared Service Centre)

MRC Integration

To enable MRC to use Je-S services. Linked to Shared Service project

And probably over this period there will be another User Satisfaction Survey of the Je-S system and/or the Je-S Helpdesk

Future Developments: RO Wishes

- Je-S
  - The need to enable different admin role profiles
- Single Service Centre (SSC)
  - Further harmonisation policies and processes
- Next Generation Back Office System (NGBO)
  - Improved reporting capabilities
  - Cross-RC functionality
  - Linkage to Je-S and to RO systems

This page is about what we might wish to see as a consequence of the SSC and NGBO. These are a few thoughts, but would wish to encourage the audience / community to contribute their thoughts into the process.

Planned for resource available – Bespoke Dynamic Pool Configuration (ie submitter pools for pre /post award for departments / centre.. Etc)

Eligibility for RO Registration (mainly of interest to non HEIs as all? HEIs already registered)

As Je-S is expanding in its coverage, it's becoming more important to have differentiation between the admin roles, for example between grants and studentships, as well as pre- and post-award. As the functionality widens the ability to have differing set-ups within the organisation is paramount. Without this, the programme will become too burdensome for individuals as they receive emails regarding functionality with which they have no involvement (Research grant applications; studentships etc.).

There's also the desire to be able to use Je-S to implement internal review and control processes, by controlling a relationship between an internal deadline and the RC's deadline (c.f. RCUK consultation on peer review, re improving quality).

Both SSC and NGBO will take some time to become operational.

Although NGBO is an RC system, and we'll still apply via Je-S, it should provide back-office consistency, the ability to integrate with institutional systems, and better and consistent cross-RC reporting; e.g. institutional profiles; direct submission; application progress tracking; standard award letters; electronic award letters and payment profiles; electronic payment and reconciliation, etc.

The main RO benefits will be harmonised processes and policies, that are impossible to deliver in the current mixed-system environment.

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RO Reps on RC Groups

- Je-S Management Board
  - Simon Kerridge (Sunderland)
- Studentship Data Capture
  - Mark Burgess (UCL)
- Joint Grants Processing Function Steering Group
  - Ian Carter (Liverpool)
- Research Organisation Consultation Group (ROCG)
  - Ian Carter (Liverpool), Gill Clisham (NIESR), Sue Cooper (UCL), Yvonne Fox (Lancaster), Simon Kerridge (Sunderland), David Langley (Imperial), Ian McCormick (UEA), Rob Sykes (Sheffield), Hazel Wallis (Bath), John Witcombe (Bangor)

These are the current reps on RC groups. Contact them with comments, etc.

ROCG News

- QA
  - Agreement reached between FCs and RCs on way forward
  - Gareth MacDonald to be RCUK Head of Assurance
- Schemes with Non-UK partners
  - DFID scheme with ESRC and MRC agreed to be an exception
- Pay Modernisation
  - Considering a template to collect info on estimated additional costs
- Resource Justification

QA: this involves a combination of updating the Dipstick process, and the assurance on the implementation of TRAC. Gareth will be announcing details in due course. Dipstick will be standardised, and will also be looking at pre-award (e.g. robustness of DA cost estimation). TRAC QA is currently being developed for piloting.

Non-UK schemes: this is an example of an issue that occurred, that has now been resolved, for this particular scheme. The non-UK costs are to be funded on a 100% basis, so that the UK partner isn't effectively subject to a reduced level of funding for its costs.

Pay Modernisation: RCs agreed to meet the additional costs of applications made after 10/3/05. We need to provide suitable evidence of these costs, either at the end of grant reconciliation, or sooner. Doing so sooner would help the RCs to understand the potential total cost to them, and may also facilitate earlier payment. We are in discussion about a way to estimate the costs, that is acceptable to the RCs, and not overly burdensome on ROs. The request for information is likely to be made in February.

Some early indications (Sunderland) show that the extra cash is about 1-3% on the headline figure of a project, and once you have the system set up it is about 15-30 mins work per project… if we have to do this… it may of course just be a block grant like the initial extra fEC money…

Justification: RCs noted the continuing need to justify resources properly. Staff in Other DA will soon have to be detailed and justified.

Other FEC: facilities costing (perhaps ask the audience how many are already charging out some facilities).

And that if you have any burning issues then the ROCG Chair (or any other member that you happen to know) is the best way to have these raised with the RCs.

Je-S: A Research Organisation's View

Je-S Regional Seminars
January/February 2007

What else?

Convert to PDF before upload so that you know what the reviewers will see!

Direct Submission – better validation that just spreadsheet upload (eg HESA)

Monthly Je-S Bulletin

Use this as an opportunity to renew and refresh your PGR and related business processes. Don't just collect the data because you have to for the RCs… do it because it *will* also help you if you do it properly!

Anyway now I'll hand over to **Alison Mitchell**

Manager

Collaborative and Doctoral Training Accounts

University of Strathclyde

JISC

28 January 2011

Deborah Welland
Assistant Director, Academic Services (BISS)
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University of Exeter
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Chairman
Professor Sir Timothy O'Shea

Deputy Chairman
Professor David Baker

Executive Secretary
Dr Malcolm Read OBE

Our Ref:
Short Name:

Direct line +44 (0) 117 9317251
email j.hutcheon@jisc.ac.uk

Dear Ms Welland

UNIVERSITY MODERNISATION FUND
RMAS
Funding Award

1. I am writing to offer you funding for the above project. This funding is administered by JISC on behalf of the Higher Education Funding Council for England (HEFCE).

2. The JISC has agreed to support the 13 month project from February 2011 to March 2012 at a total cost of £1,100,000. During the current Financial Year (2010–2011) funding of £45,000 will be paid to the University of Exeter, as the lead institution. During the 2011/12 Financial Year funding of £1,055,000 will be paid in monthly instalments from April 2011 to March 2012. Funding will be paid via HEFCE on, or about the 20th of the month. Please see the attached payment schedule for further information.

3. Institutions should be aware that no additional funding will be available during the period of this grant, therefore all milestones and deliverables must be met through the agreed recurrent element of the grant.

Grant Conditions

4. The JISC makes this grant available for the project on the condition that it is used only for the purpose of implementing the agreed proposal.

5. Please see the Terms and Conditions of Grant attached as an annex to this letter. This also draws attention to the Project Management Guidelines available electronically at http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx. Please read both of these documents carefully. The lead institution and its partners must adhere to the Terms and Conditions of Grant and the Project Management Guidelines. The Guidelines will be updated from time to time, and the lead institution will be notified of any major changes. It is the responsibility of the lead institution to inform its project partners about the above documents and any notified updates.

6. Institutions should be aware that the recent government announcement of £6.2bn savings included a freeze on all government marketing and advertising for the rest of this financial year 2010-11. HEFCE-funded projects should exercise care that their activities do not infringe the 'spirit' of the guidelines: for instance 'above the line' work such as sponsorship, paid for advertising/advertorials should be curtailed.

Intellectual Property Rights

7. It is a condition of the grant that the Intellectual Property Rights in the project outputs, where appropriate and information provided by you in the course of preparing the final report and in all other outputs shall be assigned by you in perpetuity to HEFCE.

8. Notwithstanding the above, JISC, on behalf of HEFCE, grants you a non exclusive royalty-free licence to reproduce any part of or all the outputs from the project for the purpose of publishing research findings, or for using the outputs for research or teaching purposes, in accordance with normal scholarly practice. A condition of granting such permission shall always be that any such dissemination should be carried out in accordance with JISC's Open Access Policy and/or JISC's Open Source Software Policy (http://www.jisc.ac.uk/fundingopportunities/opensourcepolicy.aspx) wherever possible.

9. You and your partners must ensure that outputs do not infringe the copyright or any other Intellectual Property Right existing at the time the project is completed (including, but not limited to, database rights, moral rights, performers rights, unregistered or registered trade marks, patents, or registered designs) of any third party. Where necessary, copyright and other Intellectual Property Rights should be cleared before digitisation or incorporation into outputs begins. You must also ensure that the outputs are not defamatory or illegal in United Kingdom law, and in particular should ensure that the outputs do not infringe laws relating to data protection, pornography, contempt of court or prevention of terrorism. You agree to ensure that all moral rights in all the outputs resulting from this contract are waived.

Consortium Agreement

10. If more than one party is involved in a project, it is essential there be a consortium agreement. This can vary with the size and the nature of the consortium, from informal to legal contracts and should be tailored to reflect the project's needs. This should be submitted to the Programme Manager within three months of the start of the project. Further information is available in the Project Management Guidelines (http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx) regarding the minimum requirements for a consortium agreement.

Reporting and Audit

11. The project will be overseen by the JISC Innovation Group based in the JISC London office. John Chapman is the Programme Manager for the project and will be your first point of contact should you have any queries (j.chapman@jisc.ac.uk; tel 0203 006 6057).

12. Every project must have a formal, written Project Plan which must follow the outline provided in the Project Management Guidelines. This should be submitted to the Programme Manager within one month of the start of the project, by 1 March 2011. You should notify the Programme Manager as each milestone is achieved, and provide associated deliverables. Any substantial revisions to the Project Plan or any changes to these arrangements generally will need to be agreed formally with the Programme Manager.

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13. A framework for reporting has been put in place and is included in the Project Management Guidelines. You will be required to provide two reports each academic year (for the periods to the end of January and July respectively, or parts thereof) detailing activity during the previous period. A draft version of the final report is due one month before the end of the project. The final version will be due on the project end date along with a completion report. The final report should be submitted in both PDF and HTML format. Further information and templates for reporting are available in the Project Management Guidelines (http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx).

14. Institutions are expected to provide contact and access to the JISC Executive at any reasonable time, and to make a serious commitment to disseminating and sharing learning from the project throughout the community. This may involve attending programme meetings, participating in events which JISC intends to promote in support of the initiative and contributing to programme evaluation activities.

15. Please let me know if your institution is able to accept funding on the above basis by arranging for a competent representative of the institution to return to me one completed and signed copy of this letter as soon as possible. You should be aware that JISC is not in a position to commence monthly project grant payments until one signed copy of this letter is received from your institution.

Yours sincerely



Joseph Hutcheon
Policy Officer
JISC Executive

cc John Chapman
Finance Officer, University of Exeter

I agree to the terms and conditions of the grant as detailed in the grant letter dated 28 January 2011

Signed on behalf of the University of Exeter:

Name:

Job Title:

Date:

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Schedule

HEFCE UNIVERSITY MODERNISATION FUND

RMAS

Funding Arrangements

JISC funds which will be paid in the 2010/11 Financial Year in the following instalments:

redacted

Total **£45,000**

JISC funds which will be paid in the 2011/12 Financial Year in the following instalments:

redacted

Total **£1,055,000**

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FW: FW: ROCG representation on JGP steering group

Simon Kerridge

Sent: 04 April 2011 16:43
To: Simon Kerridge

-----Original Message-----
From: Simon Kerridge [mailto:Simon.Kerridge@sunderland.ac.uk]
Sent: 30 July 2007 09:09
To: Ann Durniat
Cc: Carter, Ian; Paul Russell
Subject: Re: FW: ROCG representation on JGP steering group

Had an email discussion (well a couple of quick notes!) and we think
that it is best if
Ian and I can somehow share the load of being the RO Rep.
We are both aware of the importance of the role, but also the potential
impact on our
diaries that this would have.
Paul... is there some sort of sensible split that can be achieved...
would it be sensible
to (for example) alternate... this would give perhaps a loss of
continuity... but also might
give you two people for the price of one so to speak...?

Please feel free to give me a ring if that will help!

Simon
PS Ian is away for 3 weeks

Ann Durniat wrote:
> Ian/Simon
> To see Paul's email below. I did discuss this briefly with paul and I
> think he is looking for a commitment of around 1 day a month (meeting
> in swindon) from the RO rep. plus some reading/responding of documents.
> So really quite a lot.
> As you will see the emphasis is on both Je-S functionality for NGBO
> and getting harmonisation agreement across councils in preparation for
> NGBO. I think Paul envisages that the RO rep might be able to assist
> in any such RC discussions by providing the preferred RO option.
> Can you let me know what you both think on this - perhaps it might be
> possible to share the load?
> Many thanks
> Ann
>
> ---
> *From:* Paul Russell
> *Sent:* 16 July 2007 08:41
> *To:* Ann Durniat
> *Subject:* ROCG representation on JGP steering group
>
> Hi Ann,
>
> When I raised this at the recent RACG/ROCG meeting I think it was
> agreed that we would take this issue forward after the meeting. Given
> JGP SG now has responsibility for the Je-S dev programme and will also
> shortly move into the implementation phase I think its important that
> the ROs are represented on the steering group. How should we take this
> forward? Ideally I'd like some to start attending meetings from
> September and just want to be able to report on Thursday that this is
> in hand.
>

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> Paul Russell
> Grants Workstream Project Manager
> RCUK SSC Project
> Tel: 01793 301190
> Email: Paul.Russell@rcuk.ac.uk
>
>
> _____
>
> A disclaimer applies to all e-mails sent from the Science and
> Technology Facilities Council.
>
> For full text see http://www.scitech.ac.uk/edm.aspx
> _____
> This email has been scanned by the MessageLabs Email Security System.
> For more information please visit http://www.messagelabs.com/email
> _____

--

Simon Kerridge
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Secretary
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Repositories and CRIS: working smartly together. Conference and Software Exhibition

19th July 2011

Nottingham University Park Campus

Building on the successful event 'Learning how to play nicely: Repositories and CRIS' which was orgainsed by the Welsh Repository Network in 2010, this event will look at the interaction of Repositories and CRIS (Current Research Information Systems). This event will also disseminate the findings of the RePOSIT project.

RSP has also invited leading suppliers of Repository and CRIS software who will be taking part in an exhibition which will be held throughout the day in the refreshments area.

This event is offered **free of charge** and will be open to delegates outside the UK.

Programme

Time	Description
10:00	Registration and Coffee
10:00	Software Exhibition Opens – *Avedas; EPrints; EQUELLA; ExLibris; Open Repository; Sherpa Services; Symplectic Additional Exhibitors to be confirmed*
10:30	Welcome – *Emily Nimmo*
10:40	Keynote – *Simon Kerridge, Association of Research Managers and Administrators*
11:15	Tea and Coffee
11:30	RePOSIT project findings and advocacy model – *Jill Evans, University of Exeter Sarah Molloy,Queen Mary, University of London Ellie James, Keele University Jodie Double,University of Leeds Lizzie Dipple, Sympectic Ltd Nicola Cockarill,University of Plymouth Rachel Proudfoot, White Rose Consortium*
12:30	Break out Session
13:00	Lunch
14:00	The Interaction between CRIS Systems and Open Access Repositories - Euro CRIS – *Mark Cox, EuroCris*
14:30	An Alternative Approach – *Valerie McCutcheon, Research and Enterprise, University of Glasgow*
15:00	Eprints update – *Dave Tarrant and Patrick McSweeney*
15:20	Coffee and Parallel Sessions
15:20	EPrints in your environment and questions – *Dave Tarrant and Patrick McSweeney*
15:20	'Cafe Society' discussion in exhibition area – *All exhibitors*
16:00	Panel Q and A – *All Speakers*
16:15	Close - Software Exhibition Closes

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Research Outcomes

Page 1

Managing Research Outcomes and Impact

- Home
- About Research Outcomes

ERA70

Reporting from Institutional Systems Workshop – Report and Virtual Goody Bag

March 8, 2011

Many thanks to everyone who attended the workshop in Glasgow last Friday and contributed to the lively exchange. It was great to see so many colleagues travelling from near and far to take part and share their experiences.

The workshop consisted of a mix of presentations and discussions. The following report outlines some of the salient points raised:

Workshop Report

RCUK new output fields



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We were lucky enough to receive presentations from several speakers on their own experiences of reporting

Laura Tyler on Glasgow's Mini REF
William Nixon on Enlighten at Glasgow
Helen Muir on QMU outputs collection process
Simon Kerridge on Sunderland's outputs collection, and IRIOS & RMAS projects
A virtual presentation from Darren Hunter of RCUK RCUK slide show with accompanying sound file at http://www.gla.ac.uk/r-e/pub/specialFops/enquire/feb2011workshop.wma

If you have anything to add to the report, please don't hesitate to get in touch using the comment button below or by email to aimee.cook@glasgow.ac.uk or valerie.mccutcheon@glasgow.ac.uk
Once again, thanks to everyone who helped to make this a success.

Leave a Comment » | Research Outcomes Workshops | Tagged: #inf11, #rcukworkshop, #reportworkshop, ePrints, final report, HEBCIS, impact, JISC, library, metrics, outcome, output, publication, RCUK, REF, repository, research system | Permalink
Posted by Aimee

Event – Reporting from Institutional Systems – 28th February 2011

February 8, 2011

Register your interest now for this forthcoming event at the University of Glasgow. The event will include an overview of ePrints functionality that we have adapted for impact and output reporting using

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rmas research management and administration system

www.exeter.ac.uk/research/rmas

It is estimated that an end-to-end RMAS could produce savings of between 10% and 20% of staff time. This would be achieved by streamlining processes and by removing inefficiencies, duplicate data keying and multiple data sets. In addition, an effective system would free up research active staff by providing an efficient tool to develop, monitor and progress awards.[1]

The RMAS project is being led by the University of Exeter in partnership with the Universities of Kent and Sunderland.

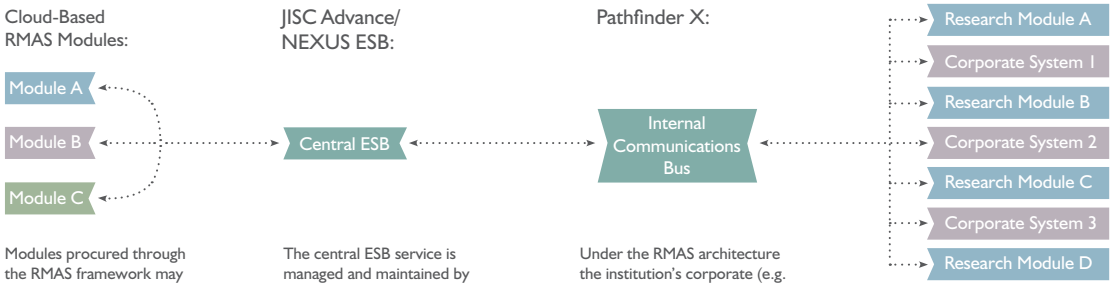
By August 2012 the Research Management and Administration System (RMAS) project will:

1. Create a modular procurement framework consisting of 'best of breed' systems which embody the best processes for research management and administration, whilst maintaining the capability (through open systems architecture) to interface with a University's existing research and corporate systems.
2. Develop a RMAS messaging standard (based around CERIF XML[2]) designed to allow connectors to be created to exchange information both within and between institutions.
3. Develop integration models to integrate RMAS modules with existing local research and corporate systems using standard approaches which can be utilised by other HEIs.
4. Work with EuroCRIS experts to increase the adoption rate and usability of CERIF in research administration.

[1]RMAS Feasibility Study Part 2 (Dec 2009)

[2]Common European Research Information Format, euroCRIS 2008 (www.eurocris.org)

RMAS Architecture:



Modules procured through the RMAS framework may be hosted externally (e.g. by the supplier) or within the procuring authority's infrastructure.

The central ESB service is managed and maintained by Nexus. It is envisaged that ultimately RMAS modules would be cloud hosted and routed to HEIs via the Central ESB.

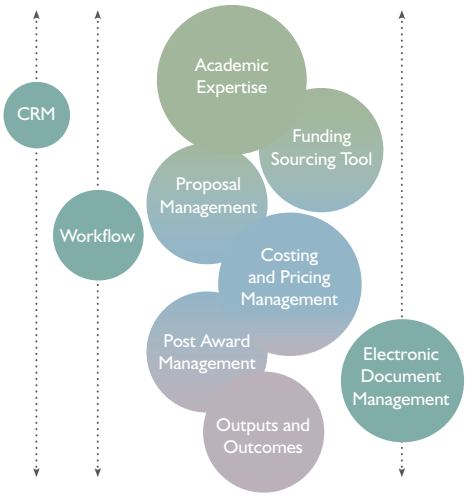
Under the RMAS architecture the institution's corporate (e.g. Finance, HR, Students) and research administration systems (either existing or new RMAS modules) are integrated using a form of communications bus. Messages and data can also then be sent to other institutions via the local communications bus and Central ESB.

During the lifetime of the framework (Feb 2012 to Feb 2016) suppliers will work with the framework managers and users to ensure that their systems are CERIF compliant and that they adopt the RMAS standard for communicating between modules.

The modular RMAS will provide:

- specific functional processes;
- the ability to pick and mix models to address specific institutional requirements;
- workflow to link activities, track status and provide alerts;
- interfaces with numerous other internal corporate systems; and
- direct data transfer to and from major external sponsors where available.

RMAS Procurement Framework Modules:



CRM, Workflow and Electronic Document Management may be integral to RMAS modules or separate 'overarching' systems which work across RMAS modules.

The RMAS project is part of the HEFCE-funded University Modernisation Fund Shared Services and Cloud Programme. The programme is managed by JISC and it aims to help universities and colleges deliver better efficiency and value for money through the development of shared services.

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JISC

OCRIS
Online Catalogue and Repository Interoperability Study

Online Catalogue and Repository Interoperability Study (OCRIS)

Final Report

Duncan Birrell, Gordon Dunsire and Kathleen Menzies
Centre for Digital Library Research, University of Strathclyde

September 2009

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Project Acronym: OCRIS
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Executive Summary

Context

What is an Institutional Repository (IR) and what should be its role? Library Management Systems (LMSs) and their Online Public Access Catalogues (OPACs) have traditionally been used by HE institutions to provide information about the publications and other bibliographic output of the organisation. Although this role is well-established, the development of IRs potentially conflicts and overlaps with these functions.

Library and repository systems are undergoing intensive development to adapt to the demands of a digital, networked environment, taking into account changing technologies, user behaviours, and research and service agendas of institutions - yet links between these and other HEI systems are often non-existent or inadequate.

There is little evidence that the range of institutional, departmental, subject or format specific IRs and OPACs used in UK HEIs are being developed with shared workflows, re-use of data, or other considerations of efficiency. This inhibits the development of services such as the production of management reports or publications lists for research assessment and planning. It also inhibits internal and external end users wishing to easily access the institution's rich range of documentary output.

Interoperability between systems is a key mechanism for improving this situation. This is under-pinned by **accurate metadata**, the **re-use of data** and, where possible, **open standards**. These allow, for example, the derivation of system and function specific information from a single master record. Fragmentation must be avoided. Interoperability should be built into the workflows of relevant institutional systems, including administrative processes dependent on such metadata; *all* institutional stakeholders managing information systems should be involved in discussions about how this can be achieved.

The **aims and objectives** of OCRIS were to:

- Survey the extent to which repository content is in scope for institutional library OPACs, and the extent to which it is already recorded there;
- Examine the interoperability of OPAC and repository software for the exchange of metadata and other information;
- List the various services to institutional managers, researchers, teachers and learners offered respectively by OPACs and repositories;
- Identify the potential for improvements in the links (e.g. using link resolver technology) from repositories and/or OPACs to other institutional services, such as finance or research administration;
- Make recommendations for the development of possible further links between library OPACs and institutional repositories, identifying the benefits to relevant stakeholder groups.

Key Findings

Interoperability and services

1. Interoperability between IRs and LMSs in UK HEIs is currently rare - only 2 percent of questionnaire respondents state that their systems *definitely* interoperate, with a further 14 percent stating that interoperability is *pending*.
2. Interoperability of either of these system types with *some* type of other institutional system is moderately high, and is slightly higher for LMSs than IRs.
3. Interoperability between LMSs or IRs and a *range* of other institutional systems is limited. It cannot be said that interoperability is substantial or that a wide *variety* of administrative systems interoperate with any individual library system.
4. The REF has clearly been a factor in the establishment or consideration of interoperability between Institutional Repositories and other administrative systems.

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5. Services stemming from library systems are limited and narrow, excepting the generation of usage statistics and metadata enhancement services.
6. The generation of reports for specific administrative departments is not a common service offered by either IRs or LMSs.
7. The most popular service offered by IRs remains "advice on Open Access" suggesting perhaps that they are still in their infancy, still require explanation thus have yet to spread their wings in terms of widening their range of services.
8. The use of metasearch/linking tools as well as web services and APIs is moderately popular within LMSs and IRs; the data gathered is not sufficient to discern why or what these tools and services are being used for.

Duplication and scope

1. There is significant scope overlap (81 percent) for *all* item types held in IRs and OPACs.
2. The scoping distinctions and boundaries for IRs and OPACs are becoming increasingly blurred, with many IRs containing bibliographic data and OPACs containing links to full text.
3. Duplication at both record and item level is frequent, especially for print/electronic copies of theses or journal articles.
4. For many OPACs and IRs, *any* type of content is in scope, regardless of the items *currently* recorded or held.
5. Links between print (OPAC) and electronic (IR) copies of theses are frequently instantiated within both systems.
6. Linking for content other than theses is not common. However, within some IRs link resolvers are beginning to be used to direct users to related library holdings.
7. Some HEIs are choosing to expose both OPAC and IR data through the use of Resource Discovery Platforms (RDPs) which offer "vertical search" functionality. The popularity of these systems seems likely to increase.

Authority control and description

1. Authority control within LMSs is high; format and content standards are well supported, with MAchine-Readable Cataloguing (MARC) standards and Library of Congress Subject Headings (LCSH) the most commonly used alongside local authority lists.
2. In IRs there is little authority control for subjects, and only a moderate amount of effective classification. In-house lists are predominantly used for the construction and maintenance of name authorities.
3. Within Institutional Repositories standards are not applied adequately and often not at all.
4. There are frequent inconsistencies and a lack of completeness in statements made on both IR and OPAC Web pages about item types and scoping.
5. Modifications allowed to the item and format fields of DSpace or EPrints software, and the presentation of administrative or outdated terms by LMSs within their search/browse lists, undermines consistency, standardisation and clarity for end users, across the sector.
6. The use of vocabularies and standards within library systems in any given HEI is fragmented and disjointed; there is little commonality in resource description.
7. LCC is frequently used within EPrints repositories as the top levels come bundled with the software; however there appears to be some confusion in the IR community about the distinction between Library of Congress Classification (LCC) and Library of Congress Subject Headings (LCSH). This is clearly significant, suggesting limited knowledge and expertise of professional standards within the IR community.
8. There are many benefits in recognising the Author/Creator/Person field as the metadata element common to all internal HEI systems.

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9. There is an increasing awareness of the role that could be played within Institutional Repositories by institutional IDs.
10. There will be an increased role for institutional (or even international, if one is to be more ambitious) personnel and group identity management schemes to enable authentication, access to services and the gathering and compilation of data for internal and external purposes.
    10.1. Supporting this can become time-consuming as HR-produced codes or the relationship between a department and the University hierarchy may be subject to constant change. Keeping records up-to-date can therefore be an ongoing challenge.
11. Resource Discovery Platforms (RDPs), because of their nature (for example, the use of "tag clouds") reveal inadequate metadata in catalogue records more readily than do other interfaces.
12. RDPs are only a partial solution to making all relevant items visible to users in one place; they may present search results in ways not best suited to the scholarly needs of higher-level end users and do not necessarily reveal the richness of a library's collections.

Flexibility and working practices

13. The fragmentation or disconnectedness of HE information systems puts a strain on the abilities of cataloguers/bibliographic services staff to work effectively across both IRs and LMSs or for shared workflows to be developed across departments.
14. Lack of resourcing puts a strain on the abilities of cataloguers/bibliographic services staff to work effectively across both IRs and LMSs or for shared workflows to be developed across library departments.
15. Administrative staff and the systems with which they work are not sufficiently involved in cross-departmental collaborations with library systems staff.
16. Batch processing is still considered an effective way to share data between non-library and library systems (particularly HR systems and LMSs).

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Recommendations

To Higher Education Institutions

1. Expose all LMS and IR records for harvesting and linking (except in cases where legal requirements restrict such data re-use) via distributed/federated/meta search using technical protocols such as OAI-PMH, Z39.50, SRU/SRW or link resolvers, as appropriate to the technical infrastructure.
2. Improve co-ordination between all departments possessing institutional information-gathering systems and their staff, with support at the highest levels of the institution, in order to develop efficient workflows, reduce un-necessary duplication of effort and formalise collaboration.
3. Align the systems of both libraries and administrative departments, and their attendant data-processing practices, more closely.
4. Consider establishing a centralised system and attendant workflows for cross-checking and cleaning metadata that is to be shared between systems, to ensure quality, usability and re-usability by both internal and external service providers.
5. Consider options other than batch processing (such as web services or applications, underpinned by open standards) where administrative departments are sharing data with library systems.
6. Develop clear policies on the scopes and uses of IRs and OPACs.
7. Present clearly, comprehensively and comprehensibly, to both staff and end users, the scopes of IRs and OPACs.
8. Develop a single scheme for describing item types/formats and scope within OPACs and IRs, with interoperability requirements and local needs fully accounted for.
    8.1. This scheme should be tested with a variety of users (teaching staff, researchers and undergraduates) to ensure it speaks to their needs and is understood by them.
    8.2. If JISC act on recommendation A above, library staff should be allowed to attend meetings and contribute to the formulation of a cross-institutional scheme, with local needs discussed as part of the activities of the group.
9. Ensure the use of format and content standards within IRs to avoid the need for future "retro-conversion" or "re-keying".
10. Support the interoperability of subject authorities across institutional systems if common ones are not appropriate – this might build on the work of existing mapping and switching projects such as OCLC's Terminology Service Pilot and the High-Level Thesaurus Project (HILT).
11. Use interchange formats and cross-walks based on open standards more widely and extensively, to assist in the sharing and exchange of records conforming to different format and content standards.
12. Reassess the use of Library of Congress Classification (LCC) within IRs; staff should be familiar with the distinction between LCC as a classification system and LCSH as a subject heading system in order to determine whether these schemes meet the needs of their users and whether they accurately reflect their repository collections/items.
13. Establish controlled name authority lists for staff throughout the institution using agreed, recognised standards, to be made available to all relevant departments.
14. Develop (or if already in place, make consistent use of) persistent, institutional or departmental IDs, making these available internally and to other institutions.
    14.1. Relevant institutional systems could possibly hold these IDs in the form of a flat file. This would allow data relating to specific individuals to be "pushed" and "pulled"

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between various systems. The IDs would become the "glue" allowing information to be disambiguated.

14.2. These IDs should be built into metadata workflows and be usable by both staff and end users. Person and role information from various institutional systems should be "warehoused" and made available as "a rich source of contextual metadata" (Green, 2007).

15. Recognise that LMSs are a rich source of bibliographic information on books, book items, monographs, conference proceedings and other items authored by institutional staff (which may not be recorded in an IR) hence an interoperable LMS could be leveraged for research assessment data gathering activities or for use within Research Management Systems.

To JISC

A. Formulate and promote a standardised, controlled vocabulary describing item types, formats and scope, for use across HEI libraries, created in consultation with staff from those libraries and their institutions.

B. Promote the development of, and collect, *unique* numeric, institutional identifiers derived from HEI HR systems to be shared amongst institutions and used as a field to which author/creator names can be mapped, within and across institutions. If desirable these might be mapped against RAE person identifiers or HEFCE institutional identifiers.

C. Support the interoperability of subject authorities within and between institutions – this might build on the work of existing projects such as OCLC's Terminology Service Pilot or the High-Level Thesaurus Project (HILT).

D. Raise awareness of the impact of current work-practices on future needs (in particular, the need to both utilise open standards to support data linkage within and across institutional systems, as the Semantic Web continues to develop).

E. Create recommendations on where, or consider developing a service through which, libraries can source high-quality, openly available, "clean" bibliographic records with guarantees that these can be freely re-purposed and edited. This would allow HEI libraries greater certainty about the utility and cost-effectiveness of record-sharing.

F. Investigate further, and in depth, the interoperability of administrative systems and the opinions of staff working with them, without placing undue emphasis on library systems.

G. Investigate the implications for interoperability of tools/services becoming more common within IRs and LMSs such as Web Services and APIs.

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1. Background

OCRIS builds on the work of many previous projects and reports including: *Linking institutional repositories* (Swan and Awre, 2006), the *JISC & SCONUL Library Management Systems Study* (JISC and SCONUL, 2008), IRI-Scotland (Institutional Repository Infrastructure for Scotland), and ongoing investigations into the Research Excellence Framework (REF) such as the JISC support project for HEFCE's REF bibliometrics pilot exercise (Higher Education Funding Council for England, 2009). OCRIS also considered the objectives of local projects such as the Welsh Repository Network (WRN) (Wales Library Education Forum, 2009), 'Metadata Enrichment for Repositories in a London Institutional Network' (MERLIN) (JISC, 2009a) and 'Enlighten and Research Integration' (ENRICH) (JISC, 2009b), all of which were informative to our analyses.

The context within which the project sits is broad, the needs and priorities of the full range of stakeholders associated with HEIs (from funding bodies and top-level University management to library systems and services staff, researchers, undergraduate students and the wider community) being of direct relevance.

85 UK HEIs have at least one Institutional Repository (IR) (with others planned for many, if not most, of the remainder) and all have an Online Public Access Catalogue (OPAC) - thus clear, solid recommendations on how to marry the functionality of the two systems are urgently needed.

There is debate about what exactly an IR is and what its role should be; although the OPAC (traditionally used for the dissemination of publications associated with the library's parent institution) is well-established, its scope and role are increasingly also being re-imagined. Logic dictates (and evidence shows) that Library Management Systems (LMSs) already hold much metadata pertaining to IR items - thus IRs should *theoretically* supplement the OPAC.

Developments are intensive - both LMSs and OPACs are changing and adapting to the demands of a networked world, the popularity of Google, "Web 2", "Web 3", and to the research and service agendas of their institutions. All are informed by stark economic and other competitive pressures. Yet, reviewing the literature, it is hard not to conclude that there are many divergent discourses around the enhancement of LMSs and OPACs, and that opinion is divided as to the direction and pace of future development, with little clear co-ordination or collaboration - both at institutional level and beyond.

The House of Commons Science and Technology Committee (2004) has stated that a "secure central archive for digital publications [is] essential to ensuring that today's research findings are not lost to the future"; in terms of HEIs, LMSs and IRs *must* begin to interoperate if this is to be achieved and if useful services are to stem from such an archive.

These services might include: an internal auditor or external assessment agency gathering data about an institution's research output; a member of staff compiling RAE/REF returns by interrogating the various catalogues; the generation of comprehensive publications lists for a particular author or subject area, for use within a taught course. If items are essentially siloed in separate systems that do not communicate with one another, such outcomes cannot be readily achieved. Application and information integration must be guaranteed, with the consistent application of metadata standards playing an essential role.

It is clear that there will be a place in any future "interoperable ecosystem" for emergent tools and technologies such as Resource Discovery Platforms (RDPs), "add-ons" which help users enter metadata consistently and correctly, and Service Oriented Architectures (SOAs).

The OCRIS Final Report, based on evidence, analysis and direct consultation with professionals, addresses in clear, practical terms the role of catalogues and repositories within HEIs and the ways in which links between them can be improved, taking into account the "range of different motivations" (SHERPA, 2006) amongst institutional stakeholders.

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Subject: REF Information Systems - Workshop 1
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Dear All

A key component of the Research Excellence Framework (REF) is the development of effective and robust information systems. To ensure that sufficient time is given to our system development activities I would like to begin to understand user requirements as early as possible. To facilitiate this I wish to invite you to attend a workshop on Monday 9th November 2009 to explore early-stage user needs. I attach an overview of the workshop aims and content as background.

The workshops will be held at the Centre Point Building, London (103 New Oxford Street, London WC1A 1DD) and details of the nearest mainline and underground stations are included below. The workshop will start at 10.30am and is scheduled to finish by 15.30pm.

Please note that the focus of this workshop is to discuss REF system requirements. You need not carry out any specific preparation in advance but an understanding of the institutional submission process, the RAE 2008 Data Collection System and the current REF proposals (see http://www.hefce.ac.uk/pubs/hefce/2009/09_38/) would be useful.

Please could you confirm your availability by replying directly to me by email (s.rutherford@hefce.ac.uk<mailto:s.rutherford@hefce.ac.uk>) or telephone (020 7594 5095). Similarly please do let me me know as soon as possible if you are unable to attend this workshop or wish to nominate an alternative representative from your institution.

I look forward to seeing you.

Kind regards

Scott

****

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REF Programme Coordinator
REF Team

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M: 07872 850 383

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Directions to: Centre Point, 103 New Oxford Street, London WC1A 1DD

Mainline station
Charing Cross Station is just five minutes' walk from the building. Cross The Strand when leaving the station, cut through St. Martin in The Fields and onto Charing Cross Road. Continue northbound up Charing Cross Road until you reach Centre Point at the junction with Oxford Street and Tottenham Court Road.

Underground stations
Tottenham Court Road, Leicester Square, Holborn, Goodge Street and Oxford Circus are all within a few minutes walk of Centre Point.

Tottenham Court Road
The subway underneath Centre Point leads directly to Tottenham Court Road Station.

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Leicester Square
Walk South along Charing Cross Road and you will arrive at Leicester Square station in approximately five minutes.

Holborn
Head East along New Oxford Street, turn left into High Holborn and Holborn station is approximately 300 feet from the junction.

Goodge Street
Walk North for approximately 2-3 minutes along Tottenham Court Road.

Oxford Street
Cross onto Oxford Street and walk West for approximately five minutes and you will arrive at Oxford Circus station.

Anything in this message which does not clearly relate to the official work of the sender's organisation shall be understood as neither given nor endorsed by that organisation.

REF_Data_Collection_System_-_Workshop_1_Final.doc

Simon Kerridge

From: Simon Kerridge [simon.kerridge@sunderland.ac.uk]
Sent: 16 February 2010 17:59
To: David Cole; Marilyn Price
Subject: some reflections on the day

I think that most of these were covered today anyway, but I thought I'd note down things as I remembered them.
There are plenty of other areas that you will have taken notes on that I've not revisited.

Reflections:

Overall screens are too busy

Need to change lots of field descriptors

Need to cut down on fields that are not needed

Costings need to be more easily added (eg for parts of project period)

DI / DA need to be sorted out re discussion

PGR student fees & bursary

Estates (& Infrastructure technicians) to be added

Indirects to be added

Adding hooks for expected (from proposal) outputs and impacts would be good.

Forgot to specifically mention Ethics Approval process – it could be in scope

Risk assessment is well covered (maybe add a traffic light system)

Peer review section needs to be tightened up a little (private notes / scoring etc)

The 'mentor review' functionality looked ok

Might want to have a 'research governance' section covering peer, risk, mentor, etc

Contract negotiation part needs looking at.

Collaborative proposals sounded ok, but I think I'd need to see it

Je-S upload could still be a USP if the timescale is, say, this year.

Integration with existing systems if of course key!

For demo:

Need to have a clear pathway through...

Probably also good to show a flow / possible flow of events on a flow chart first – as there are some features that are not necessarily familiar (eg pre-award checklist).

Might be good to have a short simple scenario and a more complex one (or two) showing as much functionality as possible.

Templates (quotes) for major sponsors (eg RCs, Wellcome, other charities, NHS, EU, etc)

Perhaps need a more realistic scenario... a couple of actual examples?

Need more realistic costs (but better to be actually correct rather than nearly right)

Overall it looks like the functionality is / could be there.

There are plenty of areas that need looking at in more detail.

Needs to have fewer clicks in many places.

CERIF is likely to become more important – but you have a handle on that.

The BI elements are likely to be important for the Finance / Planning / Research offices rather than at a more local level – as I think you have envisaged.

I look forward to hearing from you in due course re the scoping / checklist document to review and of course re opportunities for working together!

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Simon Kerridge

Subject: Je-S Pool Admin changes
Location: Leeds

Start: Tue 04/03/2008 10:30
End: Tue 04/03/2008 15:30

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: Simon Kerridge
Required Attendees: Simon Kerridge

Hi Simon

At the last Je-S Management Board meeting, you requested further details on the Je-S system Pool Admin functionality changes. My apologies for a slight delay in providing this update, things were a bit hectic last week.

Attached are:

1. the 'training pack' that gives information on what the changes are, how to use the new functionality, etc

2. The information provided to the testers, which gives the UAT schedule, plus contact points etc.

Both of these documents were personalised for the ROs that agreed to UAT (below), including allocation of passwords etc, and were sent out last week:

Birmingham

Bristol

Cardiff

East Anglia

Leeds

UCL

To answer your specific query about schedules for uat/live implementation, the plan is:

Dates

26 January – 12 February - Period of UAT.

19 February Assuming that all goes well, and that there are no major issues raised in UAT, then the functionality will go into the Live Je-S environment. Access will initially be limited to ROs that took part in UAT, plus additional ROs identified during training sessions.

19 Feb to early March During this period the Je-S Helpdesk will be holding several training sessions. Those ROs attending will be asked to join a Live trial - or they can decide to wait until 12 March.

11 March. New Pool Admin functionality made available to all ROs (unless major issues arise out of the Live trial).

There are the following regional Pool Admin Training Events scheduled in, where other ROs have been invited to attend:

Please let me know if you require further information on this.

Regards

Nikola Lucas

Je-S System Manager

Tel: +44 (0)1793 442832

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