

## Global Research Institute

Rights and Responsibilities for GRI Research Affiliates (July 1, 2021 - June 30, 2022)

### Research at the Institute

The Institute exists to support applied global research, broadly defined. That research is driven by research labs and initiatives with students, faculty, and staff from multiple disciplines and backgrounds. These labs provide structure and a substantive focus for faculty and students to collaborate with each other and/or external practitioners.

For scholars interested in running their research at the Institute, GRI will seek to partner with researchers who have: 1) a track record of producing applied research with external partners; 2) the ability to attract funds and research talent; and 3) a commitment to work with students. There is not a single path for realizing any of these outcomes, but broadly speaking, these are the qualities of a research initiative that GRI would like to support. For researchers who do not yet wish to establish an ongoing research lab, the Institute provides start-up funding, strategic advice, and pathways to creating a more permanent research initiative.

The Institute does not exist without its researchers, and we are grateful for the trust research affiliates place in the Institute when they decide to house their research at GRI. As members of this community, we have rights and responsibilities to each other as we work to produce new knowledge and increase our impact in the academy and the world beyond. We are cognizant of the diverse sizes and focus areas of the different research efforts at the Institute, and these rights and responsibilities are designed to help all Institute faculty and student teams incubate, scale, improve, and/or increase the impact of globally-oriented research initiatives of varying size and topical focus. Below we articulate the responsibilities of the Institute to our research community, and then we outline the responsibilities of researchers.

#### I. Institute Obligations to Researchers

- University representation: GRI represents and advocates for all Institute labs and researchers to ensure that W&M's strategic direction and its specific policies support the missions and the operations of the Institute's research initiatives. This includes engagement with campus leadership on issues of high salience that impact activities at GRI, as well as on issues requiring approval and/oversight from University offices and University leadership.
- Fiscal and Administrative Services: GRI provides comprehensive support services in the areas of accounting, procurement, human resources, student recruitment and hiring, and sponsored programs (OSP/externally funded grant administration). Additionally, GRI research projects receive one-on-one guidance and advisory services aligned with federal, state and university policies and regulations to better serve research objectives through quicker navigation of W&M's policies and procedures. GRI's team works with various W&M departments on the researcher's behalf to deliver innovative solutions while ensuring that researchers get the most out of limited resources. Below specific support is detailed by area:
  - *Accounts Payable (AP)*

- Provide guidance to ensure that all transactions (including travel/business meal reimbursements and purchase requests) comply with University policies and procedures and are processed timely and accurately
    - Provide one-on-one support for travel and business meal reimbursement via Chrome River
  - *Human Resources (HR)*
    - Management of the full-cycle student hiring process (including seeking necessary approvals, coordination with Student Employment and other W&M departments, managing the I-9 verification process and coordinating with new recruits, summer housing arrangements, tax forms, and index billing)
    - Provide support for hires in PeopleAdmin (e.g., creating/modifying job descriptions) and provide advice on multiple paths to a successful hire/navigating the various steps involved with full cycle recruitment
    - Process ePAFs, redistributions, and JVs at request of project/program managers and in accordance with an established schedule
    - Manage employee separations and clearances in coordination with their project supervisors
  - *Office of Sponsored Programs (OSP)*
    - Coordinate with OSP offices on day-to-day fiscal grant administration
    - Oversee and facilitate vendor payment requests and paperwork to process sub-award funding; monitors fund balances and authorizes expenditures on behalf of researchers
  - *Other Services*
    - Liaise with corresponding departments at W&M in areas of finance and administration to ensure optimal outcomes for GRI research projects
    - Generate reports from campus systems (i.e., spend on indexes by category) for review by PIs and unit directors
    - Train students, faculty, staff on university policies and procedures or direct them to the relevant office on campus
    - Allocate and/or coordinate use of offices, common space, conference rooms, and furnishings in GRI locations
  - *Procurement*
    - Oversee and facilitate procurement processes (e.g. submission of procurement requests, vendor forms, and management of eVA) and provide advice on the best path to completion of transactions.
- Operational and Programmatic Services: The GRI team works with researchers in a variety of ways — from helping disseminate research to developing donor stewardship plans — and we welcome the opportunity to work with researchers to think about how to meet communications, fundraising, and student engagement goals.
  - *Advancement and Communications*
    - Provide project updates in GRI annual reports and newsletters
    - Represent and advocate for all GRI projects in GRI communications and advancement meetings
  - *IT Services*

- Coordinate with staff and hiring managers to initiate IT approval requests, conference room technology, procurement of IT equipment and services for current staff and new hires, and shipment of equipment to out of state employees.
  - *On-Campus Engagement*
    - Lead annual GRI student engagement on campus (past programs have included Summer Fellows, workshops, skills courses, orientations, student innovation funding, DC trips)
    - Host and organize high-priority campus events
    - Support researchers with event management
- R&D Investment: To support promising ideas, the Institute provides opportunities for researchers to access small pools of research and innovation funds. GRI will invest these resources in initiatives that advance GRI's mission. In particular, GRI will support activities that do one or more of the following:
  - Engage and empower students in knowledge creation
  - Create diverse, multi-disciplinary teams
  - Produce research outputs that are disseminated in leading peer-reviewed journals, policy journals and respected media outlets
  - Have the potential to shape outcomes beyond W&M
  - Are used to catalyze external funding to scale/sustain additional research
- External Connections
  - GRI provides assistance to identify external funders/speakers/mentors/policy practitioners to collaborate and advance research activities.

## II. Responsibilities of Researchers

- Strategic and Value Alignment: The Institute has articulated its values and strategic direction in the "[GRI Approach](#)" document (Aug. 2020). We believe research initiatives that have broad alignment with the document will be well-positioned to succeed at GRI, and we ask that each research team strive to align with and uphold GRI's approach and values.
- Attendance: Part of what makes the Institute special is creating opportunities for students, staff, and faculty to come together to share ideas and support each other.
  - Each research affiliate is asked to participate in 4 GRI events over the course of the year (e.g. student research showcases, research in progress seminars, public events/panel discussions, BBQs). There will be sufficient online options to make this commitment possible.
  - Each research affiliate is asked to attend the relevant meetings of the GRI Director's Advisory Group.
- Communications:
  - Each research affiliate is asked to list your GRI affiliation in your social media presence, CV, relevant publications, and talk show or interview appearances.

- If you post about one of your labs or projects on social media, please consider tagging GRI @global\_wm on Twitter and Instagram, or at W&M's Global Research Institute on Facebook or LinkedIn.
- **Financial:** The Institute receives financial support from three primary sources: University reinvestment of IDC from grants and contracts, direct University support, and private gifts. Historically, University reinvestment of IDC from grants and contracts represents the largest annual source of GRI revenue - approximately 60%.
  - Each fiscal year GRI will set a grant allocation rate equivalent to the IDC GRI receives from W&M when an award is "fully loaded" (i.e., it includes the full, federally negotiated W&M IDC rate of 44%).
  - **For FY22 GRI requests that research affiliates<sup>1</sup> allocate a minimum of 8.7% of external revenue to GRI support operations.** This could include grants or private funds. If a grant includes full W&M IDC, no additional action by the researcher is needed. For grants or other external funding that do not have full F&A, the grant should build in direct, "above the line" funding to make up the difference. *In the Appendix there is an example of what this may look like.*
  - To help GRI be more effective in working with OSP on your behalf, we ask that researchers notify Kori Varner of GRI's financial team as soon as a funding opportunity is identified and the decision is made to apply. This applies to any grant or contract proposal for a research project and allows us to provide you with assistance if needed, and to brainstorm ways to disseminate the news of your ultimate successes.<sup>2</sup>
  - If a research project does not currently receive external grants, researchers are requested to consider alternative ways to contribute to the community, such as working with GRI to apply for at least one external grant during the fiscal year or re-investing a portion of private funds in GRI related support.
  - Even with the 8.7% target, that level of funding still would not cover the full costs of supporting research at GRI.<sup>3</sup> We use private funds and other university commitments to fill the gap. For this reason, the GRI leadership team has prioritized the pursuit of private philanthropy, with an ultimate goal of securing endowment funding. With an endowment to support operations such as fiscal, HR, grant administration, and communications, GRI would be able to reinvest future IDC into the researchers that generate the grants. Our goal is, if GRI is fully endowed, that research teams that generate external funds will be able to recapture a larger proportion of the IDC generated by their grants and contracts.
- **Tracking Our Work:** To become a great research institute, we need to track and report on our work. Each research affiliate is asked to participate in the following:
  - Sharing Updates - communicating research activities (publications, grant awards) to the GRI team so they can be highlighted for W&M leadership and external communities

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<sup>1</sup> A core part of GRI's is supporting and incubating emerging research. For this reason, new researchers are waived from "above the line" financial contributions to the community during their first two years of operation.

<sup>2</sup> This does not apply if you are on a grant as an independent contractor.

<sup>3</sup> See GRI Approach, Appendix C for financial greater details.

- Metrics - reporting out each year on a set of core, cross-research metrics
- Special Initiatives - reporting out on efforts on annual special initiatives, as determined by the community

## **Summary**

We hope that this document helps align expectations and puts our collective research community on a path to thrive. If a researcher and/or the Institute Director no longer believe the Institute is the correct place to house the research initiative, the Institute will work with the researcher to identify an appropriate transition to another department or center on campus.

## APPENDIX

### Example of Financial Responsibilities

We consider two examples of how a research effort may align with the *FY20* target of 8.7%. We consider a grant with direct research costs of \$100,000.

#### Example 1: Full F&A Rate (44%)

- If a grant comes in with full F&A, the total grant is \$144,000 (\$100k direct costs + \$44k in indirect cost recovery).
- Of the \$44k in indirect cost recovery, in a typical year 67% goes to support campus research initiatives at W&M (not GRI) (\$29,480).
- The remaining 33% (\$14,520) is distributed to the Department and supporting entities. Of that remaining 33%:
  - 40% goes to Department (in this case, GRI)
  - 40% goes to VPR
  - 15% goes to A&S
  - 5% goes to the PI
- However, GRI currently has a stronger reinvestment regime in its current MOU through *FY22*, in which GRI receives an additional 20% from A&S and VPR (with 10% coming from each unit)
- Therefore, in *FY22*, 60% of that remaining  $\frac{1}{3}$  comes to GRI: \$8,712, or 8.7% of the direct research costs.

***In Example 1, PIs have full F&A built into their grants (44%), and no further action is needed.***

#### Example 2: Partial F&A Rate (for this example, we will use 10%, which is common for Foundations)

- If a grant has 10% F&A, the total grant is \$110,000 (100k direct costs + 10k in indirect cost recovery).
- Of the 10k in indirect cost recovery, in a typical year  $\frac{2}{3}$  goes to support campus research initiatives (\$6,700).
- The remaining  $\frac{1}{3}$  (\$3,300) is distributed across campus. Based on current GRI MOU, 60% of the remaining  $\frac{1}{3}$  comes to GRI: \$1,980, or 2% of the direct research costs.

***The level of funding outlined in example 2 would be insufficient to maintain GRI's target research support for projects. In this example, one solution would be for the PI to identify \$6,732 in direct costs that could be billed directly to the grant (such as time of the financial, administrative, operations or senior leadership team) to fill the financial gap.***