

Research Support Fund and Incremental Project Grant Outcomes 2022-2023

RSF Performance Outcomes 2022-2023

Expenditure category	Institutional performance objective	Indicator	Output	Target Outcome	Reported Outcomes
Research facilities	Support the ongoing maintenance and operations of research facilities on campus	Total Square footage allocated to research	Portion of RSF funds invested to support this activity.	Total square footage devoted to research is equal to or more than in the previous year.	Total square footage devoted to research is equal to or more than in the previous year.
Research resources	Support the ongoing activities in MacOrdrum Library and ITS Research	<ul style="list-style-type: none">➤ # of ejournals, #of NVIVO consultations and # of Citrix ShareFile primary accounts➤ Implementation of Research Data Management Strategy	Portion of RSF funds invested to support these activities.	<ul style="list-style-type: none">➤ Accessibility of and demand for Open Access, NVIVO, SPSS and Covidence is equal to or greater than in the previous year.➤ Research Data Management strategy implemented	<ul style="list-style-type: none">➤ Increase in the library's EJournal article download to above 3 million, as well as 925,816 website visits, 170,818 unique title electronic journal subscriptions and 514 dissertations deposited in CURVE➤ Research Software: 934Nvivo Plus and transcription services users & 121 consultations & 28 instruction sessions with 351 attendees; 3637 IMB SPSS users; 238 Qualtrics Survey tool users; 197 STATA SE 17 users and the following support for evidence synthesis: 511 Covidence reviews, 410 Covidence authors, 8 evidence synthesis consultations, 2 evidence synthesis workshops with 45 attendees, 6 evidence synthesis teaching sessions with 196 attendees.➤ ShareFile: 166 primary accounts and 1166 secondary ones➤ Custom Research Projects: Research software development team worked with five researchers to develop customized software.

<u>Management and administration of an institution's research enterprise</u>	Provide Effective Research Administration	<ul style="list-style-type: none"> ➤ # personnel dedicated to post award administration and processing times ➤ # of grants and agreements processed ➤ Successes in major competitions 	Portion of RSF funds invested to support this activity.	<ul style="list-style-type: none"> ➤ post-award support is equal to or greater than in the previous year ➤ # of grants, contracts, honours\distinctions, agreements processed and/or funding rate is equal to or greater than in the previous year. ➤ # of successes in major competitions from last year is equal to or greater than in the previous year 	<ul style="list-style-type: none"> ➤ Post-award support available to researchers is greater than in previous years ➤ Carleton achieved important successes in major funding opportunities; in prestigious provincial and federal prize and awards competitions and in securing foundation funding. For example, Stephan Gruber was awarded an NSERC CREATE; Liam O'Brien is the recipient of a CMHC-SSHRC PG; Dawn Moore is a SSHRC PG awardee; Jeremy Laliberté, Rishad Irani and Kenneth B. Storey were all awarded funding from the Kenneth M Molson Foundation and Paloma Raggo received major funding from the Muttart Foundation.
<u>Regulatory requirements and accreditation</u>	Provide effective and timely support for human ethics and animal care compliance activities	<ul style="list-style-type: none"> ➤ # of personnel dedicated to compliance ➤ # of active Ethics certificates ➤ # of ethics presentations 	Portion of RSF funds invested to support this activity.	<ul style="list-style-type: none"> ➤ # of new ethics protocols (human/animal care/biohazards) are equal to or greater than in previous years. ➤ Ethics presentations are equal to or greater than last year. 	<ul style="list-style-type: none"> ➤ In total 1330 human ethics studies and amendments were processed ➤ Approximately double the new biohazards (BIO) applications were processed than in 2021-2022, for a total of 97 project team members ➤ Approximately double the new Animal Care Committee (ACC) protocols were processed, for a total of 108 project team members. There we also 54 amendments and 68 renewals. ➤ 35 human ethics and 5 ACC and BIO presentations were offered in addition to kick off meetings and the presentations to new researchers ➤ ACC &BIO training in Brightspace was provided to 108 team members. ➤ Lab and biosafety training for team members on the Biohazards application was provided to 97 persons.

Intellectual property	Support commercialization activity on campus	<ul style="list-style-type: none">➤ # of patent applications➤ # of IP disclosures➤ IP Education Program participation	Portion of RSF funds invested to support this activity.	<ul style="list-style-type: none">➤ # of IP disclosures, patent applications and/or interactions is equal to or greater than in the previous year.➤ Demand for and participation in certificate in IP Strategy course	<p>Innovation Transfer Office</p> <ul style="list-style-type: none">➤ filed five new patent applications for three technologies;➤ provided support for five NSERC I2I applications, three of which were awarded (total value \$120,000);➤ Agreements with industry partners: 1 Strategic Partnership Agreement signed, 1 Research and Revenue Share Agreement signed, 1 License Agreement in progress. <p>IP disclosures or interactions</p> <ul style="list-style-type: none">➤ Seven new Intellectual Property Disclosures were received.➤ Currently active discussions and/or agreement preparation with potential partners for five technologies.➤ Continued outreach (email and phone) to potential commercialization/licensing partners for five technologies. <p>Intellectual Property Education</p> <ul style="list-style-type: none">➤ Presentation on IP Services and Awareness to Chairs & Directors meetings for 4 Faculties and 1 Department;➤ IP Education for Research Facilitators and faculty applying to provincial funding initiatives➤ IP overview presentation to 4th year and graduate engineering students.➤ Organized three webinars from IP Advisors from the Canadian Intellectual Property Office.
---------------------------------------	--	---	---	--	--

Incremental Project Grant (IPG) 2022-2023 Outcomes

Project Title	IPG Priority Area	Output (investment of IPG grant funds)	Performance objective	Performance indicator	Target outcome	Reported outcome
Research Post Award Support	Information Resources	100% of funds invested	Enhance research post-award support to faculty members	<ul style="list-style-type: none">➤ Implementation milestones➤ # of travel and expense claims returned to researchers➤ # of payments that were delayed to grant funded HQP	<ul style="list-style-type: none">➤ reduce research expense processing delays caused by data entry input errors in the financial information systems, specifically those related to travel and expenses.➤ improve the accuracy and timeliness of payments to research support personnel who are paid out of grant funds➤ minimize risk to the University by ensuring all research expenses are not only compliant with funder and University policies, but also in keeping with such best practices as planning for severances for long-term grant-funded employees and using written agreements to clarify employment terms for faculty members and their research support personnel➤ improve faculty members' confidence and ability to 1) determine the eligibility of research expenses in relation to University and Sponsor policies; 2) select the correct financial system for processing these costs; and 3) use best practices in managing human resources.	<ul style="list-style-type: none">➤ The Research Post-Award Service not only met (pilot to University wide launch) but exceeded its' milestones in developing workshops to sensitize and educate researchers regarding paying research support staff and processing research expenses through the various key financial information resources. As a new Service, it has already impacted University research post-award operations positively and it is fully expected that this effect will increase, as the Research Post-Award team continues to offer more services, such as virtual office hours, self-help tools/guides, graduate student hiring agreement templates and workshops addressing gaps in understanding. Carleton is confident that the Service's auspicious start is going to result in it meeting the stipulated target outcomes in a clear and measurable way with a marked decrease in the number of travel and expense claims returned to researchers due to errors and a quantifiable decrease in challenges raised regarding late or incorrect payments to research support staff. As such, the risks to the University will be diminished and researchers' confidence and ability to process expenses in a compliant manner will increase.

Research Security (RS) 2022-2023

Project Title	Output (investment of RS grant funds)	Performance objective	Performance indicator	Target outcome	Reported outcome
Risk Assessment and Mitigation Support in VPRI	100% of funds invested	Support crucial activities that will enable research while safeguarding our researchers, institution, and country	<ul style="list-style-type: none">➤ # of research security breaches or lack thereof➤ # of research security plans completed with administrative staff➤ # and impact of tools developed to guide researchers in conceptualizing and implementing their research programs and projects➤ Faculty participation in research security risk knowledge mobilization➤ # of researchers supported➤ # of rejected applications on security grounds	<ul style="list-style-type: none">➤ Eligible grant applications submitted➤ Specific risks identified and mitigated➤ Strengthened expertise and knowledge related to research security risk management across the units that comprise the Office of the Vice-President, Research and International➤ Development of tools to guide researchers in identifying and navigating emerging and on-going research security threats in planning and carrying out their research projects and programs➤ Sensitization of faculty members through knowledge mobilization regarding research security risks➤ Heightened security of research teams in the conceptualization and execution of research programs and projects➤ Strengthened research security at our institution, thereby ensuring the safety of the researchers and the campus community	<ul style="list-style-type: none">➤ In year one of this project all milestones were achieved. That is to say that partial FTE of resources within VPRI were allocated to support Risk Assessment Checklist Completion, Risk Mitigation Plan Development, and Security Clearance submissions. Additionally, funding toward the creation of a new Director of Research Security was secured, a job description drafted and the position posted. It is intended the incumbent will support the development of resources, tools, and guidelines for the research community to mitigate security risks and meet institutional and national security objectives.➤ No grant applications to federal agencies rejected on national security concerns (40 Alliance applications).➤ One (1) application for provincial funding was rejected on security concerns; the research support team met with the ON security directorate and has incorporated feedback into subsequent applications to all agencies.➤ Purchased a license to Kharon Clearview to assist with risk assessment.➤ Senior OVPRI staff attended several provincial and federal research security briefings➤ Re-engaged with federal officials regarding re-offering Federal Security Workshop (last offered 2020); expect this to be offered Fall 2023.