RSF Performance Outcomes 2024-2025

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 the previous year.
Research resources	Enhance information technology support to faculty members and graduate students	➢ Total # research software downloads and installations are equal to or more than in 2021-2022 ➢ Support for design and development of custom research software is equal to or greater than 2020-2021	Portion of RSF funds invested to support these activities.	➢ #Research software downloads is equal to or greater than in 2021-2022 ➢ Support for design and development of custom research software is equal to or greater than in 2021-2022	➢ #Research software downloads was > than in 2021-2022. ➢ Support for design and development of custom research software was equal to 2021-2022 levels.
Management and administration of an institution's research enterprise	Provide Effective Research Administration	➢ # personnel dedicated to and/or services offered related to post award administration and processing times ➢ # of awards processed and/or funding rate ➢ # of successes in competitions	Portion of RSF funds invested to support this activity.	➢ post-award support is equal to or greater than in the previous year ➢ # of awards and/or funding rate is equal to or greater than in the previous year. ➢ # of successes in competitions from last year is equal to or greater than in the previous year	➢ # of awards and $ rate greater than in previous years — results on or above the national average in # of grants awarded or $ of awards. Ex.SSHRC Insight and NSERC Discovery. ➢ added pre-award strategic leadership position strengthened leadership and organization of submissions, impacting competition results positively. ➢ Post award support equal to previous years in HR but increased services. Ex. New a3-6 months advance notifications of award end dates + support for sub-contracts that dramatically increased
Regulatory requirements and accreditation	Provide effective and timely support for human ethics and animal care compliance activities	➢ # of personnel dedicated to compliance ➢ # of active ethics certificates ➢ # of ethics presentations	Portion of RSF funds invested to support this activity.	➢ # 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.	➢ ACC, Bio and Human Ethics protocol review and approval greater. Ex. 2513 CUREB A and B human ethics protocols, 24 human ethics presentations
Intellectual property	Support commercialization activity on campus	➢ # of patent applications ➢ # of IP disclosures ➢ IP Education Program participation	Portion of RSF funds invested to support this activity.	➢ # of IP disclosures, patent applications and/or interactions is equal to or greater than in the previous year.	➢ IP support greater than previous year. Ex.13 new IP Disclosures; 10Patent filings + 2 issued; 1 IP Assignment to industry;3 Non-Exclusive licenses executed ➢ IP education focusing on specific initiatives delivered. (Ex.ERA awards + CFI/ORF grants. ➢ IP presentations to undergraduate students & Innovation Hub. ➢ Awarded 1 year extension of an IPON PSE to retain 1 FTE Commercialization Officer

Institutional Investment Stories:

1) Research Financial Services' (RFS) mandate is to ensure financially compliant management of research funding, including sponsored research funds from a variety of sources including Tri-Agency. More specifically, RFS assists in interpreting and ensuring compliance with funding agency regulations; provides advice and ensures compliance with sponsor and University policies; advises on appropriate procedures for financial transactions and issues invoices and financial reports. RFS' financial management is built on a unique understanding of the structure and progress of research projects and service excellence, including but not limited to following up on transfers, financial reporting, fund monitoring, and outstanding payments. As Carleton's research revenues increased greatly over the last six years, so has the workload in RFS. Despite this reality, RFS aims to provide outstanding and timely support to researchers in managing their research funding in a way that maximizes the funding awarded; maintaining and/or strengthening research relationships and ensuring all deliverables and terms and conditions are met as per the sponsor's requirements. Just as importantly, RFS looks to ensure seamless accountability to sponsors in terms of not just deliverables (qualitative or quantitative) through the conscientious application of terms and conditions, to continue to build trust and reliability.

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Incremental Project Grant 2024-2025 Outcomes

Project Title	IPG Priority Area	Output (investment of IPG grant funds)	Performance objective	Performance indicator	Target outcome	Reported Outcomes
Research Financial Services (RFS) Compliance and Complex Research Project Support Strengthening	Information Resources	Portion of funds invested	Support major and complex sponsored research awarded to the University	➢Hiring of financial experts and training ➢Identification of potential specific compliance issues related to the implementation of the risk-based approach and devising mitigation measures, including but not limited to targeted training. ➢Developing and implementing modernized risk-based approach within current framework ➢identification of complex multi-year projects and creation of dedicated portfolio ➢Forging and maintaining relationships with complex and large-scale research funding awardees in view of providing them financial analysis and management advice ➢Reduction in requests for extensions and return of residuals due to financial management to funders at the end of the use of funds periods per year over the next three years and ➢Transaction risk verification determination. ➢Increased and synergistic collaboration between Finance and VPRI as it relates to the management of research funding.	➢Increased cooperation and understanding and support between Finance and VPRI of research related award management. ➢Increased research funding to the University via the provision of financial analysis and award monitoring leading to increased applications by researchers for major and complex awards, maximized award funding, timely invoicing and collection of outstanding payment collection. ➢Improved researcher financial literacy and post-award management satisfaction through award management guidance and research related expense processing on major and complex funding opportunities. ➢Strengthened accountability to funders through timely responses and scrupulous follow through on deliverables within specified deadlines. ➢Increased transaction verification threshold due to compliance ➢Improved institutional reputation.	➢ Funded team partially hired and fully trained (delays due to general certified accountant shortage) ➢ 50 awarded complex multi-year projects managed by team (Ex. Budget reconciliation & financial counsel + support for pre-award (Ex. development of budget templates) ➢ modernized risk-based approach developed + implemented. ➢ Team activities resulting in institutional financial risk reduction

Innovation and Commercialization Enhancement to Support Industry and Partnerships Services	Innovation and Commercialization activities	Portion of funds invested	Strengthen innovation and commercialization support to the research community	➢ Identification of key partners in development and/or licensing agreements ➢ Work with faculty in the ITC/AI/ML/IoT sectors to secure at least 10 new disclosures of IP ➢ Maturity) for 2- 3 of the above technologies ➢ US provisional applications for 4 newly disclosed technologies ➢ Issue/grant of at least 1 pending application from existing patent portfolio	➢ 15% increase in agreements with industry partners (NDAs, collaboration and licensing agreements) ➢ 20 new Intellectual Property Disclosures ➢ Increase outreach to potential commercialization/licensing partners for technologies, resulting in 3 licensing agreements ➢ 6 on-campus awareness sessions (in 2022 we presented to 4/5 Faculties and will expand this to key departmental meetings this year to increase awareness of the CITO as well as to provide basic Intellectual Property Education).	➢ 15% activity increase met with key partners identified (Ex: 1 IP Assignment to industry; 3 Non-Exclusive licenses; 7 NDAs; 3 NSERC I2I submitted resulting in 2 awarded Market Assessment projects supporting industry outreach and assessment.) ➢ IP disclosure target met: 13 new received + I 12 detailed innovation explorations held allowing for streamlined assessment of technologies. ➢ Patent filings increased: 2 Provisional; 1 PCT and 7 National Phase application + 2 patents issued ➢ Outreach: 2 IP presentations (undergraduate class & Innovation Hub); 2 grant specific IP educational workshops; 13 departmental awareness sessions to researchers and admin.
Research benchmarking	Information Resources	Portion of funds invested	Improve/ manage research data metrics tools	➢ Support for research data analytics is equal to or greater than 2023-2024	➢ Data analytics support is equal to or greater than in 2023-2024	➢ Data analytics support remained equal in strength to the previous year.
Animal Care Enhancement of Research Capacity	Facilities Renewal	Portion of Funds invested	Enhancement of animal care and research capacity	➢ Purchase of caging system ➢ Delivery of caging systems on-site by March 2025 ➢ Completed installation (ready for users) by April 2025.	➢ Remain CCAC-compliant with our rat housing, increase research capacity and innovation, and will facilitate HQP training in highly marketable and cutting-edge behavioural neuroscience techniques preparing them for academic, industrial, and government research career paths.	➢ rat housing in line with CCAC requirements ➢ rats provided with increased comfort ➢ new housing enabled cutting-edge research projects investigating feeding and reward-seeking behaviors, energy balance, chronic pain and sex difference in neurological diseases, and those creating new translational pain models.
Research Management System Improvement (Next phase)	Information Resources	Portion of Funds invested	Improve data integrity and accuracy	➢ Re-alignment of data categorization with COFO and Carleton Chart of Accounts ➢ Implementation of modification of fields in accordance with user needs ➢ Standardization and limitation of responses in categories to reflect shared understanding of terminology	➢ Improved reliability and capacity for storing, compiling, and analyzing institutional data by embracing technological advances, resulting in functions with greater consistency, transparency, and integrity in research data management and reporting. ➢ Integration of award management system with other key University systems, leading to more efficient and comprehensive institutional reporting within and outside the University, thereby eliminating time consuming data entry duplication and manual workflow management. ➢ Improved user-friendliness to enable greater ease and more self-sufficiency in accessing application history and award data, including funding amounts and balances, in fully automated reports. ➢ Efficiency gains in business processes leading to faster processing and stronger institutional and individual decision making.	➢ Completed: hiring of specialist team, best practice research; identification of stakeholders needs and re-alignment of sources and sponsoring agencies with COFO reporting ➢ In progress: sponsor re-alignment to sources (1/3 complete) and review of key field lists and users.

Research Security Outcomes 2024-2025

Project Title	Output (investment of IPG grant funds)	Performance objective	Performance indicator	Target outcome	Reported Outcomes
Risk Assessment and Mitigation Support in VPRI	100% of funds invested	Support Risk Assessment for forging and nurturing domestic and international research partnerships	➢ Number of faculty and staff members engaged in the protection of research, including through: o Requests for one-on-one consultations with the Director of Research Security o Participation in research security travel briefings o Utilization of the ITS Travel Device Loaner program o Assistance in conducting due diligence and risk assessment processes. ➢ Number of resources and tools developed to support the Carleton community's incorporation of RS considerations into their research work, such as: o Educational resources o Risk assessment tools o An online portal for research security ➢ Number of faculty and staff members engaged through outreach & education initiatives, including: o Community of Practice workshops o Meetings and information sessions o Research security training events o Dissemination of information, briefing materials and resources ➢Percentage of federal grant submissions rejected on security grounds	➢ Cultivation of security-related norms, values, attitudes, and assumptions as inherent to the conduct of responsible research. ➢ Shared commitment to pursue, mobilize and share knowledge in a reciprocal and responsible way. ➢ Levels of compliance and success with protective security measures mandated through the provincial and federal governments increase. ➢ Strengthened expertise and knowledge related to research security risk management across campus, and within units that comprise the Office of the Vice-President, Research and International. ➢ Risks to research and to researchers are reduced, as employees are empowered with tools and resources to inform security-conscious considerations and action.	➢ Research protection activity summary: reviewed ~50 research security plans; ~25 one-on-one consultations + several pre-travel briefings research security sensitization; resource hub Intranet Site developed (ex. training materials, Travel Security quiz and two toolkits supporting best practices to safeguard research; outreach and engagement initiatives achieved over 500 unique touchpoints proactive Carleton community engagement (Ex. 5 Community of Practice workshops; 11 large audience meetings and information sessions, & regular dissemination of information, briefing materials and resources