

Indirect Costs Outcomes Report

File Number P0079

Main Contact Information

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Statement of Account

Total Indirect Costs Funds available in 2012-2013	A	\$4,964,627
Expenditures incurred in 2012-2013		
Facilities		\$843,806
Resources		\$1,240,892
Management and Administration		\$2,134,333
Regulatory Requirements and Accreditation		\$446,721
Intellectual Property		\$298,875
Total Indirect Costs expenditures incurred in 2012-2013	B	\$4,964,627
Outstanding Commitments (The expenditure was incurred but the invoice was not paid in the period ending March 31, but was paid before June 30. Be sure to include the commitments in the appropriate area(s) above.)		\$0

Health Research Affiliates

For organizations with health research affiliates only: for each area of priority, indicate the actual amount of your 2012-2013 grant that was spent by your health research affiliates.

Facilities	\$0
Resources	\$0
Management and Administration	\$0
Regulatory Requirements and Accreditation	\$0
Intellectual Property	\$0

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Section I - Facilities

Expenditures

Was your grant invested, completely or partially, in any of the following ways?

Note that A and B are not exclusive (i.e. for any given category, if you have covered both existing and new Expenditures, you would check both A or B).

Expenditure category	A) The grant covered existing expenditures	B) The grant covered new expenditures (not previously covered by grant)	C) The grant did not cover this category	In which category was the largest proportion of your 2012-2013 grant invested?
1. Renovation and maintenance of research facilities (excluding expenditures incurred to meet regulatory requirements - see Section IV)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Upgrade, operations and maintenance of equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Operating costs (custodial, security, maintenance, utilities, leasing, capital planning, insurance on research space)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Technical support for laboratories, offices and other facilities (excluding technical support for animal care - see section IV)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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Section I - Facilities (continued)

Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?
- what percentage of your O&M expenditure supports CFI-funded equipment?

York University continues to invest in renovating existing spaces and upgrading research facilities, as long as creating new Research spaces to meet the Faculties needs.

York allocated 17% of the ICR grant towards enhancing physical spaces for research. There are slight changes to the amount of the allocation in this Category [3.1 Research Lab Space; 3.2 Research Lab Support Space & 4.2 Research Office/Project Space] from 2011-2012.

The indirect costs grant allowed for renovations to research space to occur in many disciplines across the University.

In the Faculty of Science & Engineering, we were able to add two new Robotic Pavilions with a total area of 535 sqft; one located west of Calumet College and the other one located on east bank of Stong Pond with access from parking Lot DD with a dock at Water's edge for Michael Jenkins, a Professor in Dept of Electrical Engineering & Computer Science, Lassonde School of Engineering . These structures are multi use pavilions, that would serve the CFI requirements and at the same time, enhance its landscape surroundings. The main intent is to create pavilions that tread lightly on the landscape that are adaptable and flexible to be reused for other functions. The pavilions are envisioned to morph according to their function public pavilion verses a robotic lab. The total project cost was \$120,341.54.

An additional \$173,000 was used for extensive renovations to the Vivaria Space in Farquharson building for the use of Scott P. Kelly, a Professor in the Biology Program, Faculty of Graduate Studies; and Georg Zoidl and Chun Peng, Professors in the Department of Biology.

In the faculty of Liberal Arts and Professional Studies, over \$73,000 was used to create a computer lab with a capacity of 58 students, for Dr. Marin Litoiu, Associate Professor at School of Information Technology.

Part of the Grant was used for researchers moves, for example \$125,000 was used by the Faculty of Health to move Dr Rebecca Pillai Riddel, Associate Professor in the Department of Psychology from Atkinson College to Sherman, which added 1,140 sq ft of Research spaces for clinical and developmental Psychology.

In the Social Sciences and Humanities, indirect cost funding was used to add approx. 1,140 sqft of work spaces and seminar spaces to the expansion from 2011, for researchers to increase the capacity of this center for faculty and graduate trainees. The funding support for the RDC is provided through SSHRC. The project was completed in July 2012, and over 40 active projects are currently using these facilities.

While the cost to the University of operating and servicing research spaces exceeds \$2M per year, only a small portion of these costs is allocated to the indirect costs of research grant.

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Section II - Research Resources

Expenditures

Was your grant invested, completely or partially, in any of the following ways?

Note that A and B are not exclusive (i.e. for any given category, if you have covered both existing and new expenditures, you would check both A or B).

Expenditure category	A) The grant covered existing expenditures	B) The grant covered new expenditures (not previously covered by grant)	C) The grant did not cover this category	In which category was the largest proportion of your 2012-2013 grant invested?
1. Acquisition of library holdings (journals, books, collections, periodicals, Canada National Site Licensing project, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Improvements to electronic information resources (access to databases, telecommunications systems, information technology systems, and research tools) (excluding technology to track grants and to provide financial services - see Section III)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Library operating costs and administration (custodial, security, maintenance, utilities, leasing, capital planning, staff salaries)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Insurance on research equipment and vehicles	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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Section II - Research Resources (continued)

Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?
- what proportion of the acquisitions and operating budget of the library is covered by the Indirect Costs Program?
- do you participate in inter-institutional consortia or partnerships to assist in cost reduction in this expenditure category?

25% of the Indirect Costs of Research Grant is directed to York University Libraries' collections budget to continue build excellent collections, both electronic and physical, to support the teaching, learning and research endeavors at York.

In 2012-13, the overall collections budget was \$10.8M. Roughly 70% of that budget is directed to the purchase of electronic resources, comprising ejournals, ebooks and increasingly other electronic and digital content in a variety of formats including data, evideo, eaudio etc. In addition, significant funds are directed to the acquisition of unique archival and special collections materials to support research interests of our faculty.

York University Libraries has identified the advancement of research as priority one in their Integrated Resource Planning citing that the libraries have a dual role in the York research arena - "to provide relevant collections, expanding our digital and data cyberinfrastructure, and highlighting and disseminating York's research accomplishments to new audiences. Librarians also actively contribute to the creation of knowledge. One of the objectives to achieve the priority is to make York research collections easily discoverable anywhere and anytime. York's Strategic Research Plan reflects key initiatives led by York University Libraries that support the institution's overall research mission including hosting York's institutional repository (YorkSpace), hosting and supporting York's instance of Open Journal Systems (OJS) which is the home of 35 York-based online journals, the majority of which are open access. York's research librarians are active stewards of York's research assets and advance York's research culture and reputation by providing leadership and infrastructure for emerging data-driven research methodologies such as those seen in the emerging digital humanities.

The indirect costs of research grants contribute to ensuring the ongoing sustainability and growth of these various research-related initiatives as well as ensuring the acquisition of relevant collections, especially digital collections, increasing accessibility to all researchers.

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Section III - Management and Administration

Expenditures

Was your grant invested, completely or partially, in any of the following ways?

Note that A and B are not exclusive (i.e. for any given category, if you have covered both existing and new expenditures, you would check both A and B).

Expenditure category	A) The grant covered existing expenditures	B) The grant covered new expenditures (not previously covered by grant)	C) The grant did not cover this category	In which category was the largest proportion of your 2012-2013 grant invested?
1. Institutional support for the completion of grant applications / research proposals.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Acquisition, maintenance and/or upgrade of information systems to track grant applications, certifications, and awards.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Eligible training of faculty and research personnel (excluding training to meet regulatory requirements - see Section IV)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Human resources and payroll	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5. Financial and audit costs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Research planning and promotion, public relations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Section III - Management and Administration (continued)

Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?
- do you participate in inter-institutional consortia or partnerships that assist in cost reduction in this expenditure category?

The amount of the FICR grant directed to management and administration was significantly reduced but the University not only made up the difference, it invested additional resources and created new structures in research management and administration in 2012-2013.

The support for research at York University exists in central units such as the Office of Research Services and Research Accounting. Other specialized advice and services is available for researchers in other central units providing research support such as Procurement, Insurance and Risk Management, the Counsel's Office and Information Technology. Local support is provided in the Faculties, both pre-award and post-award. In 2011-12, the Office of Research Services provided pre award support in grants administration services (6 FTEs), research contract and agreement services including IP, technology transfer and commercialization (4 FTEs), Knowledge Mobilization (2 FTEs), and specialized support for large-scale partnership and network grants (3 FTEs).

In 2011-2012 plans for new research management structures were begun enabling York to launch Innovation York and the Strategic and Institutional Research Initiatives group.

Innovation York's new industry-liaison stream offers a single point of contact for researchers and trainees seeking industry partners and for companies seeking academic partners. Under the leadership of Sarah Howe, director of Innovation York, the industry-liaison stream has expanded from solely developing relationships with companies in York Region to developing relationships with companies throughout the province, Canada and globally. This will provide opportunities to researchers and trainees to work with industry and to create innovative research projects. The services provided under the industry-liaison stream include: 1) creation and support of partnerships between industry and academic researchers to develop basic research projects, applied research projects and internship opportunities; 2) access to knowledge about government academic-industry matching programs to leverage industry funding; 3) market expertise, including access to market research data from leading analyst organizations.

York also launched the Strategic and Institutional Research Initiatives (SIRI) unit within the Office of Research Services. The SIRI unit focuses on supporting York faculty on developing applications for large-scale and institutional research funding programs. This is done through designing and implementing the internal administrative and competition processes (identification of funding sources, develop internal processes, etc) for research programs, including Canada Foundation for Innovation (CFI), Ontario Research Fund Research Excellence (ORF-RE) program, Ontario Early Research Award (ERA) program, Canada Research Chairs (CRC) program, Ontario Post-Doctoral Fellowship (PDF) program and large-scale tri-council opportunities valued at \$1 million or more or have an institutional focus.

The Unit's services primarily focus on supporting and assisting faculty/researchers in the development and preparation of applications (including budgeting, securing of York resources in support of large-scale applications, as well as strategic and administrative review). Additionally the Unit functions as the institutional liaison with several funding agencies, government, and industry partners. Finally, the Unit works closely with researchers and funding agencies to ensure compliance with all reporting requirements.

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Section III - Management and Administration (continued)

Impact Statement

These investments are critical for York researchers as they are the primary supports for attracting research income. In 2012-2013 York led all Canadian universities in large scale SSHRC grants with ten active large scale grants (MCRI, CURA, Cluster, Partnership Grant). This success in attracting large scale partnered grants is due in part to the professional support services provided by York research management and administration services.

This wide-ranging cohort of professional staff with a broad knowledge base provides support and advice for individual researchers, research groups and teams. Collaborations and well-developed working relationships between central and local research support services ensure that any researcher has access to the most appropriate advice in the development of a project or the management of an award.

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Section IV - Regulatory Requirements and Accreditation

Expenditures

Was your grant invested, completely or partially, in any of the following ways?

Note that A and B are not exclusive (i.e. for any given category, if you have covered both existing and new expenditures, you would check both A and B).

Expenditure category	A) The grant covered existing expenditures	B) The grant covered new expenditures (not previously covered by grant)	C) The grant did not cover this category	In which category was the largest proportion of your 2012-2013 grant invested?
1. Creation and support of regulatory bodies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Training of faculty and other research personnel in health and safety, animal care, ethics review, handling radiation and biohazards, and environmental assessments	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. International accreditation costs related to research capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Upgrades to, and maintenance of facilities and equipment to meet requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5. Technical support for animal care, handling of dangerous substances and biohazards	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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Section IV - Regulatory Requirements and Accreditation (continued)

Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?
- to what extent is compliance with Canadian and international regulations required to access research funds from international sources?

The most significant difference the FICR grant investment has made this year was to afford the continued development of the move to a completely electronic submission and review process for ethics documentation. The online system was made fully operational in January 2011 and since that time we have continued to develop and implement further upgrades to the system in order to better facilitate the submission and review process both for users and REB members and administrators alike. This system allows researchers and REB members alike to access the ethics review process at anytime and anywhere. It ensures the timely and effective submission and review of all research ethics documentation associated with research involving human participants. The system has afforded greater flexibility and accessibility of the ethics review process and most importantly ensured a more efficient and effective ethics review cycle. The review process is now substantially less reliant on paper document management which has increased our data security and retrieval ability. Our document management and retention processes have been markedly improved over the past two years as a result.

In addition the grant has further served to augment the growing regulatory interpretation, advisory and consultative services provided by ORE to researchers for the purposes of ensuring awareness of relevant regulatory requirements as well as the necessity and responsibility for compliance with same. The Office of Research Ethics continues to provide significant number of education and outreach activities throughout the year ranging from the "ethics 101" workshop provided to both faculty and student researchers to seminars on responsible conduct of research to the one on one training sessions provided to students, faculty and administrators alike. With the advent of the Framework for Responsible Conduct in Research, the Office of Research Ethics has provided considerable support for the interpretation and implementation of the Tri-Agency policy across institutional divisions.

Through the provision of consultative, advisory and training services, ORE ensures all researchers (faculty and student) and administrators receive the advice and direction they need with respect to ethics policies, procedures, processes and protocols as well as with respect to the responsible conduct of research. The extensive outreach and education provided ensures a compliant and effective ethics protocols submission and review process. The focus of our ethics education and outreach activities is to provide information, advice, and direction as to current University research ethics policies, processes and procedures for research involving humans, animals and biological agents as required by both the TCPS2, Framework on Responsible Conduct of Research and York University Senate Ethics Policies as they speak to both research involving humans, animals and biological agents as well as responsible conduct of research. To ensure as wide an audience as possible as well as to ensure as broad based an understanding of ethics policy as possible, ethics and outreach activities were targeted to staff, faculty, students, senior administrators and even external researchers and administrators. Alison Collins Mrakas, Senior Manager & Policy Advisor, Research Ethics, sits as the external ethics representative for Seneca College.

Recognizing the need to address context and discipline specific concerns, ORE continues to liaise with Faculties and departments for the purposes of identifying and addressing issues as they emerge. ORE also consults regularly with external ethics offices to better understand alternate regulatory interpretations and to ensure our policy implementations are in line with others. Our consultative and outreach processes have further improved compliance

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Section IV - Regulatory Requirements and Accreditation (continued)

Impact Statement

and regulatory knowledge of faculty and the research community writ large.

The impact of the educational and outreach activities was enhanced ethics resources and services that served to address specifically the needs of senior administrators and researchers in meeting the requirements of the TCPS2, Senate ethics policies (research involving humans, animals, biological agents; responsible conduct of research) and other relevant ethics regulatory mechanisms. Currently, as a consequence of our consultative, advisory and educational services compliance with regulatory guidelines has improved. Similarly, there is also a greater knowledge of research ethics and research conduct policies and procedures within and across the University's research community as evidenced by the caliber of research ethics protocols submitted.

As the continuation of the research enterprise at York University is predicated on full compliance with all relevant regulatory mechanisms, the FICR funding directed to these activities is absolutely crucial. Unless faculty/researchers and senior staff receive the necessary education on matters relating to ethics policy, procedures and protocols and receive the requisite advisory and consultative support services to apply the policies and procedures appropriately and effectively, there is a risk that they may proceed with their research in a manner that is not compliant with and/or contravenes the federal ethics guidelines and/or other relevant ethics regulations putting the University at serious risk of being found non-compliant. Given that potential sanctions for non-compliance are imposed at the University level and can result, therefore, in all research funding being withheld from the institution – as opposed to individual researchers – compliance with federal and Senate ethics policy and procedures is a matter of serious concern and remains an important element of our effect research administration.

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Section V - Intellectual Property

Expenditures

Was your grant invested, completely or partially, in any of the following ways?

Note that A and B are not exclusive (i.e. for any given category, if you have covered both existing and new expenditures, you would check both A and B).

Expenditure category	A) The grant covered existing expenditures	B) The grant covered new expenditures (not previously covered by grant)	C) The grant did not cover this category	In which category was the largest proportion of your 2012-2013 grant invested?
1. Creation, expansion, or sustenance of a technology transfer office or similar function	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Administration of invention patent applications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Support for technology licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Administration of agreements and partnerships with industry	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Administration of agreements and partnerships with the public sector (federal, provincial, municipal governments; including health, education, and social services)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Section V - Intellectual Property (continued)

Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?

The Federal Indirect Cost grant allowed York to continue support for research outreach and engagement which includes, but is not limited to, Intellectual Property. This has created benefits for York over a number of years and in 2012-2013 this investment continues to provide returns on this investment.

York received 24 Invention Disclosures and filed four patent applications in 2012-2013. From this base York has moved four technologies into commercialization pathways, executed four IP agreements, has optioned one technology to a partner, and has founded a start-up company. This start-up company, Kaypok Inc., was spun off from York University research with support and funding from MaRS Innovation. The company uses a contextual natural language process to automatically interpret the meaning of raw data — without analysts, advance preparation, special databases or lag time. The technology filters, categorizes, identifies meaning and measures the root cause and emotions buried within unstructured text to understand what people are saying and feeling. It allows users to spend less time analyzing their data and more time acting on unbiased, real results. Kaypok Inc. has been very successful in raising over \$400,000 in non-dilutive seed capital and has partnered with leading financial, entertainment and communications companies to produce real-world case studies and trials that demonstrate the power of its technology. Its membership in MaRS innovation and maintain an additional commercialization professional on a part-time basis.

In addition to supporting industry liaison, technology transfer and entrepreneurship, the Federal Indirect Cost Grant also supported York's knowledge mobilization activities. York is Canada's leading knowledge mobilization university with three full time staff (2 funded by VPRI and 1 SSHRC funded) supporting connection of our researchers and students with organizations seeking to engage with research to inform decisions about public policy and professional practice. The contribution of research to decision making can take years to manifest in new policies and services. One example of this impact is the Youth Emergency Shelter of Peterborough (YES). YES had two challenges: 1) structural budget deficit (Ontario Works paid for only 2/3 cost of a head in a bed); and, 2) a revolving door where youth were admitted in crisis, got stabilized, left YES only to return again in crisis.

York's Knowledge Mobilization Unit supported a collaboration between a PhD student and YES. This collaboration resulted in the development of a life skills mentoring program. This program worked with local college social work students to train them as mentors for the youth in crisis. The students were already in practicum placements working in YES cleaning, cooking and doing repairs. Now the social work students are mentoring and are getting a better practicum experience. YES only employs students who have been mentors so YES gets better trained employees. The program didn't reduce the revolving door but it reduced the length of stay so reduced resource utilization. YES "sold" the program to Children's Aid and John Howard Society delivering life skills mentoring for those large non-profits, creating a revenue stream from operations. This turned YES into a social enterprise where they were generating revenues from operations. And because they were now delivering training programs they became eligible for over \$60K annually in Ministry of Training Colleges and Universities funding helping to address their structural budget deficit.

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Section V - Intellectual Property (continued)

Impact Statement

The graduate student, Naomi Nichols, published 4 papers, won the thesis prize for the PhD thesis from the Faculty Education at York and has a book working its way through U of T press illustrating the academic and community impacts accruing to both partners in the collaboration.

Supporting this type of excellent research outreach and engagement resulted in York being awarded a globally leading best practice award from the European Union based Knowledge Economy Network in 2012.

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Section VI - Overall Impacts

We strongly recommend that the Vice-President of research (or equivalent) answer the following questions pertaining to the overall impacts of the Indirect Costs grant.

1. Attraction and retention of researchers

Has the Indirect Costs grant contributed to the attraction and retention of high-quality researchers at your institution?

Yes No

If "yes", please provide an explanation.

The Indirect Costs grant has allowed York to provide excellent laboratory and studio facilities, specialized research services and library services which help York to continue to attract and retain top researchers. In 2010-2011 York hired 14 tenure track researchers. In 2011-2012 York hired 39 tenure track researchers. And in 2012-2013 York hired 56 tenure track researchers, an increase of 43% over the number hired last year.

Some of these new hires are new faculty members who have chosen to come to York to start their research careers. However, others represent mid-career researchers locating their research programs to York as a result of our excellent research and collaboration opportunities. Christian Haas joined York from the University of Calgary as a new Canada Research Chair (CRC) in Arctic Sea Ice Geophysics.

Haas, a professor of geophysics, in the Department of Earth & Space Science and Engineering in the Faculty of Science & Engineering, is examining the underlying reasons for the recent, rapid retreat of Arctic sea ice and the consequences for the Arctic climate system and ecosystem, for Northerners, and for better access to Arctic resources and shipping routes. His research also addresses the role of changes in winds and ice drift as well as of variations in atmospheric radiation and temperature and ocean salinity and temperature on ice thickness and areal coverage.

A thorough understanding of the reasons for the recent Arctic sea ice decline will help fuel predictions of future scenarios and identify links to possible human-induced causes for climate change.

Attracting mid and late stage career faculty is a key component sustaining leadership in research. The research services and facilities enabled by the indirect cost program help create an attractive environment for new and mature scholars.

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Section VI - Overall Impacts

2. Attraction of additional funding

Has the Indirect Costs grant contributed directly to your institution's ability to attract additional funding to support the research environment?

Yes No

If "yes", please provide an explanation.

The facilities, resources and research support services enabled by the FICR grant allow York to be competitive in externally funded research. In 2012-2013 York was awarded an additional 2 SSHRC Tier II and 2 SSHRC Tier I Canada Research Chairs illustrating our success in tri-council funding.

York is also successful in non-tri-council funding competitions. The Canadian International Development Agency (CIDA) awarded York University almost \$6.2 million to lead two major research projects.

The York Centre for Refugee Studies at York University, will lead Borderless Higher Education for Refugees (BHER), an international project that engages multiple Canadian and Kenya-based institutions. It will receive more than \$4.5 million in CIDA funding over five years and could serve as a model in other marginalized communities throughout the world that seek to achieve access to higher education.

The goal is to improve equity in higher education, prepare local uncertified refugee teachers, improve teaching practices for better student achievement at elementary and secondary levels, and provide a number of university degree programs in and around the Dadaab refugee camps in Kenya.

The York Institute for Health Research, will lead a major international project on the key labour market causes of chronic unemployment and poverty of persons with disabilities. The project will receive more than \$1.6 million in CIDA funding over five years and more than \$1.3 million in matching funding from Canadian partnership organizations. It will focus on primarily urban areas, including Bangladesh (Dhaka), India (Hyderabad) and Nepal (Katmandu), and will impact the decision-making of small- and medium-sized enterprises in the hiring and promotion of people with disabilities.

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Section VI - Overall Impacts

3. Redirection of funds

In the case of a number of institutions, the incremental impact of the Indirect Costs Program includes not only the results of investing the grant itself, but also the results of the other investments the institution is able to make by re-directing its own funds away from the areas covered with the grant. These impacts may be in the area of research support or also in the institution's renewed ability to meet the other aspects of its mandate.

Has your institution redirected some of its own operating funds as a result of the Indirect Costs Program?

Yes No

If "yes", please provide an explanation.

In 2012-2013 York began the process of selecting a new enterprise research data system. This involved participation from across the university including Faculties, University IT, procurement, Research Accounting, Office of Institutional Research and Analysis as well as every unit within the Division of Vice President Research & Innovation.

VPRI recognized in the winter of 2010 that the system in place to track research grants was not meeting the needs of the University. A business case was developed and approval received from the Vice-President Research to replace the system. Business processes in Research Services were reviewed and information gathered through an RFI process to meet with potential vendors and allow Research Services and the Office of the VPRI to validate needs. Through an eventual RFP process, Wellspring Worldwide was selected as the most appropriate vendor. Their research knowledge management system called "Sophia" met the requirements of York. The system will initially be managed in the Office of Research Services, but has the ability to be accessed locally in the Faculties and by other Research Service Providers such as Research Accounting (Finance), and to have Researchers initiate their own research project files (later stage). These factors were considered crucial in the selection process. Overall, Sophia will improve efficiency in data gathering, data and file management and reporting. It is hoped that the eventual benefit will allow integration with the PSoft Financial system to add further value.

The FICR grant has supported research activities allowing some institutional resources to be directed to vendor selection. In 2013-2014 and onwards, the FICR grant and institutional resources will fund the implementation and operation of the SOPHIA system.

4. Other overall impacts

If the Indirect Costs Program has had other overall impacts on your institution, which were not listed in the previous questions, please provide details.

Led by the Office of Vice President Research & Innovation, York advanced two major policy projects inn 2012-2013. York completed a review of the 28 Organized Research Units. This included a review by an external committee. The reviewers addressed high level questions and provided several recommendations for enhancements that would optimally position ORUs for success, including areas such as: the scope and diversity of the ORU landscape, engaged research and membership, governance, administrative support, optimizing ORU spaces and enhancing support for ORU director leadership.

York also completed consultations on it's first Strategic Research Plan since 2003. The SRP will support the University's research vision to better understand the human condition and the world around us and to employ the knowledge gained in the service of society as described in six intersecting themes and it will identify five areas of opportunities that complement past accomplishments, new developments, momentum and timing, to provide particular opportunities for building research success. Through this plan, the University will implement the objectives set out for research in both the University Academic Plan and the Provost's 2010 white paper, which identify research intensification as a key University goal and recognize research as a core endeavour that broadly enriches the institution.

The SRP will be brought to Senate for university approval in 2013-2014.

Indirect Costs Outcomes Report

File Number

P0079

Section VII - Public Disclosure Requirement for Institutions

As of June 30, 2012, institutions are required to post a few elements of information on the indirect costs of research and the Program on their website. Please copy and paste below the URL of the webpage where this information is posted.

<http://www.yorku.ca/research/about/indirect-costs.html>

Section VIII - Your comments

Describe any problem you have experienced with the Indirect Costs Program, suggest improvements to the program, or highlight particular successes of the program at your institution.

York has not experienced any problems with the administration of the Indirect Costs Program. York continues to advocate full recovery of the indirect costs of research, estimated to be 40% of direct costs. York also advocates for indirect costs to be shared equally across all academic research institutions.