

Indirect Costs Outcomes Report

File Number P0079

Main Contact Information

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Statement of Account

Total Indirect Costs Funds available in 2013-2014	A	\$5,163,546
Expenditures incurred in 2013-2014		
Facilities		\$1,370,788
Resources		\$1,280,420
Management and Administration		\$1,796,737
Regulatory Requirements and Accreditation		\$183,027
Intellectual Property		\$532,574
Total Indirect Costs expenditures incurred in 2013-2014	B	\$5,163,546
Outstanding Commitments <small>(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.)</small>		
	\$0	

Health Research Affiliates

For organizations with health research affiliates only: for each area of priority, indicate the actual amount of your 2013-2014 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 2013-2014 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?

High quality research requires high quality research facilities. It is not sufficient to secure operational funding without knowing that the facilities to house personnel and equipment are available and constructed (or renovated) to house the research team. The primary use of the 2013-2014 FICR grant for Facilities was used to bring Campus Services & Business Operations (CSBO) into providing full service for CFI applications. Bringing CSBO in at the front end for accurate quotes on renovations, hook ups and new builds makes for a smoother CFI finalization process and minimizes the chances of cost over runs in the implementation phase. Three examples of CSBO involvement in the development of highly competitive CFI applications supported in 2013-2014 are illustrated below:

1. CFI grant for Researcher/Prof.: Regina Lee, Department of Earth & Space Science & Engineering

- Location: Petrie Labs 002,003 and 010
- Purpose: CFI grant application for expansion of existing lab and utilization of room 010 to accommodate miscellaneous functions of the research project such as: equipment testing and assembly for micro-fabrication lab, cleanroom preparation lab space and operation lab space.
- Size: 1,438 sq. ft.
- Project Value: \$479,147

2. CFI grant for Researcher/Prof.: Michael Daly, Department of Earth & Space Science & Engineering

- Location: Petrie Labs 402 and 427B
- Purpose: CFI grant application for renovation/modification of existing labs 402 and 427B to accommodate new equipment and testing for climate simulations (environment of extreme conditions).
- Scope of work: add fume hoods and eye wash stations in both labs, provide structural support for new vacuum chamber and provide electrical outlets to support new equipment.
- Size: 1,190 sq. ft.
- Project Value: \$267,744

3. CFI grant for Researcher/Prof.: Jennifer I-Ling Chen, Department of Chemistry

- Location: Chemistry Building, lab 445A
- Purpose: CFI grant application to provide space, electrical and mechanical services for new equipment (Glove Box).
- Size: approx.. 56 sq. ft.
- Project Value: \$3,276

In addition to supporting on CFI and other grants CSBO is involved in almost every new hire to ensure that office, lab and studio space (as appropriate) is available and meets the researchers' needs.

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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 2013-2014 grant invested?
1. Acquisition of library holdings (journals, books, collections, periodicals, Canada National Site Licensing project, etc.)	<input checked="" type="checkbox"/>	<input checked="" 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?

In 2013-2014 York allocated 24.8% (\$1,280,420) of the FICR grant on Libraries. This helped to supplement the overall acquisition budget of \$10,608,967 representing approximately 12% of the Libraries acquisitions budget. The additional FICR grant monies helped support the continued access to existing resources (in a variety of formats including extensive electronic subscriptions) as well as initiating subscriptions to new products that were identified by faculty as being necessary to support existing as well as new and emerging programs.

The most significant change from the previous year relates to the drop in the Canadian dollar. In 2012-13, our dollar was strong; that strength was not sustained throughout 2013-14, which meant that our buying power was reduced. The majority of our expensive e journal and database subscriptions (for example in STEM) come from American vendors and publishers and are invoiced in US dollars.

If these FICR funds had not been made available, the Libraries would be challenged not only in maintaining existing subscriptions but in meeting demand for new resources. Another major cost driver (besides fluctuations in currency) in this area is York's size since subscriptions are tiered and are frequently based on FTE. Fortunately, we are a member of two major inter-institutional consortia (CRKN - Canada Research Knowledge Network (formerly Canadian National Site License Project (CNSLP) and OCUL - Ontario Council of University Libraries) ; collaborative licensing of content via these memberships allows us to gain access to needed content at competitive pricing.

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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 2013-2014 grant invested?
1. Institutional support for the completion of grant applications / research proposals.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" 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 reduced and paid for 100% of the salaries and benefits for Office of Research Services and Office of Research Accounting (total \$1,796,737). York paid for the salaries and services of 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 University Information Technology.

In 2012-2013 ORS opened the Strategic and Institutional Research Initiatives (SIRI) unit. In 2013-2014 this unit became fully staffed with a specialist position serving STEM disciplines and another specialist serving SSH disciplines with both splitting health depending on CIHR Pillars I & II (the STEM specialist) and CIHR Pillars III & IV (the SSH specialist). 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.

SIRI success included supporting a successful SSHRC Partnership Grant. Carla Lipsig Mumme (Dept. Social Sciences, Faculty of Liberal Arts and Professional Studies) was awarded a \$2.5M SSHRC Partnership Grant. This builds on the success of her SSHRC CURA "Canada's work world and the challenge of climate change: engaging the community". Working in the areas of Labour and Employment this funding enabled her to focus her research on: knowledge mobilisation on climate change and work; adaptation of work; employment; training; training for green transitions; work; employment and climate change.

SIRI also helped researchers secure over \$3M in NSERC CREATE funding. Diethard Boheme Dept. Chemistry, Faculty of Science (\$1.65M) and Doug Crawford, Department of Psychology, Faculty of Health (\$1.65M) both received NSERC CREATE Grants. Doug Crawford's was partnered with an institution in Germany enhancing the internationalization of York's research enterprise.

Innovation York, launched in fall 2012, completed its strategic planning in 2013-2014. Innovation York is committed to facilitating meaningful academic-industry collaborations and partnerships that adhere to the university policies on academic freedom and external engagement, in order to stimulate innovative research and ensure that innovations developed at York have the widest economic and social impact possible.

Innovation York's strategic goals include:

1. Enhance the brand of York as a research intensive university, with a mandate for industry partnerships.
2. Increase the number of academic-industry partnerships and the amount of industry research funding at York.

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Section III - Management and Administration (continued)

Impact Statement

- 3. Increase the number of commercialization activities and successful research outcomes at York.
- 4. Generate revenue from overhead and commercialization revenue.
- 5. Facilitate York's mandate to support the economic growth of York region.

Excellent research must be supported by excellent research administrators and managers. The FICR grant has allowed York to provide specialized research support services in industry liaison, commercialization and support for large scale grants.

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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 2013-2014 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 grant investment has made this year was to afford the continued development of ethics resources, review processes and procedures and in particular the continued and improved access to the electronic submission and review process for ethics documentation. Since the system became fully operational in January 2011, 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 important 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 three years as a result. Further, the online ethics review system affords greater data security and retrievability. These features greatly enhance our ability to assess a number of metrics – such as time of reviews, number of reviews, number of changes required, etc – which again speaks to improved research support services as well as compliance.

In addition the grant has further served to augment the growing regulatory interpretation, advisory and consultative services provided by Office of Research Ethics (ORE) to researchers for the purposes of ensuring awareness of relevant regulatory requirements as well as the necessity and responsibility for compliance with same. ORE 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 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 remains as a means 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 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. 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

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Section IV - Regulatory Requirements and Accreditation (continued)

Impact Statement

outreach processes have further improved compliance 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/Institutional 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 effective 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 2013-2014 grant invested?
1. Creation, expansion, or sustenance of a technology transfer office or similar function	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 2013-2104 this investment continues to provide returns on this investment.

Innovation York Activity FY2013/14

Research Agreements

Total Research Agreements: 542
 Government Funding Agreements: 202
 Industry Sponsored Agreements: 19
 Confidentiality Agreements: 27
 Material Transfer Agreements: 31
 Other Agreements: 263
 Total Value of Agreements: \$17,000,000
 Controlled Goods Screened: 6

Industry Liaison

Industry Interactions: 160
 Research Grants Supported: 30
 Commercialization Grants: 8
 Successful Commercialization Grants: 6
 \$ Commercialization Grants: \$325,000
 Invention Disclosures: 10
 Active Commercialization Projects: 14
 Patent Applications Filed: 7
 Total No. of Active Companies: 3
 License/Options Executed: 2
 Active License/Options: 5

Entrepreneurship

Companies Using MCC Space: 3
 Presentations Delivered: 21

Innovation York has also shown success in supporting Mitacs internship applications.

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Section V - Intellectual Property (continued)

Impact Statement

Fiscal Year MITACS Funding*

2011/2012 \$216,650
2012/2013 \$466,666
2013/2014 \$500,000

Knowledge Mobilization (KMb) Activity FY2013/14

Faculty Engaged in KMb: 22
Graduate Students Engaged in KMb: 8
Information Sessions – Internal : 76
Information Sessions – External : 54
Faculty Grant Team Support: 23
Brokering Opportunities: 22
Collaboration Opportunities: 30
KMb Projects: 5
KMb Activities: 9
Partnership Organizations: 14
Community Funding: \$57K
Contract Funding: \$10K
Federal Research Funding: \$2.4M
Research Summaries: 69 new

NeuroDevNet (www.neurodevnet.ca) is a Network of Centres of Excellence funding research, knowledge translation and training on childhood neurodevelopmental disorders (Fetal Alcohol Syndrome Disorder, Cerebral Palsy and Autism Spectrum Disorder). In the summer of 2013 NeuroDevNet invited York University’s KMb Unit to be the host for the Knowledge Translation (KT) Core of NeuroDevNet. The KT Core provides services to support knowledge brokering, KT Events, KT Products (clear language research summaries, social media and videos), KT Training, KT Planning and KT Evaluation. Research summaries have been posted on the NeuroDevNet website and videos posted on the NeuroDevNet You Tube channel . The KT Core supported the Brain Conference 2013, CP In Motion Day and Jacob’s Story , a play about the experiences of families and children living with FASD that was informed by NeuroDevNet research. York’s KMb Unit is pleased to welcome Anneliese Poetz (Manager, KT Core) and Elle Seymour (KT Coordinator) who join David Phipps (Lead, KT Core) in providing these services to researchers, trainees and partners from across Canada.

York University partnered with United Way York Region and ventureLAB (a Regional Innovation Centre) to launch Community BUILD, a system of supports for social enterprise in York Region. In March 2014 Community BUILD ran a mash Up competition for community based social ventures focused on food security and youth employment. An open call was made for innovators and their supporters to submit ideas that addressed one or both of these grand challenges. Twenty nine ideas were submitted. Nine were selected to come to the Mash Up. Within 45 minutes of the first day these were down to four: one addressing food security, one addressing youth employment and two of them addressing both. Three teams became ventureLAB clients.

- Upstream New Gardens Initiative is a project of York Region Food Network that sought to build on its existing hydroponics facility and use sale of hydroponic lettuce to fund Jeremy O’Krafka, Mentor Networkfood awareness programs.
- Mentor Network seeks to match youth job seekers with experienced mentors who will use their own networks to help make a match between youth and the 80% of jobs that are never advertised through traditional recruitment

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Section V - Intellectual Property (continued)

Impact Statement

methods such as job fairs. Mentor Network will pilot with Seneca College students.

- Cultivating Opportunities builds on the established therapeutic connection between nature and young people living with mental illness and addictions to provide farmers with steady employees. Youth with lived experience of mental illness and addictions will work on the farm and be paid in vegetables that they can then sell as healthy food baskets in farmers markets or to office workers.

Community BUILD was covered by the Toronto Star on February 25, 2014 . Seneca College has recently joined as a new Community BUILD partner.

Supporting this type of excellent research outreach and engagement resulted in David Phipps, Executive Director, Research & Innovation Services receiving the Queen Elizabeth II Diamond Jubilee Medal for his work in knowledge mobilization.

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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. New tenure stream faculty hired recently include:

- 2010-2011 14
- 2011-2012 39
- 2012-2013 56
- 2013-2014 34

New hires were down in 2013-2014. This does not reflect a constriction of York's faculty complement. In 2013-2014 York had a total tenured/tenure track faculty complement of 1389, compared to 1382 for 2012-2013. Factors such as fewer retirees will drive the number of faculty positions available in any given year.

Among our new faculty in 2013-2014 is Geoffrey Kistruck who was hired with tenure as an Associate Professor in the Entrepreneurial Studies Program in the Schulich School of Business.

Dr. Kistruck comes to us from Farmer School of Business, Miami University where he was holder of the Cintas Chair in Entrepreneurship. Dr. Kistruck is the holder of the Chair in Entrepreneurship at Schulich. Dr. Kistruck's research interests focus on social entrepreneurship, innovation in base of the pyramid environments, and structuring market based solution to poverty alleviation.

He teaches two courses on social entrepreneurship and has research interests in: Business and Sustainability; Emerging Economies; Entrepreneurial Studies; Non-Profit Organizations; Social Innovation; and Social Organization. This appointment helps to support York's Strategic Research Plan under the opportunity "Supporting the Scholarship of Socially Engaged Research".

This is an important hire because Professor Kistruck left Canada after obtaining his PhD from Western University. The ability to repatriate an ex-pat Canadian helps to maximize the return on investment to Canada after investing in his undergraduate and graduate education.

High quality facilities, research resources and supports makes York an attractive destination for new faculty higher.

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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 FICR grant has allowed York to be successful in attracting other sources of funding for large scale grants. All research grant applications at York are supported by excellent research support personnel who are supported by this FICR grant (see Management and Administration). Two examples of large scale grants that were secured by York researchers in 2013-2014 are below. These examples illustrate the impact of the FICR grant on York's ability to secure funds which in turn creates an attractive environment for new faculty and trainees.

York University Distinguished Research Professor Marcia Rioux, in the School of Health Policy and Management, has recently received more than \$1 million in funding from the Swedish International Development Cooperation Agency and York University contributions to support the final phase of development of a global disability rights monitoring system. The funding will help to entrench and sustain the final phase of Disability Rights Promotion International (DRPI), a multi-year international, collaborative project to address disability discrimination, founded by Dr. Bengt Lindqvist, former UN Special Rapporteur on Disability, and Rioux, Founder and first Program Director of the MA and PhD programmes in Critical Disability Studies at York University.

York University Professor Tamara Daly will lead a research program studying the gendered health impacts of performing paid and unpaid care work for seniors in long-term care (LTC) settings. The professor has been awarded one of nine Canadian Institutes of Health Research (CIHR) research chairs in Gender Work and Health. The program, Working well: understanding how gender influences working conditions and health in long term care settings across Canada and internationally, will receive \$800,000 in CIHR funding over five years, to train and mentor the next generation of researchers and to transfer knowledge to decision makers and front-line care workers.

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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.

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.

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.

In 2013-2014 ORS and UIT led the implementation of SOPHIA. This involved using the FICR grant to redirect the efforts of one staff and one manager working with the Wellspring implementation team. Delays were encountered when we hit multiple HR data systems at York. The Implementation team is currently working with UIT and HR to map data sources into SOPHIA. We anticipate launching the database elements of SOPHIA in fall 2014.

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.

The FICR grant helped to fund staff time that lead to the approval of York's Strategic Research Plan by York's Senate. The plan supports 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:

- advancing fundamental discovery and critical knowledge;
- analyzing cultures and mobilizing creativity;
- building healthy lives and communities;
- exploring the frontiers of science and technology;
- forging a just and sustainable world; and
- integrating entrepreneurial innovation and the public good.

The plan also articulates five areas of opportunities that complement past accomplishments, new developments, momentum and timing, to provide particular opportunities for building research success. They include:

- digital cultures;
- engineering research that matters;
- healthy individuals, healthy communities and global health;
- public engagement for a just and sustainable world; and
- scholarship of socially engaged research.

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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.