DALHOUSIE UNIVERSITY

Research Support Fund

Accountability and Public Acknowledgment

updated June 2020

Public acknowledgment

1. *definition of the indirect costs of research, along with concrete examples of the types of expenses incurred by the institution in managing the research funded:*

   Research funding provided through the granting agencies (the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC)) is generally limited to direct project costs (e.g., research equipment, research assistant salaries, etc.). Institutions whose researchers receive funding for research also incur costs to manage their research enterprise. These are often called "indirect costs of research." These costs include, for example, the costs of maintaining modern labs and equipment; costs of providing researchers with access to up-to-date knowledge resources; costs of managing and administering research; costs of meeting regulatory and ethical requirements; and costs of transferring research results to knowledge users.

   Examples of the types of expenses incurred at Dalhousie University and affiliate hospitals in managing the research funded are:

   - research space facility fees, e.g., custodial, maintenance, security, utilities and insurance, and research equipment maintenance
   - electronic data access and resources including technical support, e.g., portion of library operating costs
   - Research Services' staff assistance and oversight
   - regulatory compliance including human and animal ethics certifications and research integrity and scholarly misconduct services
   - research commercialization and intellectual property services and support through the Industry Liaison & Innovation office.

2. *description of the Research Support Fund program and link to the program's website:*

   The federal government Research Support Fund program assists Canadian postsecondary institutions and their affiliated research hospitals and institutes with the indirect costs associated with managing the research funded by the three federal research granting agencies:

   - the Canadian Institutes of Health Research (CIHR);
   - the Natural Sciences and Engineering Research Council (NSERC); and
   - the Social Sciences and Humanities Research Council (SSHRC).

Every year, the federal government invests in research excellence in the areas of health sciences, engineering, natural sciences, social sciences and humanities through its three granting agencies. The Research Support Fund program reinforces this research investment by helping institutions ensure that their federally funded research projects are conducted in world-class facilities with the best equipment and supports available.

Research funding provided through the granting agencies (CIHR, NSERC and SSHRC) is generally limited to direct project costs (e.g., research equipment, research assistant salaries, etc.). Institutions whose researchers receive funding for research also incur costs to manage their research enterprise. These are often called "indirect costs of research." These costs include, for example, the costs of maintaining modern labs and equipment; costs of providing researchers with access to up-to-date knowledge resources; costs of managing and administering research; costs of meeting regulatory and ethical requirements; and costs of transferring research results to knowledge users.

Eligible institutions receive an annual grant through the fund to defray a portion of the indirect costs incurred to support federally funded research. The program (formerly known as the Indirect Costs Program) was introduced in 2003 as part of the federal government's strategy to make Canada one of the world's top countries in research and development.

More information on the Research Support Fund program can be found on the website:

http://www.rsf-fsr.gc.ca/about-au_sujet/index-eng.aspx

3. *list of Dalhousie University affiliated institutions:*

- Nova Scotia Health Authority
- IWK Health Centre

See attached Affiliated Organizations Validation Form.

4. *overview of how the institution allocates its grant funds under each of the five categories:*

The Research Support Fund Grant is included as a revenue source to the University Operating budget and helps defray a portion of these costs which are imbedded in the various responsibility centres in the operating budget. For example, a portion of the grant supports utility costs for research space on University campuses which are included in the University budget for Energy, Water, Taxes and Insurance. Most of the costs supported by the grant are ongoing. Where the federal government allocates increased Research Support Grant funding to the University, it is allocated to the various categories based on the cost drivers for each category. As an example, as additional space is provided for research activities, the grant allocated for the maintenance and insurance of space is adjusted.

The University directs funds to specific research initiatives and the following is a key strategic direction for Dalhousie over the next several years which will require funding support to achieve:

Expand the opportunities for research, scholarly and artistic work

- Direct and attract resources to priority research areas, with local, national and international importance
- Attract and retain outstanding professors
- Attract and support excellent graduate students and postdoctoral fellows to strengthen the impact of research
- Foster undergraduate research
- Enhance research with state-of-the-art facilities and resources in accordance with the Institutional Framework for the Support of Research.

The hospitals allocate funding from the Research Support Fund to various initiatives including to maintain and revitalize existing research space and equipment; provide systems required to support research; support the administration of new research initiatives; supplement Research Ethics administration; and maintain lab safety and certification requirements.

For 2020/21, the Research Support Fund (RSF) grant to Dalhousie University (including affiliate hospitals) was $8,152,135, and the RSF Incremental Project Grant (IPG) was $1,009,115. These funds were allocated accordingly:

Research Support Fund ($8,152,135):

Research Facilities	$2,754,123
Research Resources	$1,372,538
Management and Administration	$3,252,783
Regulatory Requirements and Accreditation	$617,048
Intellectual Property	$155,643

Incremental Project Grant ($1,009,115):

Facilities Renewal	$836,418
Information resources, including digital resources, open access and databases	$84,441
Innovation and Commercialization Activities / Facilities Renewal	$88,256

Setting and reporting on institutional performance objectives

5. *Identify institutional performance objectives for the grant. Objectives should be in accordance with how the institution chooses to invest its grant in either one, several or all five of the eligible expenditure categories, and must include corresponding indicators and target outcomes:*

Research Support Fund
2020 - 2021

Eligible expenditure category	Output (investment or expense of RSF grant funds)	Performance Objective	Performance Indicator	Target Outcome
Research Facilities	Support for Core Facilities	Promote development and growth of Core research facilities and multi-user space	Core facilities offer centralized research equipment and expert technical support to broader research community	Core facilities provide effective and efficient usage of research resources under a sustainable operations model
Research Resources	Implementation of UniWeb	Simplify workflow processes and support the reuse of data	Implementation of Faculty annual reports	Reduced administration time for researchers
Management and administration of an institution's research enterprise	Contract Project Manager to conduct a comprehensive operational assessment of institutional Core Facilities	Develop a principles-based management model for research lab facilities operations and sustainability	Implementation of standard operating procedures for research lab facilities	Long-term operation and sustainability of lab facilities
Management and administration of an institution's research enterprise	Harmonized Research Administration Management System	Feasibility assessment of an integrated research administration management system for provincial health research organizations	Development of a high-level future state vision for an integrated information management system	Integration of research administration information across a pan-provincial network to support the health research priorities of Nova Scotia
Intellectual Property (IP)	New position in Industry Liaison & Innovation office to support the Sustainable Ocean Signature Research Cluster	Support for research innovation and tech transfer in the oceans sector	Active engagement and collaboration with industry partners in the oceans sector	Increased industry partnerships and/or contracts with oceans sector

Incremental Project Grant
2020 - 2021

Eligible expenditure category	Output (investment or expense of RSF grant funds)	Performance Objective	Performance Indicator	Target Outcome
Facilities Renewal	Deferred maintenance undertaken in the Life Sciences Centre, Dalhousie University	Improve research labs	Labs are modernized for researchers with continued adherence to safety standards	Research labs are updated to current standards to facilitate world-class research
Facilities Renewal	Deferred maintenance undertaken in the Tupper Medical Building, Dalhousie University	Improve research labs	Labs are modernized for researchers with continued adherence to safety standards	Research labs are updated to current standards to facilitate world-class research
Information resources, including digital resources, open access and databases	Acquisition and implementation of a Service Delivery Communications Platform (IWK Health Authority)	Improve communications and information sharing across regulatory and administration resources	Reduced turnaround times for key operating activities and improved feedback review measures.	Shorter turnaround times for grant application reviews, ethics approvals, and other administrative activities.
Innovation and commercialization activities	Formation of a Research & Innovation Strategic Partnership Office, (Nova Scotia Health Authority)	Promote and facilitate industry and scientific partnerships	Increase the number of industry and scientific partnerships	Achievement of innovation priorities within the NSHA Research and Innovation Strategic Directions for 2020-21

RESEARCH SUPPORT FUND

Affiliated Organizations Validation Form

INSTRUCTIONS FOR FILLING OUT THE FORM

The list of affiliated organizations provided will be used to identify all the credits that will be attributed to the applicant institution in the grant calculation exercise for the Research Support Fund. It is the applicant institution's responsibility to provide complete and accurate information.

GENERAL INSTRUCTIONS

- ☐ Read the instructions on the program website prior to filling out this form (see both the Program accountability and public acknowledgment and the Apply to the program pages).
- ☐ Changes to this form (including corrections to errors) cannot be made once the form has been submitted to the program.
- ☐ Adjustments **will not** be made to an applicant institution's grant value in cases where incorrect information was provided in the form.
- ☐ **Incomplete forms, or those that do not follow the instructions, will not be accepted.**
- ☐ Ensure that all sections of the form are complete prior to submission.
- ☐ On the RSF-CRC Data Breakdown sharing site, upload the completed form **in MS Word format only** on or before the RSF grant application deadline. **IMPORTANT: Do not send the form as a PDF.**

FILLING OUT SECTIONS 'E' AND 'F' OF THE FORM

- ☐ Applicant institutions **must** include the formal names of their affiliated organizations. Do not use acronyms or abbreviations.
- ☐ Add as many rows as necessary to the tables in order to include all affiliated organizations. Place the cursor in the last row and column of the table and use the Tab key to add more rows; or, if you prefer, use the cut and paste function to add additional rows.
- ☐ **Enter only one affiliated organization name per row.** It is not necessary to identify the nature of the affiliation with the applicant institution; i.e., whether it is a primary affiliation, sub-affiliation or sub-sub affiliation.
- ☐ **Do not append any documents to this form. All affiliations must be entered into the appropriate sections and data fields of the form provided.**

SECTION A: APPLICANT INSTITUTION DETAILS

Applicant Institution	Dalhousie University
Name	Alice Aiken
Title	Vice-President, Research and Innovation
Telephone Number	902-494-6513
Email Address	alice.aiken@dal.ca

SECTION B: TERMS AND CONDITIONS OF RESEARCH SUPPORT GRANT FUNDING

It is agreed by submitting this form and applying for program funding that the conditions governing the Research Support Fund as outlined on the program website (http://www.rsf-fsr.gc.ca/home-accueil-eng.aspx) are hereby **accepted by the applicant institution and the future grantee** (i.e., president, rector, principal or other authorized representative of the applicant institution):

- The future grantee has reviewed the content of the form and attests that the information contained herein is accurate.
- The applicant institution confirms that it is eligible to receive funding from the Research Support Fund according to the program's eligibility criteria.
- Expenditures will be authorized in accordance with program policies and requirements as outlined in the program's financial administration guide, and no one will initiate or authorize expenditures from the grant account without the grantee's formal delegated authority.
- Where applicable, the transfer of funds to an affiliated organization(s) will take place only if a formal and valid affiliated organization agreement is in place for the current fiscal year.
- The applicant institution will continue to meet all accountability and public acknowledgment requirements during the granting period.
- The institution will meet all accountability, public acknowledgment and reporting requirements at the end of the granting period.

CONFIRMATION OF GRANTEE

Name of Grantee (President, principal, rector or authorized representative of the institution):

Alice Aiken, Vice-President, Research and Innovation Date: June 19, 2020

Note: Entering the grantee's name and date on this form acts as the grantee's signature and confirms that all terms and conditions outlined above are accepted.

SECTION C: ACCOUNTABILITY AND PUBLIC ACKNOWLEDGMENT REQUIREMENTS

- Applicant institutions that are eligible to apply for a Research Support Fund grant **at or above the value of $25,000** must meet the program's accountability and public acknowledgment requirements. In the table below, provide the website link to the applicant institution's web page where the Research Support Fund's accountability and public acknowledgments requirements have been met.

Accountability and Public Acknowledgment Requirements	Applicant Institution's Website Link
Public Acknowledgment	https://www.dal.ca/dept/research-services/resources/ResearchSupportFund.html
Institutional Performance Objectives *(Research Support Fund grant at or above the value of $530,000 only)*	https://www.dal.ca/dept/research-services/resources/ResearchSupportFund.html

- Provide an overview of the institution's Research Support Fund **communications strategy**. Note that at the end of the granting period, institutions must report on how they implemented their Research Support Fund communications strategy in their **annual outcomes report**.

Research Support Fund Communications Strategy
Dalhousie University and affiliate hospitals will promote the Research Support Fund throughout the year. It is anticipated that two stories will be produced annually to acknowledge the Research Support Fund and the support it provides to the institutions. These stories will be posted in the Dalhousie Office of Research Services (ORS) Newsletter and, when appropriate, on the Today@Dal electronic notice board produced by the Dalhousie Communications & Marketing (C&M) department. The ORS newsletter is e-mailed weekly to the Dalhousie research community and Today@Dal is e-mailed daily by the C&M department to subscribers. The stories will be posted on the Dalhousie Office of Research Services website and made available to the local media. Additionally, the Research Support Fund program will be acknowledged, when appropriate, in outreach presentations to the research community.

SECTION D: NO AFFILIATED ORGANIZATIONS

- **Check** the appropriate boxes below (as applicable) **if your institution does not have** any health affiliated organizations or any other type of affiliations.

☐	**No affiliated hospital(s) or health research institute(s)**
☐	**No other affiliated organization(s)**

SECTION E: AFFILIATED HOSPITAL(S) OR HEALTH RESEARCH INSTITUTE(S)

- Indicate in the table below all affiliated research hospitals and health research institutes. Add as many rows to the table as necessary to include all health affiliates.
- The terms and conditions of the program stipulate that official and valid agreements must be negotiated with **ALL** affiliated research hospitals and health research institutes for the grant year, irrespective of whether or not program funds are being shared with the affiliate. Confirm, by checking in the appropriate box, that a valid agreement for the grant year has been signed with each of these affiliated organizations, or that a valid agreement will be in place prior to any transfer of funds (if applicable). Institutions may be asked to provide a copy of these agreements to the Tri-agency Institutional Programs Secretariat at any time.
- If the applicant institution is not affiliated with any hospitals or health research institutes, check the box provided in 'section D' above.

	Affiliated hospital or health research institute	**Valid agreement in place for the grant year**	**Agreement will be in place prior to transfer of funds**
1.	Nova Scotia Health Authority (formerly Capital District Health Authority)	☒	☐
2.	IWK Health Centre	☒	☐
3.		☐	☐
4.		☐	☐
5.		☐	☐
6.		☐	☐
7.		☐	☐
8.		☐	☐
9.		☐	☐
10.		☐	☐
11.		☐	☐

SECTION F: OTHER AFFILIATED ORGANIZATION(S)

- Indicate **ALL** other organizations affiliated with the applicant institution that meet the program definition of an affiliate (**excluding** any health research institutes listed above). Add as many rows to the table as necessary to include **all** affiliates. **Enter only one organization name per row.** If the institution does not have any 'other affiliations', check the box provided in 'section D' above.

Other affiliated organizations	
1.	Queen Elizabeth II Health Science Centre (NS)
2.	Victoria General Hospital (NS)
3.	Horizon Health Network (NB)
4.	Saint John Regional Hospital (NB)
5.	Schulich School of Law (NS)
6.	
7.	
8.	
9.	
10.	
11.	