

Indirect Costs Outcomes Report

File Number P0039

Main Contact Information

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Statement of Account

Total Indirect Costs Funds available in 2013-2014	A	\$3,559,359
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Expenditures incurred in 2013-2014

Facilities	\$1,925,610
Resources	\$772,381
Management and Administration	\$505,429
Regulatory Requirements and Accreditation	\$124,574
Intellectual Property	\$231,365
Total Indirect Costs expenditures incurred in 2013-2014	B \$3,559,359

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
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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 type="checkbox"/>
2. Upgrade, operations and maintenance of equipment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>
4. Technical support for laboratories, offices and other facilities (excluding technical support for animal care - see section IV)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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?

Statements made in this paragraph are presented here because the Facilities section of the report is the first of five and while these statements hold true for this section they are relevant throughout the entire report. These statements set the stage for what follows in the Impact Statements. UNB performs slightly less than 50 % of the research conducted in the Province of New Brunswick and performs approximately 75 % of the academic research in the province. UNB's research activity is fundamental to the social and economic wellbeing of the province, a role that the institution takes very seriously.

The province has always faced economic challenges which manifest themselves at UNB in the form of limited provincial financial capability to assist UNB with its infrastructure challenges including its research infrastructure. The ICP is the catalyst that allows UNB to support, and grow, its research enterprise. Without the ICP, we would not have been able to meet our obligations to the people, businesses and government of the province and without ICP in the future we will lose most if not all of the ground we have made over the last nine years.

The funds provided by the ICP allow us to deal, to some extent, with issues associated with research space, research equipment maintenance and upgrades that are required if our researchers and students are to be able to compete globally.

UNB has long recognized the need of high quality technical support for its research enterprise. We continue to be supported in this thinking by the New Brunswick provincial government through a funding partnership that cost shares with the University. The ICP allows us to take maximum advantage, where appropriate, of the provincial financial assistance.

In the last decade UNB successfully doubled its research enterprise and that places pressure on all resources required of the enterprise. We now find ourselves at a plateau, caused by resource limitation, including the number of engaged Faculty and space and facilities to conduct research and house graduate students and Post-Doctoral Fellows. As mentioned previously in this space, the age of the university's infrastructure coupled with our large deferred maintenance account magnify these challenges.

Note that the University of New Brunswick has not used the ICP to support CFI-funding equipment.

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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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3. Library operating costs and administration (custodial, security, maintenance, utilities, leasing, capital planning, staff salaries)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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?

ICP Funds provide UNB with the means to implement improvements to its electronic information resources crucial to the research enterprise. The growth of databases and their increased complexity, for example, exerts pressure on the university to provide the latest technology to its researchers. This support is necessary to attract new, young researchers and students, both fundamental to a healthy research enterprise.

ICP funds allow the university to maintain its Statistics Canada Regional Data Centre, a significant research resource utilized largely by our social science and humanities researchers, a sector we are having some success in building. The presence of this facility is the base for commitments from our provincial government to expand this facility with the goal of utilizing the university's capabilities in the area of evidence-based policy research and development. This initiative is having a significant positive impact on the relationship between the university and the provincial government and is allowing the university to achieve its goal of positively impacting the social and economic fabric of the province. Funds are also used to provide software site licences for discipline specific, high-end software required by various researchers. Such software includes applications such as geographic information, statistical manipulation and computer aided design.

The university participates in a number of significant inter-institutional consortia aimed at delivering maximum service related to research resources. These are: the Canadian Research Knowledge Network, the Council of Atlantic University Libraries, Consortia Canada, the Council of Prairie Provinces University Libraries, the Ontario Council of University Libraries and ACEnet, the Atlantic Canada high-speed computing network. The university also belongs to Interuniversity Services Inc. a purchasing group for Atlantic universities which facilitates group purchases of commonly purchased goods, some eligible under the ICP.

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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 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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?

UNB has utilized the ICP from its inception to assist in its research growth strategy and to support the management and administration infrastructure required by the strategy. Furthermore, the ICP has allowed the university to leverage other funds to achieve these goals. Personnel dedicated to pre and post award functions in the Office of Research Services have allowed the university to proactively manage and grow research enterprise.

The ICP funds have allowed the Office of Research Services to continue to partner with St. Thomas University in the funding of a pre-Award support officer dedicated to social sciences and humanities research. The funds also continue to support a post-Award (financial) officer dedicated to the detailed assessment of the eligibility of research expenditures, a function mandated by the Tri-Council. During the fiscal year reported here, the Office has continued to engage, by contract, a seasoned individual as a Risk Assessment and Support Officer. This person is being assigned to various files deemed to be either at risk or high risk in an effort to avert problems, either management and/or financial, before their occurrence.

The university relies on the ICP to assist in providing the human and physical resources needed to manage its research enterprise. These resources assist in our engagement of the private and public sectors in contract research and we are now seeing growth in this area through multiyear engagement of these sectors. The university views its research contract activities as part of the continuum of activity related to knowledge transfer.

Faculty members rely on research management and administrative support structures that have been developed and put in place in large part due to the ICP. The Program has allowed UNB to create the support mechanism that permits researchers to see that it is serious in its stated goal of growing and maintaining its research enterprise.

The bulk of the university's costs in this category are in support of human resources.

The University belongs to Interuniversity Services Inc. a purchasing group for Atlantic universities which facilitates group purchases of commonly purchased goods, some eligible under the ICP.

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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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 ICP is used by the university to assist in the support of its two Research Ethics Boards and its two Animal Care Committees. The duplication in research ethics and animal care stems from the fact that the University has two campuses, each requiring its own capabilities in these two areas. The university's single Biohazards Safety Committee's financial demands are minimal, but are destined to grow and the ICP will undoubtedly be called upon for increased support in the future. Therefore, with increased pressure on universities to assure themselves, their employees, their funders, and the public that they are operating appropriately in the areas of research ethics, animal care, biohazards and nuclear safety, the ICP is fundamental to an institution's financial ability to cope with these requirements. The ICP allows for human resources, instrumentation, and training to be available to researchers so that regulatory and accreditation requirements related to their research agendas are accommodated.

The bulk of the university's costs in this category are in support of human resources, both direct and related to training.

To date, the university has had limited pressure from international funders for certification / accreditation and where there has been pressure, our existing process and procedures which meet Canadian Tri-Council MOU requirements have been adequate. However, as our research enterprise grows and we receive an increased percentage of funds from international sources, we expect the issue of international, as well as Canadian, compliance to become more important.

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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 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 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 Office of Research Services at UNB is responsible for industrial liaison, intellectual property management and technology transfer. Staff tasked with these responsibilities work closely with each other, a necessity given the multitude of intersections that exist between these areas of activity. The introduction of the ICP allowed the university to resource these functions properly. As has been pointed out previously and is particularly relevant here, the availability of ICP funds has allowed the university to leverage significant additional funds to support these activities. It has allowed UNB to be a lead participant in the establishment of Springboard Atlantic, the regional technology transfer network. Without ICP, the university would not have been able to develop the capabilities that it now possesses in these areas of activity. The availability of these resources result in the provision of significant support to researchers and the establishment of a significant number of technology transfer deals, several of which have produced successful spinoff corporations which are now positively impacting the New Brunswick economy.

As pointed out previously, but bears reiterating, the expertise now resident in the Office of Research Services, due in very large part to the ICP, is having a significant positive impact on the university's research enterprise. The availability of this expertise to the university, its faculty, staff and its various administrative units allow the university to proactively fabricate and review from a sound knowledge base, complex research agreements.

The university is also able to establish and maintain complex research partnerships, examples being the establishment of four NSERC Strategic Networks at UNB with a fifth in the application stage. These are the first research networks to be based at UNB and the availability of the expertise in the Office of Research Services contributed significantly in the university's ability to attract and host these ventures. Similarly, UNB is recognized as a leading participant in NSERC Engage grants. This success was due to UNB's reputation as an institution that is "open for business" with the private sector, a reputation due in no small part to our strong ILO capabilities.

Simply put, the ICP grant allows the university to support these activities close to national proportions of magnitude relative to its research enterprise. Without the ICP the expertise would not be available to researchers and the research enterprise at UNB would shrink.

Again, in this category of expenditures, the bulk of the university's costs are in support of human resources.

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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.

High quality researchers require facilities, resources and research administrative support services on par with national and international standards. The ICP provides the funds to UNB to assist in meeting these standards. The ICP funds assist our ability to cover the costs associated with the five categories of research support detailed herein. Without this support, UNB would not be able to maintain the standards required of national and international calibre academic researchers.

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 ICP has allowed the university to consistently leverage funds from the New Brunswick government, specifically, Business New Brunswick, the New Brunswick Regional Development Corporation, New Brunswick Innovation Foundation and the New Brunswick Health Research Foundation. In addition, the institution has leveraged funds from the Atlantic Canada Opportunities Agency, the tri-councils and the NRC Industrial Research Assistantship Program.

The existence of modern laboratories, with properly maintained equipment supported by appropriate technical staff, all supported by professional research services office, has had a very positive impact on the university's research enterprise. Tangible evidence of this lies in the growth UNB has experienced in its research enterprise, including the expansion of its technology transfer investment portfolio.

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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.

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.

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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.

www.unb.ca/research/research.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.

Again this year, we urge the federal government to commit to a permanent ICP and do away with the cumbersome and time consuming processes involved in preparing and assessing the annual applications and reports associated with the grant. This recommendation was made in each of the last six years and we saw an improvement in the ease and effort required to make the applications. In addition, reporting is now less cumbersome than in the early years of the program. We thank the Secretariat for its efforts in this direction. The changes are noted and appreciated; however, we look forward to the day when the ICP grant becomes an automatic allocation.

The ICP grant at UNB has been a key component of the funding requirement to put in place the pre-award, post-award, tech transfer and industrial liaison services now provided by the Offices of the Vice President Research and Research Services. These services have aided considerably in the proactive support that the Offices are able to provide to researchers. This supportive atmosphere results in the engagement of faculty in the research enterprise to the extent that they have doubled research revenues to the university.

Within the context of the ICP, the funds it provides are the sole source of monies required to support the real and tangible costs that result from research activities that are directly funded by the federal granting agencies' research awards. Without these funds, every Canadian university's research enterprise would shrink to its pre-turn-of-the-century size.