

Indirect Costs Outcomes Report

File Number P0039

Main Contact Information

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Statement of Account

Total Indirect Costs Funds available in 2014-2015	A	\$3,538,546
Expenditures incurred in 2014-2015		
Research Facilities		\$1,697,983
Research Resources		\$727,707
Management and Administration		\$830,315
Regulatory Requirements and Accreditation		\$50,282
Intellectual Property		\$232,259
Total Indirect Costs expenditures incurred in 2014-2015	B	\$3,538,546
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 2014-2015 grant that was spent by your health research affiliates.

Research Facilities	\$0
Research 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 2014-2015 grant invested?
1. Renovation and maintenance of research facilities (excluding expenditures incurred to meet regulatory requirements - see Section IV)	<input checked="" type="checkbox"/>	<input 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?

The Indirect Costs Program (ICP) is an important program that allows UNB to continue to support its researchers and grow its research enterprise.

The continued growth of the research enterprise places pressure on the research facilities required of the enterprise. As the number of engaged faculty increases, so do the requirements for space and facilities to conduct research and house graduate students and post-doctoral fellows. The age of the university's research infrastructure also adds to these pressures. The province provides financial assistance to UNB which supports research infrastructure; however, the financial assistance is limited due to continued economic challenges faced by the province. The ICP funds allow UNB to alleviate and address some of the pressures. For example, ICP funds help address issues associated with space, equipment maintenance and upgrades that are required for our researchers and students. High quality researchers require facilities that are on par with national and international standards in order to continue to grow their research program and compete globally. Without ICP, UNB would not be able to meet our obligations to our researchers.

Even with the provincial economic challenges, the province continues to partner and cost share with UNB as it relates to high quality technical support for the research enterprise. ICP allows UNB to take maximum advantage, where appropriate, of the provincial financial assistance.

UNB does not use ICP funds to support CFI-funded equipment.

The majority of UNB's costs in this category are in support of research operations.

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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 2014-2015 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 continue to maintain and implement improvements to its research resources that support the research enterprise. In order to continue to support current faculty and students, and attract new researchers and students; UNB needs to ensure research resources are current to support their needs. ICP funds allow UNB to provide the latest technology in the areas of library resources and electronic information resources.

ICP funds allow UNB to provide software licenses for discipline specific, high-end software required by various researchers, such as, but not limited to, applications for geographic information, statistical manipulation and computer aided design. UNB also participates in a number of inter-institutional consortia aimed at delivering maximum service related to research resources, such as, but not limited to, Statistics Canada, AceNet and Compute Canada.

High quality researchers require resources that are on par with national and international standards in order to continue to grow their research program and compete globally. Without ICP, UNB would not be able to provide the quality of resources required to support our researchers.

The majority of UNB's costs in this category are in support of electronic information resources.

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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 2014-2015 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?

Since its inception, ICP has been utilized to support research growth, including the management and administration infrastructure to support research. The management and administration infrastructure primarily supported includes human resources in the areas of HR, financial services and the Office of Research Services (ORS).

In addition to supporting HR and financial administration; ICP funds support a financial officer dedicated to the detailed assessment of the eligibility of research expenditures, a function mandated by the Tri-council. ICP funds support personnel in ORS whose purpose is to support and grow the research enterprise. These personnel assist in the growth of grant success and contract research.

The ICP funds have allowed UNB to leverage other funds in order to provide increased assistance to further support research growth. UNB partnered with St. Thomas University in the funding of a pre-Award support officer dedicated to social sciences and humanities research. UNB is also a member of Springboard Atlantic, a network that provides resources to Atlantic Canadian universities and colleges to help them transfer knowledge and technology to our region's private sector. The leverage of Springboard funds enable UNB to provide further assistance to grow research through the development and growth of research partnerships.

High quality researchers require research administrative support that are on par with national and international standards in order to continue to grow their research program and compete globally. Without ICP, UNB would not be able to meet our obligations to our researchers.

UNB belongs to Interuniversity Services Inc., a purchasing group for Atlantic universities which facilitates group purchases of commonly purchased good, some eligible under ICP.

The majority of UNB's costs in this category are in support of human resources.

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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 2014-2015 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?

UNB is continually under pressure to assure that they are operating appropriately in the areas of research ethics, animal care, biohazards and nuclear safety. UNB's regulatory requirements and accreditation evolve around these four aspects. Biohazards and nuclear safety financial demands are minimal at this time; therefore, the ICP funds are used to assist the Research Ethics Boards (one for each campus) and Animal Care Committees (one for each campus). The duplication in research ethics and animal care stems from the fact that UNB has two campuses, each requiring its own capabilities in these two areas.

The ICP funds are instrumental in allowing UNB to meet the regulatory and accreditation requirements. These funds support human resources, instrumentation and training. Without the ICP funds, UNB would not be in a position to provide the current level of support to meet the regulatory and accreditation requirements.

UNB 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.

The majority of UNB's costs in this category are in support of human resources to support these regulatory bodies.

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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 2014-2015 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 Industry-Government Services (IGS) Group of the Office of Research Services (ORS) at UNB, which is comprised of research partnerships, and agreements and intellectual property, is responsible for industrial liaison, intellectual property management and technology transfer.

The ICP funds have allowed UNB to leverage significant additional funds, from Springboard Atlantic and others, to support human resources and activities within IGS. Specifically, the ICP funds have allowed the IGS group to develop capabilities to support researchers, to develop and maintain research partnerships, and to complete patenting, licensing and overall technology transfer opportunities. Without these funds, UNB would not be in a position to provide the current level of support.

The majority of UNB's costs in this category 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 funds provide UNB the support to achieve these standards. Without this support, UNB would not be able to maintain the standards required to attract and retain the high-quality researchers, support research growth and compete globally.

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 funds have allowed UNB to consistently leverage funds from the New Brunswick government, specifically the New Brunswick Innovation Foundation; New Brunswick Post-Secondary Education, Training and Labour; New Brunswick Regional Development Corporation; and New Brunswick Health Research Foundation. In addition, UNB has leveraged funds from the Atlantic Canada Opportunities Agency, Tri-council, and National Research Council Industrial Research Assistance Program. The ICP funds, along with the leveraged funds, continue to allow UNB to attract and retain high-quality researchers, grow its research enterprise and compete globally.

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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/vp/research-support-fund.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.

ICP funds allow UNB to continue to support its researchers and grow its research enterprise. The funds allow UNB to provide facilities, resources and services on par with national and international standards which are required to attract and retain high-quality researchers. In addition, the funds have been a key component to establishing the services offered by the Office of Research Services (ORS) and allow the office to continue to offer the level of service required by our researchers. Without ICP, UNB would not be able to meet our obligations to our researchers.