

# Indirect Costs Outcomes Report

File Number P0046

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## Statement of Account

<b>Total Indirect Costs Funds available in 2014-2015</b>	<b>A</b>	<b>\$856,000</b>
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## Expenditures incurred in 2014-2015

<b>Research Facilities</b>	<b>\$140,000</b>
<b>Research Resources</b>	<b>\$127,929</b>
<b>Management and Administration</b>	<b>\$302,056</b>
<b>Regulatory Requirements and Accreditation</b>	<b>\$146,965</b>
<b>Intellectual Property</b>	<b>\$139,050</b>
<b>Total Indirect Costs expenditures incurred in 2014-2015</b>	<b>B</b> <span style="border: 1px solid black; text-align: right;"><b>\$856,000</b></span>

**Outstanding Commitments** (The expenditure was incurred but the invoice was not paid in the period ending March 31, but was paid before June 30. Be sure to include the commitments in the appropriate area(s) above.)

\$0

## Health Research Affiliates

For organizations with health research affiliates only: for each area of priority, indicate the actual amount of your 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 checked="" 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?

Utility costs on PEI are among the highest in Canada. To maintain our research enterprise, this year's allocated funding was used to support infrastructure operating costs. Without these funds, the university would have to find other sources of revenue to support, promote, and develop our research programs.

UPEI's cost of maintaining research facilities continues to escalate and the RSF contributes to a small portion of the overall operational costs.

This investment contributes to UPEI's ability to maintain its research capacity.

Without this funding, we would be challenged to find alternate resources to cover these costs.

Heat and electricity are the major cost drivers.

CFI-funded equipment is located across campus in various departments and labs.

A specific example of supporting a research facility is the Regis and Joan Duffy Research Centre, which houses Dr. Russell Kerr, Tier 1 Canada Research Chair and recipient of CFI awards for leading edge mass spectrometry 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 2014-2015 grant invested?
1. Acquisition of library holdings (journals, books, collections, periodicals, Canada National Site Licensing project, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 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?

This grant allows UPEI to continue a level of support to its research enterprise.

No significant changes from last year. The largest percentage of this category goes to support the Robertson Library and its ability to acquire holdings and to improve its electronic web-based virtual research environments. For example, Tier 1 Canada Research Chairs Dr. Russell Kerr and Dr. Kate Tilleczek utilize the library's resources for storing valuable research data.

When prospective researchers consider UPEI as a potential place to teach and pursue their research interests, the availability of quality research resources is essential.

These expenditures are vital to research administration because researchers must be able to access resources to fulfill their obligations to sponsors. If they cannot access these tools, their ability to be successfully funded will be impacted. Researchers will look for other employment opportunities.

Without these expenditures, the library would have had to reduce its holdings even more than it has had to over the past year and not advance its technological support to researchers.

The major cost driver is holdings.

The grant supports 2.56% of the library's budget.

We do not participate in inter-institutional consortia that assist in the reduction of this category.

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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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Eligible training of faculty and research personnel (excluding training to meet regulatory requirements - see Section IV)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Human resources and payroll	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5. Financial and audit costs	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6. Research planning and promotion, public relations	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 grant allows UPEI to provide essential support to research.

There are no significant changes from last year.

It is vital for researchers to focus on fulfilling their research obligations. Having the necessary support in the areas of preparing and reviewing grant applications, accounting, administration of agreements, human resources, compliance, and procurement allows them to spend their valuable and limited time on research.

This funding enables the institution to more effectively support researchers with proposal development, award management, and dissemination of results.

Over the past six years, UPEI's grant has been gradually decreasing. This reduction in funding has impacted UPEI's ability to support researchers to the desired level. Without this funding, personnel in all areas are impacted.

Human resources and payroll are major cost drivers. This fund supports staff providing services in the areas of research communications, animal care, biosafety, radiation safety, and individual and institutional grant development.

No, UPEI does not participate in inter-institutional consortia.

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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?

This grant supports training for compliance committee members and chairs, as well as student and faculty researchers.

There are no significant changes from last year.

This investment is vital for researchers because the advice and guidance they receive from our compliance committees will impact their research and potential future funding.

Without strong support and investment in this area, UPEI could risk losing accreditation in several areas as well as its ability to receive federal and provincial funding.

Without these expenditures, educational opportunities would be reduced, thus increasing the risk for non-compliance.

Support for the regulatory bodies is the major cost driver. Additionally, it is used to assist with the provision of administrative support to these committees and to provide access to the technical expertise required for full compliance. UPEI's compliance committees include Animal Care, Biosafety, Research Ethics, and Radiation Safety.

UPEI receives only a small percentage of its research funding from international sources; however, funding from these sources requires proof of regulatory compliance.

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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?

Technology transfer at UPEI is delivered mainly through Three Oaks Innovations, Inc. (TOI), which is an arms-length not-for-profit company established by UPEI. TOI receives support from a variety of sources including the ICP, UPEI, ACOA, Springboard Atlantic, and the province of PEI. The ICP grant was used to support technology transfer functions including patent searches and applications as well as various types of agreements with industry.

There are no significant changes to the use of ICP funds in this area. The new CEO and Business Development Officer have made strong inroads with researchers and industry as they build relationships and trust.

Researchers have a growing interest in exploiting their intellectual property and we now have an increasing portfolio of IP to administer.

ICP funds have made it possible to recruit experienced tech transfer and IP personnel, and to access professional and legal expertise where required.

Without this funding, our ability to meet the expectations of researchers and industry would be severely restricted.

The major cost driver is personnel.

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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.

Even with promotion of the Indirect Cost Grant (Research Support Fund) through our web site and communication strategy, most researchers do not realize the extent to which the support they receive is enabled by this grant.

#### 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.

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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.

The Grant covers only a portion of the cost of supporting research at UPEI. As our Grant declined, it had to find additional resources to maintain the level of support demanded by researchers, industry, sponsors, and regulatory bodies. Without this Grant, UPEI would have to cut services significantly.

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.

Covered previously.

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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.upei.ca/research/research-support-fund>

### 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.

The Indirect Costs program is key to UPEI being able to maintain its support to research. We could not have operated our research facilities and employed the required personnel to the required degree without it.