

# Canada First Research Excellence Fund (CFREF) Annual Progress Report 2019-20

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## IMPORTANCE OF COLLECTING PERFORMANCE DATA

Thank you for taking the time to complete this report. Support provided by the program is an investment by Canadian taxpayers. The program's accountability responsibilities regarding the use of grant funds include reporting to the Government of Canada and program stakeholders, including Canadian taxpayers, about who receives support, and how funds are used to meet the program's objectives. To help ensure accountability to stakeholders, grant recipients must report on progress annually, and are expected to publicly acknowledge their grant funding to bring awareness to the value and impact of the program within the Canadian and international research enterprise. The information provided in this form will be aggregated to generate performance information on the program as a whole.

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## PRIVACY NOTICE STATEMENT

The Tri-agency Institutional Programs Secretariat (TIPS) manages the following programs: Canada Research Chairs Program, Canada Excellence Research Chairs Program, Canada 150 Research Chairs Program, Canada First Research Excellence Program, Research Support Fund and New Frontiers in Research Fund. TIPS is strongly committed to the protection of all personal information collected and used in the operation and management of its activities.

All personal information provided herein will be used and disclosed in accordance with the [Privacy Act](#) and the [Access to Information Act](#). These acts protect personal information against unauthorized collection, use, retention and disclosure and give Canadian citizens, permanent residents and any individual or corporation present in Canada the right to access their personal information that is held by the Government of Canada.

**For more information:** The [Social Sciences and Humanities Research Council's \(SSHRC\) Info Source](#) (personal information bank SHR PPU 016), the [Natural Sciences and Engineering Research Council's Info Source](#), and the [Canadian Institutes of Health Research's Info Source](#) describe in more detail the personal information collected, used, and disclosed. SSHRC's [Collection, Use and Disclosure of Personal Information](#) page provides further information on SSHRC's privacy practices, including its Statement of Privacy Principles.

**Your rights under the *Privacy Act*:** In addition to protecting your personal information, the *Privacy Act* gives you the right to request access to and correction of your personal information. For more information about these rights or about our privacy practices, please contact SSHRC's ATIP Coordinator at 613-992-1058 or [ATIP-AIPRP@sshrc-crsh.gc.ca](mailto:ATIP-AIPRP@sshrc-crsh.gc.ca). You also have the right to file a complaint with the Office of the Privacy Commissioner if you think your information has been mishandled.

**Legislative authority for the collection of personal information:** authority to collect personal information derives from the [Social Sciences and Humanities Research Council Act](#).

**Third-party hosting:** The report is hosted on the platform of a third party, Voxco. As the servers used by Voxco are located in Canada, the data is hosted in Canada.

**Purpose of data collection:** TIPS only collects the information needed to administer and monitor the program. The information and data provided will be used to generate aggregated data on the program, report to the government and the Steering Committee on the program's investments, provide input for decision-making about program policies and procedures, as well as be used in program evaluations. The information relayed in annual progress reports may also be shared with reviewers for adjudication during the midterm review. For any questions or concerns on the annual progress report, contact TIPS at [information@cfref-apogee.gc.ca](mailto:information@cfref-apogee.gc.ca). If you require technical support, please contact our helpdesk at: 613-995-4273 or [websupport@chairs.gc.ca](mailto:websupport@chairs.gc.ca).

The information provided by applicants and awardees in the self-identification form will be used to determine if there are any systemic barriers that may be impacting individuals from the four designated

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groups (women, members of visible minorities, Indigenous People and persons with disabilities) (as defined within the [federal Employment Equity Act](#)) within TIPS' programs.

**Consequences for refusing to provide personal information:** Refusal to provide information identified as mandatory in reporting forms as applicable (e.g. chairholder annual reports) may result in funding being put on hold until the full report is received by TIPS.

**Commitment to Equity, Diversity and Inclusion:** The Government of Canada is committed to excellence in research and research training for the benefit of Canadians. Achieving a more equitable, diverse and inclusive Canadian research enterprise is also essential to creating the excellent, innovative and impactful research necessary to seize opportunities and for responding to global challenges. As such, the program is committed to the federal government's policies on non-discrimination and [employment equity](#).

## **Why should I self-identify?**

Although filling out the form and submitting it with your application is mandatory, self-identifying in one of the four designated groups is voluntary. Choosing not to self-identify will have no consequence for your or your host institution's relationship with TIPS as either an applicant or an awardee. However, all individuals are encouraged to self-identify where applicable, as the information at an aggregate level is necessary to monitor, evaluate and develop policies to improve (as necessary) the level of equity, diversity and inclusion within the program. Note that access to this information by the Secretariat's employees will be strictly limited within TIPS and that this information will not, at any time, be shared with external reviewers or committee members and will not be used as part of the evaluation of your nomination, application or research progress.

**Confidentiality:** As outlined above, TIPS is strongly committed to the protection of all personal information collected and used in the operation and management of its activities.

**NOTE:** *By submitting your information, you are confirming that you have read and understood the Privacy Notice Statement outlined above and provide your personal information in accordance with it.*

**Questions:** For any questions or concerns related to the self-identification form please contact: [edi-edi@chairs-chaire.gc.ca](mailto:edi-edi@chairs-chaire.gc.ca) or 613-947-9203.

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## CONTACT INFORMATION VERIFICATION

Please verify the information below and make any necessary corrections.

Title of CFREF initiative:	Prepopulated
Name of Institution:	Prepopulated
CFREF Institution contact person name	Prepopulated
CFREF Institution contact person title	Prepopulated
CFREF Institution contact person e-mail	Prepopulated
CFREF Institution contact person telephone no.	Prepopulated (if available)

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## REPORTING PERIOD

Period covered by this report Fiscal Year 2019-20 (April 1, 2019 to March 31, 2020)

Grant start date: [Click here to enter a date.](#)

Grant end date: [Click here to enter a date.](#)

**NOTE: Personal information of a third party should not be disclosed within this report without their consent.**

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## PART A – PROGRAM MONITORING

### 1. STRATEGIC RELEVANCE TO CANADA

#### Breakthrough discoveries

The CFREF grant helps institutions to make breakthrough discoveries, seize emerging opportunities and strategically advance their greatest strengths on the global stage.

#### 1.1 [\[New question\]](#) Describe how the CFREF grant has had an impact on your institution.

(Maximum 300 words)

[Free form](#)

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## 1.2 Provide examples of how the CFREF initiative has fostered innovation in your priority research area(s) (e.g. created or built upon commercial endeavors, advanced public policy or otherwise mobilized research discoveries).

(Maximum 300 words)

Free form

## 1.3 Outline up to 15 key publications and research outputs that demonstrate the global relevance of the CFREF research and any advancement of the frontiers of research in the proposed area since the start of the grant:

Type of publication/ research output	Contributing CFREF Participant Names (Last name, First name)	Publication Title/Copyright, Patent or Trademark name/code/number / other	If applicable, Publication status	If applicable, Conference location and dates
<u>Drop-down list:</u> - Publication (Choose one below): ✓ Peer-reviewed journal article ✓ Conference proceedings/publications ✓ Article in professional or trade journals ✓ Book (including an edited book) ✓ Book chapter ✓ Edited volume (author is one of the editors, not a chapter contributor) ✓ Article in popular media ✓ Report, brief, and other form of grey literature ✓ Government publication ✓ Research report ✓ Other types of publication - Presentation (Choose	Free form <u>example:</u> Doe, John; Smith, Jane	Free form	<u>Drop-down list:</u> - Published - e-pub, ahead of print - Submitted - Under review - In preparation - Other	For conference proceedings/publications

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one below): ✓ Conference presentation ✓ Invited/keynote - Patent - Copyright - License - Start-up Company - Interview (broadcast or text) - Op-eds, articles in popular media - artistic performances (including exhibits) - Policy (new or updated) - Trademark - Utility design - Other				
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## 2. KNOWLEDGE MOBILIZATION

The CFREF grant helps institutions to compete with the best in the world for partnership opportunities. CFREF initiatives promote knowledge mobilization through partnerships and collaborations with the private sector, international research institutions and/or public sector, academic and philanthropic organizations, both in Canada and abroad.

Please use the following definitions when reporting:

A **partnership** refers to the involvement of an institution or organization, rather than an individual. Partners are government, industry, associations, non-profit organizations or other institutions that have contributed or committed in-kind or cash contributions to support the CFREF initiative. A partner has a defined and very concrete role to play in the implementation of the CFREF initiative.

A **collaboration** refers to the involvement of an individual (from academia or from other sectors) who plays an active role in the research and research-related activities of the CFREF initiative, but is not a CFREF participant.

A **knowledge user** is a receptor (an individual or organization) of the CFREF's outputs and findings who does not have an active role in the CFREF research activities.

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A **CFREF participant** refers to an individual who is either involved in conducting research related to the CFREF initiative or who is involved in the administration and management of the CFREF initiative. Participants may include faculty, research trainees (undergraduate, graduate, doctorate), highly qualified personnel (HQP: postdoctoral fellows, research technicians, research associates, and other technical or research personnel) and/or administrative staff at both the lead and partner institutions.

## 2.1 Indicate with a checkmark all partnerships that continued during the 2019-20 reporting period.

Organization name	Check all that apply
Prepopulated from list provided in previous annual progress reports	<input type="checkbox"/>

## 2.2 What was the nature of these partnerships? Check all the activities that apply for the reporting period. Also provide the total amount of leveraged support received from the partner for the reporting period.

Organization name	Activities (Check all that apply)	[new] Leveraged support	
		Cash amount contributed (Can \$)	In-kind amount contributed (Can \$)
Prepopulated from question 2.1	<u>Check Boxes (multiple selections possible):</u> <input type="checkbox"/> Planning of research <input type="checkbox"/> Design/data collection <input type="checkbox"/> Analysis of results <input type="checkbox"/> Exchange/Disseminate research knowledge <input type="checkbox"/> User of research knowledge <input type="checkbox"/> Other	Free form	Free form

## 2.3 [New question] Briefly describe how each of these partnerships contributed towards the research theme(s), platform(s), project(s), or pillars of the CFREF initiative during the reporting period.

Organization name	Brief description (Maximum 100 words)
Prepopulated from question 2.1	Free form

## 2.4 If applicable, indicate the name of the organization, sector and country of new partnerships that started during the reporting period.

Organization name	Sector	Country (for international)
Free form	Drop-down list:	Free form

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	<ul style="list-style-type: none"> <li>- Canadian Academic institutions</li> <li>- Other Canadian research organizations (including research hospitals)</li> <li>- Academic and research institutes abroad (including research hospitals)</li> <li>- Private sector in Canada</li> <li>- Private sector abroad</li> <li>- Public sector in Canada</li> <li>- Public sector abroad</li> <li>- Philanthropic/not-for-profit/Other in Canada</li> <li>- Philanthropic/not-for-profit/Other abroad</li> </ul>	
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**2.5 What was the nature of these new partnerships? Check all the activities that apply for the reporting period. Also provide the total amount of leveraged support received from the new partner for the reporting period.**

Organization name	Activities (Check all that apply)	[new] Leveraged support	
		Cash amount contributed (Can \$)	In-kind amount contributed (Can \$)
Free form	<u>Check Boxes (multiple selections possible):</u> <input type="checkbox"/> Planning of research <input type="checkbox"/> Design/data collection <input type="checkbox"/> Analysis of results <input type="checkbox"/> Exchange/Disseminate research knowledge <input type="checkbox"/> User of research knowledge <input type="checkbox"/> Other	Free form	Free form

**2.6 Briefly describe how each new partnership contributed towards the research theme(s), platform(s), project(s), or pillars of the CFREF initiative during the reporting period.**

Organization name	Brief description (Maximum 100 words)
Free form	Free form

**2.7 Indicate with a checkmark all the organizations where collaborations continued during the 2019-20 reporting period.**

Organization name	Check all that apply
Prepopulated from list provided in previous annual progress reports	<input type="checkbox"/>

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**2.8 What was the nature of these collaborations during the reporting period? Check all the activities that apply. Also estimate the number of collaborators for each organization.**

Organization name	Activities (Check all that apply)	Estimated number of collaborators
Prepopulated from question 2.7	<u>Check Boxes (multiple selections possible):</u> <input type="checkbox"/> Planning of research <input type="checkbox"/> Design/data collection <input type="checkbox"/> Analysis of results <input type="checkbox"/> Exchange/disseminate research knowledge <input type="checkbox"/> User of research knowledge <input type="checkbox"/> Other	Free form

**2.9 If applicable, indicate the name of the organization, sector and country for any new collaborations that started during the reporting period.**

Organization name	Sector	Country (for international)
Free form	<u>Drop-down list:</u> - Lead institution - Partner institutions - Other Canadian research organizations (including research hospitals) - Academic and research institutes abroad (including research hospitals) - Private sector in Canada - Private sector abroad - Public sector in Canada - Public sector abroad - Philanthropic/not-for-profit/Other in Canada - Philanthropic/not-for-profit/Other abroad	Free form

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**2.10 What was the nature of these new collaborations during the reporting period? Check all the activities that apply. Also estimate the number of collaborators for each organization.**

Organization name	Activity (Check all that apply)	Estimated number of collaborators
Free form	<u>Check Boxes (multiple selections possible):</u> <input type="checkbox"/> Planning of research <input type="checkbox"/> Design/data collection <input type="checkbox"/> Analysis of results <input type="checkbox"/> Exchange/disseminate research knowledge <input type="checkbox"/> User of research knowledge <input type="checkbox"/> Other	Free form

**2.11 Has the CFREF initiative engaged with knowledge users during the reporting period?**

- ☐ Yes
- ☐ No

**[If No] Please explain your response to the previous question.**  
(Maximum 300 words)

Free form
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**[If Yes] Provide the organization name, sector, and country of all knowledge users that interacted with the CFREF initiative during the reporting period. Also briefly describe the nature of this interaction. Enter one organization per line.**

Organization name	Sector	Country (for international)	Nature of this interaction (Maximum 100 words)
Free form	<u>Drop-down list:</u> - Non-partner Canadian Academic institution - Other Canadian research organizations (including research hospitals) - Academic and research institutes abroad (including research hospitals) - Private sector in Canada - Private sector abroad - Public sector in Canada - Public sector abroad - Philanthropic/not-for-profit/Other in Canada - Philanthropic/not-for-profit/Other abroad	Free form	Free form

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## 3. INVESTMENTS IN RESEARCH FACILITIES AND EQUIPMENT

The CFREF helps institutions to compete with the best in the world for talent. It is expected that CFREF will enable institutions to provide a quality environment for research training and access to relevant research infrastructure (facilities and equipment).

### 3.1 Were expenditures towards research infrastructure (research facilities or equipment) linked to the CFREF initiative made during the reporting period?

- ☐ Yes
- ☐ No

### 3.2 Please explain. If applicable, briefly describe some of these expenditures.

(Maximum 300 words)

Free form

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## 4. EQUITY, DIVERSITY AND INCLUSION ACTION PLAN

The Government of Canada is committed to excellence in research and research training for the benefit of Canadians. Achieving a more equitable, diverse and inclusive (EDI) Canadian research enterprise is essential to creating the excellent, innovative and impactful research necessary to seize opportunities and for responding to global challenges. As such, the program is committed to the federal government's policies on non-discrimination and [employment equity](#).

All individuals and institutions that accept agency funding are expected to make concerted efforts to integrate EDI into research initiatives, and provide a supportive and inclusive workplace. This supports the goals of EDI within the Fund and the broader Canadian research enterprise.

### 4.1 Describe progress made on implementing the objectives of the CFREF's equity and diversity action plan. Share any best practices related to equity, diversity and inclusion, such as mentoring and career development that are being implemented (refer to the Canada Research Chairs website for examples of best practices: [Equity, Diversity and Inclusion: Best Practices for Recruitment, Hiring and Retention](#))

(Maximum 300 words)

Free form

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- 4.2 Describe any important changes to the CFREF governance structure. Explain how equity, diversity and inclusion objectives are considered in the governance structure of the initiative.**

*(Maximum 300 words)*

Free form

- 4.3 An objective of the CFREF program is to enable institutions to seize emerging opportunities and strategically advance their greatest strengths on the global stage. Please describe how equity, diversity and inclusion are being considered when responding to these opportunities.**

*(Maximum 300 words)*

Free form

- 4.4 A key objective of the CFREF grants is to implement large-scale, transformational and forward-thinking institutional strategies. Please describe how equity, diversity and inclusion are being considered when forming and implementing these institutional strategies.**

*(Maximum 300 words)*

Free form

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## 5. ADDITIONAL COMMENTS

- 5.1 Use this section to describe any program-related problems or challenges the CFREF initiative has experienced this year. Outline the steps taken to resolve the issue(s) and/or the plan to move forward. Specify any key decisions and measures taken to manage future risks.**

*(Maximum 300 words)*

Free form

- 5.2 Use this section to suggest improvements to the program.**

*(Maximum 300 words)*

Free form

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## PART B – PROGRESS ON PERFORMANCE MEASUREMENT PLAN (PMP)

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Describe progress made on meeting the performance measurement targets outlined in your Performance Measurement Plan (PMP).

This section of the report must be submitted as a PDF document via the file upload button below.

An optional template has been prepared for you to use and modify as needed. It is available for download from the CFREF online portal in the following location: Applicants / Applicant Library / *institution name* / 0-Performance Reports-Rapports et document à l'appui.

You may access your institution's account on the [portal](#) using the user name and password for your institution's account.

\*\*Upload your Progress on Performance Measurement Plan (PMP) here. (Must not exceed 900KB)\*\*

[\[Section break\]](#)

## PART C – PARTICIPANT INFORMATION AND SELF-IDENTIFICATION FORM

This section must be completed by CFREF participants and submitted directly to TIPS. The information provided by applicants and awardees in the self-identification section will be used to determine if there are any systemic barriers that may be impacting individuals from the four designated groups (women, members of visible minorities, Indigenous People and persons with disabilities) (as defined within the [federal Employment Equity Act](#)) in having access to the opportunities provided by the program.

***Instructions on how to distribute the form are sent to the CFREF Institution contact person by email. The lead institution is responsible for distributing the form to all CFREF participants and ensuring that they submit the form by the deadline date.***

A **CFREF participant** refers to an individual who is either involved in conducting research related to the CFREF initiative or who is involved in the administration and management of the CFREF initiative. Participants may include faculty, research trainees (undergraduate, graduate, doctorate), highly qualified personnel (HQP: postdoctoral fellows, research technicians, research associates, and other technical or research personnel) and/or administrative staff at both the lead and partner institutions.

### **Institutional support for Participant Information and Self-Identification Form submissions**

In response to questions related to how the CFREF initiatives will know which of their participants have completed Part C (since the survey data will be submitted directly to TIPS) we

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have developed the following process:

- TIPS will send updates periodically to each initiative with the names and email addresses of those individuals who have submitted their survey and self-identification form.
- Institutions will then be able to compare that list to their own list of individuals who were sent the survey, in order to send reminders to participants as required.

**Please indicate below the total number of participants that will be sent the Participant Information and Self-Identification Form.**

[End of survey]