

IMPORTANCE OF COLLECTING PERFORMANCE DATA

Thank you for taking the time to complete this report. Support provided by the Canada Excellence Research Chairs (CERC) 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, regarding 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 SSHRC 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. 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 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@cerc.gc.ca. If you require technical support, please contact our helpdesk at: 613-995-4273 or 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 groups (women, members of visible minorities, Indigenous People and persons with disabilities), as defined in the [federal government 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 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 provided (or will provide?) your personal information in accordance with it.*

Questions: For any questions or concerns related to the self-identification form please contact: information@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.

Name of Chairholder	Prepopulated
Institution	Prepopulated
Department	Prepopulated
CERC Title	Prepopulated
Chairholder email address	Prepopulated
Chairholder telephone number	Prepopulated (if known)

REPORTING PERIOD

Period covered by this report: Fiscal Year 2018-2019 (April 1, 2018 to March 31, 2019)

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

The Chairholder must submit the Chairholder Annual Report providing an update on their progress in meeting the objectives of the program in their priority research area, such as the Chairholder’s contributions towards leading-edge breakthrough research, training of highly qualified personnel, knowledge mobilization, and global research leadership.

1. BREAKTHROUGHS IN PRIORITY RESEARCH AREAS

The CERC program helps strengthen Canada’s ability to attract the world’s top researchers in order to be at the leading-edge of breakthroughs in priority research areas expected to generate social and economic benefits for Canadians.

1.1. Provide an update on your program of research. Describe your most impactful research findings over the reporting period and give a concise explanation of their significance in the field. Please use lay language.

Insert text here

*** maximum 300 words ***

1.2. List the most impactful publications or research outputs by **CERC core team** members (as defined in section 2) over the reporting period:

Name of CERC core team member(s)	Type of publication/research output	Publication Title/Copyright, Patent or Trademark name/code/number/ other	If applicable, Publication status	If applicable, Conference location and date
Free form	<p><u>Drop-down list:</u> Publication (Choose one below):</p> <ul style="list-style-type: none"> - 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) 	Free form	<p><u>Drop-down list:</u> Published e-pub, ahead of print Submitted Under review In preparation Other</p>	For conference proceedings/publications

	<ul style="list-style-type: none"> - Article in popular media - Report, brief, and other form of grey literature - Government publication - Research report - Other types of publication <p>Presentation (Choose one below):</p> <ul style="list-style-type: none"> - Conference presentation - Invited/keynote <p>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</p>			
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2. CERC CORE TEAM

The CERC program helps Canada build a critical mass of expertise in priority areas identified by the government. The CERC core team makes up the majority of this expertise.

The **CERC core team** refers to the chairholder and the research unit created through the CERC award. These members are expected to work as a member of the research team, during the reporting period. Core members may include faculty, research trainees (undergraduate, graduate and doctorate) and highly qualified personnel (HQP: postdoctoral fellows, research technicians, research associates, and other technical or research personnel).

Note: A contributing factor to the excellence of each CERC team is the diversity of its core team. It is also expected that institutional policies will be put in place to adequately recruit and support members from the four designated groups: women, Indigenous peoples, visible minorities and persons with a disability. Participant surveys from CERC core team members will be analyzed to support this.

CANADA EXCELLENCE RESEARCH CHAIRS (CERC) - CHAIRHOLDER ANNUAL PROGRESS REPORT (2018-19)

2.1. List **faculty members** who were part of the **CERC core team** (including the CERC chairholder) during the reporting period. Please enter one person per line.

Last Name, First Name	Academic position	Research Discipline	Location of employment prior to joining CERC core team	Country (if foreign)	Institution email
Free form	<u>Drop-down list:</u> -Tier 1 Canada Research Chair (CRC) or equivalent -Tier 2 Canada Research Chair (CRC) or equivalent -Canada Excellence Research Chair (CERC) or equivalent -Professor Emeritus -Full Professor -Associate Professor -Assistant Professor -Adjunct Professor -Other faculty	Free form	<u>Drop-down list:</u> - CERC lead institution - Foreign institution - Other Canadian institution - Other - Unknown	Free form	Free form

2.2. In the following table include **research trainees** (undergraduate, graduate and doctorate) who were members of the **CERC core team** during the reporting period. Please enter one person per line.

Last Name, First Name	Academic Level	Research Discipline	Location of employment prior to joining CERC core team	Country (if foreign)	Source of funding, excluding CERC and institutional funding (Check all that apply)	Institution email
Free form	<u>Drop-down list:</u> -Undergraduate -Masters -Doctorate	Free form	<u>Drop-down list:</u> - CERC lead institution - Foreign institution - Other Canadian institution - Other - Unknown	Free form	<u>Check boxes:</u> <input type="checkbox"/> Provincial <input type="checkbox"/> Federal <input type="checkbox"/> International <input type="checkbox"/> Private sector <input type="checkbox"/> Non-profit <input type="checkbox"/> Other organizations <input type="checkbox"/> Not applicable	Free form

2.3. [New question] In your opinion, did the CERC award help **research trainees and HQP** gain relevant skills? If yes, describe how and describe the skills acquired (e.g. internship, data analysis, laboratory analyses, research reporting, grant writing skills, leadership, etc.)

Insert text here

*** maximum 300 words ***

2.4. In the following table list **HQP** (permanent and term) who were members of the CERC core team during the reporting period. Please enter one person per line.

Last Name, First Name	Position	Research Discipline	Location prior to joining CERC core team	Country (if foreign)	Institution email
Free form	Drop-down list: - Postdoctoral fellow - Research technician - Research associate - Other highly qualified personnel	Free form	Drop-down list: - CERC lead institution - Foreign institution - Other Canadian institution - Other	Free form	Free form

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3. KNOWLEDGE TRANSLATION, KNOWLEDGE MOBILIZATION AND/OR TECHNOLOGY TRANSFER

The CERC helps create a competitive environment to help Canadian institutions attract a cadre of world-leading researchers in their pursuit of research excellence. This competitive environment requires that institutions work closely with CERC partners, collaborators and knowledge users.

Please use the following definitions when reporting:

A **partner** refers to an external organization (e.g. government, industry, associations, non-profit or other institutions) that have contributed or committed in-kind or cash contributions to support the CERC core team’s activities.

A **collaborator** is an individual (from academia or from other sectors) who plays an active role in the CERC core team’s research and research-related activities.

A **knowledge user** refers to receptors (individuals or organizations) of the **CERC core team’s** innovations and knowledge which do not have an active role in the **CERC core team’s** research activities.

3.1. List all organizations that continued to be **partners** during the 2018-19 reporting period and indicate the nature of the partnerships. Check all the activities that apply for the reporting period. Also provide the total amount of matched or leveraged support received from the partner for the reporting period.

For guidance on in-kind contributions, see the following documents from the granting agencies:

CIHR - <http://www.cihr-irsc.gc.ca/e/22631.html>

NSERC - http://www.nserc-crsng.gc.ca/Business-Entreprise/How-Comment/FAQ-FAQ_eng.asp

SSHRC - http://www.sshrc-crsh.gc.ca/funding-financement/policies-politiques/cash_inkind-especes_en_nature-eng.aspx#a5

Organization name	Activities (Check all that apply)	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

3.2. 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	<u>Drop-down list:</u> - Canadian Academic 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	Drop down list

CANADA EXCELLENCE RESEARCH CHAIRS (CERC) - CHAIRHOLDER ANNUAL PROGRESS REPORT (2018-19)

3.3. 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 partners for the reporting period.

Organization name	Activities (Check all that apply)	Cash amount contributed (CAN \$)	In-kind amount contributed (CAN \$)
Free form	<p><u>Check Boxes (multiple selections possible):</u></p> <ul style="list-style-type: none"> <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

3.4. List the organizations of individuals who continued to be **collaborators** during the 2018-19 reporting period and indicate the nature of these collaborations. Check all the activities that apply for the reporting period. Estimate the number of collaborators for each organization. If applicable, also provide the total amount of leveraged support received from collaborators during the reporting period.

Organization name	Activities (Check all that apply)	Estimated number of collaborators	Cash amount contributed (CAN \$)	In-kind amount contributed (CAN \$)
Free form	<p><u>Check Boxes (multiple selections possible):</u></p> <ul style="list-style-type: none"> <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 (specify) 	Free form	Free form	Free form

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

Organization name	Sector	Country (for international)
Free form	<p><u>Drop-down list (for new collaborations only):</u></p> <ul style="list-style-type: none"> -Canadian academic institutions -Other Canadian research organizations (including research hospitals) -Academic and research institutes abroad 	Free form

	(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	
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3.6. What was the nature of these **new collaborations** during the reporting period? Check all the activities that apply. Estimate the number of collaborators for each organization. If applicable, also provide the total amount of leveraged support received from collaborators during the reporting period.

Organization name	Activities (Check all that apply)	Estimated number of collaborators	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 (specify)	Free form	Free form	Free form

3.7. Has the CERC core team engaged with **knowledge users** during the reporting period?

- Yes
- No

3.8. [If No] Please explain your response.

Insert text here
 *** maximum 300 words ***

[If Yes] Provide the organization name, sector, and country of all **knowledge users** that interacted with the **CERC core team** 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 <i>(Maximum 100 words)</i>
Free form	<u>Drop-down list:</u> -Canadian academic 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	Free form

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4. GLOBAL RESEARCH LEADERSHIP

The CERC contributes to the branding of Canada as a location of choice for world-leading research, science and technology development. It is expected that the work associated with the CERC Chair will be recognized as globally relevant and will advance the frontiers of research in the field globally.

4.1 List any awards or distinctions received by members of the **CERC core team** from organizations outside your institution that demonstrate the global relevance of the CERC research and any advancement of the frontiers of research in the proposed area during the reporting period.

Name of awardee	Type of award or distinction	Name of award or distinction	Country (where awarded)	Brief description <i>(Maximum 100 words)</i>	If applicable, Amount (CAN \$)
Free form	<u>Drop down list:</u> - Citation - Distinction - Honour - Prize/Award	Free form	Free form	Free form	Free form

	- Other				
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4.2. Were you or other members of the **CERC core team** called upon to provide expert advice/opinion to members of the groups listed below during the reporting period? Check all that apply.

- International organizations
- Elected Canadian government officials
- Elected international government officials
- Other Canadian government officials
- Other international government officials
- Private sector
- Non-Profit
- Other organizations

4.3. Indicate the number of times you or other members of the **CERC core team** were called upon to provide expert advice/opinion to members of the groups listed below during the reporting period and briefly describe the nature of the request(s). *[Only groups chosen in Q4.2 will appear in the table]*

	No. of times	Brief description (Maximum 100 words)
International organizations	Free form	Free form
Elected Canadian government officials	Free form	Free form
Elected international government officials	Free form	Free form
Other Canadian government officials	Free form	Free form
Other international government officials	Free form	Free form
Private sector	Free form	Free form
Non-Profit	Free form	Free form
Other organizations	Free form	Free form

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5. ADDITIONAL COMMENTS

5.1 Use this section to describe any program-related problems or challenges you have experienced this year. Outline the steps taken by you, your team, and/or the institution to resolve the issue(s) and/or the plan to move forward. Specify any key decisions and measures taken to manage future risks.

Insert text here

*** maximum 300 words ***

5.2 Use this section to outline any additional comments about the program, including positive and negative feedback and/or suggestions for improvement.

Insert text here

*** maximum 300 words ***

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PART B – SELF-IDENTIFICATION FORM [NEW PROCESS]

A Self-identification form must be completed by all **CERC core team** members (including the chairholder) and submitted directly to TIPS. The option “prefer not to answer at this time” is available for each question in cases where individuals do not wish to self-identify to any of the four employment equity designated groups.

The information provided by **CERC core team** members 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.

Note: Instructions on how to distribute the form are sent to the CERC institutional contact person by email. The lead institution is responsible for distributing the form to all CERC core team members and ensuring that they submit the form by the deadline date.

The **CERC core team** refers to the chairholder and the research unit created through the CERC award. These members are expected to work as a member of the research team during the reporting period. Core members may include faculty, research trainees (undergraduate, graduate and doctorate) and highly qualified personnel (HQP: postdoctoral fellows, research technicians, research associates, and other technical or research personnel).

[End of survey]