

IMPORTANCE OF COLLECTING PERFORMANCE DATA

*** In this document, the use of the masculine gender includes the feminine and is employed without discrimination in order to simplify the text.***

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 SHR PPU 016), the [Natural Sciences and Engineering Research Council's \(NSERC\) Info Source](#), and the [Canadian Institutes of Health Research's \(CIHR\) 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 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. 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 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 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: 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
CERC Institution contact person name	Prepopulated
CERC Institution contact person title	Prepopulated
CERC Institution contact person e-mail	Prepopulated
CERC Institution contact person telephone	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 institution must submit the Institutional Annual Progress Report to provide an update on progress made towards meeting the objectives of the program. The institution is required to submit **one annual progress report per Chairholder**.

The institution is responsible for ensuring that the CERC Chair submits the Chairholder Annual Report by the deadline.

1. INSTITUTIONAL GROWTH

The objective of the CERC program is to help 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. Institutional growth is defined as an increase in research capacity. This includes but is not limited to: an increase in the recruitment of faculty, highly qualified personnel (HQP), and students; an increase in the quality of researchers attracted; an expansion of the related program; an increase in grant funding; upgraded facilities; and/or the formation of new Memoranda of Understanding (MOUs) with other institutions/partners.

1.1. On a scale from 1 to 5, where 1 is “not at all” and 5 is “to a great extent,” please rate the extent to which you think the CERC grant has influenced research capacity at your institution in the subject area, with a particular focus on the reporting period.

	Not at all (1)	To a small extent (2)	To some extent (3)	To a good extent (4)	To a great extent (5)	Don't know or N/A
a. The institution’s ability to attract a critical mass of high-caliber researchers and HQP as team members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. The institution’s ability to develop one or more research programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. The institution’s ability to establish collaborations and partnerships?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. The institution’s ability to secure funding for upgraded facilities, including state-of-the-art infrastructure and research space?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. The institution’s ability to contribute to knowledge mobilization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. The CERC grant has acted as a catalyst and promotion tool for research more broadly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

[If all responses are “not at all”, the following question will appear.]

Please explain your response to the previous question.

Insert text here

*** maximum 300 words***

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2. MATCHED AND LEVERAGED SUPPORT

An objective of the CERC is to create a competitive environment to help Canadian institutions attract a cadre of world-leading researchers in their pursuit of excellent research. Together with the CERC program, additional leveraged resources enable the institution to adequately support the direct and indirect costs associated with a world-class program of research. In this section, please describe the additional support provided to the **CERC core team**.

Please use the following definitions when reporting:

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).

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.

2.1. Indicate the type of support provided by the **university** to the **CERC core team** and estimate the amount received during 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-especies_en_nature-eng.aspx

Type of support	Cash amount contributed (CAN \$)	In-kind amount contributed (CAN \$)
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CANADA EXCELLENCE RESEARCH CHAIRS (CERC) - INSTITUTIONAL ANNUAL PROGRESS REPORT (2018-19)

<p><u>Drop-down list:</u></p> <ul style="list-style-type: none"> - Research time stipends - Salary and benefits of chairholder - Salaries to students - Salaries to non-students - Professional and technical services/contracts - Equipment - Software, new technologies and databases - Materials and supplies - Administrative costs associated with the CERC - Dissemination of results - Travel and subsistence costs - Use of facilities - Other 	Free form	Free form
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2.2. Provide the organization name, the sector and country of all **partners** that provided matched or leveraged support to the **CERC core team** during the reporting period. Do not include funds from the CERC program, the university or the federal granting agencies (Social Sciences and Humanities Research Council - SSHRC, Natural Science and Engineering Research Council - NSERC, Canadian Institutes of Health Research - CIHR and Canada Foundation for Innovation - CFI funds). Provide an estimate of the amount received during the reporting period.

Organization name	Sector	Country	Type of support	Cash amount contributed (CAN \$)	In-kind amount contributed (CAN \$)
Free form	<p><u>Drop down list:</u></p> <ul style="list-style-type: none"> - Canadian academic institution - Other Canadian research organization - Academic and research institute abroad - 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	<p><u>Drop-down list:</u></p> <ul style="list-style-type: none"> - Salaries to students - Salaries to non-students - Professional and technical services/contracts - Equipment - Software, new technologies and databases - Materials and supplies - Administrative costs associated with the CERC chair - Dissemination of results - Travel and subsistence costs - Use of facilities - Partner remunerations - Other 	Free form	Free form

2.3. Provide the organization name, the sector and country of all **collaborators** that provided matched or leveraged support to the **CERC core team** during the reporting period. Do not include funds from the CERC program, the university or the federal granting agencies (Social Sciences and Humanities Research Council - SSHRC, Natural Science and Engineering Research Council - NSERC,

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

Canadian Institutes of Health Research - CIHR and Canada Foundation for Innovation - CFI funds). Provide an estimate of the amount received during the reporting period.

Organization name	Sector	Country	Type of support	Cash amount contributed (CAN \$)	In-kind amount contributed (CAN \$)
Free form	<u>Drop down list:</u> - Canadian academic institution - Other Canadian research organization - Academic and research institute abroad - 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	<u>Drop-down list:</u> - Salaries to students - Salaries to non-students - Professional and technical services/contracts - Equipment - Software, new technologies and databases - Materials and supplies - Administrative costs associated with the CERC chair - Dissemination of results - Travel and subsistence costs - Use of facilities - Partner remunerations - Other	Free form	Free form

2.4. Indicate any funds awarded by the federal granting agencies to the **CERC core team** during the reporting period.

Source of support	Estimated amount (CAN \$)
CFI (only count CFI portion and not matching funds)	
CIHR	
NSERC	
SSHRC	

[Section break]

3. EQUITY, DIVERSITY AND INCLUSION

The Government of Canada and the CERC program are 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 CERC Program and the broader Canadian research enterprise.

3.1. Describe any strategies or policies introduced by the university related to EDI. These would include strategies/policies to ensure that the CERC core team has: representation from the four designated groups (women, persons with disabilities, Indigenous peoples and visible minorities); equitable access to mentoring and career development opportunities and policies that support parental responsibilities, accommodation, etc. (refer to the Canada Research Chairs website for examples of best practices: [Equity, Diversity and Inclusion: Best Practices for Recruitment, Hiring and Retention](#)).

Insert text here

*** maximum 300 words***

3.2. Describe any important changes to the CERC governance structure. Explain how equity, diversity and inclusion objectives are considered in the governance structure of the CERC.

Insert text here

*** maximum 300 words***

[Section break]

4. SUSTAINING THE RESEARCH ADVANTAGE CREATED BY THE CERC

An objective of the CERC program is to help Canada build a critical mass of expertise in priority areas identified by the government. Sustainability of the research advantage provided by the CERC after the term has ended, is defined as the maintenance of a critical mass of researchers that continue to advance research and build on the legacy of the CERC, taking advantage of the momentum built during the CERC award and contributing to the institution’s international reputation.

4.1. Describe how sustainability of the research advantage created by the CERC is being considered/being planned for at this stage of the Chair’s tenure. For Chairs nearing the end of their term, include concrete strategies and timelines for implementing these.

Insert text here

*** maximum 300 words***

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5. ADDITIONAL COMMENTS

5.1. Use this section to describe any program-related problems or challenges the CERC core team 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.

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***

[Section break]

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 prefer not to self-identify.

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 included in the initiation email sent to the CERC institution contact person. 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 within the home institution, 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).

Institutional support for Self-Identification Form submissions

In order for institutions to know which of the **CERC core team** members have completed the Self-Identification Form (since the data will be submitted directly to TIPS), the following process has been implemented:

- TIPS will send a list on a bi-weekly basis to each institution with the names of those individuals who have submitted their Self-Identification Form.
- Institutions will then be able to compare that list to their own list of individuals who were sent the form, in order to send reminders to team members as required.

Please indicate below the number of CERC core team members that will be sent the Self-Identification Form.

[End of survey]