

# Indirect Costs Outcomes Report

File Number P0078

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## Statement of Account

<b>Total Indirect Costs Funds available in 2012-2013</b>	<b>A</b>	<b>\$872,242</b>
<b>Expenditures incurred in 2012-2013</b>		
<b>Facilities</b>		<b>\$174,447</b>
<b>Resources</b>		<b>\$261,715</b>
<b>Management and Administration</b>		<b>\$261,715</b>
<b>Regulatory Requirements and Accreditation</b>		<b>\$125,000</b>
<b>Intellectual Property</b>		<b>\$49,365</b>
<b>Total Indirect Costs expenditures incurred in 2012-2013</b>	<b>B</b>	<b>\$872,242</b>
<b>Outstanding Commitments</b> <small>(The expenditure was incurred but the invoice was not paid in the period ending March 31, but was paid before June 30. Be sure to include the commitments in the appropriate area(s) above.)</small>		
	<b>\$0</b>	

## Health Research Affiliates

For organizations with health research affiliates only: for each area of priority, indicate the actual amount of your 2012-2013 grant that was spent by your health research affiliates.

Facilities	\$0
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 2012-2013 grant invested?
1. Renovation and maintenance of research facilities (excluding expenditures incurred to meet regulatory requirements - see Section IV)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Upgrade, operations and maintenance of equipment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Operating costs (custodial, security, maintenance, utilities, leasing, capital planning, insurance on research space)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Technical support for laboratories, offices and other facilities (excluding technical support for animal care - see section IV)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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?

A portion of the ICP grant was allocated to the Physical Plant office for research laboratory and facility maintenance. Personnel were dedicated specifically to maintain the research facilities housed in the Richardson College for the Environment and Science Building. This space includes the Vivarium which opened in Spring 2012.

The funds were used partially for maintenance such as painting, plumbing and electrical, and also for renovations and fine-tuning environmental systems. These were completed as required. In addition, a portion of the funds was used to offset the operating costs of research facilities throughout the university. Expenses such as utilities, custodial costs, and insurance were covered by the grant.

Our Health and Safety Specialist and Lab Safety Officer looked after the necessary requirements for facilities in order for our investigators to conduct research in a healthy and safe environment. This has been extremely beneficial in maintaining state-of-the-art facilities, enabling researchers to conduct research under safe conditions and minimizing risks.

The University of Winnipeg Technology Solutions Centre (TSC) has a position dedicated to the maintenance of research scientific equipment supported by the ICP. TSC is responsible for information technology-related matters. This technical support has been essential to keeping the research infrastructure operating efficiently. TSC is traditionally a very busy office on campus, and this research-specific position enables a fast response from in-house service to get research which might be delayed from technical difficulties back up and running. We continued to use ICP funds to work with TSC on an improved grant-tracking and reporting system, which was successfully implemented in 2012-13 (Phase 1). Phase 2 of the software implementation was initiated during this period, requiring the contracted services of a software consultant. The resulting efficiency and reliability of this system allows the University to direct more of its resources towards expanding our research program. It also contributes to the University's commitment to sustainability in research by reducing or eliminating paper-based applications and records. ICP funds contribute to the maintenance and upkeep of the University website, which provides up-to-date information for researchers on funding opportunities, research administration, available resources, and the highlights and initiatives of our research community.

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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 2012-2013 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Insurance on research equipment and vehicles	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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?

The Library used funds for a number of expenses, such as database licences, monographs, serials, and media, which are vital for the research community. Databases give University researchers access to journals and publications necessary for their research, and continuous additions to the Library's resources are proportionately a major indirect cost of research. Having these databases and resources readily available for researchers has enabled them to acquire relevant and up-to-date information in an easily accessible format, efficiently moving their research forward. This measure continues to be a significant contributing factor in the retention of faculty and attracting students. The Indirect Costs funding has also enabled us to increase subscriptions accordingly.

The Library Acquisitions staff spent a portion of their time dedicated to acquiring material related to research endeavours. In particular, for higher-level research, three staff members are dedicated to acquiring resources through inter-lending with other institutions with more advanced graduate research programs, and a portion of their salary as well as the operating costs are covered by the ICP grant.

Necessary insurance was taken out on research equipment such as vehicles (trucks, boats) and specialized research equipment. The off-site storage of this seasonal equipment was also an expense covered by the grant, and additional facilities were leased to accommodate an increased demand for storage.

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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 2012-2013 grant invested?
1. Institutional support for the completion of grant applications / research proposals.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Human resources and payroll	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Financial and audit costs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Research planning and promotion, public relations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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### Section III - Management and Administration (continued)

#### Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?
- do you participate in inter-institutional consortia or partnerships that assist in cost reduction in this expenditure category?

Funds from the ICP facilitated the costs related to software licensing and supplementary in-house development and implementation of the WebGrants grant-tracking and ethics application software. Considerable human resources involving TSC, faculty, research office staff and senior administrative personnel continued to be devoted to the successful implementation of this software. This enhancement of our grant and ethics application business processes results in more efficient service to our researchers, improved tracking and budgeting capability both for researchers and support personnel, and a significant move toward more sustainable operation of the research enterprise.

Four full-time employees were devoted to the management and administration of research activities at The University of Winnipeg.

The ICP covered a portion of the day-to-day operations of the Research Office. Funds supported various workshops and seminars to faculty, students, and staff in areas such as funding opportunities, grantsmanship, ethics, showcasing researchers, and lectures.

The funds are also directly supporting the costs of a part-time University Veterinarian and contracted support of a Commercialization and Intellectual Property expert.

There were a number of support bodies that the ICP Grant funds went towards, particularly through memberships to ProQuest, the Canadian Association of University Research Administrators (CAURA), The Canadian Federation for the Humanities, and WestLink Innovation. These organizations helped the Research Office disseminate important external funding information and opportunities and provided employees with valuable administrative information. Ongoing memberships have also enabled the Research Office to stay abreast of policy updates and developments in local, national, and international research.

ICP funding supported the costs associated with highlighting the research community at The University of Winnipeg. The Senior Grants Accountant's salary is derived from a portion of the Financial Services share of ICP funds, along with salaries of staff in Accounts Payable and Purchasing. The Human Resource functions include payroll, salary, and benefits administration, as well as Audit and Health and Safety services. These administrative positions contributed a portion of their time to research support and are funded in part by the Indirect Cost Program grant. The ICP grant also covered external audit fees when they related to research. All of these positions provide vital administrative and advisory support to our researchers.

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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 2012-2013 grant invested?
1. Creation and support of regulatory bodies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" 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 checked="" type="checkbox"/>	<input 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?

Animal user training is needed for any individual dealing with animals used in research, such as faculty, animal care technicians, and research assistants. Such training is mandatory, as set forth by the Canadian Council on Animal Care (CCAC), and consists of, for example, animal use certification programs, wet lab programs, and fish use programs. The Indirect Costs Program enabled the Research Office to cover this valuable and necessary training including, in particular, two animal care technicians' ongoing membership in the Canadian Association for Laboratory Animal Science and additional training for all three technicians, as was recommended by the CCAC. This support for maintaining the competency of our animal users removed the expense from departments and individual researchers, and allowed the redirection of funds to other needs. This measure contributed to a more collegial atmosphere in the University regarding the need for training and resulted in a higher level of cooperation from researchers and animal users. With the move of our animal care program into the Vivarium of our new Science Complex in 2012, animal users have needed updates to their training, new Standard Operating Procedures continued to be developed, and specific training was required for our animal care technicians using new equipment. University faculty and staff continued to revise and create Standard Operating Procedures (SOPs) for animal care, and a portion of the Indirect Costs Program contributed to the cost of hiring an assistant to substantially reformat and catalogue existing SOPs. To ensure regulatory compliance and to reflect procedural changes related to the WebGrants implementation, University Animal Care Committee (UACC) members and research office staff revised and updated the documents relating to Policies and Terms of Reference. Our Animal Use application forms were tested and refined for use with the WebGrants ethics application software implemented in January, 2013.

The University continued to review and revise its governance and compliance structure for its animal care program, in preparation for the CCAC site visit scheduled for 2013.

Health and Safety training was covered for the handling of radiation, biohazards and waste disposal biohazards.

The ICP grant covered the salaries and benefits of the two full-time animal care technicians who are now staffing the Vivarium of the Richardson College for the Environment and Science Building, as well as those of a part-time assistant animal care technician. A chief technician for the Vivarium performs administrative and regulatory functions for the animal use program and a portion of that individual's salary and benefits is covered. The University employs an experienced University Veterinarian part-time to provide care, oversight and compliance with CCAC regulations to the animals on a regular, as well as on an as-needed, basis.

With its ICP allocated funding, the Research Office supported costs related to the Veterinarian's travel to and from the facilities for these purposes, and to other centres for professional development.

A portion of the ICP funds were used to provide stipends and to cover eligible expenses for the Community Representatives who are members of our two ethics committees. The role of Community Representative is vital to the function of both animal and human ethics review boards and is mandated by both the Tri-Council and the CCAC.

With the release of the second edition of the Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans (2nd edition) in 2010, careful review and revision of our human ethics guidelines and policies continued, in order to ensure compliance and best practices in our research involving human participants. As a result, the University Human Research Ethics Board, with the assistance of Research Office staff, updated its terms of reference and procedures documents and negotiated a change in governance, becoming a committee governed by the Board of Regents rather than by Senate. Considerable involvement with the University's Legal Counsel and members of

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## Section IV - Regulatory Requirements and Accreditation (continued)

### Impact Statement

Senior Administration was necessary before this could take effect, and a portion of the resulting administrative costs was covered by the Indirect Costs Program. Application forms for research involving humans were tested and implemented for use in WebGrants starting in November, 2012, requiring the time of technical support staff, research office staff, faculty members, and communications personnel.

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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 2012-2013 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 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>

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## Section V - Intellectual Property (continued)

### Impact Statement

Please explain how the expenditures made in this priority area have allowed your institution (and its health research affiliates, where applicable) to maintain and/or enhance the capacity of its research enterprise. The following questions can help guide your answer:

- what difference have your grant investments made?
- are there significant changes from the previous year?
- why are these investments vital for researchers?
- why are these expenditures vital to the university research administration?
- what would have happened if expenditures hadn't been possible?
- what are the major cost drivers in this category?

The University has maintained a contractual relationship with a person dedicated to technology transfer and protecting the University's and faculty intellectual property rights in the negotiation of research contract relationships. In order to support this contractual relationship, the Research Office used a portion of the ICP funds. The University is exploring ways to expand its potential for commercialization of research, and this strategic initiative is reflected in the title of the senior administrator with executive responsibility for research: this has changed from Vice-President, Research, Recruitment and International to Associate Vice-President, Research and Innovation. Dr. Jino Distasio assumed this position in 2012.

Funds also covered legal, maintenance and renewal fees with regard to patents, as well as the costs of correspondence with lawyers and patent officials.

Research office staff continue to revise the internal policies and procedures governing the negotiation and administration of external research contracts, with valuable input from the intellectual property consultant, the University's Legal Counsel, and the Vice-President, Human Resources.

All of these functions support the research activities of existing faculty and the outcomes will certainly contribute to encouraging the recruitment and subsequent retention of new faculty.

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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.

The Indirect Costs Program has been instrumental and absolutely essential in supporting the recruitment, development, and retention of researchers. By supporting the research productivity and maximizing the success of existing faculty members, the University has attracted and retained such highly-qualified researchers as Dr. Christopher Wiebe, whose Tier II Canada Research Chair in Quantum Materials Discovery was announced in March, 2013. His research focuses on the new materials that now define our world, from the electronics inside an iPad to the superconducting magnets inside MRI machines. Supporting researchers of this caliber strengthens The University of Winnipeg's position as a centre for scientific research and innovation.

The University is proud to retain such respected researchers as Dr. Mary Jane McCallum, whose research in the areas of Aboriginal health, education and employment adds to a growing literature investigating Aboriginal people in the modern era.

Through the provision of staff and contracted services personnel, we have been successful in marshaling additional supports for such prestigious researchers

### 2. Attraction of additional funding

Has the Indirect Costs grant contributed directly to your institution's ability to attract additional funding to support the research environment?

Yes  No

If "yes", please provide an explanation.

The ICP grant is the catalyst for the development of research grants, both in science and in the humanities and social sciences. The IC grant funds supported the Vice-President, Research, Recruitment and International, as well as the incoming Associate Vice-President, Research and Innovation, in strategic research planning, particularly related to attracting additional research funding. The funds allow a smaller university such as ours to provide well-trained administrative personnel to assist faculty with the development and implementation of research grants. In 2012-2013, the Province of Manitoba gave the University \$100,000 to fund the analysis and construction of a business case for radioactive isotopes production in Manitoba. The University's success in obtaining this funding was in large part the result of the diligent strategic work of personnel in the Research Office.

Support from the ICP funds benefits our researchers in technology development, commercialization, and intellectual property processes. The ICP funds support the needs of our researchers and scholars in both the natural and human sciences, by allowing the University to provide the infrastructure required to allow them to focus on and expand their research. New granting initiatives and advances in communication technology infrastructure (the Cisco Telepresence Suite), as well as the profoundly important support garnered for the construction of the new United Health and Recreation Complex, create a productive, inspiring, and rewarding environment for research at The University of Winnipeg.

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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.

With the redirection of a substantial portion of our own operating funds, the University has been able to meet both our teaching and research objectives by upgrading and retrofitting our current campus facilities, expanding our campus, meeting faculty salary requirements, etc. Despite the ever-increasing pressure on our operating funds, we have been able to meet the academic priority of our University, which is to attract and retain highly-sought faculty in order to provide our students with the best instruction and research opportunities. The United Health and Recreation Complex will provide collaborative community programs, and provide researchers, particularly in the new Faculty of Kinesiology, with increased access to hands-on academic research and practicum experiences. Without support for the numerous expenses eligible under the ICP program, the University would not be able to maintain and build on its current level of support for such research.

### 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.**

ICP funds assist in the development and creation of graduate studies programs. Support for research equipment and facilities gives researchers the opportunity to attract and train highly-qualified personnel, thus attracting graduate students to our programs and increasing our faculty members' eligibility for substantial research grants. The University has been able to provide support for faculty representatives for SSHRC and NSERC, enabling them to devote time to mentoring researchers who seek federal funding. The research priorities of The University of Winnipeg include studies of issues relating to basic human rights of disadvantaged and marginalized communities and peoples. The success of our researchers who focus on these areas has enhanced the reputation of our University, and will have a major effect on the quality of life for such individuals, informing policymakers and governments as Canada moves towards a more just, inclusive and sustainable future.

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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.uwinnipeg.ca/index/indirect-costs-of-research>

### 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.