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Appendix 3

URB Social Sciences, Arts, and Humanities Task Force
Working Group 3 Summary Report and Attachments
Andrew Nelson

Contents:
1. Administrative practices and processes
2. Funding
3. Recognition / Communications
4. Advocacy

Attachments:
1. re: REB - memo on April 22nd, 2016 from Erika Basile, Director, Office of Research Ethics to the Deans and ADRs to be distributed to the research community, informing everyone that a new non-medical Vice Chair has been appointed, Prof. Randal Graham and providing further details of recent developments in the ORE.
2. Other Canadian and International Universities' internal funding programs – prepared by Andrew Nelson and Jane Toswell
3. URB Social Sciences, Arts, and Humanities Task Force Working Group 3 Report on Research Communications – prepared by Jonathan Vance

Working group's initial remit:

1. How is research in the social sciences, arts, and humanities supported at Western and how can this be improved?
    a. Specifically, how can (i) administrative practices and processes, (ii) funding, and (iii) recognition be improved?
    b. How can Western better communicate the results of leading edge scholarly activities in social sciences, arts, and humanities disciplines?
    c. How can Western advocate for social sciences, arts, and humanities research more effectively?

1. Administrative Practices and Processes

Based on the findings of the Working Groups, our Committee identified four areas in which infrastructure should be strengthened to enhance social sciences, arts, and humanities research.
- Support for the preparation of research proposals
- Research ethics review and approval
- Access to research tools
- Fostering interdisciplinary and collaborative research

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Preparation of Research Proposals

Respondents to our Committee's consultation process revealed that there are large disparities among the different faculties in terms of the kinds and amounts of administrative assistance that they can provide individual researchers. Strong praise was in evidence for the quality of support from Research and Development Services, particularly in the area of grant preparation, but that support is currently limited to specific programs (e.g. ORF, CFI, SSHRC Partnership and Partnership Development grants), leaving many faculty members dependent on variable and typically more limited resources in their home faculty. Furthermore, specific kinds of support, such as staff members knowledgeable in areas such as granting agency regulations, best practices around the eligibility and evaluation of in-kind supports, and the details of graduate support are very unevenly distributed across the faculties. Thus, there was a strong sense that there should be a greater centralized presence in the areas of opportunity identification, grant preparation, the handling of in-kind supports, the facilitation of community based research, and research mobilization. In addition, the areas increasingly being emphasized by the Tri-Councils, including open access publishing, data curation, and knowledge mobilization are areas of strategic importance that would benefit from administrative assistance.

Several impediments to the grant application process were identified by individuals consulted by this Committee, focusing particularly on ROLA and recent changes in administrative practice.

ROLA – ROLA has long been an irritant to researchers and some administrators at Western. It is indeed a valuable tool for gathering signatures in a fast and efficient manner, but its interface is non-intuitive, the software is unforgiving of mistakes and its budget module seldom matches the modules of the actual grant application. From an administrative perspective, it does not easily allow ADRs to check specific items of information, the budgets are incomplete, there is no way to track Faculty or University commitments to grant proposals and there is no facility to monitor a Faculty's grant activities over time. Finally, it does not track the information necessary for many of the internal processes in RDS, including the allocation of internal funds and information for research contracts. A software package recently obtained by Western, Qlik, does allow the querying of the ROLA database and the production of reports (data that make up part of this report was obtained this way), but it is currently only available to a few individuals.

Recent discussions with Patrick Callaghan indicated that there is a willingness to examine the ROLA interface and the kinds of data that ROLA gathers. The Committee applauds this openness (which has not been apparent on this topic in the past) and encourages that a range of stakeholders be consulted to improve this product.

Recent changes in administrative practice – Several researchers, particularly those with large grants that require extensive administrative and HR support, have noted that the administration of these projects is extremely burdensome. In addition, the process of hiring research assistants has become very complex, and there appears to be increasing bureaucracy involved in making purchases and payments. A thorough review of administrative procedures and processes with an eye to increasing efficiencies and decreasing the load on the researcher would be timely and welcome.

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Research Ethics Review and Approval

Many researchers and students consulted by this committee expressed frustration with the University's ethics approval process, citing, in particular, Research Ethics Board comments that go beyond the accepted purview of ethics review and significant delays in procuring ethics approval. In addition, researchers involved in multi-university projects experience difficulties and delays in coordinating ethics approval across institutions.

Our Committee acknowledges that the REB is aware of these challenges and is taking steps to address them. Documents detailing the steps taken to improve efficiency in the Office of Research Ethics are included as an attachment here and are itemized below. We support their efforts and encourage the University to ensure that they are given adequate resources, both in terms of finances and training personnel, to promote timely review of submissions. Finally, if the REB is to reflect the ideal of local peer-review for ethical acceptability, social scientists, artists and humanists must dedicate their time to serving as members of the Board.

Actions undertaken in the last year in order to improve efficiency at the Office of Research Ethics (from an email from Erika Basile):

- "We have hired 2 new Ethics Officers (one for the Health Science review and the other for the Non-Medical REB)
- Documentation: In response to feedback, we have updated templates and guidance documents on our website to better support researchers in preparing their ethics submissions. These updates will help researchers interpret policies and regulations, and to create study documentation. Due to the breadth of research activities across campus, we have updated our non-medical application form to clarify information the REB requires for review.
- We are in the process of finalizing the contract with a vendor for a new REB management system to replace ROMEO. The goal is to have this new system in place by the end of the year.
- Re: the coordinated REB review with UofWaterloo, more information about this can be found at http://www.uwo.ca/research/services/ethics/about/coordinated_review.ht
- We have some new REB members from Cardiac Surgery and a new community member which has been a tremendous help. We also have some new post doc REB members aiding in the review of medical applications (mainly delegated submissions). This has been a big help on our health science REB side.

  Some challenges remain, however. We have heard the research community's frustrations about delays and inconsistent reviews. This is where we need the research community's help. REB members play a vital role in the research ethics process by assessing whether research protocols adequately protect the rights and welfare of participants and researchers.

  We greatly appreciate the work our current and past members have done; however, to review the number of submissions we receive monthly in a timely manner — and with sufficient expertise — we urgently require new REB members knowledgeable in various

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subject areas. We require additional NMREB support from most faculties to help current members when they are unable to provide a review. Despite my initial Memo from Jan/2016 asking for additional REB membership and Grace's engagement with faculty we have not acquired any additional REB membership for the Non-Medical REB.

With respect to the HSREB, we are currently shorthanded in many areas, including, but not limited to: neurological sciences, dentistry, family medicine, medical imaging, oncology, ophthalmology and surgery. We need to ensure sufficient REB membership from the various faculties engaging in research involving human participants."

Our Committee is grateful for the leadership being provided by Ms. Basile and the steps that have been taken over the past year. We support these ongoing efforts and trust that things will continue to improve. We also encourage faculty members to respond to Ms. Basile's requests for engagement. Clearly, further improvement requires coordinated effort.

See Attachment 1 for additional information.

Access to Research Tools

Many research tools, such as quantitative analysis software that is commonly used in the sciences and in some of the social sciences, arts, and humanities, are widely available to students and faculty members at Western either free or at a reasonable cost through a university-negotiated site license. There is not, however, comparable access to tools that would be of use particularly to social science, arts, and humanities researchers, such as qualitative analysis software and online survey software. Some Faculties are able to provide to their researchers access to these resources, but others do not have the funds to make these tools available. Lack of universal low-cost access to these tools compromises the ability of faculty members and graduate students to carry out research; moreover, it places grant applicants at a disadvantage relative to faculty members at other institutions because they must build into their budget relatively high acquisition costs for these tools. Thus, coordinated centralized support for these resources would be of inestimable benefit to social science, arts, and humanities research on campus.

Research tools that have specifically been raised include Qualtrics and NVivo which are used by researchers and students across all the social sciences, arts, and humanities disciplines. These tools should be as readily available as SPSS is to researchers and students who utilize quantitative methods.

Fostering Interdisciplinary and Collaborative Research

The increased emphasis on interdisciplinarity at all the Tri-Councils makes support for this kind of research a strategic priority for the University. The current InterDisciplinary Initiatives program is widely recognized as a very important tool in this area that has fostered many vital and dynamic programs. The recently named clusters, the Brain and Mind and Bone and Joint Institutes, both held IDIs at some point along their development. Other research enterprises, graduate and undergraduate programs have emerged from this program as well.

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At an individual level, however, faculty members who carry out interdisciplinary research report ongoing challenges. Our consultations revealed that there are still difficulties encountered by individuals who hold appointments that cross units, particularly in terms of the hiring and promotion and tenure process. In addition, there are clearly still rigid silos in many parts of the University. Thus, an ongoing concerted effort is required to further develop interdisciplinarity at Western.

One suggestion that came out of the consultations, both with faculty members and students, was that Western should "cultivate a collaborative interactive and interdisciplinary research community by providing funding, opportunities and space for researchers to share ideas and talk." The libraries could play an important role in the establishment of such an environment as it exists outside of the disciplinary silos.

2. Internal Funding

Our consultation revealed a belief that recent changes in the internal funding program at Western, while aligned with the Strategic Plan, had shut many researchers out from one of the key supports for their research programs, which in turn has profoundly affected researcher morale.

As discussed elsewhere in this Task Force's final report, many social sciences, arts, and humanities researchers do not require large sums of money to undertake their research. The minimum grant request for both SSHRC's Insight and Insight Development Grants is $7,000, suggesting that these should be fruitful opportunities for researchers seeking to support small projects. However, data shared with this Committee by SSHRC revealed that the smallest amount actually funded from the fall 2015 Insight Grant round was approximately $65,000 while the average award was 2 to 3 times that size. Figures for the January 2016 Insight Development Grant were also well above the $7000 floor, at approximately $20,000 for the smallest request, with an average request of approximately 3 times that size (the awarded amounts are not yet available). These data make it evident that successful SSHRC projects do not have small budget projects, which is consistent with the Tri-Councils emphasis on multidisciplinarity and team grants. Although we have no direct evidence that lower budget projects would have a more limited chance of success, recent success rates in the low 30% range suggest that the return on investment for such applications would be limited at best.

Thus, it is important for universities to be creative about other ways to support small to modest research projects. SSHRC does provide Institutional Grants to eligible institutions and they allow institutions to retain unused grant funds (Grant Residual Funds) for repurposing. As discussed in the Summary Report on Working Group 1, these are the only funds that some universities deploy for internal funding. However, Western adds considerably more money from its operating budget to the internal support budget, for a total of ca. $2M/year.

Patrick Callaghan, the Interim Executive Director, Research, generously provided some data derived from the ROLA database, allowing the Committee to undertake some basic analysis of how the internal funds were being deployed, and what effect that had on external funding success. A small portion of that analysis is presented here.

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First, a tabulation of internal funds allocated to all Faculties indicates a somewhat fluctuating, but reasonably steady investment of funds for internally supported research:

| 2011	2012	2013	2014	2015
$2,006,772	$2,019,403	$2,107,511	$2,661,279	$1,876,173

The brief rise in internal funds in 2014 is likely due to the overlap of programs that were being phased out, and new programs instituted in, 2013. The reason for the reduction in funding below $2M in 2015 is not clear.

An examination of the core funds that faculty members can apply for directly (pre 2013 = Academic Development Fund large and small grants, SSHRC Internal Research and Travel Grants, International Research Grants; post 2013, Western Strategic Support for Success Grants and Faculty Directed Research Funds) showed that the social sciences, arts, and humanities disciplines in aggregate receive approximately 30% to 40% of the funds apportioned to the STEM disciplines. The average social scientist, artist or humanist also receives about 30% to 40% of the amount of internal funds as the average STEM researcher.
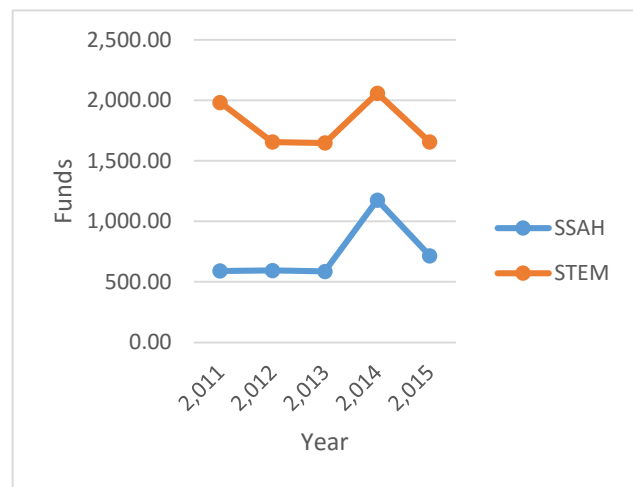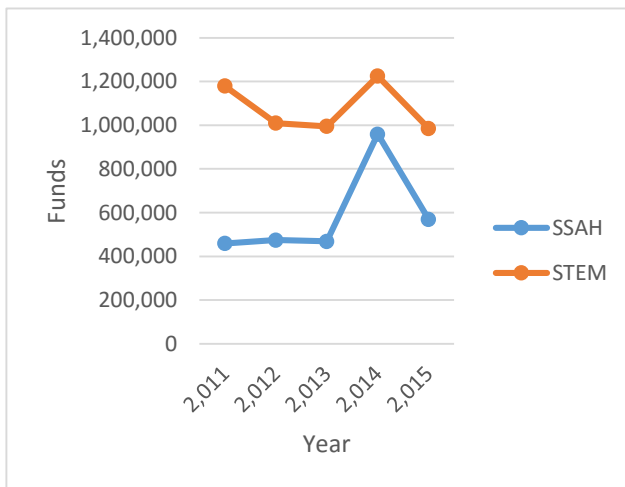
This observation is not a rallying cry suggesting a systematic bias against the social sciences, arts, and humanities disciplines and researchers. Rather, it is an important observation that deserves further discussion. Elsewhere in this report, we have noted that social sciences, arts, and humanities researchers tend to require smaller budgets than STEM researchers. However, there are more social scientists, artists and humanists at Western than there are STEM researchers, so one might also expect a more equitable distribution of resources. It is not the objective of this report to come to a conclusion on this matter; we merely seek to point out that this is something that should be explored more thoroughly in an examination of the internal funding program.

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A third analysis undertaken is of the total value of SSHRC grants held at Western. There are many reasons that this number could vary over time, including a few very large grants, overall changing success rates at SSHRC, vagaries of the pool of researchers applying in any given year and so on. However, given that the funding regime instituted in 2013 had its explicit goal to increase success rates at SSHRC, this is a valuable indicator of the success of the Western Strategic Support for Success Program. The figures for the total value of SSHRC grants held at Western are plotted below:
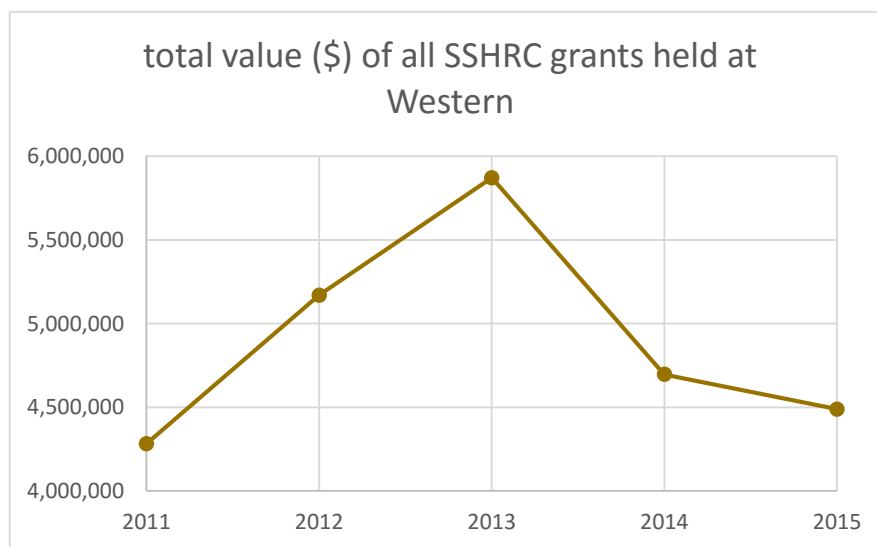
The plot shows a sharp increase in SSHRC funds held under the pre-2013 funding programs, but a sharp decline thereafter under the Western Strategic Support for Success program. A detailed analysis of the specific outcomes for WSSS recipients at SSHRC application has not yet been undertaken, but an analysis of those received by the Faculty of Social Science by December of 2015 provides some anecdotal evidence of the effectiveness of this program. During the term of the WSSS program, FSS received 11 of these grants. Of those 11, only 2 were ultimately linked to successful SSHRC applications. This clearly merits a more detailed exploration.

A quote from one of the individuals consulted by our Committee might prove revealing in light of this analysis:

> "*We need one-time stand-alone funding internal opportunities for research and conferences and less funding tied to massive tri-council projects and the pursuit of these… Ironically there is little room for testing novel ideas and projects given our current obsession with research projects that are massive and bureaucratic. There is little chance for small scale innovation and experimentation in our system.*"

The upward trajectory from 2011 to 2013 may well reveal that a diversified, flexible and multilevel internal grants program actually permits more creativity, innovation and ultimately breeds more success than a program that assumes that one-size fits all. Suffice to say, a more thorough analysis of the internal funding program is warranted.

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The feedback we received during our consultation definitely showed that social scientists, artists and humanists at Western would prefer a more diversified portfolio of funding opportunities than currently exists. Suggestions include a Competitive Teaching Release, Mid-career Research Awards, and a Small Grants Program. An examination of internal funding programs at other institutions in Canada suggested precedents for each of these ideas (see Attachment 2). Discussions with the Associate Deans of Research of the social sciences, arts, and humanities Faculties suggests that there is strong support for the continuation of some sort of FRDF funding, that there is some value in strategic support initiatives to support grant success (although possibly in a modified way). ADR discussions and the enumeration of support programs at other institutions also suggested that grants to support the preparation of large and complex proposals (e.g., Partnership Grants) prior to the LOI stage would be valuable. These are discussed further in the final report document.

Finally, our survey reported that many faculty members have resorted to self-funding small research projects and/or research and conference travel. This "grant" is actually the allocation of a portion of a researcher's own salary as an amount against which they can claim research expenses against taxes. This allows the researcher to recover at least part of their investment in research. There used to be two versions: one that would pertain when a researcher was on sabbatical, the other during a regular year. A CRA ruling in 2013 has been interpreted by many as ruling out the URG during a regular year, and Western's current version (http://www.uwo.ca/facultyrelations/) applies only to sabbaticals. The description of this program is presented in complex jargon that is difficult for most non-lawyers to understand. It is therefore rarely utilized.

Similar programs exist at other universities, but the interpretation of the CRA position varies (see Attachment 2). Queen's has apparently has limited the use of grant in any form and the Committee was told that it is "controversial". Toronto's version is "under moratorium" (http://www.research.utoronto.ca/wp-content/uploads/2012/10/SFRG-Moratorium-April-2013.pdf). Lakehead has one that appears to support sabbatical and regular years (https://www.lakeheadu.ca/research-and-innovation/forms/research-services/node/15025) as does the University of Alberta (http://www.rso.ualberta.ca/Applying/SponsorsPrograms/UofAFunding.aspx). The committee received input from Ann Bigelow, a Lecturer in Management and Organizational Studies with expertise in the Income Tax Act. Ms. Bigelow suggested that Section 51(1)(o) of the Income Tax Act was subject to interpretation and that the employer should consider asking the CRA for a ruling on the restriction of this grant to sabbaticants only, and to clarify other aspects of this program (http://www.cra-arc.gc.ca/E/pub/tp/ic70-6r7/ic70-6r7-e.html). Given the lack of clarity on this matter, other universities would also benefit from clarification.

3. Communications

The promotion and celebration of research achievements is a critical part of the research process. Researchers must feel that their work is valued by their institution and that success in all disciplines is equally valued. Communicating research achievements is also critical because of the priority that funding bodies place on public engagement, knowledge mobilization, broader impact, etc.

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Anecdotal evidence from consultations thus far, indicates a perception among social sciences, arts, and humanities scholars that there is some inequality at Western, and that the institution places a higher premium on a STEM research achievement than it does on research achievement in the social sciences, arts, and humanities.

The detailed discussion of Research Communications can be found here as Attachment 3. The key observations are that:

1. there are vastly differing capacities and emphasis on communications between the different faculties at Western. Some have very sophisticated and well-resourced communications units, others have very small units, while many have no communications support at all
2. Western has an Office of Communications and Public Affairs (hereafter CPA), under Associate Vice-President Communications Helen Connell that is responsible for the overall communications strategy of the University. This office includes Alumni & Development Communications, Media & Community Relations, Creative Services, and Editorial Services.
3. there is a perceived and actual difference in the number of appearances of social sciences, arts, and humanities stories versus the number of STEM stories in Western communications releases.
4. this situation is the product of two competing processes
   a. the difficulty that the CPA has in engaging social sciences, arts, and humanities researchers in the communications enterprise
   b. a reluctance of social sciences, arts, and humanities researchers to engage in the communications exercise.

The key recommendation to emerge from this exercise is that Western needs to establish better mechanisms to connect the Communications and Public Affairs office with the Faculties, and social science, arts, and humanities researchers and social scientists, artists and humanists need to be better coached in the value of the communications enterprise. The latter involves examining how these efforts are valued and recognized within existing structures at the University, including annual performance evaluations and promotion and tenure.

4. Advocacy

The last component of the mission of this Task Force was to consider the question "How can Western advocate for social sciences, arts, and humanities research more effectively?" The answer to this question is a multifaceted one that draws on much of the material discussed above.

First, the clear message emerging from the consultation exercise is that the social scientists, artists and humanists on the Western campus do not feel that their efforts and accomplishments are valued by the current University administration. The University has already taken a major stride toward addressing that concern with the establishment in the 2016-17 budget of a $5M endowment for the support of the social sciences, arts, and humanities at Western. This effort is to be embraced and encouraged.

A very simple and clear confirmatory/advocacy message would be for the University to embrace the Leiden declaration on *The Role of The Social Sciences and Humanities in the Global Research*

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Landscape (http://media.leidenuniv.nl/legacy/leiden-statement.pdf) that celebrates the value of research in the social sciences and humanities and is signed by Canada's U-15 (of which Western is a part). However, this declaration is currently invisible on Western's website and in any of its literature. A quick look at other members of the U-15 suggests that our sister universities are not any quicker to the mark, so Western could be a leader in Canada in this regard.

An important external advocacy measure would lie in strengthening our relationships with the Tri-Councils and other granting agencies and national associations such as the Federation of Humanities and Social Sciences. The SSHRC Leader in particular has an important role to play in making our researchers' and students' concerns known to SSHRC, and in bringing policy and practice information back to the University. A more active relationship with the Federation would benefit our researchers, particularly with regard to their efforts to better understand *impact* in the social sciences, arts, and humanities.

Active and effective advocacy for the social sciences, arts, and humanities will require a concerted and coordinated effort on all fronts. It is our hope that this report will be an important contribution to these efforts.

Working Group 3 membership included: Jonathan Vance (FSS), Andrew Nelson (FSS), Kelly Olson (A&H), Tamara Hinan (student, FSS), Vicki Schwean (Education), Scott MacDonald (student FIMS), Jane Toswell (A&H)

This report was informed by additional submissions by:
- Ann Bigelow (FSS)
- Erika Basile (ORE)
- Patrick Callaghan (Research Western)
- staff members from the: Office of Communications and Public Affairs, Alumni & Development Communications, Media & Community Relations, Creative Services, and Editorial Services
- communications officers from Faculties across campus

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REB - memo on April 22nd, 2016 from Erika Basile, Director, Office of Research Ethics to the Deans and ADRs to be distributed to the research community, informing everyone that a new non-medical Vice Chair has been appointed, Prof. Randal Graham and providing further details of recent developments in the ORE.

Western Research

Research Ethics

April 22, 2016

RE: New Non-Medical Research Ethics Board Vice-Chair

Dear members of Western's research community,

It brings me great pleasure to let you know Faculty of Law professor Randal Graham has accepted our invitation to serve as Vice-Chair of the Non-Medical Research Ethics Board (NMREB), effective July 1, 2016. Professor Graham has served as a valued member of the board since February 2012.

Professor Graham was appointed to Western's Faculty of Law in 2002 and currently holds the Goodmans LLP Faculty Fellowship in Legal Ethics. His principal teaching and research interests include ethics, statutory interpretation and legal theory. Professor Graham continues to act as a litigation strategist and technical consultant in matters related to his primary research areas, and his most-recent book – a satirical novel – will be published in 2017.

We anticipate this move will help relieve some of the administrative burden on NMREB Chair professor Riley Hinson and reflects the team's ongoing efforts to improve service delivery and turnaround times. As has been communicated previously, these efforts have included recruitment of two new ethics officers, implementation of new templates and guidance documents, and establishment of a new process for coordinated reviews for multi-site research with University of Waterloo.

Western's HSREB is also a qualified Board of Record for Clinical Trails Ontario (CTO). The CTO REB of Record Review process endorses any 'CTO-Qualified' REB in Ontario to provide ethical review and oversight of multi-centre clinical research – including industry-sponsored or investigator-initiated studies – on behalf of multiple research sites across the province.

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Similarly, we are in the final stages of an agreement to replace ROMEO with a better REB management system. I will provide more information, including a timeframe for implementing this new system, once the agreement has been finalized.

Please do not hesitate to reach out to any member of the team if you have any specific questions.

Sincerely,

Erika Basile,
Director, Human Research Ethics
Western University
519-661-2111 ext. 86764 | ebasile@uwo.ca

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Attachment 2 - Other Canadian and International Universities' internal funding programs
Andrew Nelson and Jane Toswell

Canadian Universities
- prepared by Andrew Nelson
- abbreviated version – full version available on request

Executive Summary

SSHRC provides funds to Universities under the SSHRC Institutional Grant (SIG) program. SSHRC
and NSERC also allow Universities to retain funds that are unspent at the end of the terms of
research grants. These are called General Research Funds (GRF). The SIG funds are determined
using the following guidelines:

> "SSHRC provides annual block grants for three-year terms. These are calculated
> according to the following formula:
> $50 for each faculty member whose discipline falls within SSHRC's mandate; plus an
> amount based on the postsecondary institution's average performance, over the three
> previous competition years, in all SSHRC research support funding opportunities,
> calculated at the rate of:
> - 23 per cent of the first $100,000 awarded;
> - 20 per cent of the next $400,000 awarded; and
> - 14 per cent of the remainder, if any.
>
> This formula recognizes multi-institutional grants by distributing credit for performance
> to all co-applicants.
> Grants will be calculated once per three-year funding cycle.
> SSHRC guarantees a minimum grant of $5,000 to each eligible institution deemed
> through the merit review process to meet the evaluation criteria."
> http://www.sshrc-crsh.gc.ca/funding-financement/programs-
> programmes/institutional_grants-subventions_institutionnelles-eng.aspx

The SIG and GRF funds seem to form the basis of internal funding programs at most Universities.
At McGill and McMaster the entire internal funding program appears to be based on SIG+GRF
funds, so no internal funds are available for CIHR researchers. Most Universities supplement these
funds with additional budget support. UofT, UBC, UofA and Waterloo rely heavily on endowment
funds. In the case of UofT, the Connaught Fund is worth more than $97M. UBC and UofA have
funds from the Killam Foundation. Waterloo has the Bob Harding and Lois Claxton Humanities and
Social Sciences Endowment Fund which was established with $1M from a donor and $1M from the
University (during Amit Chakma's term).

Most Universities have a small research grant, a conference grant, and 4A funding, many have
international research grants and several emphasize strategic priorities. Some are very focused,
including Queen's & McGill, while others offer a wider menu of options, including Lakehead and
Waterloo.

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Highlights of the offerings that we may want to consider include:
- time release grants (esp. in light of the internal survey) – see Lakehead's University Research Chair
- grants to support the development of large and complex grants such as Partnership Grants – see UTS, UTM, UofA and Waterloo. Note that the Waterloo has two programs in this area: one for International Partnerships and the other specifically for EU Partnerships. This is in alignment with SSHRC's work on the Transatlantic Platform and Digging into Data
- grants specifically aimed at Arts projects – see Queen's The Arts Fund, and McMaster's Creative and Performing Arts component of the Arts Research Board
- equivalents to our University Research Grant. This is particularly relevant to the comments in the survey about people self-funding their research. This "grant" is actually the allocation of a portion of a researcher's own salary as an amount against which they can claim research expenses. There used to be two versions: one that would pertain when a researcher was on sabbatical, the other during a regular year. A CRA ruling in 2013 has been interpreted by many as ruling out the URG during a regular year, and Western's current version (http://www.uwo.ca/facultyrelations/) applies only to sabbaticals. However, UofT has suspended the program completely and other Universities appear to be continuing as before the 2013 ruling.
    - o see summary report above for additional information

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Other Canadian Universities' internal funding programs

Queen's
http://www.queensu.ca/vpr/sites/webpublish.queensu.ca.vprwww/files/files/QROF%20Page/15-0138%20VPR%20Research%20Opportunities%20Fund%20brochure_access.pdf
http://www.queensu.ca/vpr/sites/webpublish.queensu.ca.vprwww/files/files/Internal%20Awards/20151005%20FAQs%20(revised%20December%202015%20for%20website%20update).pdf

Queen's Research Opportunity Fund
- result of a review in 2014 to align internal research programs with Queen's institutional priorities
- The Queen's Research Opportunities Funds will provide up to $1 Million in research funding for its first year and a minimum of $500,000 in funding for each of the next four years. The funds will be tracked annually to gauge how they are dispersed across scholarly disciplines and to determine the impact they are having in advancing the objectives of the Strategic Research Plan.
- $500,000 will be available for the Research Leaders' Fund in its first year.
- Preference will be given to researchers who use these internal research funding opportunities to leverage or match external funding, or to develop an external grant proposal. The Queen's Research Opportunities Funds are not intended to replace external research funding.

Opportunity	Amount	Comment
The Research Leaders' Fund	$10,000 to $25,000	for strategic institutional commitments to aspirational research in support of the University's research strengths and priorities
The International Fund	$10,000/year for a maximum of two years	to assist in augmenting the University's international reputation through increased global engagement
The Arts Fund - support for artistic production - visiting artist in residence	$5,000 $25,000	designed to support artists and their contributions to the scholarly community and to advancing Queen's University
The Post-Doctoral Fund - fellowship - travel fund	one year of salary support pre collective agreement $1,000	to both attract outstanding post-doctoral fellows to Queen's and to support their contributions to research and to the University

- Queen's has also historically offered 4A funding
- with the adoption of the activity based funding model, much of this sort of stuff will be handled at lower levels
- limited use of a URG-like grant… "controversial"

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Lakehead
https://www.lakeheadu.ca/research-and-innovation/research-services/funding-prizes/internal

Internal seed grants at Lakehead University are available from the Senate Research Committee and other sources to enhance research capacity development including the facilitation of external grant applications, and scholarly productivity of Lakehead University faculty members.

(this list does not include recognition awards)

Opportunity	Amount	Comment
Research Development Fund	$7,000	facilitate successful tricouncil grants
Open Access Fund	$2,500	
Conference Travel Grants	$1,000	
Publication Assistance Funds	$500	hard costs associated with publishing
Visiting Scholar Grant	$1,000	
Leave/Non-Leave Research Grant in Lieu of Salary		Lakehead's equivalent of the URG
CFI IOF		
Lakehead University Research Chairs	$50,000	research costs can include teaching buy out
Regional Research Fund	$1,500-$5,000	applied research relevant to Northern Ontario
VP RI Strategic Fund		funds from SIG
- SSHRC 4A	$3,000	
- Sustainability Studies Research Grant	$5,000	innovative solutions to sustainability challenges
- Strategic Research Opportunity Grant	open	support opportunities that cannot be supported through other means
- University of Minnesota Duluth (UMD) Research Collaboration Grant	$3,000	support collaborative research with UMD
- Emergency Research Equipment Repair Fund	must be more than $1,000	support emergency repairs

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- Lakehead University's Research Bridge Fund	$10,000 over 2 years	for faculty to restart research after administrative apt or personal issues
- International Research Collaboration Fund	$5,000	support international collaborations
Internal Peer Review Programs - CIHR - NSERC - SSHRC Enhancement	 $5,000 $5,000 $1,000	to encourage early completion of applications and submission for internal peer review funds awarded if the grant is not successful but meets a specific bar - the SSHRC funds here are to support the preparation of an application (note the 4A fund above is separate)

UBC

SPARC - Support Programs to Advance Research Capacity - https://sparc.ubc.ca/sparc
     - sounds like RDS & consultants
     - supports all tricouncil & CRC applications

Internal Funding Program - http://www.ors.ubc.ca/contents/internal-ubc-funding-sources
     - access denied
     - apparently in the process of being "re-jiggered"

UBC is one of the Killam institutions. Thus, they have funds for SSAH related research.
https://www.grad.ubc.ca/scholarships-awards-funding/killam-awards-fellowships
They have a number of grad and post-doc and teaching awards, as well as
Killam Research Fellowships - $15,000 salary top up for a researcher on leave (who has presumably been given a reduced salary) + $3,000 for research or travel

Opportunity	Amount	Comment
Killam Research Fellowship	$15,000 salary supplement + $3,000 for research or travel	Assisting promising faculty members who wish to devote full time to research and study in their field during a recognized study leave SSAH disciplines
Killam Faculty Research Prize	$5,000	in recognition of outstanding research and scholarly contributions 5 prizes for NSERC/CIHR, 5 for SSHRC/Canada Council

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UBC shows a number of additional prizes/awards, but these do not appear to be research grants.

McMaster

The Arts Research Board oversees a number of competitions
The key objective of the Arts Research Board is to cultivate a strong research base among the Faculties of Humanities, Social Sciences and Business. Specifically, ARB supports a) research programs of new faculty, b) new and/or collaborative, interdisciplinary and/or multidisciplinary research initiatives, c) ongoing research that has a budget less than the minimum required for SSHRC applications, d) research related conference travel and e) publication of peer-reviewed articles. It is expected that funding will lead to increased individual and group participation and success in external grant competitions.
http://roads.mcmaster.ca/forms/forms-and-templates

Opportunity	Amount	Comment
Arts Research Board - Conference Attendance and Representational Activities grant	$4,000	
- Major Collaborative Project Seed Grants program	$15,000 over 24 months	- designed to provide critical seed funding to facilitate the subsequent development of strong, competitive proposals of an interdisciplinary and/or multidisciplinary nature for submission to external research sponsors.
- Standard Research and Creative & Performing Arts and Scholarly Publications grants	$7,000	

On this page, http://roads.mcmaster.ca/forms/forms-and-templates, there is a form for "Request for Internal Research Funds (IRF)", but there is no obvious information about terms, amount etc.

McMaster also has a "Forward with Integrity" program that funds projects that support and advance the principles of the program http://fwi.mcmaster.ca/fwi-projects/
- each project can get $5,000
The program is intended to: reinvigorate activity in four key and interconnected areas;
- the student experience,
- McMaster's research environment,
- our relationship with the surrounding community and
- McMaster's commitment to global activities.

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University of Toronto

UofT Mississauga
https://www.utm.utoronto.ca/vp-research/funding-opportunities/internal-funding-competitions

Opportunity	Amount	Comment
Outreach, Conference and Colloquia Fund	$500, $1000 or $1,500	The purpose of this fund is to provide financial support to organize conferences, colloquia, or other outreach activities that enhances the UTM research profile at local, national, and international levels.
Research and Scholarly Activity Fund	"normally" $5,000-$10,000	The purpose of this fund is to support direct costs of research and scholarly activity that will improve the competitiveness of external grant applications submitted by UTM faculty members, with an emphasis on Tri-Council grant applications, including collaborative and strategic grants.
Research Planning Grants	no amount specified	The objective of this funding is to provide support for UTM researchers to plan meetings that bring together a team of researchers and partners to develop *major* grant proposals (such as CFI Infrastructure Fund, Networks of Centre of Excellence, SSHRC or NSERC Strategic Partnerships, Global Challenge Awards, etc).

UofT Scarborough
http://www.utsc.utoronto.ca/research/university-toronto-internal-funding-programs

Opportunity	Amount	Comment
Major Research Project Management Fund	expected to range from $10,000 to $100,000 - must be matched 1:1 by supporting units	The objective of the MPRM is to enhance the competitiveness of UofT-led research funding applications - for the development of large, complex, multi-institutional type grants
Research Completion Award	no specific amount – just that funds are limited	funds from NSERC & SSHRC GRF - to be used to complete the project or to advance the original project to be better positioned for the next one

UofT main campus does not appear to have a specific internal funds program.

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Their self-funded research grant is currently inactive http://www.research.utoronto.ca/wp-content/uploads/2012/10/SFRG-Moratorium-April-2013.pdf

UofT also as a suite of programs under the Connaught Fund
http://connaught.research.utoronto.ca/about/
The Connaught Fund was founded in 1972 when U of T sold the Connaught Medical Research Laboratories for $29 million. Connaught is the largest internal university research funding program in Canada. Since 1972, it has awarded approximately $130 million to U of T scholars. The original $29 million was endowed. Today, Connaught is worth over $97 million.

Opportunity		Amount	Comment
Global Challenge Award	1 full award	$1,030,000	currently under moratorium
New Researcher Award	~ 60 awards up to $10K ~16 awards topped up to $35K	$1,000,000	to help new tenure stream faculty members establish competitive research programs
Innovation Award	Approximately 10 awards	$500,000	to help accelerate the development of promising technology and promote commercialization and/or knowledge transfer
Summer Institute Award	Up to 3 awards	$150,000	one new award will be made annually to bring together international graduate students, postdoctoral fellows, other scholars in order to foster rich interdivisional collaboration and creative new methods for research and innovation.
McLean Award	1 award	$50,000	support an emerging research leader conducting basic research in physics, chemistry, computer science, mathematics, engineering sciences and the theory and methods of statistics
International Doctoral Scholarship	Numerous awards	$1,000,000	
Faculty Recruitment Support	Numerous awards	$50,000	

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University of Alberta
http://www.research.ualberta.ca/OfficeoftheVice-PresidentResearch/InternalResearchFunding.aspx

link for Killam funds: www.**research**.ualberta.ca/...President**Research**/.../vp**research**/.../
Funding%20Documents/KRF_edited_guidelines_14nov_2012.pdf

Opportunity	Amount	Comment
Killam Research Fund - Cornerstones grant - Research Operating grant - Cornerstones conference travel grant - Research connections grant	 X<$50,000 X<$7,000 - amount depends on destination - $1,200-$5,000 - X<$10,000	- Killam Funds available to the arts, humanities and social sciences The aim of Cornerstone Grants is similar to the Research Operating Grants, but usually involving a larger scale of activity, and both grants support similar research expense categories. Research Operating Grants are designed to assist in the development of leading research projects that will lead to peer reviewed external funding (e.g. SSHRC grants). to support *collaborative research activities*, hosted by the UofA
Distinguished Visitors Fund	not stated	This program supports visits by nationally or internationally distinguished scholars, artists, scientists, and professionals who will enhance the intellectual environment on campus.
Scholarly Journals	maximum of $8,000 per journal per year	
NSERC & SSHRC General Research Funding	not stated	The GRF is intended to be reinvested by the University of Alberta in order to support and enhance the quality of research and training in the fields of natural sciences and engineering or social sciences and humanities. The funds may be used to provide small start-up grants to new professors or professors changing their research direction, bridge funding to professors who are between applications, or additional funds to further support existing research programs.

There is additional UofA funding through the Grants Assist Program:
http://www.research.ualberta.ca/en/ResearchSupport/GrantAssistProgram.aspx

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This is a program whose "aim is to help UAlberta researchers improve their funding success via enhanced application preparation and support including concept discussion, internal review, feedback, workshops, and writing and editing."
- however for the SSHRC side there are two small funding pots for people who submitted their proposal for internal pier review
- 4A GAP Fund – worth $5,000
- Partnership Letter of Intent Preparation Grant - - up to $10,000 for technical support, travel for networking, supplies, seminar etc.
http://www.sshrc.ualberta.ca/en/BridgeFunding/PG-LOI-GAPfund.aspx

McGill
https://www.mcgill.ca/research/researchers/funding/internal

The Office of the Vice-Principal, Research and International Relations, Internal Research Funds provide support to full-time academic staff in pursuit of their research programs and projects.

The disbursement of internal research funds is subject to:

-   Availability of funds
-   Support from the Dean
-   Leverage of other funding sources; including matching funds from Faculty offices and departments; and other sources of funding to supplement the research activity.

Opportunity	Amount	Comment
Paper presentation grants	$1,500 (every two fiscal years)	SSHRC researchers only – based on SIG funds
Social Sciences and Humanities Development grants	$2,500 to $7,000	SSHRC researchers only – based on SIG funds emerging scholar grants and seed grants
SSHRC and NSERC General Fund	NSERC – up to one year of funding from the original grant SSHRC – up to 33% value of original grant	- funded from the general residual fund for the "broad purpose of enhancing the quality - of research in the natural sciences and engineering, or in the social sciences and humanities". - unspent grant funds automatically go into the GRF (no extensions). Applicants to this program must have had a grant that had unspent funds within 2 yrs of the application. - applications treated as a new grant

- no central support for CIHR, - the only central programs are SIG & GRF funded

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University of Waterloo
https://uwaterloo.ca/research/find-and-manage-funding/find-funding

Opportunity	Amount	Comment
Bordeaux-Waterloo Research Grants	Category A – up to $50,000 Category B – up to $20,000	for collaboration between Waterloo and Bordeaux specific (mostly NSERC) topics specified
International Research Partnership Grants	Up to $20,000 (requires 50% match)	this initiative aims to provide incentives to develop new or existing international research collaborations with institutions known for high quality research and global ranking. It's expected this funding will provide research groups with the enhanced capacity to leverage significant collaborative international research funding
International Research Partnership Grants – European Union	Up to $20,000 (requires 50% match)	this program supports partnerships with researchers/institutions in the European Union. Additional projects will be funded under the International Research Partnership Grants program with the purpose of supporting projects with strong potential to leverage direct funding to Waterloo researchers from major European funding programs.
UW/SSHRC Seed Grants	Up to $5,500	funds from SIG eligibility tied to participation in external SSHRC programs, but cannot hold a SSHRC or be 4A status priority to new and bridge projects
UW/SSHRC Travel Grants	amount depends on destination – between $800 and $2,200	funds from SIG must have held SSHRC within last 3 years or be junior
Bob Harding and Lois Claxton Humanities and Social Sciences Endowment Fund	Up to $5,500	$1M from donor matched by $1M from Waterloo (*under direction of Chakma*) - for projects not eligible for Seed Funding (above)
Waterloo Research Incentive Fund (CIHR)	$8,000	support the improvement of unsuccessful CIHR applications and increase the prospect of success for future CIHR applications.
University of Waterloo Gender Equity Research Grants	Up to $10,000	support research that investigates and addresses gender equity with preference given to projects that advance Waterloo's three IMPACT 10x10x10 commitments or of demonstrated relevance to Waterloo.

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International Funding

– prepared by Jane Toswell

What funding is there at other major research universities for the humanities and social sciences?

The first point here is there are some big funding programs at all these universities, but also a lot of small pots. Second, most of the small pots of funding are hidden. For some of these universities I have been able to use personal knowledge or to activate colleagues. Generally, I've learned that the front of the research website tends to offer the bigger and splashier funding, but the nuts and bolts of small funds and options are not easy to find or not findable at all. Also, there is some researcher bias in here, as I found myself digging on the sites that I knew I would better be able to decode, or where I knew I had friends and colleagues. But, I think the remarkable sameness around the world of having lots of small pots of funding, administered by a broad range of faculty members, is telling. Also, I noticed in general that the social sciences and the humanities appeared very much at the front of all the university websites, in various ways. That is, at the large research universities in the world that have a liberal arts curriculum, efforts are very clearly made to put it front and centre on the website. On occasion, this even involved a report about a department in the absence of any specific accomplishment.

Aberdeen

Engagement is apparent on the front page of the university, which has at the top a new Dickens exhibition, and on the front pages of the sub-pages in "Research" and "Business." The "Business" one opens with this sentence: "The University of Aberdeen has an outstanding history of pioneering discoveries which have changed thinking and practice in medicine, science, arts, and humanities over five centuries." (British universities tend to conflate the social sciences into the arts and humanities.) The Business further includes amongst its planned "Strategic Partnerships" something entitled "Public, Cultural and City Engagement." On the "Research" website the top sequence of crawlers includes two which are relevant: one which includes lists of research publications by all faculty members, and another on battlefield archaeology from the Second World War. The same sentence appears here too. And one of the sections of the front page is a list of recent publications from the university. Clearly as every piece is published, faculty members forward information to the central research facility to add to the listing. Research is first listed under four genuinely cross-disciplinary themes: Energy, Environment and Food Security, Pathways to a Healthy Life, and The North. Each theme involves people from the social sciences and humanities, and connects up several programs. For example, "The North" includes programs on climate change, the rise of early medieval kingdoms, the northern temperament, and northern colonialism. These are interdisciplinary themes, and each one receives extensive funding. Aberdeen also has a network of institutes and centres for research, each with stable funding. The College of Arts and Social Sciences is one of the three colleges at the university, and prominent on its website are the REF rankings of its departments and programs. It also features the Aberdeen Humanities Fund, whose mandate is as follows: "the Fund aims to seize the initiative in pursuing our academic ambitions by putting our historic collections, widely conceived, front and centre as we foster the cultural life and legacy of the University. Our approach is inclusive rather than restrictive: 'the humanities' are conceived of broadly, being best

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defined by scholars themselves." The Fund has both an academic board and an advisory board, clearly to ensure that awards made from the fund are adjudicated by peers. An incredibly helpful website also focuses on developing researchers and on consolidating information about local funding: http://www.abdn.ac.uk/develop/develop/research-funding-273.php
There appear to be several ways to acquire local funding, as well as highly-developed support systems for the REF process and for developing a career as a researcher, starting with students and moving forward through events for junior researchers. The local funds are called "Principal's Interdisciplinary Fund," "Principal's Excellence Fund," and "Researcher-Led Initiatives Fund." The last of these is the most interesting, as it offers funds only for projects that are not directly relevant to the researcher's own project, but otherwise will fund anything from a conference to a "careers event to an industry visit or even launching your own journal."

Stanford

At the top of the main website Stanford has four crawlers, one of which is an introduction to the Department of Philosophy with the catch-line "Stanford's Philosophy Department trains the leaders and thinkers whose great ideas may change the world". That is, even though there was no specific reason to put a department of humanities on the front of the website, Stanford did. The link to the department's research website includes a description of the work of some members, images of books published in the department, links to the ten workshops and three reading groups, and a link to the North American Nietzsche Society, which the department sponsors. The department compares well to our Department of Philosophy. It has two visiting scholars and one visiting student researcher this year. Its radio programs called "Philosophy Talks" are organized through the Stanford Humanities Center, now in its 35th year. Its funding priorities include the Humanities Center Annual Fund, Manuscript Review Workshops (two to three senior scholars come to campus to read and comment on the book projects of especially junior faculty members), and the International Visitors Program which strengthens "Stanford's global connections in the humanities and social sciences by bringing renowned public intellectuals, scholars, and political leaders to Stanford for short-term, high-impact residencies." There are fifteen funded research workshops in the current academic year, and two manuscript review workshops per term.
        In other words, the funding at Stanford runs very differently, in favour of building workshops and synergies, and establishing Stanford as a focus for research in a highly global way. For example, in addition to several endowed lectures each year, and presidential lectures, there is also a project for Humanities Journalism, in which graduate students are funded both to develop their own expertise in disseminating research and learning the precepts of journalism and also too raise the profile of the humanities in the university and abroad.
        All of the material to this point is available on the university website. However, it is already clear to me that the kind of funding that we are talking about here–lots of small pots of money–rarely appears on university websites. So, I contacted a colleague at Stanford and asked. Here, stripped of personal references, is what emerged:
There is a lot of money here, even if all the senior managers are insisting there's a squeeze on. We get $7000 a year for our individual research pots, and there are multiple venues for additional funding. These range from money acquired through the Vice Provost for Undergraduate Education and the Vice Provost for Graduate Education, who can provide funding for Research Assistantships

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for all kind of projects (usually departmentally sponsored, as opposed to individuals) to the Dean of Research's Office. Awards in the last few months to one person include $10,000 to help organise a conference on artists' books and $3000 to fund the plates for a volume in a Cambridge University Press series. Another colleague just got $5000 from the Dean for a digital project.

Multiple divisions also run funding competitions. For example, the Denning Fund offers up to $25,000 for projects that involve Technology and the Humanities. Four or five of these a year are awarded. Similar awards are made through other competitions throughout campus. There are probably three devoted to Digital Humanities. These are run by senior faculty members.

The Humanities Center also makes awards for workshops and fellowships. The former are important: $8000 a year for three years to create a themed workshop for intellectually focused projects. Departments, too, will fund group collaborative initiatives that are related to Centers or courses. There are pots like the Arts Initiatives, which fund projects to do with music, art, etc. And there is the $1500 ArtsCatalyst fund to finance a trip off campus or a special visitor. All programs have $500 or so for us to bring visiting speakers to campus. The Europe Center and other major centers will assist in funding visiting speakers who speak to the theme. For example, a recent award was $3000 to bring a colleague over from the UK.

The Library has a large amount of money for special purchases, like facsimiles and manuscripts. None of this money for faculty is predicated on the pursuit of large grants, but many colleagues do use the money to prepare their work for a major award.

Stanford is clearly a well-endowed university with a long history of small pots of money for various intellectual endeavours in the humanities and social sciences. More recently, it seems to have invested in the Humanities Center and in developing somewhat more high-profile funds. I find interesting the fact that many senior faculty members seem to run competitions and dole out money; there is not the wholesale centralization that we have at Western. This probably makes it easier for individuals to make good decisions about where to apply; for example, interdisciplinary research cannot be well supported in the faculties since it is so clearly cross-disciplinary in nature. At Stanford, with funding coming through various venues and kinds of competitions, there would be different approaches to adjudication..

Harvard

Harvard is downright fascinating in its presentation of the humanities and social sciences. It's rather as though the whole front of the website is dedicated to the liberal arts, the assumption being that other areas get a sufficiency of notice. It perhaps helps that Toni Morrison gave the first of the Charles Eliot Norton six annual lectures this week, but it looks as though the focus on the liberal arts is a real decision. There's even a quite charming investigation of offices, with pictures and rather elegant details: http://news.harvard.edu/gazette/story/2013/04/office-ours/

The Faculty of Arts and Sciences has twenty departments, and nearly fifty research institutes, centers and societies. The faculty has four divisions, each listed up front with a significant number of departments and research centres (especially for the Arts and Humanities, Social Science and Science divisions). These institutes range from the Harvard Forest to Dumbarton Oaks to the Center for Hellenic Studies to the Carpenter Center for the Visual Arts. These seem to have significant resources: for example, the Center for African Studies has eleven external visitors delivering papers,

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and a website where the interested can sign up to register for each event, and receive the paper in advance. The six current Harvard South Africa Fellows all have tuition and expenses paid for the duration of their chosen postgraduate academic program. Other centres offer similar programs, the idea clearly being to bring in outside scholars and senior students for a period of time in which they can interact at Harvard, and also bring Harvard and its ideas back to their home appointments.

On funding, Harvard seems to take a very broad approach. For example, the president last year initiated a "Climate Change Solutions Fund," a series of grants across the university from a twenty-million-dollar fund. In the second round of funding applications, ten projects spanning six departments were awarded funds totally a million dollars. This suggests to me that none of these projects was massive, and indeed several have to do with behavioural changes or new approaches to thinking about climate change.   However, the total research funding available each year at Harvard is 800 million dollars. The university categorizes its research, interestingly, under the general heading of "Academics and Research." The Harvard Society of Fellows has a substantial cadre of post-doctoral fellows, junior fellows appointed for three years during which their principal job is to get on with their research.

For smaller pots of money, of which there are dozens both internally and externally, I have to admit I like the rubrics the research support people at Harvard use. Here are two examples: " I want to combine digital technology with the humanities or preserve a collection and/or make it easier for people to access" (nine funding options) or "I want to build the capacity of my home institution to support humanities activities"(three funding options).

And, to close, here are excerpts from a memo from the Dean to the members of the Faculty of Arts and Sciences at Harvard. I admire the tone, the content, and especially the utter certainty that all research is important:

Even in these times of financial stress, we must continue to invest in faculty research—a perennial priority of the FAS. Therefore, it brings me great pleasure to announce the launch of two new initiatives in FY17 that expand FAS support of your scholarship. Together these initiatives represent an investment in faculty research of $25 million over the next five years.

Before I turn to the details, I want to take this opportunity to say how deeply grateful I am to the members of Faculty Council and the Dean's Faculty Resources Committee (DFRC), whose guidance helped identify and shape these programs. DFRC was particularly instrumental in the development of the principles behind these initiatives.

While the FAS continues to raise new funds to improve and strengthen our shared research resources (e.g., libraries, museum collections, core facilities, and research centers), these two new programs specifically increase the amount of research funding the dean's office distributes to individual faculty. This increase comes in two pieces: an increase to the small amount of discretionary money the dean distributes to every ladder faculty member each year; and a new competitive grant fund that will provide faculty with timely research support in an increasingly challenging funding environment.

The letter continues for several pages, increasing the "Dean's Distribution," an annual distribution to faculty members that they can use for anything associated with the Harvard mission. It doubles to two thousand dollars for faculty with other funding, and will increase to four thousand annually for

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all others. Next the Dean will in 2017 launch a new competitive grant fund adjudicated by a small faculty committee making awards once per semester (the fund has $2.5 million), offering bridge funding, seed funding, and enabling subventions in support of an external fellowship or to purchase needed equipment. The program will require "only a bare minimum of paperwork to apply and no reporting during the award period." The letter also discusses the research administration service, and their ongoing research support programs including publication funds and faculty development funds allowing tenured and tenure-track faculty to assemble scholars to provide feedback on their work (compare Stanford for this kind of project). Several other funds are listed, and the dean also indicates that he plans to launch a working group to review the funding opportunities at Harvard and consider their effectiveness.   His particular concern is identifying disciplinary fundraising gaps that he can address. The letter concludes as follows:

I hope these significant investments in our faculty's scholarship buoy your spirits. Each of you – sometimes individually and increasingly collaboratively – is pushing forward the frontiers of knowledge and often simultaneously having an immediate impact in the world. I look forward to seeing what you accomplish with the FAS's additional investment in you. And as always, thank you for all you do to distinguish Harvard.

The entire letter makes it clear that the point and purpose of research funding at Harvard in the Faculty of Arts and Sciences is to buoy up the researchers and support them wholeheartedly.

Oxford

Funding in the humanities and social sciences at Oxford is a whirl of small pots of money. Most researchers hold tutorial appointments in one of the Oxford colleges (more than thirty of them) as well as lecturer appointments from the university. In the colleges, there is almost always a book fund for each fellow or tutorial leader, as well as small travel and research grants. Sabbatical terms are available in most colleges every second or third year (for a term, which is four months usually), and colleges do tend to fund travel and expenses for small conferences and research trips. Funding applications for these are easy and simple, sometimes simply involving a quick email. Inside the Humanities Division, which comprises twelve faculties, there is a significant amount of research funding. Six different funding schemes for early career researchers are highlighted, and the website makes it clear that there are staff members waiting to help with the applications. The Digital Humanities have their own massive website and a significant suite of projects. Notably the John Fell Fund, a transfer from the Oxford University Press of five million pounds per year, focuses on seedcorn and startup grants. Although it aims to stimulate applications to external bodies, it does not duplicate their purpose, and is therefore available for a broad range of purposes.

   Inside the Humanities Division are about thirty research centres and institutes, all with separate funding and many with stand-alone locations and internal funding opportunities. For example, the "Future of Humanity Institute" affiliated with the Faculty of Philosophy has current vacancies for three researchers, four major research projects, and detailed information about its many programs on the website. In 2012, the Humanities Division started up a separate entity for interdisciplinary research, called TORCH: http://torch.ox.ac.uk/ Here there is a home for up to ten new interdisciplinary projects per year–23 are currently listed on the front of the website ranging

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from the "Ancient Dance in Modern Dancers" to "Global Brazil" to "Oxford Phenomenology Network" to "War Crimes Trials and Investigations."

One of the great strengths of Oxford and Cambridge both is the focus on senior graduate students/junior faculty. Oxford has about ten different options at the university level for post-doctoral funding, and at the college level every single undergraduate college offers more than three, and most more than six JRFs or Junior Research Fellowships. Sometimes available to senior graduate students finishing up their theses, but mostly available for post-doctoral research, these fellowships run from one to three years, offering full funding, free accommodation and meals, and in most cases a stipend for other expenses. Moreover, many of the colleges offer visiting research fellowships for outside academics for a term, during which all expenses are paid, free accommodation inside the college is provided, and the only job of the visiting fellow is to wander about doing research and talking about it over meals, providing the fellows a sense of the larger world of research accomplishments (and, as one put it to me, a sense that someday they too would be able to get some real research done). Oxford and Cambridge are both set up to help senior graduate students and early-career individuals in the SSHRC disciplines in far more effective ways that the few available SSHRC post-doctoral scholarships provide.

Finally, I quote here from the Strategic Plan for 2013-18, a short 16 pages of pithy commitments and more detailed engagements:

Commitment 2. To empower the creative autonomy of individuals to address fundamental questions of real significance and applied questions with potential to change the world.

22. The unparalleled breadth and depth of Oxford's expertise enables us to lead the international research agenda across the spectrum of the sciences, the social sciences, and the humanities. Our commitment to the range and depth of our disciplinary work is reflected in sustenance of both applied research and that which may not necessarily yield immediate impact.

There are discussions elsewhere of the role of the independent researcher, clearly a valued commodity at Oxford, and commitments to funding research in innovation and interdisciplinary ways. The front of the website has a sequence of shots of the rainbow flag of the LGBT community along with information about a public lecture on the subject. Below that the three news items include two on social sciences and humanities subjects (an arts blog on health and safety in Tudor England and a sociology lecture on the effect on educational expansion on social mobility).

Concluding Remarks

At this point I'm going to stop, and just offer a few tidbits from other universities that I have encountered. For example, here is the manifesto about research at Cornell:

The body of research, scholarship and creative works emerging from the College of Arts & Sciences is vast, with one common thread -- ALL of our research is curiosity-based. This model of inquiry confers intellectual flexibility, a precursor for innovation, creativity and discovery.

As the nexus of the only Ivy League, land grant university, we encompass both practical and theoretical approaches to knowledge: in science departments that integrate highly skilled experimentalists with researchers pondering the theoretical bases of natural laws; in an English department that joins critical literary theorists with creative writers expanding the boundaries of their genres; or in social science departments that offer rigorous theoretical and empirical analyses of the social, political and economic foundations of modern life.

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What a fabulous and straightforward endorsement of research driven by curiosity, and then a clear set of statements about science, the humanities, and the social sciences, all with details and all at the core of the research plans for discovery and for learning. The title for this section is somewhat unexpected: "Research, Scholarship and Creative Works." Mind you, Cornell has a large visual and performing arts mandate, and the incipient strategic plan already lists expanding in that area as critical.

The University of Sydney offers the exception that proves the rule about the transparency of funding at major research universities. Everything is on the front of the website, literally under tabs called "Research support" and "Find and apply for funding." There are some seriously innovative funding envelopes here, including bridging funding for new faculty, the Sydney Research Network scheme for establishing new networks, the Equipment Grant scheme, the Industry Engagement fund, and a suite of three funds to aid researchers with disabilities or diseases, to aid women researchers, and to aid those whose careers have been interrupted by having to deliver sustained primary care (the latter three are together called the Equity Fellowships). Interesting funding all round, laid out very clearly and precisely.

That's my report. I hope it is of some use.

Jane Toswell

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Attachment 3 - URB Social Sciences, Arts, and Humanities Task Force Working Group 3 Draft Report on Research Communications

- prepared by Jonathan Vance

The communication of research results, beyond the usual scholarly publications and academic conferences, serves many purposes. It is a way to recognize success and offer public congratulations for a research achievement. It is a way to boost a researcher's profile, which in turn may bring new and different opportunities for research and engagement. It is a way for the institution to demonstrate the breadth and quality of its research work to prospective students, faculty members, and donors, to governments, and to the private sector. It is a way to build a campus community, with researchers in disparate disciplines being aware of the research going in buildings that they might never visit. Government funding bodies increasingly expect that researchers will pay particular attention to outreach, knowledge mobilization/dissemination, and public engagement, so that those who are ultimately funding the research, the taxpayers, can see what is being done with their money. In all of these ways, it serves as a means of validation that a researcher's efforts are valued by more than her or himself.

Western University uses a number of tools as part of its broader communication and public relations strategy. These include, but are not limited to:

- the University's website, www.uwo.ca
- media releases – see http://mediarelations.uwo.ca/media-releases/
- *Western Trending*, a digest of international media coverage featuring Western – see http://www.alumni.uwo.ca/newsletters/western-trending/
- social media (including *Twitter, Facebook, Instagram*, and *YouTube* – a list of social media links can be found at http://www.uwo.ca/social_media.html)
- recruitment publications, including Viewbooks and faculty guides – for examples in pdf format, see http://communications.uwo.ca/comms/news_publications/recruitment.html
- *Western News* – see http://news.westernu.ca/
- *Western Alumni Gazette* and *Western Alumni Newsletter* – for examples in pdf format, see http://communications.uwo.ca/comms/news_publications/alumni.html
- development publications, including *Impact Western, Annual Impact, Endowment Report*, and *Western Parent Connection* – for examples in pdf format, see http://communications.uwo.ca/comms/news_publications/development.html
- *Find an Expert* – see http://mediarelations.uwo.ca/category/experts/
- *Western Revealed* (on Rogers TV) – see http://rogerstv.com/show?lid=12&rid=9&sid=5501
- Alumni speakers' series, including *Classes Without Quizzes*, the *Senior Alumni Program*, and *Podcasts/Online Learning*
- the *Images of the Future* digital calendar (for the 2016 version, see http://www.uwo.ca/research/about/publications.html)
- banners displayed on various buildings on campus

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These activities are coordinated by the office of *Communications and Public Affairs* [hereafter CPA], under Associate Vice-President Communications Helen Connell. This office includes *Alumni & Development Communications, Media & Community Relations, Creative Services*, and *Editorial Services*. Its webpage also provides links to faculty-based communications staff, as well as communications professionals at *Research Western* and *Western International*. In addition, communications services are provided at other levels by units not directly connected to the above, such as *Mustang Sports*, the *University Students' Council*, the *McIntosh Gallery*, and *Western Libraries*.

These various communications initiatives serve many purposes – information, recruitment, development and donor relations, community liaison – and not all of them are explicitly and primarily intended to highlight the research done by members of the Western community. However, regardless of the intent, many of them implicitly serve the purpose of validating research by using the University's researchers to attract attention and generate interest in Western. For example, a media release inviting local news outlets to contact members of the Department of Political Science in the context of an upcoming election may not explicitly refer to a particular research project in the department, but it does presuppose a level of research commensurate with the ability to provide expert commentary – and furthermore presupposes that the University values that research.

Consultations undertaken by Working Group 2 revealed a sense among social sciences, arts, and humanities researchers that their research work is not adequately publicized by the institution, and that the publicity spotlight shines much more frequently on research in the STEM areas. More than 80% of Working Group 2's online survey respondents noted that social sciences, arts, and humanities research deserves both better recognition by the University and better promotion to improve visibility outside of the University. Working Group 3 was keen to determine if there was any basis for such opinions. **Do the University's communications efforts *actually* privilege STEM research, at the expense of social sciences, arts, and humanities research?** The sheer amount and variety of public relations activity makes it a challenge to attempt quantification. However, by tabulating mentions of research activity across the various platforms over the past five to seven years (depending on the platform), some broad trends emerge. These are highlighted below.

It should be stressed that this mode of analysis is not without limitations. No attempt was made to distinguish between the different platforms – for example, one building banner has been given the same weight as one media release, although they might have dramatically different reaches. Single research "events" may get multiple mentions within a very short period of time – one mention that it is going to happen, one that it is happening, and another that it has happened. A liberal approach has been taken to the tabulation, counting social sciences, arts, and humanities   subjects even where an individual department or researcher is not mentioned specifically and including inter-disciplinary projects that include social sciences, arts, and humanities   researchers, regardless of the level of involvement. Nevertheless, the findings of this basic analysis reveal some interesting observations about the relative focus of research communications at Western.

There is wide variance when comparing results in one single platform to results in another. For example, *Western News* compiled a feature entitled *Newsmakers of 2015* (*Western News*, 17 December 2015 - http://news.westernu.ca/2015/12/westernnewsnewsmakers2015/), focusing on

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eighteen individuals or groups, at least eight of which were connected to social sciences, arts, and humanities research. In contrast, in the booklet *51 Firsts* produced by Research Western (http://www.uwo.ca/research/51_firsts/), only ten of the fifty-one "firsts" relate to social sciences, arts, and humanities research.

When the results are aggregated, they reveal that a research achievement in the STEM disciplines is four to five times more likely to benefit from institutional publicity than one from the social sciences, arts and humanities disciplines. We do not mean to suggest or even imply that this disparity is intentional, and it must be stressed that the poor showing of social sciences, arts, and humanities research is not for lack of trying by CPA. Over a period of years, CPA has come up with many initiatives to involve social sciences, arts, and humanities researchers and begin conversations that could lead to greater publicity for social sciences, arts, and humanities research. In many instances, those initiatives have generated little response from social sciences, arts and humanities researchers.

Some examples:

- the *51 Firsts* booklet was prepared after two years of consultations in which all faculties were asked to suggest research success stories that could be promoted in this way. One faculty that includes social sciences, arts, and humanities researchers was very forthcoming with ideas for inclusion in the booklet. Of the other seven faculties that include social sciences, arts, and humanities researchers, four faculties generated a combined total of ten suggestions; three faculties did not send in anything.

- in 2014, the ADR at one faculty was approached by CPA to secure short (one-page), lay-language research profiles that could be used for publicity purposes to promote the research work done in the faculty. Of the roughly forty faculty members, three responded.

- in 2014, one department canvassed faculty members on three separate occasions with a request to provide information for an expanded webpage promoting the department's research activities. From a department of over forty tenured, tenure-stream, limited-term, and limited-duties faculty members, two responses were received.

- for many years (dating back at least to 1998), CPA has endeavoured to convene meetings with social sciences, arts, and humanities area Deans and ADRs to open channels through which ideas for research stories could be transmitted. Despite the active encouragement of Deans and ADRs, none of these yielded any significant favourable response from faculty members.

Our research and consultations suggest that this lack of interest in research promotion is the product of a number of connected factors, some cultural, others systemic.

The Self-Effacing Scholar
CPA's communications professionals are very well informed about campus-wide research activities, but they cannot be expected to be aware of every research initiative that is underway. For a variety of reasons, social sciences, arts, and humanities researchers (particularly those who consider themselves

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solitary scholars) are generally less attuned to and comfortable with the idea of using communications professionals to draw attention to and publicize their own research. As one survey respondent observed, "Our Faculty tend to be rather quiet and don't often sing their own praises so uncovering research stories and achievements can be challenging."

The Solitary Scholar

The traditional model of the solitary scholar, still the norm in many social sciences, arts, and humanities disciplines, works against efforts at recognition and advocacy. Large research grants of the kind that are common in other disciplines often include a budget line for communications, to allow a project's publicity to be generated from within. Given that granting agencies are placing increasing emphasis on public engagement and the communication of results beyond the academy, this is eminently sensible. However, it will place small projects at a significant disadvantage. In a $1.5 million research grant, a budget line for a communications professional would not be especially significant in overall spending terms. In a $30,000 research grant, however, hiring even a part-time communications professional would consume most of the budget. The solitary scholar whose research is largely or entirely self-funded cannot be expected to engage their own public relations professional if it reflects added cost.

Faculty-level support

In addition to looking for story ideas from individual researchers, CPA works through the offices of the Deans, where faculty-based communications professionals are generally based. However, there is great variance between faculties in the level of support for communications activities. This will be immediately evident to anyone who follows the links from CPA's page on faculty-based communications staff (http://communications.uwo.ca/comms/our_teams/index.html). Clicking on the *Schulich School of Medicine and Dentistry* brings up a separate page of eight communications professionals (http://www.schulich.uwo.ca/communications/about_us/people.html). At the time the Working Group undertook this study, clicking on *Education* brought up a single communications professional whose name was misspelled. There was no link for *Social Science*, the largest faculty on campus, as it did not have a communications professional in place until a new appointment was announced in early April 2016.

Our research turned up many successful initiatives on campus that might be adopted more broadly by social sciences, arts, and humanities departments and faculties. In the *Faculty of Science*, the office of *Communications, Public Relations and Science Engagement* adopts a team approach, with most departments naming a *Communications Pipeline Departmental Representative* (a faculty member) as well as a *Communications Pipeline Associate* (usually a PhD student). This has the dual benefit of creating a channel through which researchers can publicize their work, and giving the next generation of science researchers experience with such promotional efforts. However, it presupposes the existence of a staff member (or members, as in the *Faculty of Science*) whose dedicated task is to manage the process.

A Vicious Circle

Perceptions tend to be self-perpetuating. According to our consultations, a typical conclusion reached by social sciences, arts, and humanities researchers is that the University must not be particularly interested in their research because they rarely see such research publicized. So, those researchers

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decide that there is little point in alerting CPA to their research – which means that CPA never hears about it, and therefore cannot publicize it.

Some researchers reported the belief that outreach and engagement efforts are not rewarded in the promotion and tenure process, so they see relatively little to be gained by turning their efforts in that direction. If these researchers are not in receipt of Tri-Council funding, where knowledge dissemination is valued as a condition of holding a grant, there may in fact be little for them to gain by publicizing their work. And so they decline to accept invitations from CPA, which in turn means that CPA has fewer stories about social sciences, arts, and humanities research, and the cycle continues.

Some researchers are simply indifferent to the importance of publicizing their work, even when there are successful outcomes. Others, however, seem to be actively opposed to it. They might be put off by the idea that their research should be condensed and simplified into a one-page media release. In their view, this kind of "dumbing down" compromises the integrity of their work. At the extreme, some researchers expressed an active hostility to promoting their work because it would implicitly promote an institution which, in their view, does not value their work. For these individuals, the notion that research should be "publicized" in the way one might advertise a new kind of soup is part and parcel of what they see as the corporatization of the university. They see it as an affront to the liberal arts ideal of knowledge for its own sake and an outgrowth of the assumption that research is only valued to the degree that it can be monetized.

Breaking this cycle is critical if social sciences, arts, and humanities researchers are to be convinced that their work is valued, and by extension if they are to feel comfortable about publicizing it. Social sciences, arts, and humanities researchers need to be coached to see communications not as a breach of their scholarly integrity but as a way to engage with an audience they would not normally reach.

Summary:

The communication of research results, outside scholarly channels, serves many purposes: to offer public congratulations for a research achievement; to boost a researcher's profile; to demonstrate the breadth of an institution's research; and to build a campus community. Furthermore, government funding bodies increasingly expect that researchers will engage in knowledge mobilization and dissemination. In the broadest sense, recognition is a means of validating and valuing a researcher's efforts. Western University uses a number of tools as part of its broader communication and public relations strategy. These activities are coordinated by the office of *Communications and Public Affairs*, whose webpage also provides links to faculty-based communications staff and communications professionals at *Research Western* and *Western International*. Consultations undertaken by Working Group 2 revealed a sense among social sciences, arts, and humanities researchers that the publicity spotlight shines much more frequently on research in the STEM areas. Working Group 3 was keen to determine if there was any basis for such opinions. **Do the University's communications efforts *actually* privilege STEM research, at the expense of social sciences, arts and humanities research?**

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Conclusions:
- a research achievement in the STEM disciplines is four to five times more likely to benefit from institutional publicity than one in the social sciences, arts, and humanities disciplines
- this is in spite of sustained efforts by CPA to engage social sciences, arts, and humanities researchers in the desirability of promoting their research
- there is great disparity in the faculty-level support for communications across campus
- given the research traditions in some social sciences, arts, and humanities fields, there is among researchers a certain amount of unease, indifference, and even resistance to promoting research achievements

Recommendations:
- the University should take steps to ensure that there is a more level playing field in terms of the communications support that is offered at the faculty level
- start the discussion on campus about what is recognized as valid activities for APE assessment. Given the emphasis the funding agencies are putting on knowledge mobilization in all forms, and delivery of research results to the general public, the University should seek to recognize this activity. Note that SSHRC is starting to train graduate students in public presentations and the writing of op eds, so this may be a generational change that is coming.