CFI - John R. Evans Leaders Fund

Optimizing the use of our allocation

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AFL, December 6, 2016
John R. Evans Leaders Fund (JELF)

• **Purpose of the JELF program:**
  
  Enable a select number of excellent researchers to undertake leading-edge research in an area of strategic importance by providing them with the research tools needed

    ➔ Help Institutions attract and retain top researchers at every stage of their career by providing them with the required infrastructure

• Up to three candidates can be co-PIs when there is a demonstrated need to share infrastructure

• Possibility to combine allocations from different institutions

• Funding Formula: 40/40/20

McGill
Funding streams

Two streams:

• JELF “unaffiliated” → 70.7% of our submissions
  67.5% CFI$ requested

• JELF “partnership” → 29.3% # submissions
  32.5% CFI$

Joint submission with either:

- CRC → 27.3%
- SSHRC → 1.5% (Insight Grants or Partnerships Grants)
- CERC → 0.5%
- NSERC – 0% (Industrial research chairs)
## Submission timelines

<table>
<thead>
<tr>
<th>Funding streams</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>JELF – Unaffiliated</td>
<td>every February 15</td>
</tr>
<tr>
<td></td>
<td>every June 15</td>
</tr>
<tr>
<td></td>
<td>every October 15</td>
</tr>
<tr>
<td>JELF – Canada Research Chairs (CRC)</td>
<td>April 25, 2016</td>
</tr>
<tr>
<td></td>
<td>October 24, 2016</td>
</tr>
<tr>
<td>JELF – NSERC, Industrial Research Chairs</td>
<td>No deadline</td>
</tr>
<tr>
<td>JELF – SSHRC, Insight Grants</td>
<td>every October 15</td>
</tr>
<tr>
<td>JELF – SSHRC, Partnership Grants</td>
<td>Letter of Intent - every February 15</td>
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</table>
Envelopes to institutions

• Allocation-based fund:
  ➔ Based on a measure of each Institution’s research intensity
  ➔ Envelope available for a period of 3 years

• Since inception of this program:
  ➔ $115 M CFI$ were allocated to McGill
  ➔ $92.8 M awarded (80.7%)
  ➔ $3.9 M pending (3.4%)

  ➔ $17.9M available for submission by October 2020
    = new 2017-20 institutional allocation
Distribution within McGill

- A pool is allocated to each Faculty with major research infrastructure needs:
  - FAES, Dentistry, Engineering, Medicine and Science

- A “Provost pool” is reserved for the other Faculties

- An allocation for strategic opportunities is set aside.

- Allotment is based on the anticipated number of new recruits prorated to available allocation

- Any commitment to a given Faculty is secured prior to redistribution of a new allocation
## Distribution 2017-20

<table>
<thead>
<tr>
<th>Prior year commitments</th>
<th>Regular hires</th>
<th>CRC, CFREF and CERC hires</th>
<th>Total funding units</th>
<th>2017-2020 CFI-JELF allocation</th>
<th>Total of new allocation and submissions pending review</th>
</tr>
</thead>
<tbody>
<tr>
<td>FAES</td>
<td>$597,666</td>
<td>15.0</td>
<td>1.00</td>
<td>15.00</td>
<td>2.0</td>
</tr>
<tr>
<td>Arts*</td>
<td>$0</td>
<td>46.0</td>
<td>0.075</td>
<td>3.450</td>
<td>3.0</td>
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<tr>
<td>Dentistry</td>
<td>$162,297</td>
<td>2.5</td>
<td>1.00</td>
<td>2.500</td>
<td>1.5</td>
</tr>
<tr>
<td>Education*</td>
<td>$0</td>
<td>24.0</td>
<td>0.075</td>
<td>1.800</td>
<td>0.0</td>
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<tr>
<td>Engineering</td>
<td>$1,247,464</td>
<td>24.0</td>
<td>1.00</td>
<td>24.000</td>
<td>3.0</td>
</tr>
<tr>
<td>Law*</td>
<td>$0</td>
<td>5.0</td>
<td>0.075</td>
<td>0.375</td>
<td>0.0</td>
</tr>
<tr>
<td>Management*</td>
<td>$0</td>
<td>21.0</td>
<td>0.075</td>
<td>1.575</td>
<td>0.0</td>
</tr>
<tr>
<td>Medicine (w CFREF)</td>
<td>$548,062</td>
<td>37.5</td>
<td>1.00</td>
<td>37.500</td>
<td>37.5</td>
</tr>
<tr>
<td>Music*</td>
<td>$0</td>
<td>8.0</td>
<td>0.075</td>
<td>0.600</td>
<td>0.0</td>
</tr>
<tr>
<td>Science</td>
<td>$844,968</td>
<td>28.0</td>
<td>1.00</td>
<td>28.000</td>
<td>7.0</td>
</tr>
<tr>
<td>SUBTOTAL</td>
<td>$3,400,457</td>
<td>211.0</td>
<td>-</td>
<td>115</td>
<td>54</td>
</tr>
<tr>
<td>*PVPA Reserve</td>
<td>$153,000</td>
<td>104.0</td>
<td>0.075</td>
<td>7.800</td>
<td>3</td>
</tr>
<tr>
<td>CERC Reserve</td>
<td>$0</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>2</td>
</tr>
<tr>
<td>2017-2020 new allocation</td>
<td>$17,943,167</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total available for distribution</td>
<td>$14,389,710</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total project value</td>
<td>$35,974,275</td>
<td></td>
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*PVPA Reserve

**Total available for distribution**

**Value per unit**

**Total project value**
Purpose within McGill

• Primarily reserved for new recruits

• When reaching the end of an allocation period, left over CFI $ in each “pot” is pooled to fund an internal competition:
  ➔ Deans are invited to propose strategic projects meeting CFI-JELF expectations a year prior to the last award date announcement
  ➔ Open access to “retention” candidates
• **No carry forward** starting with the current JELF envelope 2014-17:

- **any unused funds or uncommitted funds** from a university JELF envelope will lapse at the end of March 2017, including those associated with unsuccessful CFI projects.
- On the other hand, CFI allow institutions that have already exhausted their 2014-17 allocation to start drawing from their 2017-20.
Pace to claim and impact

• McGill Facts:
  • Hard to claim the full allocation by a set deadline
    ➔ Time elapsed between Appointment date and readiness for submission

• Allocation 2012-14
  • Internal call – 5 projects selected $2.15M attributed – Full funding secured
  • Amount unclaimed = $800K (not clawed back by CFI)

• Allocation 2014-17
  • Expected unused CFI$ as of March 16 = $4.7M*
  • Internal retention call allocation reserved = $5.1M – submitted $5.6M
  • 2014-17 unclaimed allocation = $230K (1.8%) - Lost
  • Unsuccessful June JELF = $100K Lost
  • Pending decision = $3,898,998
Pace to claim and impact

- **Trends at McGill:**
  - # of days from appointment date to proposal submission date is increasing

- FY17 partial results
## JELF historical data

<table>
<thead>
<tr>
<th></th>
<th>CFI National data</th>
<th>McGill</th>
</tr>
</thead>
<tbody>
<tr>
<td># Projects awarded</td>
<td>7,900</td>
<td>594</td>
</tr>
<tr>
<td>CFI$ awarded</td>
<td>$1.25 billions</td>
<td>$92.8M</td>
</tr>
<tr>
<td># Proposal managed /yr</td>
<td>548</td>
<td>39</td>
</tr>
<tr>
<td>Mean alloc. requested</td>
<td>$169K</td>
<td>$176K</td>
</tr>
<tr>
<td>Mean alloc. awarded</td>
<td>$158K</td>
<td>$167K</td>
</tr>
<tr>
<td>Mean success rate</td>
<td>83%</td>
<td>84%</td>
</tr>
</tbody>
</table>

*CFI data – speech CFI ADARUQ Nov 2016
Data since inception of the CFI program (including ongoing new opps)*
Trends observed by the CFI nationally

8% of the applications submitted requested ≤ 50K CFI$

- 52% from U15 and 32% from medium size institution
- 60% in NSE, 22% in SSH

Trends at McGill

- Provide the same allocation to all new recruits within a Faculty irrespective of the real need - CFI is not a one size fits all
- Give a “blank check” without checking if new recruits really need an allocation- especially small amounts
- More frequent small size allocation observed under NSE
  - upcoming submissions 36
  - 42% between 40 to 80K allocation – mean =55K
Evolution of Average Allocation

McGill size allocation
Success rate

- CFI National Trends

  $\Rightarrow$ yearly mean success rate = 83%

- Trends at McGill:

![Graph showing the evolution of success rate from FY10 to FY17. The graph includes lines for All, JELF alone, QC average, and National average success rates.]
As per the signed institutional agreement with the CFI, McGill commits to the following:

➔”To achieve the full potential of CFI-funded research infrastructure, the Institution will ensure that appropriate resources are provided for the operation and maintenance of existing and future research infrastructure over its useful life”

• Facts :
  • Candidates have often a hard time to evaluate what it costs annually to operate the infrastructure
  • No central mechanism to follow up with our JELF awardees once all “PPR” are completed.
JELF and CFI expected changes by Spring 2017

• Application size
  ✓ one document – 17 pages
    ➔ 6p. Reduction - Avoid text and explanation duplications

• Increased flexibility
  ✓ “workhorse” infrastructure
    ➔ acquisition, upgrading or replacement of aging essential and robust equipment
    ➔ insist on the need for innovative and forward-looking research, even if the requested instruments are basic.

• Add SW rating to JELF review process
Portfolio management

- Inventory of research infrastructure
- Amendment requests that benefit a portfolio of projects
- Single procurements to address multiple infrastructure needs
- Managing CFI-funded infrastructure as core facilities
Topics for discussion?

- Share of the allocation between Faculties
- New recruits versus “retention”
- Reach and maintain a success rate over the National success rate
- Improve our ability to claim all our Institutional allocation
- Improve internal review process including space and renovation needs
- Ensure proper infrastructure O&M and oversight of JELF awards
- ..... 
- Any messages to convey to the CFI? Or....Quebec?