

# RESEARCH FUNDING

AT

# ALBERTA UNIVERSITIES

2004/2005 REPORT

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UNIVERSITY RESEARCH AND  
STRATEGIC INVESTMENTS BRANCH





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## Introduction - Research Funding at Alberta Universities

The “Research Funding at Alberta Universities Report” is produced annually by the University Research and Strategic Investments (URSI) branch of Alberta Innovation and Science (AIS). Data derived from the Report are used as key performance indicators in the AIS business plan and in Alberta Treasury Board’s annual “Measuring Up” report.

The report compiles and comments on the total sponsored research revenues received by Alberta universities annually and over time. Research revenues are those funds garnered outside of regular university operating grants. These research contracts, grants, endowments and donations are used to support the operating and infrastructure costs of research activities.

**Financial Note:** The data in this report are provided directly by the universities and are not from audited financial schedules.

## Unleashing Innovation – University Research in Alberta

The Government of Alberta's 20-year strategic plan, entitled "Today's Opportunities, Tomorrow's Promise: A Strategic Plan for the Government of Alberta", provides a vision of the future for Albertans. The plan outlines four areas of focus for the next twenty years, one of which is "Unleashing Innovation".

Unleashing innovation requires the use of knowledge and technology to invigorate our traditional economic strengths and to create new technologies, positioning Alberta as a world leader in innovation, research, development and commercialization of new ideas. Building the research capacity of this province, in collaboration with Alberta's universities, is critical to unleashing the innovation that will drive Alberta's knowledge-based economy.

Innovation and Science is meeting the opportunities and challenges presented by the Alberta 20-Year Strategic Plan through Goal 2 of the Innovation and Science Business Plan. Goal 2 states: In collaboration with universities and other research institutions, build the capability and capacity of Alberta's research system to achieve critical mass in areas of strategic priority. The strategies pursued by Innovation and Science to achieve this goal are focused on investing in people and targeted research infrastructure while encouraging greater investments in research by other sectors. These strategies, in cooperation with the existing and emerging excellence at Alberta universities, are leading to internationally recognized research capabilities in areas of strategic priority and to the establishment of the research capacity required to effectively unleash innovations.

Alberta universities rank among the best in Canada in terms of sponsored research revenue, an indicator of research excellence and capacity. It has been demonstrated that there is a clear link between building research capacity, through quality faculty and equipment, and increasing research revenues from all funding sources. Making world-class equipment available in Alberta's research institutions has proven to be an effective tool for recruiting and retaining key researchers. High quality faculty with leading edge equipment, in turn improve the quality of the institution's research and educational programs, and the resultant economic success and quality of life that Alberta enjoys.

## Provincial Government Support of University Research

Research at Alberta universities is supported in part by the provincial government through Alberta Innovation and Science (AIS), Alberta Advanced Education, and Alberta Infrastructure and Transportation, as well as through the Alberta Heritage Foundation for Medical Research and the Alberta Ingenuity Fund (Alberta Heritage Foundation for Science and Engineering Research), and Alberta's research institutes (Alberta Agricultural Research Institute, Alberta Energy Research Institute, Alberta Forestry Research Institute, and the Alberta Life Sciences Institute).

University research funding provided by Innovation and Science supports specific research projects and multi-disciplinary research infrastructure. The intent is to build research capacity and capability required in areas of strategic priority to Alberta. There is a clear link between funding general infrastructure and attracting additional external funding for research activities (i.e., as better infrastructure is put in place, the potential to attract funding for research activities increases). Alberta Advanced Education provides operating funding required to address the teaching and research mandate of universities and to contribute to the indirect costs of research. Both Alberta Infrastructure and Transportation and Alberta Advanced Education provide funds for the large capital buildings and related capital infrastructure required for the university research system.

### **Operating Grant**

Alberta Advanced Education provides an operating grant to the universities, which includes funding for teaching, research and administrative activities. It is estimated that as much as 40 percent of the operating grant goes directly or indirectly towards supporting research activities. The 2004/05 university operating grants to Alberta's four universities totalled \$627,284,757.

### **Performance Envelope**

The Performance Envelope was implemented in 1997 to recognize and reward the performance of post-secondary institutions and to encourage and support continuous improvement. The research component of Alberta Advanced Education's Performance Envelope provides additional funding based on the extent to which Alberta universities meet agreed upon research targets. In 2004/05, Alberta Universities received \$7,251,331 from the Performance Envelope, a portion of which is expended on research activities.

### **Alberta Science and Research Investments Program (ASRIP)**

The Alberta Science and Research Investments Program (ASRIP) is a competitive funding program that supports selected science and research initiatives of strategic importance to Alberta. ASRIP competitions are normally held every 18 months, in coordination with the Canada Foundation for Innovation's (CFI) infrastructure competitions. During 2004/05, both the ASRIP and CFI programs were modified to better meet the needs of the research community. The 2005/06 ASRIP competition, launched in July 2005, is comprised of four distinct funding streams: Infrastructure Sustainability (IS), Research Infrastructure (RI), Enabling Research Application and Technology Transfer (ERATT) and Platform Technology (PT). Results for the 2005/06 ASRIP competition are expected in Fall 2006.

### **Small Equipment Grants Program**

The Small Equipment Grants Program (SEGP) provides targeted support for new Alberta researchers who are competing for funds through the Canada Foundation for Innovation's Leaders Opportunity Fund. The SEGP assists Alberta universities' efforts to recruit and retain key researchers in the priority areas of life sciences, energy and information and communication technology (ICT). SEGP funding leverages federal, private sector and university sources to enable the purchase of essential equipment for talented recruits. In 2004/05, thirty projects were approved for funding for a total of \$4.0 million.

Funding allocated to the universities from the ASRIP and SEGP programs are reported on a modified cash flow basis, thus funds are not reported until all partner funding is secured. This, coupled with the fact that the majority of funded projects are multi-year and receive funding in installments, means that a portion of the overall funding approved in the 2001/02 and 2002/03 ASRIP and SEGP competitions will continue to be reflected in reports for future years.

### **Alberta Energy Research Institute University Research Program**

Up to 2004, the Alberta Energy Research Institute (AERI) invested in university research primarily through the Core University Research in Sustainable Energy (COURSE) program. The COURSE program provided a link between the energy industry and universities to ensure that basic research in strategic areas was funded. In 2005, the COURSE program was integrated into the business plans for the EnergyINet Innovation Programs.

The AERI provided a total of \$6,552,463 for university research in 2004/05, with the University of Alberta receiving \$3,217,819, the University of Calgary receiving \$3,203,302, and the University of Toronto receiving \$131,342 for a collaborative project with Alberta researchers. The AERI targets university research in the six identified priority areas of Clean Carbon/Coal, Improved Recovery, Upgrading, CO<sub>2</sub> Management, Water Management, and Alternate and Renewable Energy. Of special note, \$3.2 million of the funds distributed for university research in 2004/05 directly supported research in two critical areas of research: CO<sub>2</sub> management and fuel cells.

### **Agriculture Funding Consortium**

Through the competitive Agriculture Funding Program, in 2004/05, the Alberta Agricultural Research Institute (AARI) approved \$4.07 million to fund agricultural research and development. This funding was in strategic priority areas including crop and livestock genomics, poultry product development and utilization, integrated crop and pest management, food safety practices, animal welfare, livestock production practices, and value-added processing. The AARI investment in these initiatives was leveraged significantly through the Funding Consortium members, other public funding sources, and industry.



### **Alberta Informatics Circle of Research Excellence (iCORE)**

The mandate of the Alberta Informatics Circle of Research Excellence (iCORE) is to attract and grow a critical mass of outstanding researchers in the fields of computer science, computer engineering, physics, mathematics and other ICT-related disciplines. Building on existing excellence in Alberta's universities, iCORE forms and supports strong scientific teams in ICT. In 2004/05 iCORE provided \$9.1 million in support of 21 Chairs and Professors, 80 faculty researchers and 405 graduate students and post-doctoral fellows. An additional 256 graduate students held active iCORE Graduate Student Scholarships.

### **Alberta Heritage Foundation for Medical Research (AHFMR)**

The Alberta Heritage Foundation for Medical Research (AHFMR), which was established by the Government of Alberta in 1980, supports biomedical and health research at Alberta universities, affiliated institutions, and other medical and technology-related institutions. In 2005, the AHFMR marked 25 years of continuous support to Alberta researchers. In the last ten years, the AHFMR's support and leadership has resulted in over \$380 million to Alberta universities and research hospitals and has enabled Alberta to become one of the top ten medical research centres in North America. The Government of Alberta has recognized the important contribution that the AHFMR makes to Alberta's medical research community, and has pledged support of an additional \$500 million to the endowment. The AHFMR's contributions to university research are included on page 14.

### **Alberta Ingenuity Fund**

Modeled after the Alberta Heritage Foundation for Medical Research, the Alberta Ingenuity Fund (AIF) was established in 2000 with an endowment fund of \$500 million to support a balanced, long-term program of science and engineering research in Alberta. Since its inception, AIF has supported \$28.4 million at Alberta's universities. In 2004/05, a future \$500 million endowment was committed by the Government of Alberta. The AIF's contributions are outlined on page 15.

## Executive Summary of Statistics

Sponsored research funding to Alberta universities increased by 11.4 percent in 2004/05. Over the longer term, sponsored research funding in Alberta has increased, more than tripling in the past eight years to \$650.5 million in 2004/05. This large increase in funding reflects:

1. The introduction of new programs and expansion of existing programs, at both the federal and provincial levels, aimed at strategically investing in university research.
2. Increased capacity and capabilities at Alberta universities.
3. Investment from Alberta Infrastructure and Transportation for the capital construction of university research facilities.

In the past eight years, provincial government funding for university research has more than quintupled, from \$47.7 million in 1997/98 to \$264.6 million in 2004/05, a firm indication of Alberta's commitment towards research and innovation.

Federal government funding to Alberta universities has more than tripled in the last eight year period, from \$79.2 million in 1997/98 to \$247.7 million in 2004/05. This is partly the result of increased provincial commitments and successes in leveraging federal programs such as the Canada Foundation for Innovation. Other increases in federal support are the result of the reintroduction of the federal Indirect Costs Program in 2003/04, the Canada Research Chairs Program, and expanded budgets for the federal granting councils (the Natural Sciences and Engineering Research Council, the Social Sciences and Humanities Research Council and the Canadian Institutes for Health Research).

In the last five years, the level of sponsored research funding provided to universities by non-governmental sources, primarily industry and non-profit organizations, increased from \$106.8 million in 2000/01 to \$118.1 million in 2004/05. Overall, non-governmental research funding has nearly doubled in the past eight years.

One indicator of the impact university research has on industry is the application and transferability of research to industry. In 2004/05, with the help of TEC Edmonton at the University of Alberta, University Technologies International Inc. at the University of Calgary, and the Technology Transfer Office at the University of Lethbridge, 112 patents were filed, 23 patents were issued, one start up company was formed, and \$4.7 million in licensing revenues were received.

The distribution of total sponsored research funding from all sources follows a fairly consistent historical pattern, with the largest proportion of funding going towards the faculties of medicine, science and engineering at the Universities of Alberta and Calgary. It should be noted that, although funding amounts vary by discipline, the intensity of research in faculties is not necessarily commensurate with monetary allocations to faculties. Amongst the four institutions, an average of 9.7 percent of sponsored research revenues were allocated to support and administration.

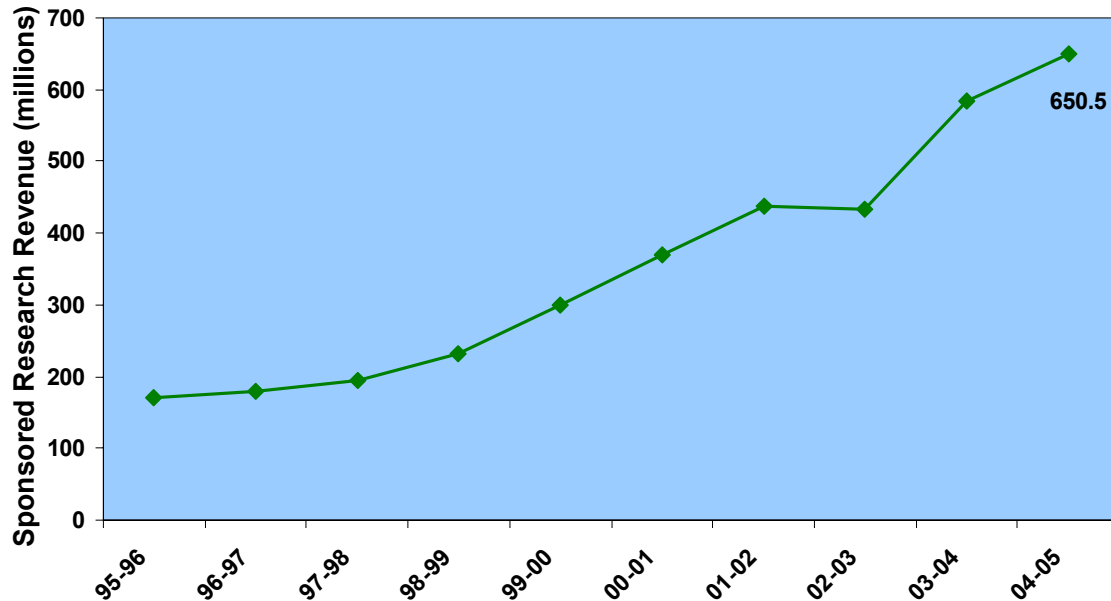
The Alberta Heritage Foundation for Medical Research has awarded \$229.3 million over the past five years to Alberta's medical faculties and teaching hospitals, enabling Alberta to become one of the top ten medical research centres in North America.

At the same time, the Alberta Ingenuity Fund increased its contributions in support of science and engineering research activities and Centres of Excellence at Alberta universities from \$276,000 in its first year, 2001/02, to \$11.8 million in 2004/05.

Note: Eight-year comparisons are designed to illustrate the change in sponsored research associated with the introduction of the Canada Foundation for Innovation and associated provincial infrastructure programs. Tables 1, 2 and 3 summarize revenues and sources over a five-year time frame (see pages 20, 21, and 22).

## Total Sponsored Research Revenue to Alberta Universities (1995/96 to 2004/05)

Figure 1

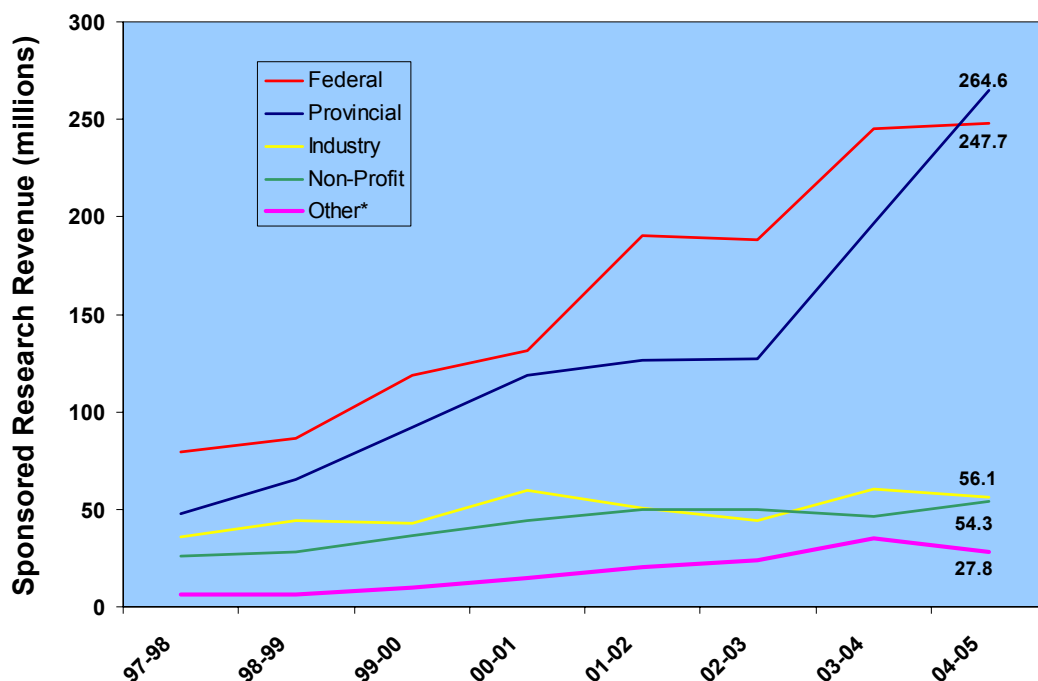


Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the Vice-President, Academic.

- In 2004/05, Alberta's four universities received \$650.5 million in sponsored research funding, an increase from 2003/04 of 11.4 percent. The significant increase in funding is largely attributed to provincial contributions, including substantial capital investments by Alberta Infrastructure and Transportation.
- Over the past eight years, sponsored research funding has more than tripled, with an average growth rate of 17.9% per year.
- In the last eight years, Alberta universities have received a total of \$3.2 billion in sponsored research funding.

## Total Sponsored Research Revenue by Source (1997/98 to 2004/05)

Figure 2A



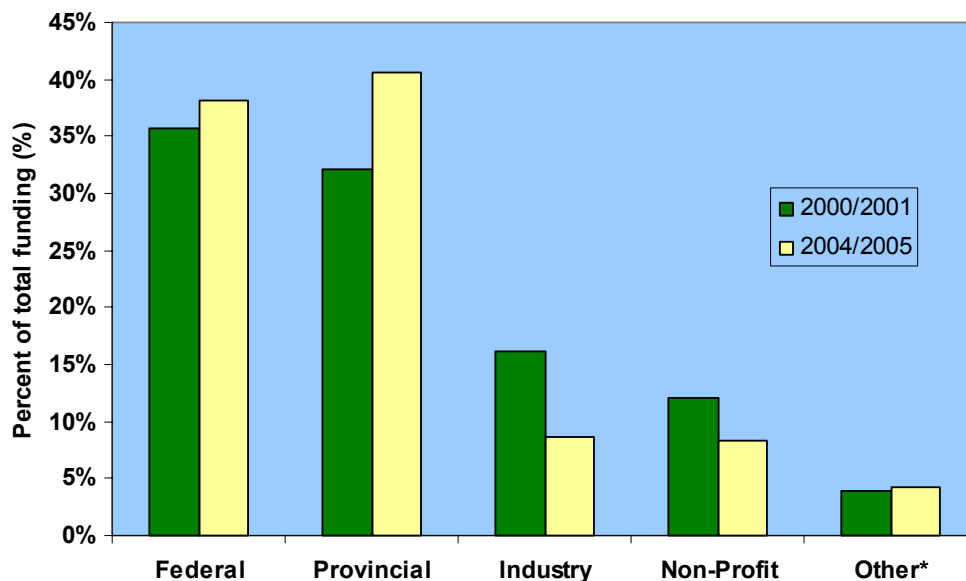
\* 'Other' includes both other governmental and non-governmental sources.

Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the VP, Academic.

- Funding to universities has been steadily increasing from federal and provincial sources over the past eight years.
- Funding from provincial sources has more than quintupled over eight years, rising from \$47.7 million in 1997/98 to \$264.6 million in 2004/05. The substantial increase in provincial funding over the past two years is primarily a result of investments in capital projects at the University of Alberta and the University of Calgary and continuing research infrastructure investments in projects such as the National Institute for Nanotechnology.
- Federal sources have more than tripled over the past eight years, from \$79.2 million to \$247.7 million. The relatively small increase in federal funding over the last year is attributed to the decrease in funding activity from the Canada Foundation for Innovation, as its competitive cycle was suspended for a year to enable a review and refinement of its program architecture.
- Funding from Industry, Non-Profit and Other sectors has remained relatively stable over the past five years, with an overall increase of \$54 million in the last eight years.

## Total Sponsored Research Revenue by Source (2000/01 to 2004/05)

**Figure 2B**



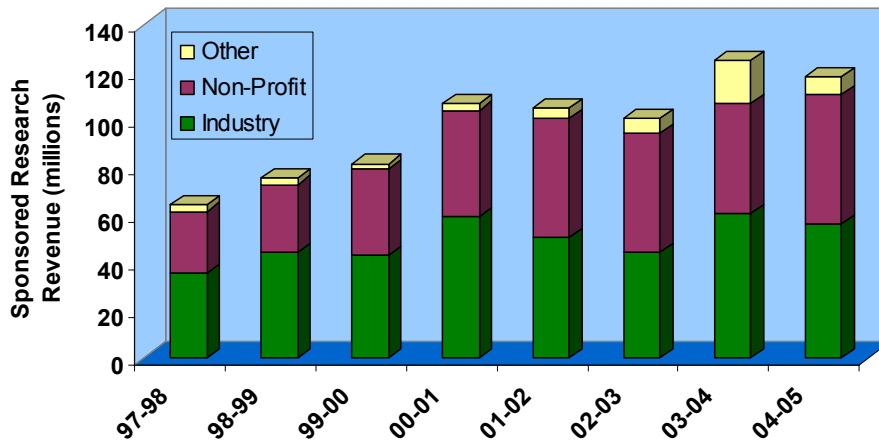
\* 'Other' includes both other governmental and non-governmental sources.

Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the VP, Academic.

- Funding from various sources has changed as a percentage of total funding over a five year period. Funding from provincial sources has increased from 32 percent to 41 percent of total sponsored research funding.
- The proportion of federal funding has remained relatively stable.
- While actual research funding from non-governmental sources has increased over five years, it has not kept pace with government commitments to sponsored research. Thus, the proportion of non-governmental contributions has decreased.

## Non-Governmental Support for Sponsored Research (1997/98 to 2004/05)

**Figure 3**



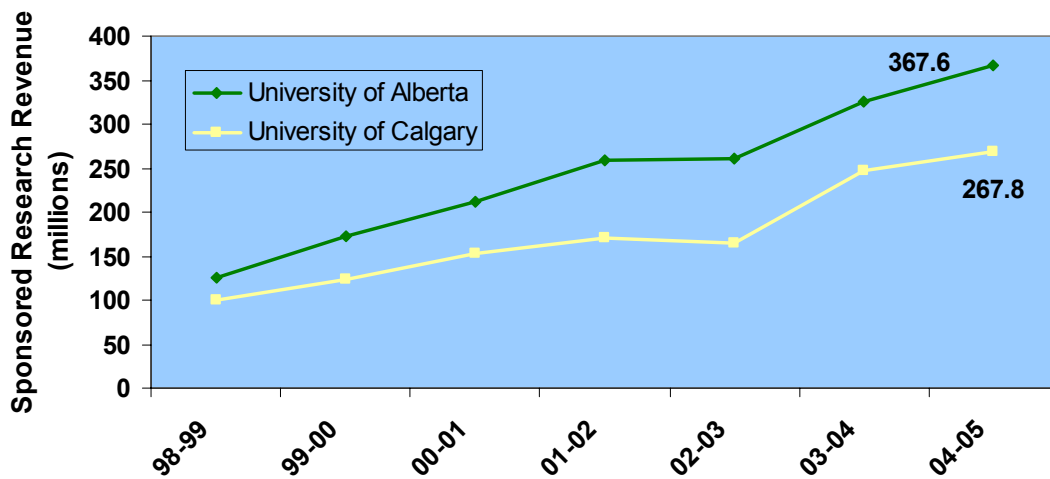
\* 'Other' includes only other non-governmental sources.

Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the VP, Academic.

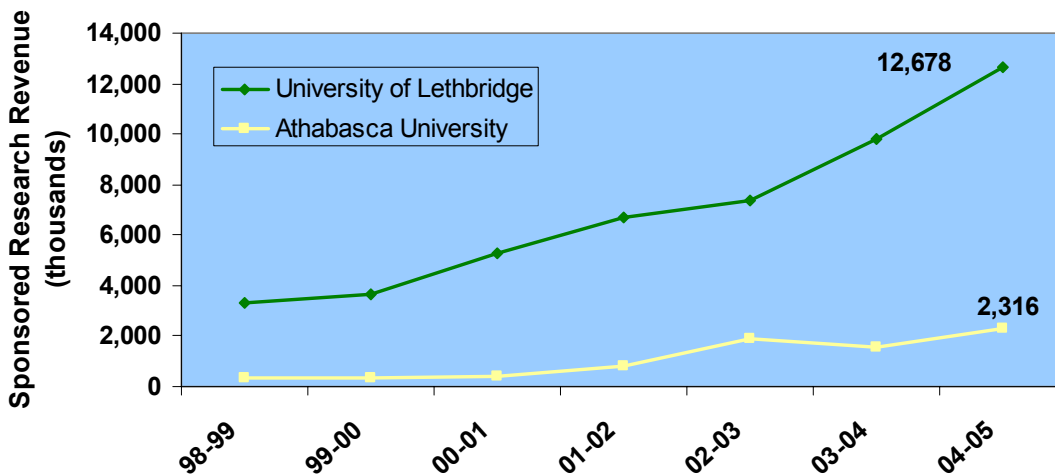
- There is significant annual variability in the contributions to sponsored research revenue by non-governmental organizations, based on the non-profit and private sector climate. However, each sector shows an overall increase in university research investments over the last five years.
- The total funding provided by non-governmental sources to Alberta universities decreased slightly from \$125.1 million in 2003/04 to \$118.1 million in 2004/05.
- Over the last five years, the total funding provided by non-governmental sources to Alberta universities increased 10.6 percent from \$106.8 million in 2000/01 to \$118.1 million in 2004/05. Over the past eight years, the total has increased by 84 percent from \$64.2 million in 1997/98.
- In 2004/05, non-profit investment increased by 17 percent from the previous year. Similar to other non-governmental sectors, non-profit funding shows a strong upward trend in the long-term, increasing from \$44.5 million in 2000/01 to \$54.3 million in 2004/05.
- Although industry investment decreased slightly from \$60.6 million in 2003/04 to \$56.1 million in 2004/05, this sector has shown a stable level of investment in its sponsored research funding to universities over the last five years.

## Sponsored Research Revenue at Individual Universities (1998/99 to 2004/05)

**Figure 4A**



**Figure 4B**

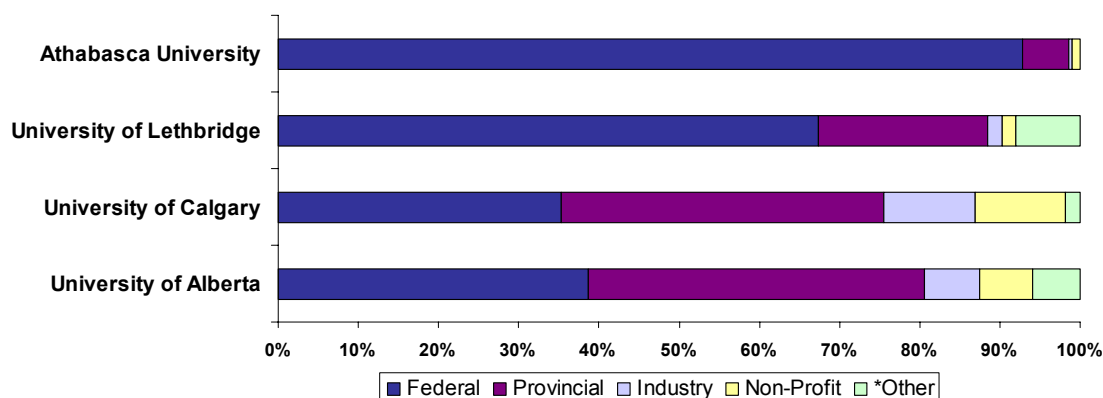


Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the Vice-President, Academic.

- In 2004/05, total sponsored research funding to the University of Alberta was \$367.6 million, more than triple the \$109.9 million the that the university received in 1997/98 (Figure 4A).
- In 2004/05, the University of Calgary received \$267.8 million in total sponsored research funding, more than triple the \$81.2 million received in 1997/98 (Figure 4A).
- In 2004/05, total sponsored research funding at the University of Lethbridge was \$12.7 million, more than quadruple the \$2.7 million received in 1997/98. In the past year, the University of Lethbridge has increased its total sponsored research funding from \$9.8 million to \$12.7 million (Figure 4B).
- In 2004/05, Athabasca University received \$2.3 million in total sponsored research, more than quadruple the \$575,000 received in 1997/98. In the past year, AU has increased its total sponsored research funding from \$1.5 million to \$2.3 million (Figure 4B).

## Sponsored Research Revenue at Individual Universities by Source (2004/2005)

**Figure 5**



\*Other includes governmental and non-governmental funds

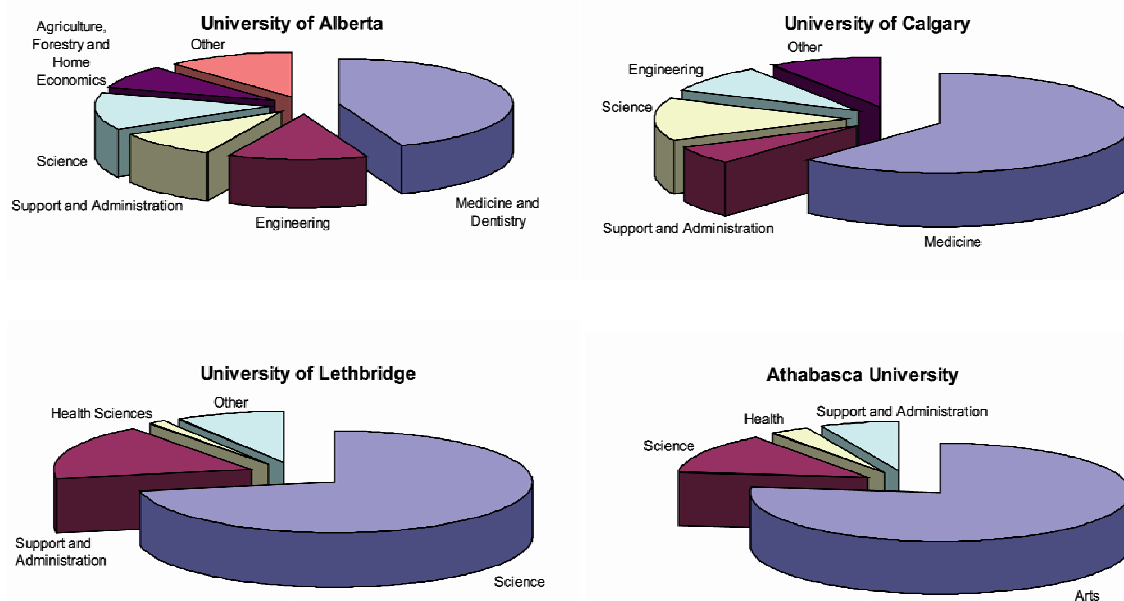
Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the Vice-President, Academic.

- The University of Alberta received 42% of its sponsored research funding from provincial government sources in 2004/05 (Figure 5). Funding that the university received from the provincial government has surpassed federal sources and nearly tripled from \$66 million in 2000/01 to \$154 million in 2004/05 (Table 2, page 21). During the same period, federal government funding has increased from \$83 million to \$142 million (Table 1, page 20).
- Funding to the University of Calgary from provincial sources was \$108 million in 2004/05, up nearly 1.5 times from the previous year, and more than double the \$50.3 million received in 2000/01 (Table 2, page 21). The proportion of research funding from provincial sources in 2004/05 for the University of Calgary was 40% (Figure 5). Federal government support to the University of Calgary has increased from \$46 million in 2000/01 to \$95 million in 2004/05 (Table 1, page 20).
- The large proportions of provincial funding reflected in Table 1 (page 20) for both the University of Alberta and the University of Calgary are in part due to significant capital building investments made by Alberta Infrastructure and Transportation.
- Federal government sources contribute the largest proportion of sponsored research revenue at both the University of Lethbridge and Athabasca University (67% and 93% respectively, Figure 5).
- Funding from federal sources to the University of Lethbridge in 2004/05 was \$8.5 million, more than tripling from \$2.5 million in 2000/01 (Table 1, page 20). Funding from provincial sources has increased over the same period, from \$2.0 million to \$2.7 million (Table 2, page 21). Industry funding to the University of Lethbridge has quadrupled from \$0.05 million in 2000/01 to \$0.23 million in 2004/05 (Table 3, page 22).
- Athabasca University's research funding from federal sources has grown from \$0.14 million in 2000/01 to \$2.1 million in 2004/05 (Table 1, page 20). Provincial funding has decreased over the same period, from \$0.26 million in 2000/01 to \$0.13 million in 2004/05 (Table 2, page 21).



## Distribution of Total Sponsored Research Revenue Within Alberta Universities (2004/05)

**Figure 6**



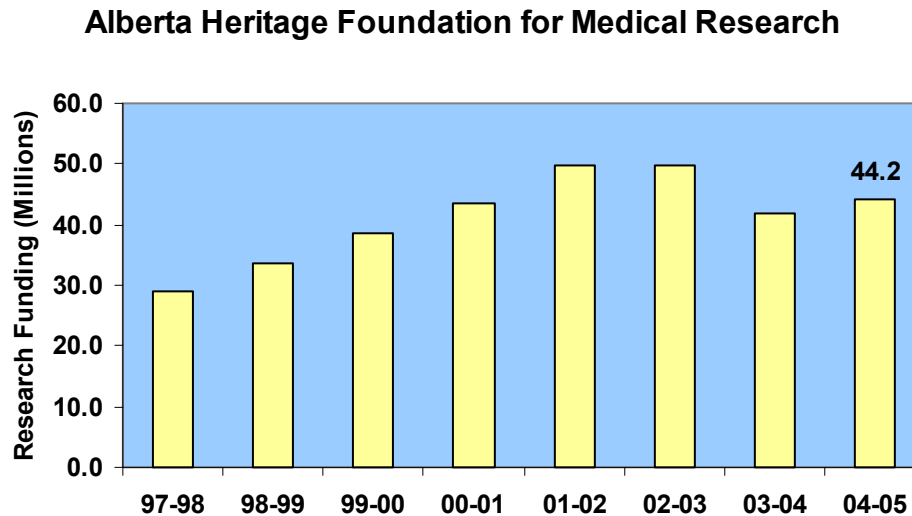
Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services; Athabasca University: Office of the VP, Academic.

- In general, the 2004/05 funding allocation to faculties is consistent with previous years for all of the universities.
- At the University of Alberta, the Faculty of Medicine and Dentistry secured the largest proportion of research funding at 44.0 percent. The Faculty of Engineering obtained 12.8 percent and the Faculty of Science obtained 13.5 percent of funding in 2004/05.
- The University of Calgary's Faculty of Medicine accounted for almost 62 percent of 2004/05 sponsored research funding to the university. The Faculty of Science obtained 13.8 percent and the Faculty of Engineering obtained 8.9 percent of funding in 2004/05.
- The proportional allocation of research funding to faculties at the University of Lethbridge follows a consistent historical pattern, with 72.1 percent of funding being secured by the Faculty of Science in 2004/05. Athabasca University is also consistent with the majority of sponsored research revenue, 64.0 percent, secured by the Faculty of Arts.

**Note:** Funding amounts vary by discipline, but the intensity of research in faculties is not necessarily commensurate with monetary allocations to faculties. For example, research activities in the Arts, Humanities and Social Sciences tend to be less costly to conduct; therefore, the intensity of such research is not necessarily reflected in monetary terms.

## Alberta Heritage Foundation for Medical Research (AHFMR) (1997/98 to 2004/05)

Figure 7

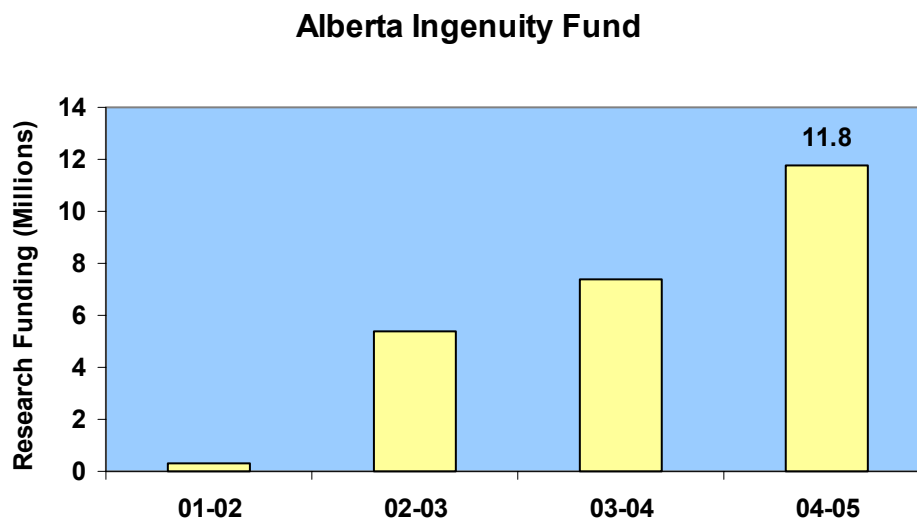


Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services.

- In the last eight years, AHFMR support to Alberta's universities has remained stable with an average growth rate of 7.2% from 1997/98 to 2004/05.
- The AHFMR has provided \$229.3 million in sponsored research to Alberta's universities over the past five years (Table 2, pg 21).
- The decline in research investments from \$49.9 million in 2002/03 to \$44.2 million in 2004/05 is a direct result of the AHFMR being an endowment-based organization. As the value of the endowment decreases in response to general financial markets, the AHFMR must reduce its expenditures accordingly.
- In 2004/05, the Government of Alberta committed an additional \$500 million to the AHFMR's endowment. This will bring the total of the endowment to roughly \$1.4 billion. The \$500 million will be paid to the endowment over three years, beginning in fiscal year 05/06. Source: AHFMR News Release, January 11, 2005

## Alberta Ingenuity Fund (AIF) (2001/02 to 2004/05)

Figure 8



Sources: University of Alberta: Research Services Office; the University of Calgary: Financial Services; The University of Lethbridge: Financial Services.

- In 2004/05, the Alberta Ingenuity Fund contributed \$11.8 million in sponsored research funding to Alberta universities.
- Since the inception of the Alberta Ingenuity Fund in 2000, it has supported over 600 top science and engineering researchers. In 2004-05, the Government of Alberta committed an additional \$500 million to the endowment of the Alberta Ingenuity Fund. Source: Alberta Ingenuity Fund 04/05 Annual Report
- In 2004/05, the Alberta Prion Research Institute was launched with a commitment of \$35 million from the Government of Alberta. The Institute is administered through the Alberta Ingenuity Fund. Source: Alberta Ingenuity Fund 04/05 Annual Report

## Commercialization of Research (2004/2005)

The University of Alberta and the University of Calgary generate funding through the activities of their respective technology transfer organizations, TEC Edmonton for the University of Alberta, University Technologies International Inc. for the University of Calgary, and the Technology Transfer Office for the University of Lethbridge. The impact of university research is reflected in the successes of these organizations through the growing number of licenses generating revenue, royalty revenues and spin-off companies. These successes give an indication of the impacts of university research as it is applied and transferred to industry and society.

### The University of Alberta

The University of Alberta experienced the following technology commercialization activities in 2004/05:

- 109\* reports of new inventions;
- 91\* patent applications filed;
- 22\* patents issued from applications filed in previous years;
- 165 licenses/options to use technologies secured;
- 1 new spin-off company;
- \$1.1 million in licensing revenues received; and
- 18 new products or technologies licensed.

**\*Note:** includes commercialization activities at the University of Alberta undertaken by TRILabs.

At the end of the 2004/05 fiscal year the University of Alberta held equity in 36 companies with an estimated value of \$38 million. There were 69 active spin-off companies and of these, seven companies are publicly traded.

Source: "2004-05 Annual Report, University of Alberta Technology Transfer, 2004," TEC Edmonton

### The University of Calgary

The University of Calgary experienced the following technology commercialization activities in 2004/05:

- 32 commercialization deals executed;
- 119 disclosures of new technology;
- no new start-up companies were created (resources were concentrated on existing startups at critical development stages);
- 90 licenses generating revenue from a portfolio of more than 600 patents;
- 19 new patent applications filed.

The University of Calgary's wholly owned commercialization company, University Technologies International Inc. (UTI), continues to enable the University of Calgary to rank among the top Canadian universities generating royalty revenues from licensed technologies. In 2005, UTI received \$3.6 million in licensing revenues.

Source: UTI, University of Calgary.

## Commercialization of Research (2004/2005)

### **The University of Lethbridge**

The University of Lethbridge experienced the following technology commercialization activities in 2004/05:

- 14 disclosures of new inventions;
- 2 patent applications filed;
- 1 patent issued from earlier applications; and
- 21 licenses and options to technologies.

Total to date:

- 27 disclosures of new inventions;
- 14 patent applications filed;
- 14 patents issued from earlier applications; and
- 26 licenses and options to technologies.

Source: Technology Transfer Office, University of Lethbridge.

# Research Revenue from Investment Earnings, Networks of Centres of Excellence and Clinical Trials (2004/2005)

## Reporting Standards

- Alberta universities follow common approaches to most of their reporting. However, there are a number of reporting differences between universities, including investment earnings (primarily endowment) allocated to research expenditure, Networks of Centres of Excellence (NCE) revenue and clinical trials funding.
- Differing situations at the University of Alberta and the University of Calgary make reporting these three sources in the same manner particularly difficult. The explanatory notes and revenues recorded below have been included in this report to ensure that this report is as inclusive of all sponsored research revenue as possible and to allow for a comparable overview of the significant revenues derived from these three sources at the University of Alberta and the University of Calgary.

## The University of Alberta

### Investment Earnings from Endowments

- In 2004/05, investment earnings from endowments totaling \$20.4 million were allocated for research spending but are not included in the Sponsored Research Revenue tables.

### Networks of Centres of Excellence (NCEs)

- The 2004/05 Sponsored Research Revenue Report includes net University of Alberta revenue (gross revenue was reported in 1997/98 and prior years). The net NCE revenue in 2004/05 was \$4.2 million.
- This amount is understated, as the Research Revenue Schedule in the University's Financial Statements does not breakdown by organization revenue received in amounts less than \$50,000. These smaller amounts are included in the "Other" category of the Sponsored Research Funding table (Table 3, page 22).
- The University of Alberta is the administrative centre for the Protein Engineering Network and the Sustainable Forest Management NCE.

### Clinical Trials

- Virtually all funds for clinical trials are received, held, and administered by the Capital Health Authority, with a small portion administered by the Alberta Cancer Board.
- Revenues for clinical trials reported by the Capital Health Authority and Alberta Cancer Board bring the total estimated clinical trials and related research funding for the University of Alberta to \$21.0 million for 2004/05. This revenue is not included in the Sponsored Research Revenue tables.

Source: University of Alberta: Research Services Office

## Research Revenue from Investment Earnings, Networks of Centres of Excellence and Clinical Trials (2004/2005)

### The University of Calgary

#### Investment Earnings from Endowments

- In 2004/05, investment earnings from endowments totaling \$13.9 million were allocated for research spending, but are not included in the Sponsored Research Revenue tables.

#### Networks of Centres of Excellence (NCEs)

- The University of Calgary is responsible for administering the Canadian Bacterial Diseases Network (CBDN) that provides grants to researchers at universities across Canada. Funding for the CBDN is provided by the Natural Sciences and Engineering Research Council (NSERC) and the Canadian Institutes of Health Research (CIHR).
- The \$4.1 million in 2004/05 funding received for the NCEs is included in the University of Calgary's sponsored research total.

#### Clinical Trials

- The University of Calgary has entered into an agreement with the Calgary Regional Health Authority with respect to the administration of industry sponsored, patient-based clinical research. Under this agreement, the researcher has the option of administering the financial resources of each individual clinical trial through the financial system of either the University or Regional Health Authority, regardless of the physical location of where the clinical trial is held. To date, the majority of these clinical trials are administered through the University's financial system.
- Total clinical trial revenue for 2004/05 is \$10.9 million and is included as sponsored research revenue in the tables.

Source: The University of Calgary: Financial Services

## Sponsored Research Revenue: Federal Government Sources (\$ 000) (2000/01 to 2004/05)

**Table 1**

Sources		RECIPIENT	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005
Federal Government	NSERC	Alberta	35,600	37,590	35,506	37,948	41,434
		Calgary	16,614	18,246	20,809	20,768	22,157
		Lethbridge	1,804	1,705	1,973	2,176	2,969
		Athabasca	8	52	37	100	106
	SSHRC	Alberta	5,611	19,510	7,939	8,574	9,737
		Calgary	3,662	9,515	3,444	4,458	4,932
		Lethbridge	141	201	207	485	663
		Athabasca	41	175	55	112	187
	CIHR	Alberta	23,277	30,467	33,180	37,077	37,501
		Calgary	18,914	25,927	27,167	29,784	31,672
		Lethbridge	226	222	312	390	437
		Athabasca	0	52	52	0	0
	CFI	Alberta	5,698	22,133	14,699	23,009	14,492
		Calgary	2,510	4,164	10,284	17,936	8,709
		Lethbridge	0	218	610	314	1,099
		Athabasca	0	78	227	143	871
	CRC	Alberta			8,192	10,099	10,288
		Calgary			4,425	5,375	7,275
		Lethbridge			0	300	625
		Athabasca			142	200	300
	INDIRECT COSTS	Alberta				13,354	14,177
		Calgary				8,478	9,522
		Lethbridge				912	1,058
		Athabasca				121	130
	OTHER	Alberta	12,597	13,030	9,144	11,024	14,774
		Calgary	4,573	6,308	8,591	9,833	10,291
		Lethbridge	359	373	597	1,720	1,697
		Athabasca	92	219	1,041	823	555
Subtotal	Alberta	82,783	122,730	108,660	141,085	142,404	
	Calgary	46,274	64,160	74,720	96,632	94,559	
	Lethbridge	2,530	2,719	3,699	6,297	8,548	
	Athabasca	140	576	1,554	1,499	2,150	
	All	131,727	190,185	188,633	245,513	247,661	



## Sponsored Research Revenue: Government of Alberta Sources (\$ 000) (2000/01 to 2004/05)

**Table 2**

Sources		RECIPIENT	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005
Government of Alberta	AHFMR	Alberta	22,798	23,707	26,313	21,733	23,909
		Calgary	20,126	24,422	22,564	19,236	19,328
		Lethbridge	544	1,562	1,041	987	915
		Athabasca	0	0	0	0	0
	Alberta Innovation and Science	Alberta	26,960	17,353	38,506	44,951	39,933
		Calgary	13,508	18,499	8,011	6,941	11,594
		Lethbridge	322	876	538	887	329
		Athabasca	208	114	220	3	0
	Alberta Ingenuity Fund	Alberta	3,862	177	3,905	5,375	6,243
		Calgary	2,270	99	1,346	1,779	4,574
		Lethbridge	420	0	123	244	982
		Athabasca	55	0	0	0	0
	OTHER	Alberta	12,279	27,725	17,316	47,408	84,000
		Calgary	14,439	11,463	6,767	46,653	72,172
		Lethbridge	711	245	418	235	437
		Athabasca	0	103	33	10	134
	Subtotal	Alberta	65,899	68,962	86,040	119,467	154,085
		Calgary	50,344	54,483	38,688	74,609	107,669
		Lethbridge	1,997	2,683	2,120	2,353	2,663
		Athabasca	263	217	253	13	134
All		118,503	126,345	127,101	196,442	264,551	
Other Government	Alberta	9,717	13,733	14,207	13,493	16,332	
	Calgary	1,911	2,138	3,414	2,802	2,959	
	Lethbridge	66	107	341	432	854	
	Athabasca	0	0	0	0	0	
	All	11,694	15,978	17,962	16,727	20,145	

## Sponsored Research Revenue: All Sources (\$ 000) (2000/01 to 2004/05)

**Table 3**

Sources	RECIPIENT	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005
Industry	Alberta	29,853	24,798	19,212	21,457	25,209
	Calgary	29,628	25,731	24,913	39,000	30,680
	Lethbridge	47	162	164	130	229
	Athabasca	4	4	34	9	8
	All	59,532	50,695	44,323	60,596	56,126
Non-Profit	Alberta	20,400	24,476	27,019	23,931	24,068
	Calgary	23,616	24,197	22,171	21,867	29,996
	Lethbridge	501	1,022	972	533	216
	Athabasca	0	28	24	23	24
	All	44,517	49,723	50,186	46,354	54,303
Other	Alberta	2,450	3,746	5,129	6,140	5,557
	Calgary	251	768	802	11,846	1,969
	Lethbridge	140	21	47	87	168
	Athabasca	0	0	3	0	0
	All	2,841	4,535	5,981	18,073	7,694
Total Government (from Tables 1A, B)	Alberta	22,850	28,325	32,181	30,081	29,759
	Calgary	89,766	93,927	109,013	153,180	186,049
	Lethbridge	50,985	55,526	39,707	75,229	108,053
	Athabasca	1,997	2,711	2,147	2,376	2,687
	All	165,598	180,489	183,048	260,866	326,549
TOTAL Note: Totals may not add due to rounding	Alberta	211,102	258,445	260,267	325,573	367,656
	Calgary	152,023	171,478	164,708	246,756	267,831
	Lethbridge	5,281	6,714	7,343	9,832	12,678
	Athabasca	407	825	1,868	1,544	2,316
	All	368,813	437,462	434,186	583,705	650,481