



# Social Sciences and Humanities Research Council of Canada

1997-98  
Estimates

Part III

Expenditure Plan

## **The Estimates Documents**

The Estimates of the Government of Canada are structured in three Parts. Beginning with an overview of total government spending in Part I, the documents become increasingly more specific. Part II outlines spending according to departments, agencies and programs and contains the proposed wording of the conditions governing spending which Parliament will be asked to approve. The Part III documents provide additional detail on each department and its programs primarily in terms of the results expected for the money spent.

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# Social Sciences and Humanities Research Council of Canada

1997-98  
Estimates

Part III

Expenditure Plan

Approved

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Minister of Industry

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President

## The Minister's Message

### ***The Industry Portfolio Building Jobs and Growth through Partnerships and Innovation***

The Social Sciences and Humanities Research Council (SSHRC) is a member of the Industry Portfolio. SSHRC is a key national research agency investing in the advancement of human knowledge and skills that Canada needs to continue building the quality of its social, economic and cultural life. The Council supports basic and applied research in the social sciences and humanities carried out by Canadian university-based scholars. It also supports graduate student training and the wide dissemination of research findings. SSHRC is involved in a range of activities to help bring the benefits of social sciences and humanities research to bear on the processes of social and economic policy-making.

Through the coordinated efforts of its member organizations, the Industry Portfolio is playing a vital role in helping to improve economic growth, and employment and income prospects for Canadians. The Industry Portfolio brings together the key departments and agencies responsible for science and technology, regional development, marketplace services and micro-economic policy. In doing so, the Government of Canada has created a new capacity for partnership and innovation, both within the Portfolio itself and externally, with the private sector and other stakeholders.

As Minister responsible for the Industry Portfolio, I am focussing the Portfolio's activities to help Canadians move confidently into the 21st century. Through the Portfolio, I am working to ensure that our businesses and industries have the best tools and the right conditions to innovate, grow, compete and generate jobs.

The technology-driven global economy which has emerged in the 1990s holds much promise, as well as many challenges. To maintain traditional strengths and markets while building new ones, Canadians must innovate. We have to develop and use leading edge technologies and skills needed in

#### ***The Industry Portfolio Is ...***

- Atlantic Canada Opportunities Agency
- Business Development Bank of Canada
- Canadian Space Agency
- Competition Tribunal
- Copyright Board of Canada
- Federal Office of Regional Development (Quebec)
- Industry Canada
- National Research Council of Canada
- Natural Sciences and Engineering Research Council of Canada
- Social Sciences and Humanities Research Council of Canada
- Statistics Canada
- Standards Council of Canada
- Western Economic Diversification

the knowledge-based economy. We need to increase the abilities of our firms and industries to export. We must also enlarge Canada's share of international investment. And we must work to ensure all Canadians, especially our youth, are able to participate fully in the new economy. To achieve these goals, business, governments and individual Canadians have to work together, in partnership.

The Industry Portfolio is playing its part by focussing on three areas of activity -- each crucial for our economic success, now and into the next century:

- promoting innovation through science and technology
- assisting business to grow by providing information, advice and financing support
- ensuring a fair, efficient and competitive marketplace.

Innovation is the key to success in the global economy. Creative thinking and adopting new technologies and processes keep traditional industries competitive while launching new industries for emerging and expanding markets. The Industry Portfolio is taking a new, risk-sharing approach to investing in technology through partnerships with the private sector. We are also making strategic investments to expand Canada's intellectual resources and advance knowledge.

The Portfolio assists Canadian businesses to increase their competitive advantage and their capacity to expand. Our actions are particularly directed at strengthening the backbone of Canada's economy -- small and medium-sized enterprises.

The Industry Portfolio has a vital role to ensure an open and efficient marketplace by setting clear and fair "rules of the game." In this way, we are supporting business activity while protecting consumer and investor interests.

Through its wide range of activities, the Industry Portfolio is contributing to economic growth, increased employment and higher living standards for Canadians in every region, both today and into the new century.

John Manley  
Minister of Industry

## **Preface**

This document is a report to Parliament to indicate how the resources voted by Parliament have or will be spent. As such, it is an accountability document that contains several levels of details to respond to the various needs of its audience.

The Part III for 1997-98 is based on a revised format intended to make a clear separation between planning and performance information, and to focus on the higher level, longer term plans and performance of departments.

The document is divided into four sections:

- Executive Summary;
- Agency Plan;
- Agency Performance; and
- Supplementary Information.

It should be noted that, in accordance with Operating Budget principles, human resource consumption reported in this document will be measured in terms of employee full-time equivalents (FTEs)

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The Social Sciences and Humanities Research Council of Canada (SSHRC) has a wide-ranging mandate: to promote and assist research and scholarship in the social sciences and humanities, and to play a leadership role in the formulation of Canadian research policy. In practical terms, this has included offering direct funding support for basic and applied research carried out by Canadian university-based researchers and scholars, fellowships for research training at the doctoral and postdoctoral levels, and grants to support the publication and dissemination of research findings. It has also included participation in a range of efforts to bring the benefits of Canadian social sciences and humanities research to bear on the process of social and economic policy-making.

In carrying out its mandate over the past two decades, the Council has acted as the key national research agency investing in the advancement of human knowledge and skills that Canada needs to build the quality of its social, economic and cultural life. Increasingly, the Council has sought to act as a catalyst within the research community, helping to strengthen Canada's national research capacity and to enhance research excellence, productivity and relevance.

The Council remains committed to supporting and promoting the multi-faceted contribution of the social sciences and humanities to a society that is well-informed and intellectually strong, able to draw on the strengths of its cultural heritage and to address current and future challenges with both practicality and vision.

### **Strategic Planning**

The challenges SSHRC currently faces include shrinking resources and increasing demands on its programs and activities, as well as a university environment which itself is undergoing massive cost-driven restructuring with significant impact on academic departments, research programs and the training of highly qualified personnel.

In addition, the Council must balance its programming in order to help the national research enterprise remain strong and intellectually competitive, support research that benefits Canadian society in the short and the longer term, respond to government expectations regarding SSHRC's role in the national S&T effort, and fulfill its responsibilities as a member of the Industry Portfolio.

To respond to these challenges, SSHRC has consulted with the university community and key stakeholders of social sciences and humanities research in Canada and developed strategic priorities for 1996-2001 which focus on the core activities of its mandate while making its research support programs more flexible and open to innovation and the needs of Canadian society.



During the next year, the Council will introduce some of the proposed changes to its program structure that will consolidate, and build on, the best features of its previous programs. It will also continue to develop intellectual and financial partnerships with organizations in the private and public sectors to enhance the socio-economic relevance of the research it funds and leverage new funding for social science and humanities research.

## **Evaluating Performance**

The Council has taken steps to enhance the evaluation function and to develop the capacity to measure the impact and outcomes of SSHRC support for Canadian research and training.

Over the years, SSHRC has supported many research projects which have contributed to the advancement of knowledge and assisted in the development and maintenance of the country's research capacity and excellence in the social sciences and humanities. Many of these projects have had a significant influence on a number of areas of Canada's social, political and cultural life.

However, establishing the link between SSHRC support and its ultimate impacts is a lengthy and difficult task as many factors come into play. Problems of time lag (between initial funding and the influence of the research findings some years later) and attribution (identifying how a field has been influenced specifically by SSHRC-funded research) limit the use of milestones or research targets and argue for reporting results over extended periods rather than on an annual basis. Resource constraints further complicate the challenge of developing effective information systems.

Also, output measures alone do not fully reflect the broader performance goals of the organization. Although there are numerous indirect benefits arising from the Council's steering or catalytic role in the research enterprise, showing direct impact is a challenge since it is often the general effect of SSHRC's support on the overall research environment that helps to create the conditions which enable researchers to make significant contributions to the country's social and economic progress.

Nevertheless, new evaluation tools are being developed to provide a wider range of information to the Council, thereby enhancing its ability to manage its programs and to undertake strategic planning more efficiently. Two studies which are underway are expected to yield important information about the effects of SSHRC support:

- a research outcomes pilot project launched in 1995 provides SSHRC with its first systematic collection of the long-term outcomes of SSHRC-supported research;
- a bibliometric study to identify the nature and extent of the research productivity of SSHRC-funded researchers compared with other scholars in the social sciences and humanities.

At the same time, the Council is involved in various inter-departmental exercises, including the S&T indicators exercise led by Statistics Canada, and the Evaluation and Performance Sub-Committee of the Industry Portfolio which is contributing to the development of performance frameworks.

## **A. Summary of Agency Plans and Priorities**

The context in which the Social Sciences and Humanities Research Council (SSHRC) operates is changing rapidly. The challenges we currently face include:

- A university environment which is undergoing massive cost-driven restructuring with significant impact on academic departments, research programs and the training of highly qualified personnel. The granting councils and the universities are partners in sustaining a strong Canadian research and training enterprise.
- The need to balance SSHRC programming to meet increasingly diverse needs and expectations. First, through the support it offers, SSHRC must help the national research enterprise remain strong and intellectually competitive so that Canada may sustain its capacity for world-class research in the social sciences and humanities. Second, SSHRC must support research that benefits Canadian society in both the short and longer term. Third, SSHRC must respond to government expectations regarding its role in national science and technology (S&T) efforts and fulfill its responsibilities as a member of the Industry Portfolio.
- Shrinking resources and increasing demands on programs and activities present an ongoing challenge. SSHRC's total program budget (annual reference level) has fallen from \$92.8M in 1994-95 to \$87.2M in 1997-98. It will fall further to an expected \$81.1 M in 1999-2000. SSHRC must redouble its efforts to fulfill its mandate in a balanced and effective way with a reduced budget.

Given the current challenges, SSHRC has developed strategic priorities for 1996-2001 which focus on the core activities of its mandate:

- to help advance Canada's capacity for research excellence and innovation in the social sciences and humanities;
- to consolidate and enrich the diversity of research training;
- to enhance the transfer of knowledge between the research community and Canadian society.

SSHRC's program-support mechanisms will promote greater flexibility and synergy of research efforts under three main components:

- (a) ***Open Research Support Programs*** — to maximize support for diverse research projects defined by researchers themselves and to encourage innovation in research.

- (b) **Targeted Research Support Programs** — to support research networks linking researchers with groups from the public, non-profit sectors and industry to undertake joint research and to pool knowledge and best practices in areas of social and intellectual relevance.
- (c) **Research Development Activities** — to complement the flexibility of the Open and Targeted Research Support Programs, SSHRC will support significant research-related activities which impact on and strengthen the Canadian research enterprise in the humanities and social sciences.

Support for research training, for knowledge transfer and communications, and for international research collaboration are priority areas throughout SSHRC’s program structure.

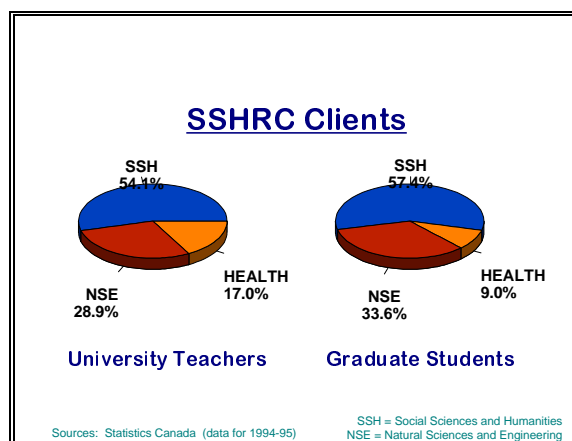
## **B. Agency Overview**

### **1. WHAT IS SSHRC?**

The Social Sciences and Humanities Research Council (SSHRC) is the federal agency responsible for promoting and supporting university-based research and training in the social sciences and humanities.

Created in June 1977 by Act of Parliament, SSHRC began to operate as an independent arm’s length agency in April 1978 when it assumed responsibility for the programs previously administered by the Humanities and Social Sciences Division of the Canada Council. It obtains its funds through an annual Parliamentary vote and reports to Parliament directly through the Minister of Industry. It is governed by a 22-member board appointed by the Governor-in-Council to represent the interests of the academic, public and private sectors.

SSHRC provides support to researchers, students and universities across Canada through grant and fellowship programs. Its primary clientele consists of some 19,000 professors and 37,000 full-time graduate students in the humanities and social sciences — more than 54 percent of full-time faculty and approximately 57 percent of full-time graduate students in Canadian universities.



Through its grant and fellowship programs, SSHRC fulfills a dual responsibility:

- to help maintain the effectiveness of Canada's research capacity and knowledge in all disciplines of the social sciences and humanities; and
- to contribute, through the research it funds, to the intellectual growth, progress and well-being of Canadian society.

## **2. SOCIAL SCIENCES AND HUMANITIES RESEARCH**

SSHRC supports research and advanced training in the disciplines that study human action and behaviour, including their social, economic and cultural determinants. These disciplines include, among others, law, ethics, demography, economics, administration, history, psychology, sociology, political science, literature, archaeology, geography, education, business, fine arts, philosophy, and linguistics. The knowledge produced by research in these disciplines is essential to the well-being of advanced democratic societies and to the progress of knowledge-based economies in a complex and fast-changing world.

Our society is undergoing rapid technological change, often driven by utilitarian concerns. In this context, research in the social sciences and humanities helps us to better understand and manage the difficult social and cultural issues affecting our world. It encourages us to reflect critically on the values that motivate us, on the interactions that determine in part who we are, and on the institutions in which we function as individuals, family members, workers and citizens. Social sciences and humanities research is a key to understanding and explaining individual behavior and the social, cultural and economic foundations of the human condition.

In this light, SSHRC supports research into issues such as:

- economic performance, both nationally and globally, taking into account the complex relationship between human, natural and technological resources, as well as the need to address concerns such as sustainable development, successful innovation, and efficient knowledge transfer;
- the process of human development — that is, learning and developing effective work skills, communicating with others, preparing for, and taking on, one's role in society, making sound decisions, and so forth — and the factors which help to shape and determine human development, such as health care, education and training, access to technology, and culture;
- social cohesion and stability in a world of surging demographics where cultural diversity challenges traditional forms and norms of social organization in households, schools, communities and nations;
- the human determinants of environmental change, including social and economic causes and problems, as well as workable policy options for managing the impacts of such change;
- the ethical, intellectual and cultural impacts of emerging technologies which transform life and are likely to have profound effects on our society, both today and in the future.

A better understanding of such issues is needed to complement our traditional wisdom in dealing with increasingly complex and interrelated challenges. This understanding goes beyond the scope of the health sciences or the natural sciences and engineering and comes primarily from the social sciences and humanities.

Research and training in the social sciences and humanities have both short- and long-term benefits for Canadians.

The short-term benefits include:

- in-depth, critical analysis of specific social and economic issues which improves our ability to solve problems;
- direct, paid employment for significant numbers of students as research and teaching assistants;
- a body of highly-qualified and adaptable personnel who can supply expertise and multi-dimensional thinking, both within and outside the university.

With respect to the longer term, social sciences and humanities research is a source of the skills and knowledge required to maintain and build upon the enviable quality of life Canada enjoys. Our quality of life derives from a prosperous economy in a stable and healthy society. It is linked directly to the excellence of our public education and health care system. It flows from our capacity for tolerance and for understanding of ourselves, of our cultural heritage and our place in the world against the larger backdrop of human history and cultural experience. These in turn depend on fostering the research skills and intellectual vitality which help Canadians participate fully in, and make complex decisions about, family and community life, economic growth, the workplace and the democratic process.

The benefits of research and training in the human sciences are everywhere in our lives. Such research is essential to the excellence of our higher education system and to the general health of our economy. Students in the social sciences and humanities become researchers and professors themselves. Graduates in these fields help meet the demand for highly-skilled professionals in government, business and the community by supplying the breadth of knowledge and the multi-dimensional thinking, problem-solving and management skills needed to adapt quickly to shifting economic and social conditions. They enrich our collective knowledge and strengthen our capacities for creativity and innovation.

### **3. MANDATE AND OBJECTIVE**

SSHRC's core mandate is to promote and support research and scholarship in the various disciplines of the social sciences and humanities throughout Canada. This overarching goal is divided into four primary objectives, namely:

- to enhance the advancement of knowledge by supporting basic research in the social sciences and humanities;
- to support targeted research in fields of national importance;

- to build and strengthen Canada’s national capacity for research and expertise in the social sciences and humanities by supporting advanced training in these disciplines;
- to facilitate communication among scholars in Canada and abroad, and to promote awareness and use of SSHRC-funded results within the academic community, the public and private sectors, and among the public-at-large.

## 4. THE ROLE OF SSHRC

In carrying out its mandate over the past two decades, SSHRC has played a key role as a research funding agency fostering the advancement of human knowledge and skills that Canada needs to maintain the quality of its social, economic and cultural life.

SSHRC provides critical leadership in the development of social sciences and humanities research across Canada. Its strategies and directions promote collaborative and interdisciplinary research, partnerships and alliances, and international collaboration. Its efforts to consolidate and structure the national research effort in the social sciences and humanities has made these disciplines more directly responsive to the needs of society, government, and business and community groups.

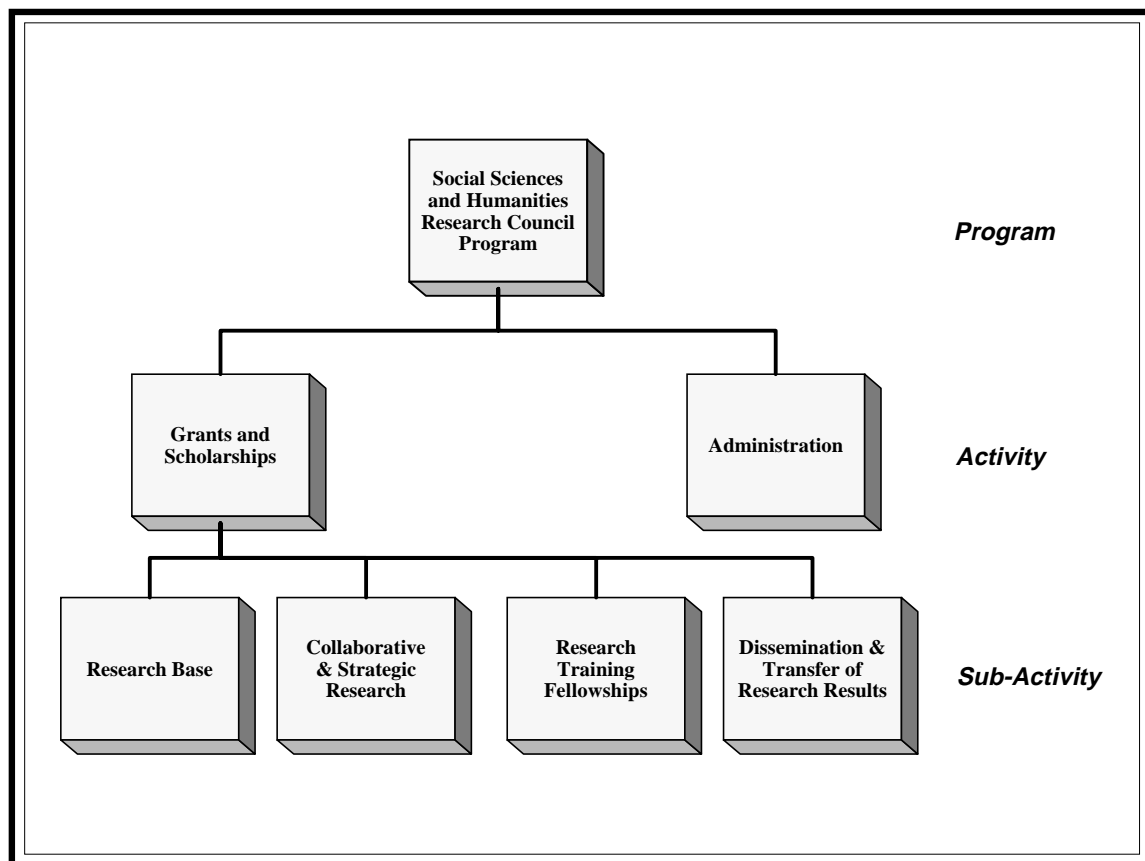
In the coming years, SSHRC will continue to act as a catalyst within the research community and steer the research effort in directions which promote the excellence, productivity and socio-economic relevance of research. Recognizing that no single method can address all social sciences and humanities issues, the Council will attempt to support excellent and innovative research through a more flexible program structure which strikes a fine balance between traditional, single-discipline approaches and more open, exploratory approaches based on partnerships and interdisciplinary collaboration.

SSHRC awards its grants through a competitive and independent adjudication process — peer review — which ensures that only the best research is funded. The “peers” are some 200 researchers who sit on the committees responsible for evaluating applications submitted in the annual national competitions for SSHRC funding. They also comprise the 9,000 researchers from Canada and other countries who are asked to provide written assessments of proposals to help the committees in their work. The peer review system is an essential link between SSHRC, its programs, and the research community.

## 5. PROGRAM ORGANIZATION

**Activity Structure:** One overall activity best describes the operations of SSHRC: the provision of grants and fellowships to support research and training in the social sciences and humanities.

This activity comprises four sub-activities:



- **Basic research:** To support the work of individual researchers and research teams in the social sciences and humanities in order to maintain Canada's research capacity in these disciplines and to provide the pool of knowledge and expertise required to address social, economic and cultural research issues. The training of students through work with researchers and teams is a key component of all SSHRC research support programs (budget allocation for basic research in 1996-97 amounted to \$34.9 M; see Table 3.2 on page 45).

- **Collaborative/strategic research:** To support multidisciplinary teams and research networks and to promote partnerships with users of research in the private, public and community sectors (budget allocation in 1996-97 amounted to \$13.1 M; see Table 3.2 on page 45).
- **Research training:** To provide funding to doctoral and postdoctoral fellows to supply social sciences and humanities expertise at Canadian universities and in all sectors of the economy (budget allocation in 1996-97 amounted to \$25.5 M; see Table 3.2 on page 45).
- **Research communication and knowledge transfer:** To support research publications, journals, conferences and transfer activities that promote awareness and use of SSHRC-funded research (budget allocation in 1996-97 amounted to \$4.2 M; see Table 3.2 on page 45).



## *Spending Authorities*

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### *Authorities for 1997-98 - Part II of the Estimates*

#### **Financial Requirements by Authority**

Vote	(thousands of dollars)	1997-98 Main Estimates	1996-97 Main Estimates
<b>Social Sciences and Humanities Research Council</b>			
95	Operating expenditures	6,512	7,143
100	Grants	87,152	83,426
(S)	Contributions to employee benefit plans	758	676
<b>Total Agency</b>		<b>94,422</b>	<b>91,245</b>

#### **Votes - Wording and Amounts**

Vote	(dollars)	1997-98 Main Estimates
<b>Social Sciences and Humanities Research Council</b>		
Social Sciences and Humanities Research Council		
95	▪ Operating expenditures	6,512,000
Social Sciences and Humanities Research Council		
100	▪ The grants listed in the Estimates	87,152,000

## Agency Overview

(thousands of dollars)	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
<b>Total Main Estimates</b>	91,245	<b>94,422</b>	92,252	88,360
Revenue credited to the Consolidated Revenue Fund	(700)	<b>(700)</b>	(700)	(700)
Estimated Cost of Services by other Departments	1,635	<b>1,466</b>	1,466	1,466
<b>Net Cost of the Agency</b>	92,180	<b>95,188</b>	93,018	89,126

## Net Cost of the Program by Activity

(thousands of dollars)	1997-98 Main Estimates							Total Main Estimates
	Operating	Capital	Grants and Scholarships	Gross Total	Statutory Payments	Gross Expenditures	Less: Revenue Credited to the Vote	
Operating expenditures	7,270	-	-	7,270	-	7,270	-	7,270
Grants and Scholarships	-	-	87,152	87,152	-	87,152	-	87,152
	7,270	-	87,152	94,422	-	94,422	-	94,422
<b>Other Revenues and Expenditures</b>								
Revenue credited to the Consolidated Fund								(700)
Estimated Cost of services by other Departments								1,466
<b>Net Cost of the Program</b>								95,188

## **C. Details by Sub-Activity**

### **1. OBJECTIVES AND EXPECTATIONS**

#### **1.1 Basic Research**

##### ***Goals***

By supporting programs of high-quality research, defined and carried out by individual researchers and research teams in the social sciences and humanities, Council funding:

- helps to sustain Canada's national research capacity and research competitiveness at the international level;
- helps to develop the knowledge and expertise required to advance the social, cultural and economic quality of life;
- provides graduate students with hands-on research training by working with experienced researchers.

##### ***Programs***

There are two main forms of support:

- (a) *Standard Research Grants* — to support the best researchers or research teams carrying out programs of research on topics they have defined.
- (b) *General Research Grants* — to support young researchers, knowledge transfer, research innovation and other developmental activities through block grants paid to, and apportioned by, universities.

##### ***Expected results***

- ongoing development of a strong research base in the social sciences and humanities contributing to the overall research performance of Canadian universities — including enhanced expertise, advances in theories and methodologies, and the development of databanks and analytical techniques;
- greater knowledge and understanding of the major social, economic and cultural changes taking place in Canada and around the world to better meet the challenges of the present and future;
- a strong body of researchers in the social sciences and humanities, with proven strengths and achievements in their fields, who are able to provide the knowledge necessary to meet the intellectual, cultural and economic needs of a changing society.

## 1.2 Collaborative/Strategic Research

### Goals

SSHRC offers support for collaborative research initiatives and for strategic research in targeted areas of importance to Canada in order to:

- promote problem-oriented and policy-relevant research;
- foster coherent and integrated research efforts in target areas by pooling expertise and resources from different fields and sectors;
- promote transfer within society of knowledge generated through research;
- train future researchers in a collaborative and multidisciplinary environment.

### Programs

(a) *Strategic Themes* — SSHRC currently supports multidisciplinary research in four theme areas:

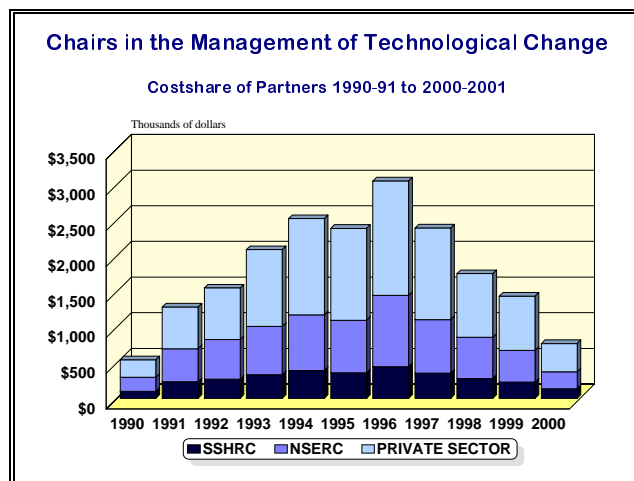
- i. Applied Ethics
- ii. Managing for Global Competitiveness
- iii. Science and Technology Policy in Canada
- iv. Women and Change

It also funds five large-scale Strategic Research Networks in Education and Training (see inset on page 18).

(b) *Major Collaborative Research Initiatives* — to support large-scale collaborative research (including research networks) that meet international standards of excellence and address key intellectual and socio-economic issues.

(c) *Strategic Joint Initiatives* — to support partnerships between SSHRC and business, government and community groups in designing and funding research in areas of strategic importance and need.

(d) *International Summer Institutes* — to support and build international research linkages, agendas and projects.



### ***Expected results***

- multidisciplinary and interdisciplinary research collaboration, research networks and partnerships involving academic researchers, business, government and community groups;
- better links, more effective sharing of knowledge and skills, among academic researchers and other users of research;
- greater availability to policy-makers, business groups and decision-makers of timely and useful knowledge to address evolving social, cultural and economic issues;
- a national focus for research excellence through interdisciplinary collaborative research involving many researchers and institutions with international recognition and linkages;
- intellectual and financial participation of business, government and community partners in SSHRC strategic research.

### ***Networks Centres of Excellence Program***

In addition to its collaborative and strategic programs, SSHRC administers the highly successful Networks Centres of Excellence Program, in collaboration with NSERC and the MRC. The Program enables the best Canadian researchers in the three major branches of knowledge across the country to work jointly with public and private sector partners on multidisciplinary projects that advance Canada's social and economic development. Within Phase II of the Program, three new networks within which the social sciences and humanities play a key role are being funded. These include the Sustainable Forest Management Network, the Health Evidence application and Linkage Network, and the Telelearning Network of Centres of Excellence.

## **Education and Training Research Networks**

On December 5, 1996, SSHRC announced the creation of five large-scale research networks in education and training involving teams of university researchers, business people and representatives of community-based organizations in all provinces. Researchers at several foreign universities and representatives of various international organizations are also participating. SSHRC's investment in the five networks totals just over \$5.6 million. Each network will receive approximately \$225,000 per year for up to five years.

The research agenda of each network is being developed through working partnerships of researchers, educators, policy makers, business and community leaders. A total of more than 140 university researchers participating in the five networks will work closely with representatives from some 150 community organizations, private sector companies, and international research enterprises, as well as with representatives from various provincial government departments and school boards.

The five networks, led by senior researchers at universities in Quebec, Ontario and British Columbia, are:

- The Education, Training and Employment Research Network
- The Network for the Evaluation of Education and Training Technologies
- The Research Network for New Approaches to Lifelong Learning
- The Labour Training Research Network
- The Western Education and Training Research Network

All five networks build bridges between various sectors of Canadian society and capture the benefits of partnerships. They capitalize on the special strengths and expertise of researchers, educators, policy makers, business and community leaders. Together, the partners will look synergistically at the extensive education, training and retraining Canadians will need to participate successfully in the evolving knowledge-based global economy. The networks will provide decision makers with better information on which to base education policies and programs

The network teams, whose fields of expertise encompass a wide range of disciplines — from sociology and educational psychology to engineering and computer science — will examine strategies, programs and policies aimed at meeting the current and future educational requirements of Canadians in different walks of life. Major areas of study include the structures and processes of education, learning factors and outcomes, vocational and professional training providers, and training delivery. A key goal is to identify the links between learning and economic success, between training and Canada's international competitiveness, and between education, innovation and the evolving training needs of Canadians.

## 1.3 Research Training

### *Goal*

To help maintain and advance Canada's research capacity in the humanities and social sciences by assisting the development of new generations of researchers.

### *Programs*

SSHRC provides both direct and indirect training support to graduate students in the social sciences and humanities.

There are two main forms of **direct support**:

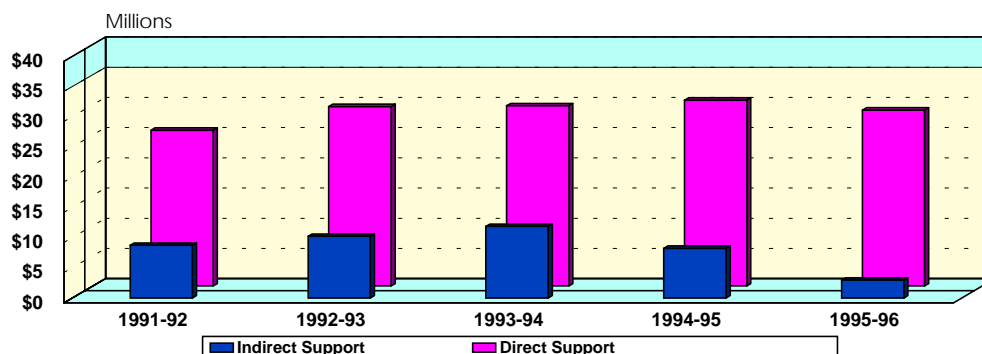
- (a) *Doctoral Fellowships* — to develop and expand the research skills and experience of students at the doctoral level and to develop a core of highly qualified Canadian personnel.
- (b) *Postdoctoral Fellowships* — to support a core of the most promising new researchers and to assist them in establishing a research base at a pivotal time in their research career;

**Indirect support** for training is achieved by encouraging researchers to hire students as research assistants in SSHRC-funded basic, collaborative and strategic research projects (see Sections 1.1 and 1.2, pages 15-16).

### *Expected results*

- more intense research at the graduate and postdoctoral levels, leading to stronger Canadian schools of graduate studies;
- a pool of highly qualified and skilled researchers and specialists in the social sciences and humanities to provide expertise and knowledge either in an academic or non-academic environment.

**Direct and Indirect SSHRC  
Support for Training  
(All Programs)**



Source: SSHRC Evaluation and Statistics Division 1996-12-10

## 1.4 Research Communication and Knowledge Transfer

### *Goals*

SSHRC offers a variety of programs and incentives in support of research communication which:

- encourage and assist researchers in making their results known to the academic community, user groups, and the public;
- improve the transfer of knowledge through increased awareness of the needs and interests of non-academic users of research findings;
- increase public awareness of research in the social sciences and humanities, its impact on major public policy issues, and SSHRC's contribution in this respect.

### *Programs*

Three programs provide direct support for communication activities:

- (a) *Aid to Scholarly Publications*
- (b) *Aid to Research and Transfer Journals*
- (c) *Aid to Occasional Research Conferences and International Congresses in Canada*

In addition, SSHRC encourages researchers to use a portion of their grants (up to 10 percent) to communicate their results. Researchers who apply for grants are asked to submit a communication plan with their application. This plan is assessed during the evaluation of the applications.

SSHRC supports other communications activities such as *Breakfasts on the Hill* — a series of seminars on key public policy issues organized by the Humanities and Social Sciences Federation of Canada. These seminars attract many MPs, policy advisors and analysts, program managers, and members of the community. They provide leading-edge information on critical policy issues from the best researchers.

The Council also publishes various research compendia to inform target audiences about SSHRC-funded research in areas of interest to them and keeps the media informed of its programs and competitions.

### *Expected results*

- sustained communication of Canadian research findings in social sciences and humanities to target audiences and the general public, both nationally and internationally;
- increased awareness and use of SSHRC-funded work in the public, private and community sectors;
- higher profile and visibility of SSHRC-funded research among stakeholders and the Canadian public.



## 2. OPERATING CONTEXT AND KEY INITIATIVES

### 2.1 SSHRC's 1996-2001 Strategic Plan:

A key challenge for SSHRC in the current context is to carry out its mandate with fewer resources, while dealing with growing and competing research and training demands. Our new five-year Strategic Plan takes into account important elements of the external environment including public expectations, the needs of the research community, and government priorities.

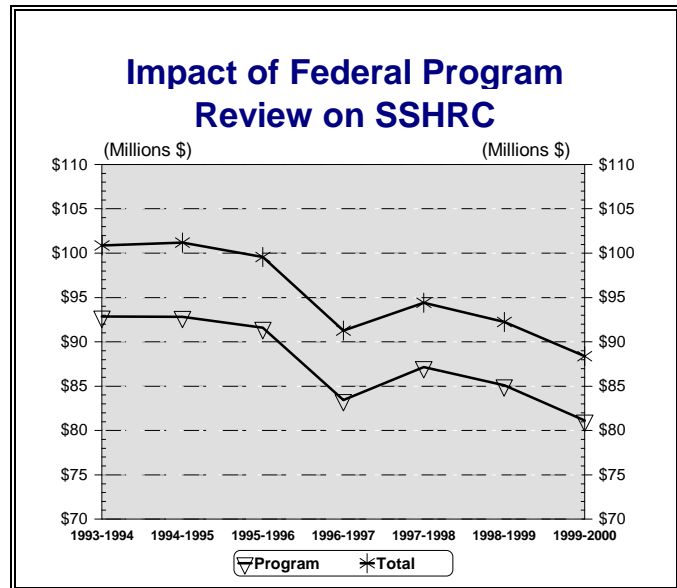
***A changing university environment:*** Like other public institutions in Canada, universities are grappling with large-scale budgetary cutbacks. The infrastructure and other types of support required to sustain research at Canadian universities has fallen substantially, while cost-driven restructuring of academic programs and university departments places new demands and stresses on all those working within our universities.

At the same time, universities are called upon to provide the knowledge base needed to meet the daunting intellectual and social challenges of today — from restructuring the world economy to dealing with the complex ethical issues facing modern society. New fields of knowledge have developed and heightened the need for trained researchers and highly qualified personnel. Furthermore, necessary but expensive cooperation among researchers across disciplines, both nationally and internationally, has become essential for research work and for the advancement of knowledge. The granting councils and the universities are looking at new ways to build alliances and partnerships with stakeholders to enhance the Canadian research enterprise.

***Balancing diverse needs and expectations:*** SSHRC continues to refine, consolidate and strengthen its ability to serve — through its programs and activities — the best interests of the research community and Canadian society. First, through the support it offers, the Council must help the national research enterprise remain strong and vibrant in order for Canada to sustain its capacity for world-class research in the social sciences and humanities. Second, the Council must strive to ensure that, taken as a whole, the work it supports benefits Canadian society by helping to generate and transfer the knowledge and skills required to continue building our quality of life. It must also respond to government expectations regarding its role in national S&T efforts and address the challenge of continuing to fulfill its mandate in balanced and effective ways with a reduced budget.

***Contributing to national science and technology efforts:*** As part of its S&T strategy, the federal government seeks to maximize the links between research investments, economic growth and social development. SSHRC and the two other university granting councils (NSERC and MRC) are expected, within their respective mandates, to demonstrate how the research they fund contributes to national S&T priorities and to intensify their cooperation with federal partners. For SSHRC, this means continuing to participate effectively in Industry Portfolio activities and in all departmental consultations relating to science policy, research and higher education.

**Making resources count:** The budgetary environment has changed significantly since the Council published its previous strategy in 1990. Like all other federal agencies, SSHRC must operate with reduced means. As its new Strategic Plan goes into effect, SSHRC is in the process of absorbing the cuts announced in the Federal Program Review. Reductions in funding to the granting councils have been less than in other sectors of the government. The cuts to SSHRC's total budget (annual reference level) have been as follows: 5 percent in 1995-96, 16 percent in 1996-97 and 14 percent in 1997-98. Hence SSHRC's support for Grants and Fellowships has fallen from \$92.8 million in 1994-95 to \$87.2 million in 1997-98 — and will fall further to an expected \$81.1 million in 1999-2000. Given these severe constraints, SSHRC is unable to support a significant number of meritorious research proposals recommended each year for funding on the basis of their excellence.



Clearly, SSHRC must redouble its efforts to ensure the best return on the government's investment in social sciences and humanities research. It must reinforce its commitment to demonstrate intellectual, financial and public accountability in its undertakings, and to promote the highest standards of integrity and transparency in its use of research funds.

## 2.2 Strategic Priorities for 1996-2001

Given its current budgetary situation, SSHRC will focus, over the next five years, on the activities most central to its mandate. It will also ensure that these activities are carried out in the most productive ways possible and that they serve to strengthen the national research endeavour in the social sciences and humanities. Throughout 1995-96, SSHRC held extensive consultations with representatives of the research community, policy-makers and other research users in various sectors of Canadian society. The Council identified three key priorities to guide its activities over the next five years:

- to help further the national capacity for excellence and innovation in the creation and integration of knowledge in social sciences and humanities research with significant impact on social and intellectual issues;
- to consolidate and enrich the diversity of research training; and
- to enhance the transfer of knowledge between the research community and Canadian society.

## 2.2.1 Furthering excellence and innovation in research

### *Priority*

A basic program structure which promotes greater flexibility and synergy of research efforts.

### *Strategy*

Over the next five years SSHRC intends to organize its basic program structure under the following main components:

- (a) *Open Research Support Programs*
- (b) *Targeted Research Support Programs*
- (c) *Research Development Activities.*

#### *(a) Open Research Support Programs*

Under this component, SSHRC will endeavour to put into place funding structures that recognize and support the diversity of research practices and that encourage research innovation. Support mechanisms are expected to include:

**Open Research Grants Program** — to fund proposals from individuals or teams for theoretical, applied, policy-relevant studies, highly specialized disciplinary work, for collaborative and interdisciplinary research, and for research involving partnerships with non-academic groups. This new program structure will give researchers the flexibility to select the research methods and approaches best suited to their research goals. The program will also recognize that researchers must be given as much flexibility as possible in establishing the time-frame most suitable to their research goals. The Council proposes that the program make grants available for longer-term, broadly-defined research activities as well as for more focused research projects on specific social, cultural, economic and environmental issues.

**Major Collaborative Research Initiatives** — to fund large-scale research projects on topics defined by researchers themselves. Over the next five years, SSHRC will enhance the program's network component.

#### *(b) Targeted Research Support Programs*

Under this component, SSHRC will support research networks to bring together individuals from the academic, public, private and non-profit sectors to pool knowledge and best practices in the thematic areas. Support mechanisms may include:

**Targeted Research Networks** — support for broadly-based research networks on critical social and cultural issues will become the preferred structure and funding criterion for all SSHRC targeted research programs. SSHRC will work with the research community, the

public and the private sectors to jointly define the social and cultural themes targeted for research under the program. The objectives are to foster a research environment where innovative research methods are developed, and applied to targeted areas of research, and to create integrated bodies of knowledge through network collaboration.

**Open Theme Networks** — support for research networks on team-initiated themes to provide new opportunities for researchers from all fields and disciplines of the social sciences and humanities to independently collaborate in defining specific intellectually and socially challenging research issues and investigate them by applying innovative methodological approaches.

**Joint Initiatives** — the Joint Initiatives Program has had remarkable success over the past five years in fostering the development of strategic partnerships with government, private-sector, community and non-profit based organizations. The Council will continue to monitor the impact of this program on policy- and decision-making, and will continue to foster the creation of new research partnerships to generate high quality research in areas of common concern.

### ***(c) Research Development Activities***

To complement the flexibility of the Open and Targeted Research Support Programs, SSHRC will seek to add a new component to its program structure to offer more specific support for a range of original, intellectually and socially significant research-related activities which can impact positively on the Canadian social sciences and humanities research enterprise. The following could be supported:

**State-of-the-Art Reviews** — to take stock of intellectual directions and methodological developments in disciplines, interdisciplinary paradigms, research fields or targeted themes. To assist in the process of knowledge transfer, the Council would endeavour to make the results of these reviews widely available within and outside the academic community.

**International Research Linkages** — to encourage collaboration on joint research or research communication projects in the humanities and the social sciences between Canadian and foreign scholars or teams of scholars.

**Research Agenda-setting and Catalyst Activities** — in all fields and disciplines of the human sciences. The range of activities could include such things as:

- SSHRC University Professorships working with students, research collaborators and other institutions to stimulate innovative approaches to research and scholarship and to set new research directions.
- Intensive national or international institutes on specific research questions aimed at elaborating conceptual and methodological designs and exploring research priorities and future directions;
- Focused workshops, symposia, policy fora and other activities involving policy-makers, users and practitioners to define research needs or questions, to explore multisectoral research collaboration or partnerships, or to share and analyze research results and policy implications.

## 2.2.2 Consolidating and enriching the diversity of training

### *Priority*

Consolidate and enrich the diversity of research training.

### *Strategy*

Over the next five-years, SSHRC intends to reinforce the training component of its research support programs through the following mechanisms:

**Direct Support** — SSHRC will continue to allocate significant resources to support top-ranked doctoral and postdoctoral students and researchers through a rigorous, competitive adjudication process. To respond to the particular needs of small Canadian universities, SSHRC is planning to offer a limited number of special MA scholarships to assist exceptional students in completing their Master's training in small institutions across the country.

**Training Incentives** — SSHRC proposes to offer new incentives to grantholders to encourage them to include more research training opportunities in their research activities. The goal is to indirectly help students — both graduate and undergraduate — acquire skills in diverse research methodologies (disciplinary, interdisciplinary, theoretical and applied) in a range of stimulating settings (such as members of research teams, networks, or as part of a program of collaborative research between researchers and users of research results).

**Targeted Research** — SSHRC intends to increase its support for training in its Targeted Research Programs to provide more opportunities for students to obtain interdisciplinary, collaborative and policy-relevant research training.

**University Liaison** — SSHRC will seek to work with universities to promote policies and research that will enhance knowledge and understanding of the processes of training and learning, the quality of training, and the special characteristics and needs of particular subjects, disciplines and areas.

## 2.2.3 Enhancing the transfer of knowledge

### *Priority*

Promote and enhance the transfer of knowledge between the research community and Canadian society.

### *Strategy*

SSHRC will continue to build on the communication activities implemented under its previous five-year plan. SSHRC intends to focus on three areas of concern during the next five years:

- research communication among researchers,
- knowledge transfer to research stakeholders, and
- knowledge transfer to decision-makers in business and government, to policy-makers, and to the public.

Examples of mechanisms could include:

**Direct Support for Research Communication Activities** — through the Aid to Scholarly Journals, Aid to Research and Transfer Journals, and Aid to Occasional Research Congresses and International Congresses in Canada programs. Individual researchers have a prime responsibility to communicate research and can use a portion of their grant for this activity.

**Peer Review** — SSHRC will enlist the support of the peer review committees to recognize and reward proposals that demonstrate good communication plans.

**Research Evaluation** — SSHRC is developing more effective ways to evaluate the intellectual and social impact of completed research and to enhance the way in which it communicates the results of these evaluations.

**Stakeholders and Partners** — to help ensure that information and expertise are transferred more effectively in *both* directions between researchers and users of research, SSHRC will attempt to broaden and strengthen the partnership dimension of its support programs. In addition, it will continue to seek ways to work with the research community and research partners and stakeholders to enlarge the innovative long-term role research partners can play in the development of SSHRC's support programs.

**Research Users and Broader Public** — SSHRC will look for new methods to make social science and humanities research findings known to senior policy-making audiences, to potential research partners, both in government and business, and to the broader public. To the extent its resources allow, SSHRC will enhance the range of its public communication activities, taking greater advantage of innovative electronic methods of communicating to reach wider audiences with greater speed and cost-efficiency.

### 3. CHANGE MANAGEMENT ISSUES

The Council has taken a number of measures that will allow it to manage with greater efficiency while reducing its operating costs.

#### 3.1 Common Administrative Services

To simplify administrative procedures, enhance client service, and reduce operating costs for both organizations, SSHRC and the Natural Sciences and Engineering Research Council (NSERC) decided to merge their Finance, Human Resources, Information Management and Administration functions under a Common Administrative Services Directorate (CASD). Three of the four areas have been amalgamated and completion of the merge is scheduled to take place in 1997.

The following are some of the advantages obtained through common services:

- ***Integrated Local Area Network (LAN) and Office Automation Software:*** As part of the CASD framework, SSHRC and NSERC have integrated their respective LANs into a single network. The two councils have adopted — and will adopt more — common softwares for various applications. The new integrated network provides enhanced processing capabilities and allows the two to share maintenance and support costs.
- ***World Wide Web Site:*** SSHRC's new site will ensure that stakeholders have rapid access to current information on the Council's programs and activities. Over time, it will also function as an important interactive medium allowing researchers, Council staff and other interested parties to explore emerging research issues and related developments in the research community. SSHRC's World Wide Web site is expected to be operational by mid-1997, using the current NSERC server and related technology.
- ***New Awards Management System:*** SSHRC intends to migrate its corporate database to a "client-server" environment. In addition to enhancing the processing of applications for funding and the administration of awards, the new system should be cheaper to maintain, more reliable, and more responsive to evolving requirements. Moreover, SSHRC will be using the same tools NSERC recently used to develop its new awards-management system, which should lead to substantial savings.

#### 3.2 Inter-Agency Electronic Application Forms

SSHRC is one of four granting councils participating in a common inter-agency electronic forms project. The purpose is to allow university researchers to prepare application forms electronically using a commercial forms-software package common to the four councils. The councils (SSHRC, NSERC, MRC and Fonds FCAR) are also exploring the possibility and cost-effectiveness of using web-based technology for the electronic submission of applications.

### 3.3 SSHRC-NSERC Working Group on Global Payment of Fellowships

Currently SSHRC and NSERC fellowships are paid directly to award holders. The two councils have been exploring the possibility of making global fellowship payments to universities which, in turn, would make individual payments to award holders. This would increase the efficiency of the process and lead to savings. In 1996, the universities were consulted about this change, which is expected to become effective in 1998.



## Appropriated Planned Spending

(thousands of dollars)	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
<b>Activities:</b>				
Grants and Scholarships	83,426	87,152	85,101	81,136
Operating expenditures	7,819	7,270	7,151	7,224
<b>Total</b>	91,245	94,422	92,252	88,360

## Appropriated Planned Spending by Activities and Sub-Activities

(thousands of dollars)	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
<b>Activities:</b>				
<b>Grants and Scholarships:</b>				
Research Base	34,867	36,247	35,378	35,377
Collaborative and Strategic Research *	13,123	13,108	13,132	13,102
Research Training Fellowships	25,523	28,881	28,181	28,182
Research Communication	4,178	4,620	4,475	4,475
Phased-out Programs	1,800	361	-	-
Networks of Centres of Excellence (Phase II)	3,935	3,935	3,935	-
<b>Operating expenditures</b>	7,819	7,270	7,151	7,224
<b>Total</b>	91,245	94,422	92,252	88,360

(\*) Includes transfers from other departments.

## **A. Summary of Agency Performance**

The Social Sciences and Humanities Research Council of Canada has funded hundreds of research projects which have had and will continue to have a significant impact on a number of areas of Canada's social, economic, political and cultural life. Tracking the links between SSHRC's support of research and scholarship and its ultimate impact must be viewed over the long-term and will continue to be the prime consideration in SSHRC's efforts to develop and refine performance indicators over the coming year. The primary indicators of performance are descriptive rather than quantitative. At the same time, a number of input indicators measure SSHRC's contribution to the research enterprise and ultimate effects.

In its support of basic research over the past five years, the Council has funded 3,224 programs of research and 4,483 researchers. The broad range of issues addressed include education and training, population aging, changing family structures, economic planning, fiscal and monetary policy, Free Trade, entrepreneurship, the management of natural resources, cultural and ethnic diversity, Canadian history and literature, constitutional reform, and the social, ethical and legal impacts of new technologies. At the same time, financial support for training to help develop the next generation of scholars and professionals has been provided to a large number of students — some 23 percent of the Research Grants budget is for payments to students as research assistants.

The Council has also delivered a set of collaborative/strategic research programs that have succeeded in addressing a range of issues of national concern — such as health promotion, immigration, family violence, aboriginal affairs, and the integration of persons with disabilities. In a recent evaluation study, it was found that these programs have attracted partners in a variety of economic sectors ranging from extraction industries, communications and other high-tech industries to non-governmental organizations and federal, provincial and municipal government departments. These initiatives have leveraged in excess of \$18 million of support for research from interested parties in the public and private sectors. Further evidence of the importance of such research is found in the joint SSHRC-NSERC Program of University Research Chairs in the Management of Technological Change where 55 percent of the funding for the 12 chairs established comes from the private sector.

In the area of training, more than 3,000 doctoral students and 800 postdoctoral researchers have been funded by SSHRC over the last five years.

SSHRC assists the broad dissemination of research through direct support to researchers as well as by funding forums and media for communicating research results. Last year alone, the SSHRC funded 67 conferences, 163 journals and 149 scholarly books.

## **B. Overview**

SSHRC is in the process of developing performance measures for its research support programs and activities. As we proceed — augmenting current reporting on inputs and activities by measuring outputs and outcomes — it should be noted that establishing the link between SSHRC support and its ultimate impacts is a lengthy and difficult task as other factors come into play. Problems of time lag (between initial funding and the influence of the research findings some years later) and attribution (identifying how a field has been influenced specifically by SSHRC-funded research) limit the use of milestones or research targets and argue for reporting results over extended periods rather than on an annual basis. Budget permitting, the SSHRC will continue its efforts to enhance its information system.

It should also be noted that output measures alone do not fully reflect the broader performance goals of the organization. SSHRC supports a mix of activities which contribute to the advancement of knowledge and assist in the development and maintenance of the country's research capacity and excellence in the social sciences and humanities.

### **Fostering a healthy, vibrant research environment**

There are numerous indirect benefits arising from the Council's steering or catalytic role in the research enterprise. Council's strategic policies contribute to the scholarly community being more actively involved in:

- conducting research on important social, economic, cultural and political concerns;
- undertaking collaborative, interdisciplinary, mission-oriented research;
- working with practitioners and policy-makers in business, government and the NGO community;
- communicating research findings and transferring knowledge to appropriate audiences;
- training the next generation of researchers by including students in their research activities;
- accountability and integrity requirements.

Showing direct impact is a challenge since it is often the general effect of SSHRC's support on the overall research environment that helps to create the conditions which enable researchers to make significant contributions to the country's social and economic progress. It is important to recognize the potentially far-reaching implications of Council's overall investment in the research enterprise. Examples of indirect benefits that result from SSHRC grants and fellowships include:

- high-quality post-secondary education
- better informed public debate and decision-making on important issues as a result of researchers:
  - ⇒ contributing their analysis and insights on local, provincial, national and international events;
  - ⇒ participating on various committees and task forces created by all levels of government to address important socio-economic challenges;

⇒ representing Canadian interests and perspectives on international academic or policy committees.

## **Measuring outcomes**

In attempting to establish accurate performance measures, SSHRC is focusing on the development of practices and procedures which can identify how to shape the best environment for contributions to be realized (e.g. funding the best researchers, supporting student training, and encouraging collaboration and networking). Measures which capture the reach of SSHRC-supported activities (e.g. percentage of total social sciences and humanities research population supported by Council programs, research user satisfaction) also become important. We are developing measures to report on an ongoing basis on a number of output indicators which most accurately demonstrate how expected outcomes are realized.

Given the nature and impact of research in the social sciences and the humanities, the primary indicators of performance are descriptive (e.g. innovation, research excellence, and the societal benefits of research). Accordingly, the Council believes that qualitative or descriptive indicators are important measures of the impacts which characterize research in the social sciences and humanities. At the same time, quantitative indicators of outputs are used to complement SSHRC's ability to assess whether its program objectives are being achieved.

## **Enhancing the evaluation function**

The Council has taken steps to enhance the evaluation function and to develop the capacity to measure the impact and outcomes of SSHRC support for Canadian research and training. New evaluation tools are being developed to provide a wider range of information to the Council, thereby enhancing its ability to manage its programs and to undertake strategic planning more efficiently. The Council remains committed to conducting periodic evaluations of its programs. While it is expected that the development of performance indicators will provide useful evaluation data, there is a need to step back and review the contribution of programs over time, taking into consideration various lines of evidence.

The Council is undertaking a bibliometric study to identify the nature and extent of the research productivity of SSHRC-funded researchers compared with other scholars in the social sciences and humanities. This project is expected to provide important contextual information about the effects of SSHRC support, as well as provide us with methods and approaches for future reviews and evaluation studies.

In addition, the research outcomes pilot project (ROPP) launched in 1995 provides us with our first systematic collection of the long-term outcomes of SSHRC-supported research. The implementation of the outcomes databases has required changes to how researchers report on productivity as well as changes to SSHRC's award follow-up procedures.

At the same time, the Council is involved in various inter-departmental exercises, including the S&T indicators exercise led by Statistics Canada, and the Evaluation and Performance Subcommittee of the Industry Portfolio which is contributing to the development of performance frameworks.

## C. Details by Sub-Activity

### 1. BASIC RESEARCH

The primary goals of SSHRC's support for basic research are to sustain Canada's competitiveness in research on the international scene, to develop the pool of expertise required to address social, cultural and economic issues, and to train students by working with high calibre researchers.

Supporting innovative research and providing intellectual leadership are among SSHRC's main objectives. This helps to ensure that Canadian research in the human sciences is able to address current and future challenges faced by our society. A strong base of research expertise and knowledge is required to effectively meet these challenges.

SSHRC supports high-quality programs of research directed by the most competent researchers in Canada. Over the past five years, the Council has funded 3,224 programs of research and 4,483 researchers in its support of basic research. The broad range of issues addressed include cultural and ethnic diversity, Canadian history and literature, constitutional reform, education and training, population aging, changing family structures, economic planning, fiscal and monetary policy, Free Trade, entrepreneurship, the management of natural resources, and the social, ethical and legal impacts of new technologies.

Some examples of recently funded research are listed in the box below.

#### **Basic Research Supported by SSHRC**

Citizenship, readership and the study of Canadian literature

Spousal homicide and marital conflict

Long-term unemployment among elderly workers

U.S. hegemony, the cold war and the political economy of ASEAN's miracle economies

The politics of health reform in Canada and the United States

Labour adjustment and income security policy in free trade areas — European lessons for NAFTA

Technical change and job flexibility in the pulp and paper industry

Social integration of francophone youth in New Brunswick

Industrial networks and technological innovation in the Toronto Region

Agricultural adaptation to variable environmental conditions

British Columbian forest exports to Japan

Impact of government fiscal policy on investment in Canada

SSHRC-funded research can lead to substantial business and cultural developments. Consider the following example:

Archaeological and anthropological research supported over the years by SSHRC has uncovered much new information about the earliest human settlements in Canada, significantly increasing our knowledge of the past. One project funded over a six-year period by SSHRC ultimately led to the creation of a \$12 million educational, scientific and cultural centre in a heritage park just outside of Saskatoon. When the project got started, University of Saskatchewan archaeologist Ernie Walker “did not for a moment conceive that it would result in a major economic and cultural development.” Saskatchewan’s Waneskewin Heritage Park was opened in 1992 after close to a dozen years of intensive archaeological investigations in the area. During that time, working with some of the country’s leading researchers, Dr. Walker explored some 21 sites where evidence of human habitation spanning more than 6,000 years was unearthed. Their excavations laid the groundwork that turned the area into a national and international heritage site. Today Waneskewin houses an interpretive centre and museum, a million-dollar research laboratory, and a host of native craft shops and businesses catering to the park’s visitors.

While a number of the output indicators require changes to SSHRC’s current methods of collecting information, the Council still provides tangible information on its investments. In addition to the 4,483 researchers supported between 1992-93 and 1996-97, 23 percent of the program budget has provided financial support to students as research assistants, thus contributing to the development of the next generation of scholars and professionals. However, over the same period, the ability to maintain research activity and provide training opportunities has declined; the success rate in terms of research programs supported as a portion of research programs proposed has fallen from 45 percent in 1992-93 to 30 percent in 1996-97 as the SSHRC’s budget has declined.

Table 1 (which follows the discussion of sub-activity 2) identifies the main goals of SSHRC’s support for basic research with expected outcomes and prospective indicators of these outcomes. Due to the commonality of many of the outcomes and impacts of the two research-related sub-activities, the outcomes and indicators have been combined there.

## **2. COLLABORATIVE/STRATEGIC RESEARCH**

The Strategic Grants program provides funding for research in targeted areas under the auspices of the Strategic Themes and Joint Initiatives programs. Together these programs are designed to foster collaborative, multidisciplinary research by teams of two or more researchers, or by individuals, on issues of national importance.

During the last five years, through its strategic programs, the Council has emphasized intellectual cooperation and partnerships at all levels of the research enterprise and has prompted researchers to form multidisciplinary teams. The Joint Initiatives program was introduced during that time. Altogether a dozen agreements have been signed with partners from both the public and private sector to fund research in Canada’s priority areas — such as health promotion, immigration, family violence, Aboriginal affairs, and the integration of persons with disabilities. These agreements have enhanced the social sciences and humanities profile with both government and industry and have added some \$18 million to support research. Thus, in addition to the Council’s investments, significant funds and resources are leveraged from other sources in support of social sciences and humanities research.

Another program which has had an important leveraging effect, as well as generating information on a topic of particular interest to policy makers, is the SSHRC-NSERC Program of University Research Chairs in the Management of Technological Change. Established in 1989, the program encourages teaching, study and training concerning how technological change and entrepreneurship can best be managed, understood and facilitated. Partnerships with other firms and organizations are encouraged. So far the private sector is carrying around 55 percent of the cost of the 12 research chairs established under the program.

Just as the support for basic, applied and interdisciplinary research can be shown to address issues of significant interest to Canadians, so too is the case here, as indicated by the small number of strategic research projects listed below.

### **Collaborative and Strategic Research Supported by SSHRC**

Work organization and skill development in small and medium-sized enterprises

Developing information policies for a Canadian information infrastructure — public interest perspectives

Lone mothers, social assistance and the labour market

A cross-cultural international study of the interaction of bioethics and law in medicine

Mentorship strategies: increasing undergraduate women's enrollment in core science

Technological alliances in biotechnology and health: public policy and management

Information networks and the internationalization of small-to-medium-sized business

Strategic and tactical management of diversification in defence firms

Values, the environment and the use of natural resources

Rights and responsibilities: developing professional and business ethics for elder abuse

In more detail, the following example describes the contribution the social sciences can make to improving Canada's productivity and competitiveness and how research partnerships provide a ready path for the transfer of knowledge to relevant users.

Funded under a joint initiative of the SSHRC and NSERC, which includes corporate partners Nortel, Mitel, Gandalf, and Lumonics, Carleton University's Research Program in Managing Technological Change in Manufacturing has been helping a variety of high-tech manufacturing firms improve their productivity and competitiveness, making them stronger players in both national and international markets. The Carleton program is headed up by Dr. Donald Gerwin of the School of Business and the Department of Systems and Computer Engineering. This research has not only advanced knowledge about how technological change can best be facilitated, managed and understood by manufacturers, it has also helped create new training programs to improve the skills of both workers and managers. In addition, information exchange networks have been established to quickly share new findings with the sponsoring firms and other interested companies.

The Council has supported a number of strategic research projects with particular relevance to the Canadian experience. The following summary illustrates how research contributes to our understanding of the challenges faced by our society and provides the information needed for the development of public policy:

Funded by a SSHRC strategic grant, Jeremiah Allen, chairman of economics at the University of Lethbridge, and co-investigator Roger Barnsley, Vice-President (Academic) at St. Thomas University, New Brunswick, have been conducting research on the “relative age effect” — significant differences in skills exhibited by otherwise similar groups of people born in different months of the same calendar year. Relative age is an indicator of maturity and, among young children, a few months can make a big difference. The researchers found that this difference influences academic and athletic performance, including scores on intelligence tests, for children. The ensuing streaming of students based on that performance can reinforce and perpetuate these effects even into adulthood and the job market. Allen and Barnsley believe these findings raise important practical questions for educators and policy-makers: how can the use of standard tests, the academic system, and organized activities, including sports and recreational activities, be altered to reduce or eliminate the problems caused by relative age effects?

The Council continues to regularly evaluate its programs to assess progress in meeting stated objectives and to improve performance. The results of an evaluation of the Strategic Grants program will be a major contribution to the implementation of the Council’s Strategic Plan for 1996-2001.

Some key findings of the evaluation study were:

- there is both need and support for applied research in the larger community, particularly among non-governmental organizations;
- the program has attracted partners from a variety of economic sectors ranging from extraction industries, communications and other high-tech industries to non-governmental organizations and federal, provincial and municipal government departments, many of which have developed very strong active partnerships with researchers;
- the program has had a very positive impact on enhancing the levels of multidisciplinary and collaboration among its applicants, particularly since the last evaluation reported in 1988.

The support of targeted research yields research and training outcomes as well as issues-oriented information. Hence, the indicators for basic research also apply here, amidst other indicators. Accordingly, prospective indicators for the support are outlined in table 1 below, along with the prospective indicator for the support of basic research.



**Table 1: Assessing SSHRC’s Support for Basic and Collaborative/Strategic Research**

<b>Main Goals:</b>	<b>Outcomes:</b>	<b>Prospective Indicators:</b>
<ul style="list-style-type: none"> <li>• Help sustain Canada’s national research capacity and its competitiveness at the international level</li> <li>• Help develop the knowledge and expertise required to advance the social, cultural and economic quality of life</li> <li>• Promote problem-oriented policy-relevant research on key issues of Canadian concern</li> <li>• Train students with high calibre researchers</li> <li>• To promote use of knowledge generated by research</li> </ul>	<ul style="list-style-type: none"> <li>• High quality research in the social sciences and humanities, including multi-disciplinary policy-oriented research</li> <li>• A knowledge pool of expertise to address social, cultural and economic issues</li> <li>• Increased awareness and use of social sciences and humanities research</li> <li>• New research ideas, approaches</li> <li>• Highly qualified personnel</li> <li>• Canada’s competitiveness in research on the international scene</li> </ul>	<p><u>Input/Activity</u></p> <ul style="list-style-type: none"> <li>• Number and size of awards</li> <li>• Competition success rates</li> <li>• Participation rate of scholarly community in competitions</li> </ul> <p><u>Outputs - Short Term</u></p> <ul style="list-style-type: none"> <li>• Research in key areas</li> <li>• Innovative research</li> <li>• Publications - media, number, audience, and impact</li> <li>• Extent of Canadian researchers published in international journals</li> <li>• Amounts devoted to student training</li> <li>• Number of students supported</li> <li>• Funds leveraged from other sources</li> </ul> <p><u>Outputs - Long Term</u></p> <ul style="list-style-type: none"> <li>• Awards and prizes to Canadian researchers and students</li> <li>• Contribution to scholarship</li> <li>• Contribution to policies of a social, cultural, political and/or economic nature</li> <li>• Supply and demand for trained social scientists and humanists</li> </ul>

### 3. RESEARCH TRAINING

During the last five years, the Council has prepared a new generation of qualified researchers by supporting more than 3,000 PhD students with doctoral fellowships and by training nearly 800 researchers for research careers through the Council's post-doctoral fellowships program. Training has also been identified as a key objective of all research support programs by favouring the inclusion of students on research teams, with the result that the proportion of funding for training purposes has increased significantly.

While we are able to report on the number of students trained, protocols are to be developed in the coming year in order to assess the impact of this support in terms of its contribution to the careers and employability of trainees. Exit surveys and other means of tracking need to be instituted and are being considered as part of the indicators project underway at the Council. A list of prospective indicators for advanced training is provided in Table 3 below.

**Table 2: Assessing SSHRC's Support for Research Training**

<b>Main Goal:</b>	<b>Outcomes:</b>	<b>Prospective Indicators:</b>
<ul style="list-style-type: none"><li>To supply research expertise required by Canadian universities and in the public and private sectors</li></ul>	<ul style="list-style-type: none"><li>Investment in human capital</li><li>Renewal of talent pool</li><li>Pool of highly qualified trainees</li><li>Expertise required at Canadian universities and in the public and private sectors</li></ul>	<ul style="list-style-type: none"><li>Success rate in competitions</li><li>Proportion of doctoral fellowship award holders who graduate</li><li>Proportion of students funded by SSHRC who subsequently find related employment</li><li>Employer satisfaction survey</li></ul>

### 4. RESEARCH COMMUNICATION AND KNOWLEDGE TRANSFER

In addition to providing direct support to scholarly conferences and the publication of scholarly journals and manuscripts, the Council has encouraged the dissemination of research results both within and beyond the university community by asking scholars to present plans for communicating their results to target groups, including end-users of the research and the general public. Last year alone, SSHRC funded 67 conferences, 163 journals and 149 books. Steps have also been taken to reinforce the Council's communications function through the development of a new strategy centered on the complementary roles of researchers, universities and SSHRC itself in the wide dissemination of research results. Through a survey of researchers, Council has attempted to identify barriers preventing the effective communication of research results to users and the general public. An examination of this information, in conjunction with the needs of end-users, will help Council determine how it can best assist researchers to communicate their results.

**Table 3: Assessing SSHRC’s Support for Research Communication and Knowledge Transfer**

<b>Main Goal:</b>	<b>Outcomes:</b>	<b>Prospective Indicators:</b>
<ul style="list-style-type: none"> <li>• To promote awareness and use of SSHRC-funded knowledge</li> </ul>	<ul style="list-style-type: none"> <li>• Increased awareness and use of SSHRC-funded knowledge</li> <li>• Scholarly journals</li> <li>• Scholarly manuscripts</li> </ul>	<ul style="list-style-type: none"> <li>• “Reach” of publications (number and type of subscribers by sector)</li> <li>• Type and number of participants at conferences</li> <li>• Citations of SSHRC-funded researchers</li> <li>• Increased use of non-academic means to communicate research to end-users and the general public</li> <li>• Collaborations beyond academe</li> <li>• Research-based consultancy</li> <li>• Partnerships</li> </ul>

## **5. OTHER CHALLENGES — LEADERSHIP AND QUALITY OF SERVICE**

Beyond the delivery of funding programs, SSHRC also plays a key leadership role nationally and internationally on behalf of the social sciences and humanities research community. This role is realized through policy fora that it convenes, such as the National Conference on Graduate Education and Training held in 1994, and liaison with various government and non-governmental departments and agencies within Canada and abroad.

The Council is also addressing service delivery issues, such as the quality and cost of its services to the research community, and its communications to various stakeholders within the academic community and beyond. These issues cross all business lines of the Council.

**Table 4: Other Challenges**

<b>Initiative</b>	<b>Expected Outcomes</b>	<b>Progress to Date</b>
Reorganization of the Program Branch along disciplinary rather than administrative lines.	<ul style="list-style-type: none"> <li>• Improved service to SSHRC clients.</li> <li>• More efficient use of personnel and administrative resources.</li> </ul>	<ul style="list-style-type: none"> <li>• Reorganization completed and first round of annual competitions held under re-organized system.</li> </ul>
Electronic forms and on-line grant applications.	<ul style="list-style-type: none"> <li>• Improved service to grant applicants.</li> <li>• More effective and economical data capture, storage and communications.</li> </ul>	<ul style="list-style-type: none"> <li>• Three-year pilot project launched in 1995 with NSERC, MRC and Fonds FCAR.</li> </ul>
Establish common administrative services with the Natural Sciences and Engineering Research Council.	<ul style="list-style-type: none"> <li>• Reduced cost of service for both agencies.</li> </ul>	<ul style="list-style-type: none"> <li>• Common Administrative Services Directorate consolidated during 1996-97.</li> <li>• Classification and staffing of all positions in Administration, Human Resources and Finance completed in December 1996.</li> <li>• Information Systems will be integrated in 1997-98.</li> </ul>

## Agency Appropriated Planned and Actual Spending

(thousands of dollars)	Actuals 1993-94	Actuals 1994-95	Main Estimates 1995-96	Actuals 1995-96
<b>Activities:</b>				
Grants and Scholarships	92,842	92,822	89,188	91,579
Operating expenditures	8,012	8,377	7,772	7,988
<b>Total</b>	<b>100,854</b>	<b>101,199</b>	<b>96,960</b>	<b>99,567</b>

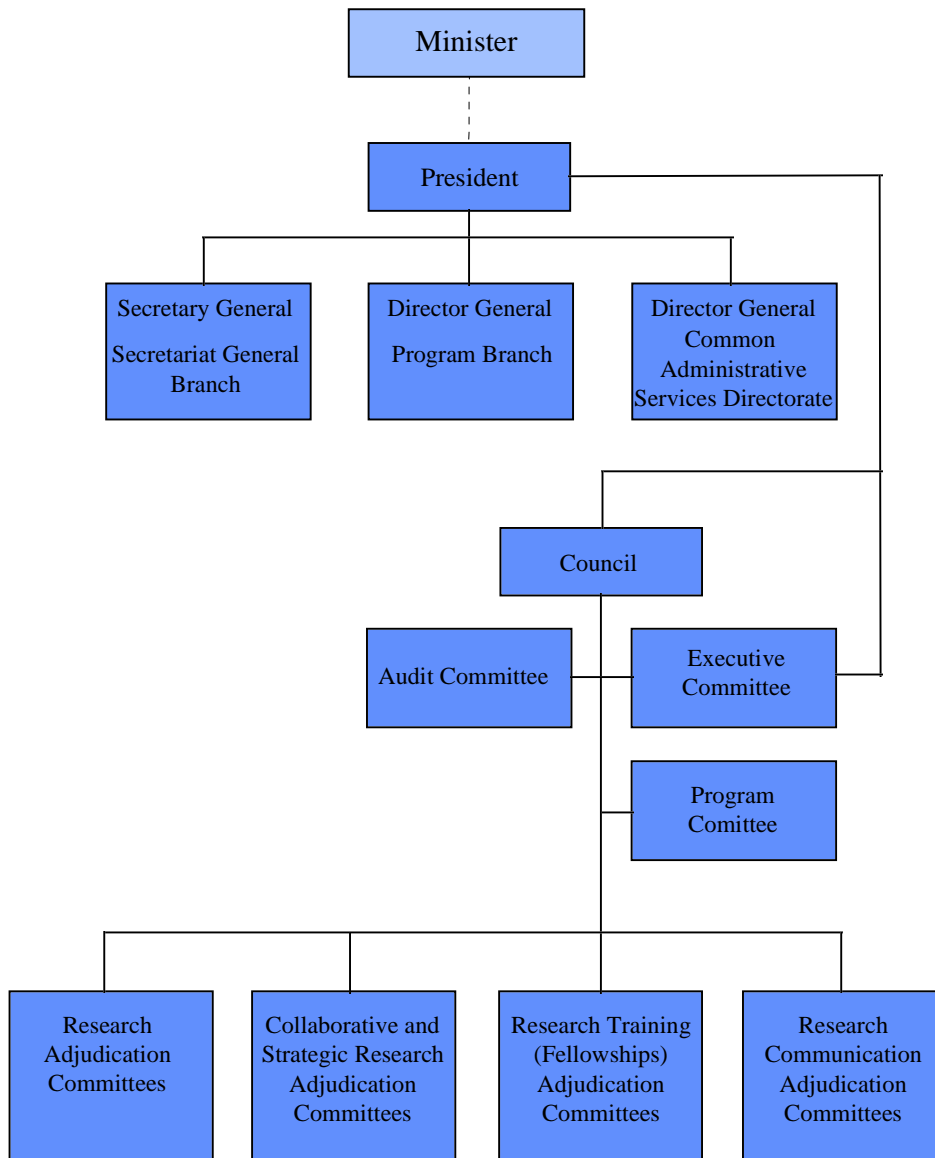
## Agency Appropriated Planned and Actual Spending by Activities and Sub-Activities

(thousands of dollars)	Actuals 1993-94	Actuals 1994-95	Main Estimates 1995-96	Actuals 1995-96
<b>Activities</b>				
<b>Grants and Scholarships:</b>				
Research Base	43,075	43,202	39,291	40,567
Collaborative and Strategic Research *	10,105	11,604	12,585	13,998
Research Training Fellowships	29,451	29,275	29,138	28,124
Research Communication	5,026	5,015	5,040	3,605
Phased-out Programs	5,185	3,726	3,134	2,990
Networks of Centres of Excellence (Phase II)	-	-	-	2,295
<b>Operating expenditures</b>	<b>8,012</b>	<b>8,377</b>	<b>7,772</b>	<b>7,988</b>
<b>Total</b>	<b>100,854</b>	<b>101,199</b>	<b>96,960</b>	<b>99,567</b>

(\*) Includes transfers from other departments.

**Appendix 1 - Organization**

**1.1 SSHRC Organizational Chart**



## Appendix 2 - Personnel Requirements

### 2.1 Summary by Professional Category (FTEs)

	Actuals 1994-95	Actuals 1995-96	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
OIC Appointment <sup>1</sup>	1	1	1	1	1	1
Executive <sup>2</sup>	10	9	9	10	10	10
<b>Administrative and Foreign Services</b>						
Administration Services	18	18	18	15	15	15
Information Services	4	4	5	4	4	4
Financial Administration	2	2	1	3	3	3
Program administration	26	26	32	30	30	30
Computer Systems Administration	7	6	7	7	7	7
Personnel Administration	1	2	1	2	2	2
<b>Administrative Support</b>						
Data Processing	2	2	2	2	2	2
Clerical	24	25	22	20	20	20
Secretarial	5	4	4	5	5	5
	100	99	102	99	99	99

Note: Full-Time Equivalent (FTE) is a measure of human resource consumption based on average levels of employment.

(<sup>1</sup>) This includes all those at the DM level and all GICs.

(<sup>2</sup>) This includes all those in the EX-1 to EX-5 range inclusive.

## **Appendix 3 - Additional Financial Information**

### **3.1 Revenue credited to the Consolidated Revenue Fund by Activity**

(thousands of dollars)	Actuals 1994-95	Actuals 1995-96	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
Operating expenditures	3	8	5	5	5	5
Grants and Scholarships	686	811	695	695	695	695
<b>Total credited to the CRF</b>	<b>689</b>	<b>819</b>	<b>700</b>	<b>700</b>	<b>700</b>	<b>700</b>



## Appendix 3 - Additional Financial Information

### 3.2 Details of Transfer Payments

(thousands of dollars)	Actuals 1994-95	Actuals 1995-96	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
<b>Research Base</b>						
Standard Research Grants	37,256	30,753	29,711	<b>30,934</b>	30,148	30,190
General Research Grants	5,891	9,759	5,051	<b>5,258</b>	5,125	5,132
Léger & Bora Laskin Fellowships	55	55	105	<b>55</b>	105	55
	43,202	40,567	34,867	<b>36,247</b>	35,378	35,377
<b>Collaborative and Strategic Research</b>						
Major Collaborative Research	1,736	3,496	3,384	<b>3,502</b>	3,502	3,502
Priority Themes	7,020	6,993	5,981	<b>4,934</b>	5,000	5,000
Joint Initiatives *	1,809	2,174	2,771	<b>2,378</b>	2,868	2,838
Presidential Fund	179	397	375	<b>282</b>	150	150
Summer Institutes	190	150	150	<b>150</b>	150	150
Aid to Small Universities	581	570	462	<b>462</b>	462	462
Inter Council Consortiums	89	218	-	<b>700</b>	700	700
Research Development Initiatives	-	-	-	<b>700</b>	300	300
	11,604	13,998	13,123	<b>13,108</b>	13,132	13,102
<b>Research Training Fellowships</b>						
Doctoral Fellowships	22,078	21,312	19,027	<b>21,784</b>	21,322	21,322
Postdoctoral Fellowships	7,197	6,812	6,496	<b>6,943</b>	6,795	6,796
Special Fellowships	-	-	-	<b>154</b>	64	64
	29,275	28,124	25,523	<b>28,881</b>	28,181	28,182
<b>Research Communication</b>						
Research Journals	2,051	1,112	1,697	<b>2,040</b>	1,960	1,960
Scholarly Publications	1,483	1,410	1,199	<b>1,292</b>	1,259	1,259
Learned Societies / Travel	412	288	344	<b>350</b>	341	341
Conferences	1,069	795	938	<b>938</b>	915	915
	5,015	3,605	4,178	<b>4,620</b>	4,475	4,475
<b>Phased-out Programs</b>						
Major Research Grants	1,878	1,586	1,036	-	-	-
Negotiated Grants	15	-	-	-	-	-
Learned Societies / Admin.	412	288	274	<b>219</b>	-	-
Umbrella Organizations	713	679	426	<b>142</b>	-	-
University Research Libraries	468	437	64	-	-	-
Development of Management Research	15	-	-	-	-	-
International Relations	225	-	-	-	-	-
	3,726	2,990	1,800	<b>361</b>	-	-
<b>Networks of Centres of Excellence (New)</b>						
	-	2,295	3,935	<b>3,935</b>	3,935	-
<b>TRANSFER PAYMENTS</b>	<b>92,822</b>	<b>91,579</b>	<b>83,426</b>	<b>87,152</b>	<b>85,101</b>	<b>81,136</b>

(\*) Includes transfers from other departments.

## Appendix 3 - Additional Financial Information

### 3.3 Statement of Operations

(thousands of dollars)	Actuals 1994-95	Actuals 1995-96	Main Estimates 1996-97	Main Estimates 1997-98	Planned 1998-99	Planned 1999-00
<b>Personnel</b>						
Salaries and wages	4,878	4,996	4,664	4,459	4,365	4,416
Contributions to employee benefit plans	627	643	676	758	742	751
	5,505	5,639	5,340	5,217	5,107	5,167
<b>Goods and Services</b>						
Transportation and communications	487	675	364	371	369	372
Information	277	236	241	248	247	249
Professional and special services	1,173	978	1,394	1,042	1,037	1,044
Rentals	142	55	68	14	14	14
Purchased repair and upkeep	71	113	114	130	129	130
Utilities, materials and supplies	421	141	97	133	132	133
Minor capital *	301	151	201	115	115	115
	2,872	2,349	2,479	2,053	2,044	2,057
<b>Total Operating</b>	8,377	7,988	7,819	7,270	7,151	7,224
<b>Transfer payments</b>	92,822	91,579	83,426	87,152	85,101	81,136
<b>Total expenditures</b>	101,199	99,567	91,245	94,422	92,252	88,360

# **Appendix 4 - Additional Information**

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