

INTEGRATION

INTEGRATING THE DIGITAL RESEARCH INFRASTRUCTURE
ECOSYSTEM IN CANADA

ANNUAL REPORT
2021-2022

TABLE OF CONTENTS

Executive Summary _____	05
About the Alliance _____	06
Board of Directors _____	12
Researcher Council _____	13
Financial Matters _____	14
Programs Matters _____	32
Members _____	55
Appendix A _____	61
Appendix B _____	63
Appendix C _____	67

A MESSAGE FROM THE CHIEF EXECUTIVE OFFICER

The Digital Research Alliance of Canada's mandate is to advance a researcher-centric, unified, national platform for digital research infrastructure in Canada. The annual report serves to recap what was accomplished.

The 2021-2022 fiscal year was largely focused on Integration. Integrating the three platforms of advanced research computing, research data management and research software; the operations; the teams and the people. Although it has been a challenging year, the Alliance has made some gains over the past year, namely, building the organization, preparing the 2022-2025 Strategic Plan, coordinating transition activities and engaging with stakeholders. The Digital Research Infrastructure ecosystem across Canada is extraordinarily diverse and complex and is there is much work to be done to deliver on the national mission of the Alliance.

As we improve and deepen our relationships, collaboration within the digital research infrastructure ecosystem are crucial and we are committed to working in a collaborative manner.

In the coming year, we will be actively working to create a service model, funding model and multi-year funding proposal with funders, partners, and stakeholders to build a solid foundation for the ecosystem.

We are grateful for the support of our ecosystem partners, for the guidance of our Researcher Council, for the stewardship of our Board and for the leadership of our funder, the Government of Canada. We look forward to important progress and alignment in the coming year.



George Ross
Chief Executive Officer
Digital Research Alliance of Canada



A MESSAGE FROM THE THE CHAIR, BOARD OF DIRECTORS

As Chair of the Board of Directors, it is my pleasure to mark the accomplishments of the Digital Research Alliance of Canada (the Alliance) in 2021-2022. We focused on the integration of advanced research computing, research data management and research software in support of an equitable and sustainable national digital research infrastructure ecosystem.

We welcomed two new Vice Chairs to the Researcher Council: Dr. Marie-Jean Meurs and Dr. Amol Verma. Dr. Meurs is a professor of computer science at the Université du Québec à Montréal. Dr. Meurs has demonstrated leadership in Researcher Council activities focused on equity, diversity, inclusion and accessibility, particularly French-language services. Dr. Verma is a physician, scientist and assistant professor in General Internal Medicine at St. Michael's Hospital and the University of Toronto.

His work demonstrates leadership in supporting and developing the Researcher Council mandate and digital research infrastructure in Canada.

We also welcomed five new members to our Researcher Council: Dr. Wahab Almuhtadi, Dr. Emmanuel Château-Dutier, Dr. Catherine Lovekin, Dr. Terry Peckham and Dr. Michele Piercey-Normore. Each new member brings with them extensive expertise in their field and a unique perspective that will be invaluable to the work of the Alliance.

The Board remained dedicated to the Alliance's vision and values and demonstrated excellence in governance through a strong commitment to the Government of Canada's national Digital Research Infrastructure Strategy. We continue to uphold the principles of equity, diversity, inclusion and accessibility

and are proud to advance them with our partners.

Our work would not be possible without the leadership and support of Innovation, Science and Economic Development Canada. Thank you to our members and stakeholders whose passion, dedication and expertise are driving innovation in digital research infrastructure and supporting researchers across Canada.

Thank you and best wishes,



Janet M. Davidson
O.C., BScN, MHSA, LLD (Hons)
Chair, Board of Directors
Digital Research Alliance of Canada



EXECUTIVE SUMMARY

This Annual Report covers activities and accomplishments of the Digital Research Alliance of Canada (the Alliance) from April 1, 2021 to March 31, 2022, as outlined in its Corporate Plan. It includes an audited financial report as well as the Investment Policy and Investment Strategy.

The Alliance made significant progress in its planned activities. The key focus was on integration, which the Alliance committed to through learning, validating, building and transition:

Building the Organization

The Alliance developed an equity, diversity, inclusion and accessibility (EDIA) Policy and Plan as well as an Official Languages Policy and Plan. It also embarked on important engagement with First Nations, Inuit and Métis organizations. The Alliance provided research data management (RDM) services, resources and support to meet researcher needs, including launching the first major funding call — the Data Champions Pilot Project.

Preparing the Alliance's 2022-2025 Strategic Plan

The Alliance conducted a strategic assessment of the national digital research infrastructure (DRI) landscape, published three current state papers, developed a corporate vision, mission

and values, established eight guiding strategies, and safeguarded DRI resources through enhanced investments and coordination in cybersecurity.

Coordinating Transition Activities

The Alliance completed the transition of RDM from the Canadian Association of Research Libraries (CARL), finalized the transition of RDM and research software (RS) from CANARIE and advanced research computing (ARC) from Compute Canada for March 31, 2022, and led the creation of a change management strategy and professional development plan.

Engaging Stakeholders

The Alliance created a Membership and Stakeholder Plan, launched a cohesive and modern brand and visual identity, hosted numerous events with the ecosystem and participated in relevant national and international DRI associations.

This work would not be possible without the support of the Alliance's members, partners and stakeholders in the DRI community, as well as the vision and leadership in the DRI Strategy from the Alliance's funder, the Government of Canada through Innovation, Science and Economic Development Canada (ISED).

ABOUT THE ALLIANCE

The Alliance is a national not-for-profit membership-based organization playing a critical role in helping to advance the establishment of a researcher-focused, accountable, agile, strategic and sustainable DRI ecosystem for Canadian researchers.

Established in 2019, the Alliance works with other DRI ecosystem partners and stakeholders across the country to fulfill its mandate to coordinate and fund activities related to ARC, RDM and RS, and to advance the national DRI Strategy.

The Alliance's membership is composed of more than 140 of Canada's top universities, colleges, research hospitals and institutes, and other leading organizations in the DRI space. By working closely with local, regional and national stakeholders, the Alliance will ensure that researchers across disciplines have access to the digital tools, services and infrastructure they need to conduct cutting-edge research.

The Alliance is funded by the Government of Canada through ISED.

Our vision

To catalyze world-class Canadian research for the benefit of all.

Our mission

As a trusted and inclusive partner, the Digital Research Alliance of Canada fosters

national and global collaboration to provide researcher-centric, sustainable and integrated digital research infrastructure.

Our values

- ▶ **Heartfelt Humility** - We cultivate safe spaces through mutual recognition and respect.
- ▶ **Fearless Engagement** - We seek out new perspectives and celebrate alternate viewpoints.
- ▶ **Unwavering Honesty** - We act with integrity.
- ▶ **Steadfast Accountability** - We honour our commitments and outcomes.
- ▶ **Authentic Collaboration** - We build dynamic relationships.

Guiding principles

To ensure we meet the long-term DRI needs of Canada and to help deliver on our mission, we are guided by six principles:

- ▶ Researcher-Centric
- ▶ Striving for Excellence
- ▶ Collaborative
- ▶ Service-Oriented
- ▶ Accountable and Transparent
- ▶ Diverse and Inclusive



SERVING
RESEARCHERS

20,000+

Registered users in CCDB

14,055

Registered researchers on
the DMP Assistant

585

Registered researchers on
the Federated Research Data Repository (FRDR)

FUNDING DISCOVERY

3 funding opportunities:

\$120,000

Awarded for CoreTrustSeal Certification Support Cohort and Funding

\$336,000

Awarded for COVID-19 Data Curation funding

\$898,626

Awarded for the Data Champions Pilot Project

\$1,354,626

Total funding awarded to researchers

SUPPORT FOR PERSISTENT IDENTIFIERS AND OPEN SCHOLARSHIP

The Alliance supports accessible, citable and shareable research through partnerships with peer organizations, the adoption and use of persistent identifiers (PIDs) and the use of open research repositories.

DataCite Canada Consortium

- ▶ 57 member organizations and 67 repositories in the DataCite Canada Consortium, a collective minting DOIs in Canada through DataCite, managed by the Canadian Research Knowledge Network and the Alliance
- ▶ Members registered 38,855 DOIs in 2021, an increase of 14% from 2020

New members in 2021-2022:

- ▶ Agence spatiale canadienne/
Canadian Space Agency

- ▶ Arctic Research Foundation
- ▶ Centre de recherche, d'innovation et de transfert en arts du cirque (CRITAC)
- ▶ Centre for Addiction and Mental Health (CAMH)
- ▶ CIOOS Atlantic (January 2022)
- ▶ Living Lakes Canada
- ▶ Pacific Salmon Foundation
- ▶ Université Laval (January 2022)

Since joining, these new members have registered 543 DOIs.

57

Member organizations

67

Repositories

9

New members

38,855

Registered DOIs

ORCID-CA: THE ORCID CANADA CONSORTIUM

The Alliance is a member of ORCID-CA, a consortium that provides Canadian institutions and organizations with premium membership to ORCID at a reduced cost as well as access to dedicated local and bilingual community support services, a community of practice, technical support and outreach materials.

In 2021, the Alliance provided \$150,000 in funding to cut membership fees for ORCID-CA in half and break down barriers to PID adoption and integration in Canada. “VIU notes that targeted funding from the Digital Research Alliance of Canada was key to facilitating participation in the consortium this year” – Vancouver Island University.

Community Engagement

From March to May 2021, Portage (now the Alliance RDM team) partnered with the Canadian Research Knowledge Network, the Canadian Association of Research Libraries and Research Data Canada to offer a bilingual six-part webinar series about PIDs in Canada – *The Who, What, and Where of Persistent Identifiers: A six-part webinar series devoted to all things PID.*

PID Governance and Strategy

In 2021, the ORCID-CA Canadian Persistent Identifier Advisory Committee, with representation from the Alliance, began work on a Canadian National PID Strategy.

Targeted funding from the Digital Research Alliance of Canada was key to facilitating participation in the consortium this year.

- **Vancouver Island University**

”

ZENODO

The Alliance joined Zenodo, an open-access digital repository that supports accessible, discoverable and citable research, in March 2022.

300+

Uploads in the [Alliance Zenodo](#) community, including training materials, presentations and reports.

BOARD OF DIRECTORS

The Alliance Board of Directors plays a fundamental role in the governance of the organization. The Directors reflect the geographic and linguistic diversity of the country as well as the complexity of the DRI ecosystem. Directors have extensive experience and expertise in DRI domains including ARC, RDM and RS. The Board is committed to the principles of EDIA as fundamental to all aspects of the Alliance's operations, including its hiring processes and interactions.



Janet M. Davidson O.C.
Chair



Peter MacKinnon
Vice-Chair



Dale Askey
Director



David T. Barnard
Director



Donna Bourne-Tyson
Director



Jennifer Doyle
Director



Chris Lumb
Director



David MaGee
Director



Gail C. Murphy
Director



Sina Shahandeh
Director



Jane Skoblo
Director



Randall Sobie
Director



Jeffrey Taylor
Director



Denis Thérien
Director



Martha Whitehead
Director

RESEARCHER COUNCIL

The Alliance Researcher Council was established in 2020 to facilitate regular consultation between the Alliance and researchers across Canada, and to help the Alliance in establishing a researcher-centric DRI ecosystem. Members of the Researcher Council represent a range of cultures, languages, identities, expertise and regions, as well as a broad array of academic disciplines and institutions, ensuring that the diversity of researcher voices is represented to the Alliance.

As a key component of the Alliance, the Researcher Council provides advice to the Alliance Management and Board of Directors on researcher needs for DRI infrastructure and services, contributes to the Alliance's strategic vision and helps the Alliance achieve its mandate.



Randall Sobie
University of Victoria,
Chair



Marie-Jean Meurs
Université du Québec à
Montréal, Vice-Chair



Amol Verma
Unity Health Toronto,
Vice-Chair



Wahab Almuhtadi
Algonquin College and
Carleton University



Girma Bitsuamlak
Western University



Bruno Blais
Polytechnique
Montréal



Guillaume Bourque
McGill University



Susan Brown
University of Guelph



Emmanuel Château-Dutier
Université de Montréal



Carolyn Côté-Lussier
Institut National de la
Recherche Scientifique



Constance Crompton
University of Ottawa



Carl D'Arcy
University of Saskatchewan



Rebecca Davis
University of Manitoba



Philippe Després
Université Laval



Erin Dickie
Centre for Addiction
and Mental Health



Benoît Dupont
Université de Montréal



Laura Estill
St. Francis Xavier
University



Benjamin Fung
McGill University



Catherine Lovekin
Mount Allison
University



Anne Martel
Sunnybrook
Research Institute



Terry Peckham
Digital Integration
Centre of Excellence



Michele Piercey-Normore
Algoma University



Rebecca Pillai Riddell
York University



Pekka Sinervo
University of Toronto



FINANCIAL
MATTERS

AUDITED FINANCIAL STATEMENTS

Audited financial statements for the year ended March 31, 2022 have been prepared in accordance with generally accepted accounting principles and have been approved by the Board of Directors. For the audited financial statements, [please refer to Appendix C.](#)

REVENUE

In 2021-2022, the Alliance received \$14,236K in funding from ISED, of which \$11,247K was spent and thus recognized into revenue. In addition, there were receipts of \$635K in membership fees, \$41K in interest income and \$39K in other revenue.

\$14,236K

In ISED funding

\$635K

In membership fees

\$41K

In interest income

\$39K

In other revenue sources

EXPENSES

The expenses incurred for eligible activities in 2021-2022 are presented in the following table.

LEVERAGED FUNDING

This fiscal year, the Alliance did not leverage funding from other sources to support eligible activities.

Eligible activities	Eligible costs
Leading and Coordinating Governance of the DRI Ecosystem	\$2,845K
National Data Management Activities	\$3,906K
ARC Resource Allocations	\$284K
Cybersecurity	\$284K
Management and Administration	\$3,928K
TOTAL	\$11,247K

The unspent ISED contribution at March 31, 2022 amounted to \$5,121,311, which is requested to be carried forward into 2022-2023.

STATEMENT OF OBJECTIVES FOR THE 2021-2022 FISCAL YEAR

The following were the Alliance's objectives from April 1, 2021 to March 31, 2022. The focus was on learning, validating, building and the transition.

Stream 1: Build the Organization		
Objective	Details	Outcomes
Further refine communications mechanisms.	<ul style="list-style-type: none"> • Membership Plan • New brand and visual identity • Refreshed website • EDIA Policy and Plan • Official Languages Policy and Plan 	<p>The objective was met.</p> <p>The Alliance created and implemented a Membership and Stakeholder Plan; launched a new brand, visual identity and website; and continues to develop an EDIA Policy and Plan, and Official Languages Policy and Plan.</p>
Provide RDM services to the researcher community.	<ul style="list-style-type: none"> • Provide RDM tools, platforms, processes, standards and procedures • Provide expert advice, support and training in RDM best practices • Support a growing community of practice 	<p>The objective was met.</p> <p>The Alliance advanced the CoreTrustSeal Repository Certification Pilot and COVID-19 Data Curation Project. It also launched its first major funding call: the Data Champions Pilot Project.</p>

Stream 2: Prepare the Alliance's 2022-2025 Strategic Plan

Objective	Details	Outcomes
Build the New Service Delivery and Funding Models, in collaboration with regions, host sites and other DRI partners.	<ul style="list-style-type: none"> Work with ISED, CANARIE, Compute Canada, CARL, regions, host sites and other institutions involved in the delivery of services to researchers to define a New Service Delivery and Funding Models 	<p>The objective was not met.</p> <p>The New Service Delivery and Funding Models will be developed in 2022 for approval by ISED. The Alliance conducted a strategic assessment of the international DRI landscape looking at the current state and future needs of researchers while adopting an iterative design and development approach with stakeholders on the service delivery model. Reports were published in February 2022.</p>
Prepare Strategic Plan under Board leadership.	<ul style="list-style-type: none"> Developed corporate vision, mission and values Key priorities SWOT analysis Desired states (ideal, feasible) Transformation plan: moving from current state to desired state, including Alliance DRI professionals resource planning, retention and development Roadmap Budget 	<p>The objective was met.</p> <p>The Alliance established eight Strategies to guide its work in 2022-2025. The Strategic Plan launched in February 2022 with a succinct strategic plan printout, marketing campaign and dedicated website.</p>
Prepare a Funding Request based on the Strategic Plan to be presented to ISED.		<p>The objective is ongoing.</p> <p>The Alliance and ecosystem partners decided that more time was required to transition to a New Service Delivery Model based on the Strategic Plan. As a result, fiscal year 2022-2023 was deemed a transition year, and the funding request presented to ISED was based on that principle.</p>
Safeguard DRI resources through enhanced investments and coordination in cybersecurity.	<ul style="list-style-type: none"> Collaborate with other organizations to prepare a cybersecurity framework 	<p>The objective was met.</p> <p>The Alliance is establishing cybersecurity priorities and investments with an outcome-driven approach. The Alliance participated in two Compute Canada Federation (CCF) Cybersecurity Committees: Cybersecurity Advisory Committee and the National Security Council.</p>

Stream 3: Coordinate Transition Activities

Objective	Details	Outcomes
Commence implementation of transition plans, providing for continuity of service delivery and the assessment of existing Alliance DRI professionals and infrastructure.	<ul style="list-style-type: none"> • CCF – ARC • CANARIE – Research Data Canada (RDC), RDM and RS 	<p>The objective was partially met.</p> <p>The Alliance completed the transition of RDM from CARL. The Alliance and the Federation are implementing the transition plan. CANARIE's research software registry will wind down by the end of August 2022.</p>
Coordinate transition activities across organizations, at the management and governance levels.	<ul style="list-style-type: none"> • Considering the New Service Delivery and Funding Models, establish agreements with regions, host sites and institutions • Review staff status, either through direct hires, secondment agreements or contracts • Transfer licences and assets 	<p>The objective was met.</p> <p>The Alliance finalized the transition for March 31, 2022, including managing staff status and transferring licences and assets.</p>
Lead development of a change management strategy and professional development plan.	<ul style="list-style-type: none"> • Support Alliance employees, incoming staff and Alliance DRI professionals in transition 	<p>The objective was met.</p> <p>Standardized onboarding and orientation practices were implemented. The Alliance also began the development of the Performance Excellence Program, including creating performance goals aligned with the Corporate Plan.</p>

Stream 4: Core to All Work Streams: Stakeholder Engagement

Objective	Details	Outcomes
Lead researcher, partner and stakeholder engagement and communications.	<ul style="list-style-type: none">Participate in relevant national and international associations	The objective was met. The Alliance hosted numerous events, established communications frequencies and channels with the ecosystem, and participated in relevant national and international associations.

THANK YOU TO COMPUTE CANADA

As part of the integration of ARC within the broader DRI ecosystem in Canada, on April 1, 2022, the coordination and facilitation of national ARC services transitioned from Compute Canada to the Alliance. The Alliance will continue to provide ARC services in collaboration with regional partners, including ACENET, Calcul Québec, Compute Ontario, the BC DRI Group and the Prairies DRI Group, as well as institutional partners, including the six national host sites at the University of Victoria, Simon Fraser University, the University of Waterloo, the University of Toronto, McGill University and École de technologie supérieure.

Compute Canada has been instrumental in developing the Alliance's approach to planning and executing the transition of service and activity to the Alliance. Together, the Alliance and Compute Canada are committed to minimizing service

disruption to users of the national ARC platforms during the transition period. Through this collaboration, the Alliance designed and implemented risk mitigation measures to prevent service disruption for ARC services (e.g., critical host site maintenance) and will develop a national strategy which may also include the use of public cloud computing and commercial offerings. The Alliance also committed to transitioning the Compute Canada Federation leadership committees.

The Alliance is grateful to Compute Canada for the work they have done to advance and support leading-edge ARC services in Canada and would like to thank them for their expertise, dedication and collaboration. The Alliance looks forward to continuing to advance ARC in collaboration with regional and institutional partners as part of an equitable, sustainable and researcher-centric DRI ecosystem for researchers across Canada.



STATEMENT OF OBJECTIVES FOR THE CURRENT YEAR AND THE FUTURE

The primary focus of the Alliance in the fiscal year 2022-2023 will be to transition into its new role as a service provider, service coordinator and funder in DRI. This will be achieved through working in partnership and co-development with ecosystem partners and the DRI community.

Strategic Activities

The Alliance's [2022-2025 Strategic Plan](#) will guide decisions and actions that will allow researchers to continue to do outstanding work by providing the resources and tools they need to thrive. The following Strategic Directions will help advance the Strategic Plan.



PROVIDE QUALITY SERVICE TO ALL RESEARCHERS

The consolidated offering of the Alliance brings the core components of DRI under the operation of a single organization and strategy. Researchers will be able to access ARC, RDM and RS services from a single organization, leading to greater efficiencies and effectiveness.

Develop programs to support the adoption of best practices for RDM throughout the research lifecycle.

Canada's national data discovery service (FRDR Discovery Service) will undergo a redesign to meet evolving user needs. This project aims to integrate map-based searching with the existing discovery platform and enhance search capabilities in an overhaul of the discovery interface.

Design and implement risk mitigation measures to prevent service disruption for ARC services.

Create and implement a risk mitigation plan that addresses critical services and operations across the ARC National Sites. The plan will account for backup operations for administrative, operational

and end-user data; a schedule for systems maintenance to minimize service disruption; considerations for automated resource sharing and workload transfer to handle service outages.

Develop a national strategy for the use of in-house and commercial computing clouds. Invest in additional traditional and cloud computing and storage resources and develop a sustainable financial plan for its maintenance and continual renewal.

Evaluate the uses for cloud computing within the research community and develop a strategy to promote the adoption and support of cloud through funding, building capacity for training, promoting the adoption of best practices and leveraging expertise across domains for high-performance computing.

Benchmark and test technology to define the specifications of the next generation of the national platform. This preliminary work is required for future infrastructure investments.

Augment available benchmarks and tests by establishing collaborative agreements with other jurisdictions.

Address inefficiencies in system usage to improve availability and capacity.

#2

OPTIMIZE ORGANIZATIONAL STRUCTURE AND ENHANCE CAPACITY

Develop, communicate and execute the Alliance's transition plan to become a DRI service provider, service coordinator and funder, including help with the transfer of responsibilities by Compute Canada and the Federation.

Maintain service continuity to promote a positive user experience during the transition of services and operations from Compute Canada to the Alliance.

Frequently engage and collaborate with the communities we serve as we integrate and stabilize the functions and activities in 2022-2023.

Develop a stakeholder engagement strategy to ensure that all relevant and impacted stakeholders are included as part of the Compute Canada/CCF Transition Project.

Assess the current structure of ARC, RDM and RS groups, teams and committees, and adjust towards a DRI focus.

Establish guidelines and metrics to ensure compliance with the Alliance's foundational EDIA principles in all decisions and activities.

Develop EDIA benchmarks for continuous evaluation of service provision to different research segments. Assess current national services, processes and tools provided by the Alliance to consider user accessibility from the onset and to identify where improvements could be made.

#3

WORK TOGETHER FOR AN INTEGRATED DRI LANDSCAPE

Establish a DRI service classification model that can differentiate between national, regional and local services to identify responsibility of funding and service delivery.

Map the DRI service offerings and classify the dependencies between the service delivery partners at the national, regional and local levels. Determine which DRI capabilities the Alliance is prepared to centralize and offer in-house and which DRI capabilities would be offered through partner organizations.

Coordinate delivery of capabilities not offered directly by partnering with appropriate public or private organizations. Coordinate and support those partner organizations to ensure researchers have access to these types of services.

Clearly define the scope of services that will be delivered between the Alliance and its partners for customized service delivery at each level.

Develop service level agreements with each national and regional service provider that will itemize and clarify standards and quality objectives of working together.

Improve user support by investigating the development of an agile and adaptable communication and ticketing service beyond the traditional help desk.

Define the responsibilities of partners at the national, regional and local levels to ensure alignment with the funding allocation principles.

Work with regions to standardize the service portfolio across systems and establish a centralized

one-stop-shop of DRI services available to all researchers across Canada regardless of who offers the service.

Lead in establishing a process for service scalability that facilitates local and regional service proofs-of-concept or pilots to become available and accessible to all researchers across Canada.

Introduce measures that respect and support Indigenous data sovereignty and advance the use of the national DRI.

Develop a plan for engagement to build relationships with First Nations, Inuit and Métis communities and peer organizations to ensure appropriate identification and understanding of their researcher priorities within the Alliance and DRI services.

In 2022-2023, all Alliance employees and service partners will have opportunities for OCAP training so that they are informed on First Nations principles of data sovereignty and can engage in other professional development opportunities to build capacity on Indigenous data sovereignty more broadly.

Develop programs to support the adoption of best practices in RS management.

Support the development of an RS funding call that supports the implementation of FAIR4RS principles and related practices (e.g., software management, planning documentation, licensing, research reproducibility, etc.) during the development and use of RS.

#4

MAXIMIZE PUBLIC INVESTMENT TO ACCELERATE INNOVATION

Evaluate and improve the current process for allocating DRI resources to better meet the needs of researchers.

Review the current Resource Allocation Competition (RAC) process to create a plan to resolve key operational issues. Work will be done collaboratively with the ecosystem.

Develop a fair and transparent process for the planning and selection of research infrastructure investments across Canada that ensures ongoing sustainability and maintenance of those investments.

Develop formal funding processes and agreements between federal and provincial funders for national, regional and local services.

Incentivize and advocate for long-term investment into DRI from provincial governments and institutional funders by building allyship with these partners.

Develop a governance model for DRI funding across the ecosystem that includes a peer/merit-based review process for the evaluation of and decision on funding awards while ensuring funding sustainability plans.

Create a stable funding environment with robust partnerships that help the Alliance share responsibility for maintaining and growing the DRI ecosystem.

FOUNDATIONAL AND OPERATIONAL ACTIVITIES

The following additional and ongoing activities are not identified as strategic initiatives but are critical to integrating and stabilizing in 2022-2023.

Strategy and Planning Design and Implement Performance Measurement and Monitoring Processes

- ▶ Develop processes for the collection and updating of performance metrics and their associated measurements, to be adjusted and updated quarterly in collaboration with national and regional partners.

Develop an Architectural Framework

- ▶ Develop an architectural framework that considers the current architecture and desired future state by creating a strategy, collaboratively with the Alliance's internal partners, for the

design and use of HPC, Cloud, Storage, Software and Hosting Services.

- ▶ Design processes to evaluate infrastructure investments within the DRI ecosystem that consider technology, security and integration into existing infrastructure.
- ▶ Develop an Architectural Review Board that will be integrated into the Project Management process.

Develop a Project Management Office

- ▶ Develop an integrated reporting dashboard for projects across the organization to monitor and measure the progress of work.
- ▶ Establish a project governance model that promotes collaboration and community engagement while having a clear path for decision making.

Develop an International Relations and Engagement Strategy

- ▶ Develop an international engagement framework and policy across all three Alliance layers (ARC, RDM and RS).
- ▶ Undertake specific engagements that will help position the Alliance in a leadership role in the international DRI community.

Operations and Security

- ▶ Align RDM work with broader DRI efforts of the Alliance and the Federation.
- ▶ Continue to lead and nurture the RDM Network of Experts and Community of Practice.
- ▶ Continue to facilitate the growth of a network of Preservation Service Providers (PSP).
- ▶ Coordinate and support the inaugural cohort of Data Champions.
- ▶ Working with the Federation, review and implement solutions to ensure that RDM and RS are integrated into operational practices and governance.
- ▶ Work jointly with CANARIE on cybersecurity services and projects.
- ▶ Work with the Federation to advance several broad initiatives:
 - Develop service support agreements

for services provided to researchers.

- Complete a review of the current committee governance and practices and determine where efficiencies could be made.
- Complete a review of key support practices related to Service Management.

Communications and External Relations

- ▶ Build awareness and usership for the Alliance as the Canadian organization to improve access to digital tools and services for researchers.
- ▶ Ensure an active presence of the Alliance on social media platforms, specifically LinkedIn and Twitter.
- ▶ Launch a new website for the Alliance.
- ▶ Elevate the important work of Canadian DRI researchers, specifically members of the Researcher Council.
- ▶ Consolidate communications to the research universe and audience

segments that encompass the full, united, offering for ARC, RDM and RS.

- ▶ Support numerous upcoming Alliance events by hiring a full-time Event Planner. This position will be funded via membership fees.
- ▶ Facilitate collaboration and connection through communications initiatives across the Alliance DRI Professionals.
- ▶ Ensuring regular meetings and communications with members of the Alliance and the Federation. Create opportunities for connection and networking, learning and information sharing.

Training and Development

- ▶ Develop a Training and Development portfolio that regroups multi-faceted activities for knowledge transfer to current and future users of the national DRI.

Corporate Services
Human Resources

- ▶ Review human resources policies and practices that ensure efficiency and capacity building while remaining sustainable within a maturing organization.
- ▶ Support the growth and stability of the organization through proactive workforce planning and the recruitment of high-performing individuals.

Procurement and Grant Management

- ▶ Draft internal documentation to simplify competitive bid processes and post-award.
- ▶ Implement a robust and comprehensive structure for funding calls, including but not limited to administrative guidelines, processes and templates for application, adjudication, post-award and reporting.

- ▶ Lead the adjudication process, contract negotiations and delivery assessment of submitted and awarded proposals.

Finance

- ▶ Perform a comprehensive review of finance-related policies to ensure they remain relevant for a maturing organization.
- ▶ Develop and document a comprehensive internal controls framework.
- ▶ Develop a framework and carry out recipient audits.

STATEMENT OF INVESTMENT POLICIES, STANDARDS AND PROCEDURES

For the Statement of Investment Strategy and the Investment Policy, as approved by the Board of Directors, [please refer to Appendix A](#) and [Appendix B](#) respectively.

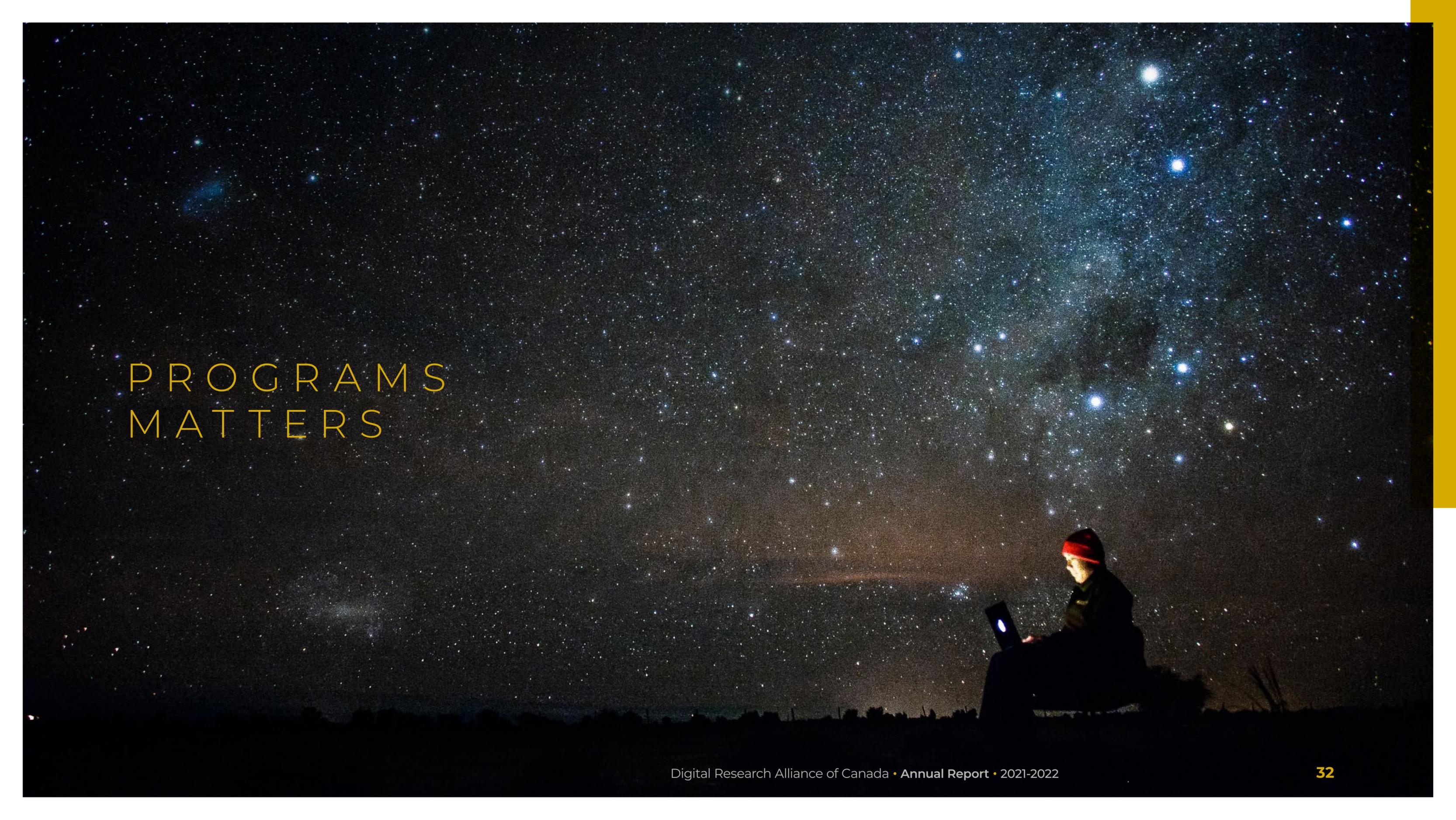
STATEMENT OF REMUNERATION

Directors on the Alliance’s Board, including officer positions such as Chair and Vice Chair, receive no compensation beyond reimbursement for any reasonable out-of-pocket expenses incurred while performing their duties or attending meetings organized by the Alliance. This practice is compliant with the Alliance’s bylaws and aligned with the common practices of the sector.

The CEO of the organization has a compensation package that is benchmarked periodically against external comparatives and reviewed by the Board. All other staff positions are classified according to an evaluation system that assigns a salary range to each position. This system and the employees’ total compensation are reviewed periodically.

For positions that exceeded \$100,000 (including any fee, allowance or other benefit) in the year ended March 31, 2022, the following are the annual salary ranges:

Position	Annual salary range
Chief Executive Officer	\$243,750 – \$405,250
Vice-Presidents	\$165,000 – \$275,000
Directors	\$120,000 – \$200,000
Managers	\$104,000 – \$156,000
Senior Professionals	Up to \$114,000

A person wearing a red beanie and dark clothing is sitting on a dark, silhouetted hill at night. They are looking down at a laptop computer that is open on their lap. The laptop screen is illuminated, casting a soft glow. The background is a vast, dark night sky filled with numerous stars of varying brightness and colors, including some prominent blue and white stars. The overall scene is serene and suggests a focus on technology and research in a natural setting.

PROGRAMS MATTERS

CRITERIA THAT WERE APPLIED TO SELECT ELIGIBLE PROJECTS

The Alliance has three programs under which Eligible Projects were funded: the CoreTrustSeal Certification Support Cohort and Funding, the COVID-19 Data Curation Funding Call and the Data Champions Pilot Project Funding Call.

CoreTrustSeal Certification Support Cohort and Funding

Launched in February 2021, the CoreTrustSeal Certification Support Cohort and Funding aimed to support a group of Canadian repositories in achieving the requirements for CoreTrustSeal certification. Repositories participating in the cohort received training and engaged with peers through facilitated workshops, including peer and expert review of repository

self-assessments. Each participating repository received funding in the amount of \$10,000 to assist with the work necessary to achieve CoreTrustSeal requirements, prepare the required self-assessments and cover the CoreTrustSeal application fee. Twelve repositories were selected for funding and membership in the support cohort, and five were selected to participate in the cohort without funding.

Criteria for the CoreTrustSeal Certification Support Cohort and Funding:

- ▶ Eligibility criteria: Applicants must:
 - be Canadian repositories
 - have a mission that includes the stewardship and retention of data

- provide curation of data¹
- have identified a designated community²
- ▶ Evaluation criteria: The following criteria will be assessed by a selection committee and a score assigned to applicants which will be used as the basis for selection decisions:
 - Evidence of clear senior management support at the appropriate level for CoreTrustSeal certification.
 - Identification of an office, team or individual(s) who will participate in cohort activities and have lead writing responsibilities for the CoreTrustSeal self-assessment.

- Evidence that the repository serves its designated community.
- A clearly articulated rationale for achieving CoreTrustSeal certification.
- ▶ Additional factors were considered at the final stage of selection in order to assemble a diverse and balanced cohort:
 - regional distribution
 - broad disciplinary coverage
 - previous achievement of a repository certificate

¹ Typically, in the form of highly-qualified personnel (HQP) performing curation functions

² CoreTrustSeal Standards and Certification Board. (2019). CoreTrustSeal Trustworthy Data Repositories Requirements: Extended Guidance 2020–2022 (v02.00-2020-2022). Zenodo. <https://doi.org/10.5281/zenodo.3632533>

CORETRUSTSEAL CERTIFICATION SUPPORT COHORT AND FUNDING

Funding and Cohort awardees

- ▶ Banque de données en santé durable (BDSD) de PULSAR, Université Laval
- ▶ Canadensys, Université de Montréal
- ▶ data.upei.ca, University of Prince Edward Island
- ▶ DataStream, Walter and Duncan Gordon Charitable Foundation
- ▶ Flowing Waters Information System (FWIS), Centre for Community Mapping
- ▶ Gambling Research Exchange (GREO) Data Repository
- ▶ Ocean Tracking Network Data Centre (OTNDC), Dalhousie University
- ▶ University of Alberta Dataverse
- ▶ University of Guelph Dataverse, including the Agri-environmental Research Data Repository (AERDR) and the University of Guelph Research Data Repository (UGRDR)
- ▶ University of Manitoba Dataverse
- ▶ University of New Brunswick Dataverse
- ▶ University of Victoria Dataverse

Additional Cohort members

- ▶ Canadian Astronomy Data Centre (CADAC), NRC, Herzberg Astronomy and Astrophysics (NRC-HAA)
- ▶ Canadian Humanities and Social Sciences Commons repository, Implementing New Knowledge Environments (INKE) Partnership/Electronic Textual Cultures Lab (ETCL) at the University of Victoria
- ▶ Espace Dataverse de l'UQAM
- ▶ OLOS, DLCM Project, Université de Genève, Switzerland
- ▶ Borealis (formerly known as Scholars Portal Dataverse)

COVID-19 DATA CURATION FUNDING CALL

Launched in April 2021, the COVID-19 Data Curation Funding Call dedicated \$336,000 in federal funding to eligible research projects for the stewardship and curation of research data between July 2021 and March 31, 2022. Following a competitive adjudication process, 11 research projects were selected to receive funding to a maximum of \$42,000 each for data stewardship and curation according to the scope and defined needs of each project.

Criteria for selecting the COVID-19 Data Curation Funding Call:

- ▶ Eligibility criteria: Applicants must be a Canadian organization or group that is conducting COVID-19 related research from any discipline. Applications were welcomed from scientific and health

disciplines as well as from the social sciences, humanities and arts.

- ▶ Eligible activities include data management and curation activities undertaken throughout the research lifecycle, including activities such as data management planning, curation, de-identification, and deposit in a recommended repository. As a general rule, any activities covered in [Portage's COVID-19 RDM Guidance](#) were eligible.
- ▶ Selection Process: Applications were screened for eligibility. An adjudication committee was involved in the selection process and followed the adjudication criteria below:
 - Value of the proposed activities in relation to

achieving alignment with the FAIR principles and/or implementing [Portage's COVID-19 RDM Guidance](#) for the data identified.

- Clarity of the scope and technical feasibility of the proposed activities.
- Evidence of the significance of the research within its discipline or to its designated communit(ies).
- Consideration given by the project and/or relationship of the proposed activities to furthering EDIA.
- Demonstrated need for funding from this call to achieve the proposed activities and/or need for RDM support from the Alliance.
- Overall quality of the application.

\$336K

In federal funding

11

Research projects

\$42K

In maximum funding for data stewardship and curation

COVID-19 DATA CURATION FUNDING INITIATIVE AWARDEES

- ▶ **Dr. Michelle Greiver**
University of Toronto
POPLAR, the Primary care Ontario Practice-based Learning and Research Network
- ▶ **Dana McFarland**
Vancouver Island University
Creating a Selective Web Archive of Central and North Vancouver Island Community Information during COVID-19: Research Data Curation
- ▶ **Dr. Kharah M. Ross**
Athabasca University
COVID-19 Pandemic Social Distancing Policies, Social Connection and Mental Health
- ▶ **Dr. Amol Verma**
Unity Health Toronto
Curating electronic clinical data from hospitals to support COVID-19 research and pandemic response
- ▶ **Dr. Annie LeBlanc and Dr. Philippe Després**
Université Laval
For a structured response to the psychosocial consequences of the restrictive measures imposed by the global COVID-19 health pandemic: The MAVIPAN study
- ▶ **Dr. Colin Neufeldt with Dr. Ramses Ilarraza, Dan Mirau, Victoria Eke**
Concordia University of Edmonton
The Alberta Research-Data Management Information Network (ARMIN)
- ▶ **Dr. Prachi Srivastava**
Western University
COVID-19 School Dashboard Integrated Dataset and Data Viz
- ▶ **Dr. Kate Zinszer**
Université de Montréal
Children and School and Daycare staff: a COVID-19 Seroprevalence Study (EnCORE)
- ▶ **Dr. Janet Martin**
Centre for Medical Evidence, Decision Integrity & Clinical Impact (MEDICI), Western University
Global and local data curation and clinical intelligence to support evidence-based surgical backlog recovery during and after the COVID-19 pandemic
- ▶ **Dr. Theone Paterson and Brianna Turner**
University of Victoria
Mental Health and Well-Being Among Canadians During the COVID-19 Pandemic
- ▶ **Dr. Trish Tucker**
Western University
Parents' Perspectives of their Child(ren)'s "Return to Play" Post-COVID-19 Pandemic

DATA CHAMPIONS PILOT PROJECT

The Alliance's Data Champions Pilot Project, launched in January 2022, aims to promote a shift in data culture within the Canadian DRI ecosystem by promoting sound RDM practices. The role of the Data Champion is to develop activities at the local, regional and/or national level that advance awareness, understanding, development and adoption of RDM tools, best practices and resources in Canada.

Data Champions applications for funding will describe and expand upon activities they propose to undertake within the following broad categories:

- ▶ Training/mentoring
- ▶ Promoting/advancing RDM
- ▶ Addressing disciplinary challenges
- ▶ Driving culture change
- ▶ Informing future initiatives

The funding envelope (\$916,000) provided up to \$50,000 per applicant. The Data Champions Pilot Project funds will be used exclusively for salary/stipends and pay-related benefits of the applicant/team for the project duration (April 2022 to March 2023).

The awarded Data Champions will participate in Alliance-hosted events to share project progress and updates to ultimately develop best practices for the promotion of RDM.

Criteria for selecting the Data Champions Pilot Projects:

- ▶ Eligibility criteria:

Eligible organizations

- A university or post-secondary college or educational institution or a hospital that is situated in Canada and that carries on, or is capable of carrying on, meaningful research.
- A non-profit organization that is situated in Canada and that carries on, or is capable of carrying on, meaningful research.
- An institution or non-profit organization that is situated in Canada and whose activities support Canada's DRI ecosystem.

Eligible expenses

- Awarded funds can be used towards salaries/stipends of existing or recruiting new team members including research associates, graduate students, post-doctoral fellows, etc. Funds can not be used towards hiring consultants or any other expenses.

Eligible projects

- Proposed projects must be new or notably expand on activities that promote sound RDM practices. Curation of or enhancement of repositories/RDM software was not considered eligible for this funding call.

► Evaluation criteria

Eligible applications were reviewed by an external merit review committee comprised of volunteer subject matter experts in the RDM field. The committee reviewed and scored applications based on an evaluation rubric that detailed the following merit criteria:

- feasibility of the project
- project outcomes feasibility
- scalability to a national level
- expertise and commitment of the applicant/team

Applications that had high merit scores were discussed at consensus meetings with the

committee to short-list applications for award. The short-listed applications were assessed for additional factors to ensure the final cohort had a balanced regional representation, language profiles, variety of disciplines and organization types.

Of the 73 applications received, a diverse cohort of 18 projects were awarded (for a total of \$898,627) totalling 147 team members who will take on the role of 'Data Champions'.

\$916K

Funding envelope

73

Applications received

\$50K

In maximum funding per applicant

18

Projects funded

147

Data Champions

2022-2023 DATA CHAMPIONS

- ▶ **Dr. J Mark Ansermino and Jessica Trawin**
Data CoLaboratory,
Centre for International
Child Health (CICH),
University of British Columbia
- ▶ **David Barber**
Canadian Watershed
Information Network (CanWIN),
University of Manitoba
- ▶ **Simon Beaudry**
University of Ottawa RDM
Advisory Group, University
of Ottawa Scalable and
Sustainable Data Champion
and DMP Consulting Initiative,
University of Ottawa
- ▶ **Alicia Cappello**
Queen's Data
Champions (qDC),
Queen's University
- ▶ **Kelly Cobey**
Ottawa Data Champions Team,
University of Ottawa
- ▶ **Dr. Colin Conrad
and Dr. Darren Abramson**
Dalhousie University
- ▶ **Michelle L. Dion**
Spark: A Centre for Social
Research Innovation,
McMaster University
- ▶ **Nadia Gosselin**
Centre d'études avancées
en médecine du sommeil,
Université de Montréal
- ▶ **Dr. Lawrence Grierson**
McMaster University
- ▶ **Kat Kavanagh**
Water Rangers
- ▶ **Gary Lewis**
Diabetes Action Canada
Digital Health Team,
University Health Network
- ▶ **Andrea Lawrance**
Carleton RDM Working Group,
Carleton University
- ▶ **Aude Motulsky**
Electronic Health Record
FAIR support Team,
Université de Montréal
- ▶ **Tim Murphy and Paul Pavlidis**
Databinge: a student-driven,
peer-to-peer network
of data champions,
University of British Columbia
- ▶ **Ocean Networks Canada**
Ocean Networks Canada
Data Stewardship Team
- ▶ **Mike Smit**
Canadian Integrated Ocean
Observing (CIOOS) RDM,
Dalhousie University
- ▶ **Dr. Amol Verma
and Dr. Fahad
Razak**, GEMINI,
Unity Health Toronto
- ▶ **Mathew Vis-Dunbar**
UBC Okanagan
RDM Collaboration,
University of British Columbia

SUMMARY OF RESULTS OF ANY PROGRAM EVALUATIONS, PERFORMANCE AUDITS OR RISK ASSESSMENTS

There were no program evaluations, performance audits or risk assessments during the year 2021-2022.

EQUITY, DIVERSITY, INCLUSION AND ACCESSIBILITY

Canada's DRI ecosystem is strengthened, research quality is enhanced, and social relevance and impact are improved when all groups can contribute equally to research and innovation. The principles of EDIA are core to the Alliance's organizational culture. As the Alliance takes shape as an organization, it has begun this important work with the guidance and support of community partners and experts.

The creation of an EDIA Framework outlines the steps involved in the integration of EDIA into internal and external initiatives that align with the Alliance's Corporate Plan and Contribution Agreement. EDIA has been critical in the development of the Strategic Plan and New Service Delivery Model, the new

organizational brand, transition plans, refreshed website, Researcher Needs Assessment and upcoming Inaugural Projects Opportunity.

The Alliance launched the Inclusive Leadership Program to all Alliance management to help identify, assess and manage emotions and behaviours relative to diversity and inclusion while helping to develop emotional intelligence. The program includes a self-assessment and 360 reviews as well as live and e-learning sessions.

All Alliance staff completed training sessions with INclusion INcorporated, Engaged HR and MESH/diversity. The Alliance launched an Inclusive Culture Benchmark Survey to

assess cultural health by measuring four domains: Safety, Belonging, Inclusion and Drive. It also provides voluntary pronoun inclusion and phonetic spelling of names in email signatures.

The Alliance joined the Government of Canada's 50 – 30 Challenge, which aims to challenge Canadian organizations to increase the representation and inclusion of diverse groups within their workplace, while highlighting the benefits of giving all Canadians a seat at the table.

As a bilingual organization, the Alliance is committed to serving Canadian researchers using inclusive language in both official languages. It is developing and implementing Official Languages

Communications Guidelines in consultation with stakeholders, including its Researcher Council.

The Alliance is deeply committed to First Nations, Inuit and Métis stakeholder engagement. The First Nations Principles of OCAP® training has been completed by 80% of Alliance teammates, 33% of Researcher Council Members and 50% of the Board of Directors. Each new employee, Board Member and Researcher Council Member is offered the opportunity to complete OCAP® training when joining the organization. Reconciliation training has also been led by Rose LeMay, CEO, Indigenous Reconciliation Group.

An EDIA Committee and four EDIA Working Groups were created to advance the important work of EDIA:

Cultural Benchmarking Survey Working Group This group will help the Alliance to prioritize its work and identify strengths and opportunities as team members. Launched in January 2022, the Inclusive Culture Benchmark Survey will assess cultural health by measuring four domains: Safety, Belonging, Inclusion and Drive. Results will be shared with employees and will drive actions to support an inclusive environment.

EDIA Corporate Events Working Group This group focuses on integrating EDIA into all-employee meetings, social events and corporate events.

First Nations, Inuit and Métis Engagement Working Group This group works with community members to advance the Alliance's guiding principles relating to First Nations, Inuit and Métis engagement, as well as relationships, partnerships, analysis, capacity building, foundational capacity, policies, practices and procedures relating to Indigenous Data Sovereignty, and Truth and Reconciliation.

Recruitment and Retention Working Group This group assesses the Employee Lifecycle to ensure that employee recruitment and retention policies, practices and processes follow EDIA best practices.

Community collaboration is an important part of building an equitable, diverse, inclusive and accessible DRI ecosystem. The Alliance collaborated with CANARIE in EDI training, action planning and the development of a joint EDI

Commitment Statement:

1. We will build a team that reflects the diversity of the communities and country that we serve.
2. We will embrace empathy and understanding to create an accessible, equitable and inclusive culture.
3. We will welcome and support each person's whole and authentic self by encouraging diversity of thought and providing a safe environment for learning and growth.
4. We will be courageous in our conversations, and we will seek to learn and unlearn together.
5. We commit to this journey and will hold ourselves accountable as we move forward.

COMMUNITY ENGAGEMENT

Newsletter

1,946 Total subscribers
by end of 2021-2022

459 New subscribers
in 2021-2022

30.8% Subscriber
growth

27 E-blasts sent

34.7% Open rate

10.9% Click rate

Twitter

688 Total followers
by end of 2021-2022

400 New followers
in 2021-2022

72% Follower
growth

188,055 Impressions

295 Tweets

2% Engagement rate

LinkedIn

1,883 Total followers
by end of 2021-2022

1,340 New followers
in 2021-2022

246.8% Follower
growth

54,749 Impressions

164 Page updates

5.3% Engagement rate

Alliancecan.ca

83,059 Total website
page views

Top three most viewed pages
(after homepage)

- ▶ [Inaugural Funding Opportunity](#)
- ▶ [Careers](#)
- ▶ [About the Alliance](#)

Most read blog post published
in fiscal year

- ▶ [Strategic Plan: The Journey That Awaits Us](#)

STRATEGIC PLAN

The Alliance's inaugural strategic plan is a pledge to improving access to digital tools and services for all Canadian researchers. It guides the Alliance's work and ensures it is connected to the vision, mission and the commitments the Alliance made to the research community.

OUR JOURNEY

The Canadian DRI has historically been complex and has evolved somewhat organically. To understand the gaps in the DRI service provision, the Alliance consulted both researchers and service providers.

Building on the findings from current state assessments for ARC, RDM and RS, and a researcher-focused needs assessment, the Alliance's executive team conducted an extensive consultation with the Alliance's Board of Directors and key stakeholders within the DRI community to develop this Strategic Plan for the upcoming three years.

The Plan encompasses four strategic directions that embody the DRI priorities of Canadian researchers as heard in the Needs Assessment and Current State reports. With the guidance and support of the Researcher Council, a body representing the voice of researchers, the Alliance is committed to conducting continuous consultation to better respond to the ever-changing needs of Canadian researchers and to provide them with the digital tools and services they need in the years to come.

The four strategic directions are

1. Provide quality service to all researchers
2. Optimize organizational structure and enhance capacity
3. Working together for an integrated DRI landscape
4. Maximize public investments to accelerate innovation

This Strategic Plan will allow the Alliance to be guided by its purpose and values, deliver on its pledge to support research innovation and strive for excellence in the execution of its mission.

- **Janet M. Davidson**

O.C., BScN, MHSA, LL.D (Hons), Chair, Board of Directors, Digital Research Alliance of Canada

”

OUR PATH FORWARD



As the Alliance assumes its role in leading the national DRI, it will establish the foundation for a more robust and equitable DRI that responds to researcher needs.

The Alliance will collaborate with the national, regional and local DRI partners to build a pan-Canadian ecosystem that is rooted in the shared vision of a researcher-focused, strategic and sustainable DRI.

The Alliance envisions an integrated national DRI that promotes research excellence and innovation, establishing Canada as an international leader in digital research.

RESEARCHER NEEDS ASSESSMENT REPORT

The Alliance embarked on an extensive consultation to fully understand the current and future DRI needs of Canadian researchers, as well as the geographical and disciplinary distribution of the tools, services and resources available to them. In order to hear first-hand from Canadian researchers about how they use DRI and what role the Alliance could play moving forward, in October 2020, the Canadian Digital Research Infrastructure Needs Assessment was launched with a call for position papers and current documentation (e.g., strategic plans, roadmaps and other position papers). The call was open to the broader research community including individual researchers, researcher groups or centres, academic institutions and other stakeholders involved in DRI. Over 350 authors from across 112 organizations contributed a total of 107 unique position papers covering topics from data storage and data access, training and retention of highly qualified personnel (HQP) and Professional Support Staff, data governance and policy, among others.

Following the call for position papers, the Alliance launched a nationwide DRI survey between February

and March 2021. This step of the consultation phase was designed to understand how researchers from different academic disciplines, geographic regions and institutions make use of DRI. The survey addressed general DRI needs, as well as technical aspects of ARC, RDM and RS. Over 1,380 researchers responded to the survey and provided feedback about their use of DRI tools and services, as well as their DRI needs and priorities.

The final stage of the Canadian Digital Research Infrastructure Needs Assessment involved a series of four Virtual Town Halls, with sessions in English and French. The Virtual Town Halls were organized around the four main themes identified in the previous stages of the consultation: Awareness and Accessibility, Governance and Policy, Operations, and Support. A total of 477 researchers, librarians, research administrators and representatives of funding and government agencies attended the events, with an average attendance of approximately 250 participants per Town Hall. During these events, attendees were able to discuss their diverse needs with the Alliance staff and provide firsthand

recommendations for the Alliance's national strategy moving forward.

As the Alliance devoted 2021 to building the foundations for the work ahead, it worked closely with DRI partners to ensure that their interests were fully reflected moving forward. The Needs Assessment Summary is now published, culminating the work of many members of the DRI community. It provides a clear picture of the importance of remaining researcher-centric as the Alliance works closely with partners to shape the future of DRI in Canada.

RESEARCH DATA MANAGEMENT SERVICES

Federated Research Data Repository (FRDR)

FRDR is a secure and robust repository option for large research datasets to be ingested, curated, processed for preservation, discovered, cited and shared.

The FRDR discovery service aggregates Canadian research data from the Repository Service and over 100 other repositories to make it discoverable and reusable for leading-edge research across disciplines.

585

Total registered users

320

Total items published

109 TB

Total volume of data published

3,240,083

Total number of files deposited

6,055,564

Total file downloads

28,660

Total dataset views

8

Total number of Special Collections

100+

Total repositories discoverable

73,319

Total records discoverable

8,551

Total number of text-based searches

RESEARCH DATA MANAGEMENT SERVICES

Borealis

Borealis (formerly known as Scholars Portal Dataverse), is a national, Canadian digital research data repository hosted by the University of Toronto Libraries and funded in part by the Alliance.

Borealis highlights in 2021-2022

- ▶ Borealis has over 60 institutions participating and providing researcher support.
- ▶ Over 8,000 datasets have been deposited and published to date by individual researchers, research projects, organizations, institutions, groups and departments.
- ▶ New partnerships with multi-institutional research groups and associations, including the [Canadian Journal of Economics](#).
- ▶ In fall 2021, Borealis connected to the distributed library cloud storage network, [Ontario Library Research Cloud](#), for secure backup and preservation of all files in the repository.
- ▶ In early 2022, Borealis [upgraded to version 5.8](#) offering several new features: file-level embargoes, anonymous review, enhanced curation support and more.

- ▶ During the past year, 10 institutions participated in the Borealis CoreTrustSeal Cohort, a subgroup of the Alliance's CTS Cohort Program, supporting capacity building for trusted data repositories in Canada.

Top 5 downloaded datasets in March 2022

(source: [Borealis Metrics Report](#))

- 1) Toronto emotional speech set (TESS)
- 2) CapnoBase IEEE TBME Respiratory Rate Benchmark
- 3) CapnoBase InVivo Dataset
- 4) Brain aging and speech perception in noise: effects of background noise and talker variability
- 5) Noram Retinal OCT images

60+

Participating institutions

8,000

Datasets

RESEARCH DATA MANAGEMENT SERVICES

DMP Assistant

DMP Assistant is a national, online, bilingual tool developed by the Alliance in collaboration with the University of Alberta to assist researchers in preparing data management plans (DMPs).

8,779
DMPs Created

14,055
Individual User Accounts

77
Institutional Accounts

CURRENT STATE REPORTS

The Alliance is embarking on an ambitious journey to consolidate and coalesce DRI for Canadian researchers. To help guide this work, the Alliance assessed the current state of ARC, RDM and RS in Canada. Both RDM and ARC reports are updates to the 2017 assessments from the Leadership Council for Digital Research Infrastructure (LCDRI), whereas the RS assessment is the first such effort. This work was made possible with the support and guidance of individuals from across the DRI ecosystem who served on working groups.

THE CURRENT STATE OF RESEARCH DATA MANAGEMENT IN CANADA

The Current State of Research Data Management in Canada documents challenges and opportunities for RDM and highlights needed advances, including in coordination with ARC and RS. The report highlights that analyzing RDM in isolation from the other two DRI layers helps identify its functions, needs and impact on digital research; yet these individual components only achieve their true potential when they are integrated to facilitate efficient and effective workflows for researchers.

The scale and growth at which research data are being generated, combined with the diversity of needs and interests, pose significant challenges for sustaining RDM services at the national scale. For

example, the management of data needs to draw upon a range of infrastructures and skillsets to support its documentation, storage, access and preservation over the course of a research investigation. From the RDM perspective, there are three distinct approaches to computing and storage infrastructure to support data throughout its lifecycle (active, repository and archival). These differ by purpose, practices, type of storage, and the level of curation required. Better integration among DRI services and infrastructures is a substantial opportunity but will require the adoption of shared standards, schemas, and certifications for secure and trusted interoperability.

The report addresses the need for further alignment and integration of organizations and services, not only with Canadian entities but also with international counterparts. Determining how these RDM partners fit together in the Canadian DRI ecosystem is an important step in furthering collaborative innovation, improving RDM support, and reducing overlap and duplication of efforts.

THE CURRENT STATE OF ADVANCED RESEARCH COMPUTING IN CANADA

The Current State of Advanced Research Computing in Canada summarizes the current Canadian ARC landscape and provides metrics and data on historical service delivery. It also discusses the ARC Working Group's view on the key strengths, challenges and opportunities for ARC in 2021.

There are many strengths in the Canadian ARC ecosystem, including strong ARC service provisioning indicated by high user satisfaction among users at the time of account renewal. The report also highlights the recent investments in ARC infrastructure as well as ongoing service modernization and centralization initiatives within the Compute Canada community, driven

by dedicated highly qualified personnel and pan-Canadian National Teams. Going forward, the multi-year funding commitment from the Government of Canada towards the DRI ecosystem is seen as a key contributor to improved sustainability and continuity for ARC services and operations.

The report highlights challenges and opportunities regarding supply and awareness. An insufficient ARC supply is highlighted by a 40% fulfillment rate for CPU resource requests, and a 20% fulfillment rate for GPU requests in the Resource Allocation Competition (RAC), suggesting a need for further coordination via a national strategy and operational planning. Researcher

awareness and adoption of ARC is another area for improvement: roughly 17% of full and associate professors have a CCF account, while only 10% of the faculty users on CCF systems are from the humanities, social sciences, business and psychology even though these faculties represent roughly 46% of full-time academic faculty in Canada. Keeping pace with emerging technological changes, discipline-specific DRI toolchains and workflows, and cultural diversity will require additional focus and resources compared to the current state. There is also a need for better understanding and incorporation of EDIA, including representation and outreach.

THE CURRENT STATE OF RESEARCH SOFTWARE IN CANADA

As the first current state assessment on RS in Canada, *The Current State of Research Software in Canada* summarizes RS as an emerging field of practice undergoing a greater level of professionalization nationally and internationally, and documents strengths, challenges and opportunities within the ecosystem. This report was intended to frame an understanding of the RS landscape, establish a general framework for the evolving conversation, and facilitate a strategy that advances RS in coordination with other DRI elements to support research excellence in Canada.

One key contribution of this report was to define RS from a broad perspective as an emerging and complex intersection of tools, disciplines, services, platforms, hardware, resources and the people who use and contribute to them. In this report, the working group identified how RS-related support and services fit into the daily research activities, as well as into RDM and ARC. This report identifies key stakeholders and associated roles in the Canadian RS landscape at various levels. It also discusses multiple strengths in the Canadian RS ecosystem, including support for research programs with software development requirements

and strong computer science curricula nationally, a large software development talent pool via industry-institution collaborations, and emerging national and international funding and partnerships.

Some key challenges and opportunities in the current RS landscape include a varied and complex ecosystem without a well-developed community of practice; a lack of support for education, highly qualified personnel, EDI; insufficient targeted and sustainable funding; a nascent policy, strategy, and cultural framework.

MEMBERS

The Alliance is a member-based organization, with representation from post-secondary institutions, research hospitals, colleges and related organizations across Canada. Members play a vital role in supporting and guiding the work and governance of the Alliance.

49

Primary Members

97

Associate Members

PRIMARY MEMBERS

Athabasca University
Baycrest
Bow Valley College
British Columbia Institute of Technology (BCIT)
Brock University
Carleton University
Centre for Addiction and Mental Health
CHU Sainte-Justine
Concordia University
Dalhousie University
École de technologie supérieure (ÉTS)
HEC Montréal
Hospital for Sick Children
Kwantlen Polytechnic University
Lakehead University
McGill University
McMaster University

Memorial University of Newfoundland
Queen's University
Royal Military College of Canada
Saint Mary's University
Simon Fraser University
St. Francis Xavier University
Sunnybrook Research Institute
Toronto Metropolitan University
Unity Health Toronto
Université de Montréal
Université de Sherbrooke
Université du Québec à Chicoutimi (UQAC)
Université Laval
Université TÉLUQ
University Health Network (UHN)
University of Alberta
University of British Columbia

University of Calgary
University of Guelph
University of Manitoba
University of New Brunswick
University of Ottawa
University of Prince Edward Island
University of Regina
University of Saskatchewan
University of Toronto
University of Victoria
University of Waterloo
University of Windsor
Western University
Wilfrid Laurier University
York University

ASSOCIATE MEMBERS

Acadia University
ACENET
ACORN-NS
Amii (Alberta Machine Intelligence Institute)
Aurora College
BCNET
Brandon University
CalculQuebec
Cambrian College of Applied Arts & Technologies
Canadian Astronomical Society(CASCA)
Canadian Astronomy Data Centre
Canadian Federation for the Humanities & Social Sciences
Canadian Institute for Health Information (CIHI)
Canadian Research Data Centre Network
Canadian Research Knowledge Network (CRKN)
Canadore College
CANARIE

Cape Breton University
CARL
Centre de documentation collégiale
Compute Canada
Compute Ontario
Concordia University of Edmonton
Conestoga College
Council of Prairie and Pacific University Libraries (COPPUL)
CUCCIO
Cybera
Durham College
École Polytechnique (Polytechnique Montréal)
École nationale d'administration publique (ENAP)
Emily Carr University of Art and Design
Fanshawe College
Fleming College
Fraser Health Authority

George Brown College
Georgian College
Grande Prairie Regional College
Health Data Research Network Canada
Health Sciences North Research Institute
HPQC Labs
Humber College
ICES
Institut national de la recherche scientifique (INRS)
Institute of Particle Physics
Lambton College
Lawson Health Research Institute
Lunenfeld-Tanenbaum Research Institute, Sinai Health
MacEwan University
McGill Centre for Integrative Neuroscience
Mila
Mohawk College of Applied Arts and Technology
Montreal AI Ethics Institute

ASSOCIATE MEMBERS

Mount Royal University College
Mount Saint Vincent University
MRnet
NB/PEI Educational Computer Network
Niagara College
Northern Alberta Institute of Technology (NAIT)
Nova Scotia Community College
NSCAD University
Ocean Networks Canada
Ontario Brain Institute
ORION
Red Deer College
RISQ
Royal Roads University
Saskatchewan Polytechnic
Selkirk College
Seneca College
Sheridan College Institute of Technology and Advanced Learning
SNOLAB
Southern Alberta Institute of Technology (SAIT)
SRNet
St. Joseph's Healthcare Hamilton
Thompson Rivers University
Trent University

Trinity Western University
TRIUMF
Université de Moncton
Université du Québec
Université du Québec à Montréal (UQAM)
Université du Québec à Rimouski (UQAR)
Université du Québec à Trois-Rivières (UQTR)
Université du Québec en Abitibi-Témiscamingue
Université du Québec en Outaouais
University of Northern British Columbia
University of Ontario Institute of Technology
University of Ottawa Institute of Mental Health Research
University of the Fraser Valley
University of Winnipeg
Vancouver Island Health Authority
Vancouver Island University
Vector Institute
Waypoint
WestGrid
World Data System
Yukon University



Digital Research Alliance of Canada

P.O. Box 48008, Davisville Post Office
Toronto, Ontario | M4S 3C6 | Canada

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Canada

APPENDICES

APPENDIX A STATEMENT OF INVESTMENT STRATEGY

Purpose

The purpose of this document is to establish a strategy best suited to meet the needs and objectives of the Digital Research Alliance of Canada's ("the Alliance") investment portfolio. This document is specifically intended to meet the requirements of s 5.6.6 (b) of the Contribution Agreement(s) between the Alliance and Her Majesty in Right of Canada.

Strategy

The Alliance's investment strategy is specifically tailored to the duration and quality constraints imposed by the Statement of Investment Policy. These constraints, while deemed appropriate and necessary to meet the overall objectives of the Alliance, preclude adding value through active investment management. This conclusion is reached due to the "tightness" of the constraints, tightness which does not allow enough latitude

for active investment management to be effective.

Rather than active investment management, the strategy adopted by the Alliance is "buy and hold", based on the following framework.

- ▶ Investment maturities will, wherever possible, match the forecasted cash requirements of the Alliance.
- ▶ The quantitative limits on investment holdings provide ample structural liquidity to meet the needs of the Alliance. It is appropriate, therefore, to hold less liquid types of approved investments. Value added will be achieved by moving out the "liquidity curve" when possible.
- ▶ At all times the Alliance will hold investments deemed eligible under the Statement of Investment Policy.

For greater clarity, the determination of eligibility shall be made at the time of purchase. The Alliance will not be obliged to dispose of investments which become ineligible after the date of purchase but will favour (subject to market conditions) disposing of such securities should assets need to be liquidated. (Refer to the Liquidity policy (s 7) in the Statement of Investment Policy.)

Authority

The Investment Committee shall:

- ▶ Establish the Statement of Investment Policy for approval of the Board.
- ▶ Recommend to the Board for their approval the appointment of one or more independent, external investment advisors to provide investment advice. The Committee

may also recommend to the Board the appointment of one or more professional portfolio managers to invest the Amount in a manner consistent with the approved Statement of Investment Policy and the investment strategy.

- ▶ Verify compliance with s 5.6.8 of the Contribution Agreement with respect to conflict of interest as it concerns the Investment Advisor/Manager.
- ▶ Ensure that funds are only invested in investments or securities within the terms of the Statement of Investment Policy.
- ▶ Ensure that the Board is regularly made aware of any significant financial risks facing the Alliance, including the consequences of significant potential losses of investments of any or all of the amount.

- ▶ Report to the Board on the status, operation and annual performance of the investment portfolio.
- ▶ Ensure that adequate safekeeping procedures are in effect for all investment instruments.

Committee Membership

The Committee consists of a minimum of five members, all of whom are members of the Board of Directors, are independent of the Alliance's management and are financially literate. At least one member should have an accounting background or related financial management experience. The Board Chair is an ex Officio non-voting member of the Committee.

The Board shall appoint one of the Committee members to be the Committee Chair.

Committee members are appointed for a one-year term with the possibility of renewal.

Meetings, Meeting Schedule and Frequency

The Committee meets a minimum of four times annually. The Committee may choose to hold additional meetings if it considers them necessary for it to carry out its responsibilities effectively. Meetings can be held at any time and place as determined by its members, provided notice of such meeting is given to each member of the Committee. Meetings may be held by teleconference or videoconference,

provided members have a means to vote. If members cannot participate in person, they may participate in a meeting that is held in-person via the teleconference or telephone.

A majority of the Committee shall constitute a quorum for the transaction of business at any meeting thereof, and the act of a majority of the members of the Committee present at any meeting at which a quorum is present shall be the act of the Committee. The Chair, or in his or her absence, one of the directors shall preside at all meetings of the committee.

As an ex-officio member of the Committee, the Board Chair has voting rights at the Committee meetings that they attend. The Board

Chair's attendance is not counted to determine whether a quorum is present at a meeting.

In the event of a vote that results in a tie, the Chair of the Committee has a casting vote.

At each meeting, the members of the committee may meet in private in in-camera sessions with committee members only.

Minutes of meetings will be available to the Board.

Review

This document will be reviewed and updated (if necessary) no less frequently than annually.

APPENDIX B STATEMENT OF INVESTMENT POLICY

Purpose

The purpose of this document is to establish an investment policy best suited to meet the needs and objectives of the Digital Research Alliance of Canada's ("the Alliance") investment portfolio. This document is specifically intended to meet the requirements of ss 5.6.6 (Statement of Investment Policy) of the Contribution Agreement between the Alliance and Her Majesty in Right of Canada.

All aspects of this Policy are governed by the Prudent Person Principle (refer to ss 5.6.3 of the Contribution Agreement) and the principal objective of investment decisions shall be the preservation of capital to meet future disbursement requirements.

Investment Policy

(1) Long-term return objectives and expectations:

The long term objectives of the portfolio are twofold: (a) to provide funds on an "as needed" basis to meet the disbursement needs of the Alliance, (b) to maximize the investment income earned by the Alliance, subject to the Investment Strategy and Investment Policy adopted by the Alliance.

(2) Ratings of Securities:

The deemed rating (the "Rating") of any Eligible Security will be established, at the time of the Alliance's acquisition of the Eligible Security.

Reference to the "issuer" shall include the unconditional guarantor, if applicable.

The rating category for Investment Policy purposes shall be based on the ratings of at least two of the following

four rating agencies: Dominion Bond Rating Service (DBRS), Standard and Poor's (S&P) Rating Services, Moody's Investors Service and Fitch Rating Ltd.

In the case of Commercial Paper and other short-term investments:

To be included in the AAA category, the security must have at least two of the following, where two are available:

- (i) R-1 (high) from DBRS
- (ii) A-1+ from S&P and the issuer's bonds are rated "AAA" by S&P
- (iii) P-1 from Moody's and the issuer's bonds are rated Aaa by Moody's
- (iv) F-1+ from Fitch and the issuer's bonds are rated AAA by Fitch

To be included in the AA category, the security must have at least two of the following, where two are available:

- (i) R-1 (middle) from DBRS
- (ii) A-1+ from S&P

- (iii) F-1+ from Fitch
- (iv) P-1 from Moody's and the issuer's bonds are rated Aa by Moody's

In the case of bonds and other longer-term investments:

To be included in the AAA category, the security must have at least two of the following:

- (i) AAA from DBRS
- (ii) AAA from S&P
- (iii) AAA from Moody's
- (iv) AAA from Fitch

To be included in the AA category, the security must have at least two of the following:

- (i) AA from DBRS
- (ii) AA from S&P
- (iii) AA from Moody's
- (iv) AA from Fitch (3)

(3) Diversification policy of the investment portfolio, including quantitative limits on investments

Throughout the life of the Alliance’s portfolio, Alliance investments in the securities of any one issuer (or two or more affiliated entities) will be limited to an aggregate market value limit based on the Rating of the security:

Rating of Security	AA	AAA
Government Securities	no limit	no limit
Provincial / Municipal Financing Authority	10% of portfolio	10% of portfolio
Municipal Securities	10% of portfolio	10% of portfolio
Other Eligible Securities	10% of portfolio	10% of portfolio

Throughout the life of the Alliance’s portfolio, the Alliance’s investment in the securities of any one category will be limited to an aggregate market value limit of the category, as set out below:

Rating of Security	AA	AAA
Government Securities *	30% of portfolio	no limit
Provincial / Municipal Financing Authority	70% of portfolio **	same 70%
Municipal Securities	70% of portfolio **	same 70%
Other Eligible Securities	70% of portfolio **	80% of portfolio

* Minimum Government Securities is 10% of the portfolio.

For greater certainty, the phrase “Government Securities” means all securities issued, guaranteed by, or that have the full faith and credit of the federal government or a provincial government.

** The 70% constraint applies to the aggregate of AA securities

(4) Asset allocation strategy:

The portfolio will, at all times, be invested in Eligible Securities (refer to (5) below).

(5) Permitted investment instruments and trading activities:

The Alliance shall invest in Eligible Securities. Eligible Securities are defined as: bank certificates of deposit; banker's acceptances; treasury bills, commercial paper and other short-term securities, bonds and notes issued by the federal government, provincial governments, municipal governments and corporations; cash deposits in banks identified in Schedule I of the Bank Act; guaranteed investment certificates; and other fixed-income securities that carry the full faith and credit of the Government of Canada. For greater certainty, the Alliance shall not invest in derivatives, swaps, options or futures.

Any securities acquired shall have a Rating of at least AA.

All securities will be denominated in Canadian dollars.

The Investment Advisors/Managers will have authorized power to recommend and execute all trades on behalf of the Alliance. The Investment Advisors/Managers will notify the Alliance and include all details of all confirmations of trades.

The Board's Audit and Investment Committee will be advised of the transaction details by email or facsimile the same week that the transactions are authorized, or as soon as practical thereafter.

(6) Prohibited investment instruments and trading activities:

Prohibited investments consist of all investments not defined as permitted investment instruments.

(7) Liquidity and Maturity of Securities policy:

(a) The maturities and terms of investments shall match the profile of the Alliance's forecasted disbursements. In cases where the timing of disbursements is unknown, investments shall be held in securities with term to maturity of one year or less.

(b) Should an unexpected disbursement or series of disbursements made by the Alliance reduce the total market value of the portfolio, the Alliance shall immediately take the steps necessary to comply with the requirements set by the diversification policy (refer to (3) above) within a period of 60 days from the date as of which the Alliance first failed to meet those requirements. Under no circumstances shall the Alliance materially fail to comply with the diversification requirements of section 3 for a period of more than 90 consecutive days.

(8) Risk management policies:

The purpose of the Alliance's investment portfolio is to earn investment income until such funds are needed to finance the Alliance's objectives. The principal risks therefore are liquidity and capital preservation. Both risks, and steps taken to manage such risks, are specifically addressed in the Alliance's Statement of Investment Policy and Statement of Investment Strategy. In addition to the constraints contained in these documents, certain processes are in place to further manage these risks:

- On a monthly basis the Investment Advisor/Manager receives reports from the Alliance's management regarding upcoming short-term cash requirements. This is compared to the upcoming maturity schedule with corrective action, if any, being initiated.
- On an annual basis the Investment Advisor/Manager receives a long term projection of the Alliance's liquidity requirements. This is compared to the

long term maturity schedule. Based on the comparison of the two, corrective action, if any, is taken. Note that corrective action in this instance may be taken over an extended time period.

- On a quarterly basis the Investment Advisor/Manager reviews the credit ratings of all holdings. This is intended to act as an early warning as to potential, upcoming capital impairment issues.
- On a quarterly basis (or more frequently if necessary) the Investment Advisor/Manager reports to the Audit and Investment Committee on portfolio matters. Such matters include diversification compliance and potential capital impairment situations and recommended corrective actions.

(9) Policy on the lending of cash or securities and borrowing:

The lending of cash or securities is not permitted.

The borrowing of money, issuing any debt obligations or securities, guaranteeing or securing a debt or other obligation of a person, mortgagor or other entity, pledging all or any portion of the funds received as outlined in the Contribution Agreement by way of security for payment to any creditor or do any other thing that would encumber the funds received as outlined in the Contribution Agreement is not permitted.

(10) Performance measurement and monitoring procedures:

Performance is measured first by the prime objective of safety of investment and, secondly, by the ability of the investment portfolio to have funds on hand to meet all expenditure requirements. After those considerations in importance comes performance measurement. This will be addressed in ongoing fashion in reporting on new investments and reinvestments in terms of their yield relative to the Canada Curve (the yield that would be achieved from a benchmark Government of Canada bond of similar duration). Less attention will be paid to annual comparisons with other bond managers, unless they operate under similar constraints.

(11) Review:

This Statement of Investment Policy shall be reviewed at least once a year.

APPENDIX C FINANCIAL STATEMENTS

Financial Statements of

**DIGITAL RESEARCH ALLIANCE
OF CANADA**

(FORMERLY 11593765 CANADA ASSOCIATION)

And Independent Auditors' Report thereon

Year ended March 31, 2022



KPMG LLP
150 Elgin Street, Suite 1800
Ottawa ON K2P 2P8
Canada
Tel 613-212-5764
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INDEPENDENT AUDITORS' REPORT

To the Directors of Digital Research Alliance of Canada

Opinion

We have audited the financial statements of Digital Research Alliance of Canada (the "Entity"), which comprise:

- the statement of financial position as at March 31, 2022
- the statement of operations and changes in net assets for the year then ended
- the statement of cash flows for the year then ended
- and notes to the financial statements, including a summary of significant accounting policies.

(Hereinafter referred to as the "financial statements").

In our opinion, the accompanying financial statements, present fairly, in all material respects, the financial position of the Entity as at March 31, 2022, and its results of operations and its cash flows for the year then ended in accordance with Canadian accounting standards for not-for-profit organizations.

Basis for Opinion

We conducted our audit in accordance with Canadian generally accepted auditing standards. Our responsibilities under those standards are further described in the "***Auditors' Responsibilities for the Audit of the Financial Statements***" section of our auditors' report.

We are independent of the Entity in accordance with the ethical requirements that are relevant to our audit of the financial statements in Canada and we have fulfilled our other ethical responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.



Responsibilities of Management and Those Charged with Governance for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with Canadian accounting standards for not-for-profit organizations, and for such internal control as management determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is responsible for assessing the Entity's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless management either intends to liquidate the Entity or to cease operations, or has no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the Entity's financial reporting process.

Auditors' Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

As part of an audit in accordance with Canadian generally accepted auditing standards, we exercise professional judgment and maintain professional skepticism throughout the audit.

We also:

- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion.



Page 3

The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.

- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Entity's internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.
- Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Entity's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditors' report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditors' report. However, future events or conditions may cause the Entity to cease to continue as a going concern.
- Evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.
- Communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

KPMG LLP

Chartered Professional Accountants, Licensed Public Accountants

Ottawa, Canada

June 29, 2022

DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Statement of Financial Position

March 31, 2022, with comparative information for 2021

	2022	2021
Assets		
Current assets:		
Cash	\$ 7,441,777	\$ 2,938,533
Accounts receivable	108,567	–
HST recoverable	90,118	207,973
Prepaid expenses	119,379	50,470
	<u>\$ 7,759,841</u>	<u>\$ 3,196,976</u>
Liabilities and Net Assets		
Current liabilities:		
Accounts payable and accrued liabilities	\$ 1,417,198	\$ 557,555
Deferred funding (note 2)	5,121,311	2,132,664
	<u>6,538,509</u>	<u>2,690,219</u>
Net assets	1,221,332	506,757
	<u>\$ 7,759,841</u>	<u>\$ 3,196,976</u>

See accompanying notes to financial statements.

On behalf of the Board:





DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Statement of Operations and Changes in Net Assets

Year ended March 31, 2022, with comparative information for 2021

	2022	2021
Revenue:		
Ministry of Innovation, Science and Industry/ISED funding	\$ 11,247,353	\$ 6,345,045
Membership fees	635,000	476,500
Interest income	40,518	20,097
Other revenue	39,056	–
	<u>11,961,927</u>	<u>6,841,642</u>
Expenses:		
Program:		
Program expenses	2,201,700	–
Operating, general and administration:		
Salaries and wages	5,815,740	1,455,674
Benefits	853,573	104,544
Transportation and communication	85,371	51,284
Services	2,247,694	4,733,543
Supplies	42,358	–
Other expenses	916	–
	<u>9,045,652</u>	<u>6,345,045</u>
Total expenses	<u>11,247,352</u>	<u>6,345,045</u>
Excess of revenue over expenses	714,575	496,597
Net assets, beginning of year	506,757	10,160
Net assets, end of year	<u>\$ 1,221,332</u>	<u>\$ 506,757</u>

See accompanying notes to financial statements.

DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Statement of Cash Flows

Year ended March 31, 2022, with comparative information for 2021

	2022	2021
Cash provided by (used in):		
Operating activities:		
Excess of revenue over expenses	\$ 714,575	\$ 496,597
Net change in non-cash working capital:		
Accounts receivable	(108,567)	–
HST recoverable	117,855	(111,478)
Prepaid expenses	(68,909)	(25,446)
Accounts payable and accrued liabilities	859,643	246,176
Deferred funding	2,988,647	1,491,455
Increase in cash	4,503,244	2,097,304
Cash, beginning of year	2,938,533	841,229
Cash, end of year	\$ 7,441,777	\$ 2,938,533

See accompanying notes to financial statements.

DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Notes to Financial Statements

Year ended March 31, 2022

The Digital Research Alliance of Canada (the “Organization”) is a not-for-profit organization that was federally incorporated on August 28, 2019 as a member-based organization with an agreement between Innovation, Science and Economic Development Canada (ISED) and the Organization. The Organization legally changed its name on October 1, 2021 and was formerly known as 11593765 Canada Association.

The Organization’s mandate is to play a critical role in helping advance the establishment of a researcher-focused, accountable, agile, strategic and sustainable Digital Research Infrastructure ecosystem for Canadian researchers.

1. Significant accounting policies:

The financial statements have been prepared in accordance with Canadian accounting standards for not-for-profit organizations and include the following significant accounting policies:

(a) Basis of presentation:

The Organization follows the deferral method of accounting for contributions for not-for-profit organizations.

(b) Revenue recognition:

Contributions and funding designated for the Organization’s mandate are recorded as deferred funding and are recognized as revenue when the related expenditure is incurred. Unrestricted contributions are recorded as revenue in the year received.

Membership fees are recognized in the period to which they relate, providing collection is reasonably assured.

(c) Expenses:

In the statement of operations, the Organization presents its expenses by function. Expenses are recognized in the year incurred and recorded in the function to which they are directly related.

(d) Employee benefit plans:

The Organization is a member of the Colleges of Applied Arts and Technology Pension Plan, which is a multi-employer, defined benefit pension plan. The Organization has adopted defined contribution plan accounting principles for this plan because insufficient information is available to apply defined benefit plan accounting principles.

DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Notes to Financial Statements (continued)

Year ended March 31, 2022

1. Significant accounting policies (continued):

(e) Use of estimates:

These financial statements have been prepared by management in accordance with Canadian accounting standards for not-for-profit organizations and accordingly, require management to make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent liabilities at the date of the financial statements and the reported amounts of revenue and expenditures during the reporting period. Actual results could differ from these estimates. The significant estimates in the financial statements include the collectability of receivables, deferred contributions, and the amount of certain accrued liabilities in the year they become known.

2. Deferred funding:

The Organization received funding from ISED as follows:

	2022	2021
Balance, beginning of year	\$ 2,132,664	\$ 641,209
Contributions received	14,236,000	7,836,500
Recognized as revenue	(11,247,353)	(6,345,045)
Balance, end of year	\$ 5,121,311	\$ 2,132,664

3. Contribution agreement:

The Contribution Agreement between the Organization and ISED was signed on October 31, 2019 and is to fund the Organization's activities. The Agreement ended on March 31, 2022, but subject to conditions as outlined in the Agreement can be extended to March 31, 2024. The Organization has received approval from ISED for funding of approximately \$38 million for fiscal 2022-2023 and an extension for future years is currently being negotiated.

DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Notes to Financial Statements (continued)

Year ended March 31, 2022

4. Employee benefit plans:

Starting on May 1, 2021, the Organization became members of the College of Applied Arts and Technology (“CAAT”) Pension Plan, which is a multi-employer defined benefit pension plan available to all eligible employees of the participating members of the CAAT. Plan members will receive benefits based on the length of service and on the average of annualized earnings during the highest five consecutive years prior to retirement, termination or death.

The Organization does not recognize any share of the Plan’s pension surplus or deficit as insufficient information is available to identify the Organization’s share of the underlying pension assets and liabilities. The most recent actuarial valuation filed with pension regulators as at January 1, 2022 indicated an actuarial surplus of \$4.37 billion.

Employer contributions to the Plan during the year by the Organization amounted to \$332,552 and are included in benefits expense on the Statement of Operations.

5. Financial risks:

The Organization's financial instruments consist of cash, accounts receivable, and accounts payable and accrued liabilities.

(a) Credit risk:

Credit risk refers to the risk that a counterparty may default on its contractual obligations resulting in a financial loss. The Organization is exposed to this risk relating to its cash and accounts receivable. The Organization holds its cash accounts with a federally regulated chartered bank who are insured by the Canadian Deposit Insurance Corporation.

The Organization assesses, on a continuous basis, accounts receivable and provides for any amounts that are not collectible in the allowance for doubtful accounts. At year-end, there were no amounts allowed for in accounts receivable.

(b) Liquidity risk:

Liquidity risk is the risk that the Organization will not be able to meet all cash outflow obligations as they come due. The Organization mitigates this risk by monitoring cash activities and expected outflows through extensive budgeting and keeping accounts payable current throughout the year. The Organization is continuously monitoring its cash flow in order to maintain its liquidity moving forward.

DIGITAL RESEARCH ALLIANCE OF CANADA

(FORMERLY 11593765 CANADA ASSOCIATION)

Notes to Financial Statements (continued)

Year ended March 31, 2022

5. Financial risks (continued):

(c) Market risk:

Market risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate as a result of market factors.

(i) Foreign currency risk:

Foreign currency risk results from the fluctuation and volatility of exchange rates. The Organization is not exposed to foreign exchange risk.

(ii) Interest rate risk:

Interest rate risk is the risk that the fair value of future cash flows or a financial instrument will fluctuate because of changes in the market interest rates. The Organization is not subject to significant interest rate risk.

(iii) Other price risk:

Other price risk is the uncertainty associated with the valuation of assets arising from changes in equity markets. The Organization is not exposed to other price risk.

6. Comparative information:

Certain comparative information has been reclassified to conform to the financial statement presentation adopted in the current year.