



Canadian Foundation for Climate
and Atmospheric Sciences (CFCAS)

Fondation canadienne pour les sciences
du climat et de l'atmosphère (FCSCA)

Awards Guide

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1.0 INTRODUCTION

The *Awards Guide* provides information to:

- Applicants and co-applicants for CFCAS awards, to assist them in preparing their grant applications;
- Recipients of CFCAS awards, to guide them in project and network management;
- University administrators, to inform them of CFCAS policies and requirements concerning administration of CFCAS awards.

It also provides general guidance in matters relating to CFCAS awards. Specific questions and issues not addressed, or not addressed sufficiently in the Guide should be brought to the attention of the CFCAS Secretariat for consideration and guidance. Other CFCAS documents that applicants, grantees and administrators will find helpful, include:

- *CFCAS Peer Review Manual*;
- *CFCAS Instructions for Applicants*
- *CFCAS Frequently Asked Questions*.

These documents are available from the CFCAS web site:
www.cfcas.org

1.1 CFCAS

The Canadian Foundation for Climate and Atmospheric Sciences (CFCAS) is a national, not-for-profit foundation, which funds university-based research in specific areas. It was established in 2000 through a three-party Agreement among the Minister of the Environment, the Canadian Meteorological and Oceanographic Society (CMOS) and CFCAS. It received an initial grant of \$60 M from the Government of Canada to fund research in Canadian universities, over a period of 6-years. It received a second federal grant of \$50 M in 2003, to continue its activities. Its current mandate extends to March 31, 2011. CFCAS supports research in the areas of:

- Climate system science
- Air quality
- Marine environmental prediction
- Climate change
- Extreme weather

The Foundation enhances Canada's scientific capacity by funding the generation and dissemination of knowledge in areas of national importance and policy relevance, through focused support for excellent university-based research in climate and atmospheric sciences.

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The objectives of the Foundation are to¹:

1. *Channel and strengthen Canada's scientific capacity to address climate change and air quality issues;*
2. *Provide the scientific basis for a better understanding of the climate system, climate change, extreme weather and air quality;*
3. *Provide the scientific basis for policies to address the consequences of extreme weather, climate change and air quality;*
4. *Provide a better understanding of the implications of these sciences for human health and for the natural environment including in Northern Canada;*
5. *Foster collaborative and interdisciplinary approaches to research on meteorology, atmospheric science, air quality, climate and climatic change;*
6. *Encourage the participation and support of others, including the private sector, in climate and atmospheric sciences in Canada.*

1.2 Program Philosophy

World climate systems appear to be increasingly affected by human-induced change. This is presenting new, important challenges: to respond, Canada requires a body of knowledge and an understanding of the underlying processes that determine such things as climate systems, extreme weather, and air quality. The creation of CFCAS by the Government of Canada provides the means to stimulate new research in Canadian universities, to help us understand and address the important climatic issues that are facing Canada and the world in these early years of the new millennium. It also facilitates the education and training of the people needed to deal with future environmental challenges.

CFCAS funds projects and major research initiatives. Major initiatives are research networks or substantial collaborative projects. They are interdisciplinary and intersectoral, and generally supported by CFCAS in partnership with other organizations or agencies. Research projects are specific, high-quality, collaborative projects of limited duration (normally 3 years), that have pre-determined objectives and contribute to a national understanding of climate systems and atmospheric sciences. All funded initiatives are expected to benefit Canadians and/or to provide scientific results relevant to policy development. Research initiatives are selected for funding by a peer review process of the highest integrity and rigour. For information on this process see the *CFCAS Peer Review Manual*.

¹ Throughout this document wording in italics is taken from the (amended) Agreement establishing CFCAS and governing its operations.

2.0 APPLICATIONS FOR CFCAS GRANTS

2.1 Eligibility to Apply for and to Hold CFCAS Grants

The eligibility of projects, recipients and institutions is specified in the Agreement under which the CFCAS was created.

2.1.1 Eligibility of Projects

Eligible projects are:

(a) Scientific studies, which address one or more of the following areas:

- (i) Understanding key climate system processes including greenhouse gas sources and sinks;*
- (ii) Understanding key meteorological and atmospheric chemistry processes that impact air quality;*
- (iii) Understanding the probability of occurrence and/or improving the prediction of extreme and hazardous weather;*
- (iv) Developing and improving weather, air quality and climate system models adapted to Canada's regional context leading to better prediction and to study anticipated impacts;*
- (v) Improving knowledge of ocean and atmospheric processes leading to better marine environmental predictions.*

(b) Co-ordination of international scientific activities addressing one or more of the areas addressed in (a). The co-ordination activities shall be located in Canada. The Foundation will support up to 50%, on a cost-share basis. The Foundation's total support for this category of project will be limited to a maximum of \$200,000.00 per year.

2.1.2 Eligibility of Recipients and Organizations

(a) Eligible Recipients

The Foundation shall provide grants only to Eligible Recipients. Individual researchers and collaborative networks of researchers affiliated with Canadian universities and other degree granting institutions, and these universities or other degree granting institutions themselves, which have demonstrated their capabilities to support and conduct research as defined in Section 2.1.1 (a), may be eligible to receive funds. Not for profit organizations that are federated or associated with universities will be regarded as integral parts of their parent institutions.

(b) Eligible Not-for-profit Organizations

Not-for-profit Organizations that have demonstrated their capabilities to support and conduct research as defined in Section

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2.1.1 (a), may be eligible to receive funds as long as they are not agencies of government or for-profit corporations. However their projects may only be considered if they are submitted to the Foundation as part of a collaborative network led by one or more universities.

(c) Excluded Recipients – International Collaborators

If a co-applicant is not affiliated with Canadian universities or other Canadian degree granting institutions and is involved with collaborative networks of researchers as defined in Section 2.1.1 (a), he/she must be qualified to undertake research independently. This co-applicant is not eligible to receive funding from the Foundation, and is expected to bring his/her own resources to the collaboration.

(d) Excluded Recipients – Federal

The Foundation shall not issue grants to any federal department (as defined in Schedule 1 to the Financial Administration Act {FAA}), departmental corporation (as defined in Section 2 of the FAA), parent Crown Corporation or wholly owned subsidiary of a parent Crown Corporation (as defined in Subsection 83(1) of the FAA); any not-for-profit corporation or trust established by a federal department, departmental corporation, parent Crown Corporation or wholly owned subsidiary of a parent Crown Corporation.

More specific applications of the eligibility requirements quoted above from the Agreement are discussed in more detail below.

Eligible researchers are individuals who, at the time of application, either hold, or have a firm offer (not contingent upon receiving funding from CFCAS or a federal granting council) of an academic appointment at a Canadian university for:

- A tenured, tenure-track or life-time professor emeritus position;
- A term position of at least three years (with the term extending at least until the completion date of the requested award).

The academic appointment must be ratified by the person(s) or body responsible for approving academic appointments, or their delegate(s), and must be in accordance with university statutes.

The academic position must require the researcher to engage in research that is not under the direction of another individual. The researcher must be authorized to supervise or co-supervise students registered in an undergraduate or graduate degree

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program, or postdoctoral fellows. Eligible researchers must not themselves be enrolled in a graduate program in the natural sciences or engineering. He/she must not hold a full-time position (academic or other) outside Canada. He/she must not be under a sanction from the CFCAS or any of the Canadian federal funding councils resulting from a finding of financial or scientific misconduct.

Independent researchers from industry, government laboratories and foreign universities may be co-applicants for CFCAS grants. However, they are expected to provide their own funding. - CFCAS funding cannot be used for the direct or indirect costs of their participation in the project or network.

Researchers from eligible Canadian colleges may be co-applicants for CFCAS grants under the following conditions:

- At the time of application, the researcher must hold or have a firm offer (not contingent upon receiving a CFCAS grant) of a faculty appointment at an eligible Canadian college, for a permanent position or a term position for at least the tenure of the grant being applied for;
- The appointment must be ratified by the person(s) or body responsible for approving such appointments, and must be in accordance with the college statutes;
- The position must permit the researcher to engage in research that is not under the direction of another individual;
- The researcher must not hold a full-time position of any kind outside Canada;
- The researcher must not be enrolled in a degree program in the natural sciences or engineering during the tenure of the award;
- The researcher must not be under a sanction from the CFCAS or any Canadian federal funding council resulting from a finding of financial or scientific misconduct.

During the tenure of the award:

The researcher's salary must not be paid out of CFCAS or any of the Canadian federal granting council funds. (An exception to this rule may be made for certain prestigious awards freeing distinguished researchers from teaching and other obligations.)

2.1.3 Eligibility of Costs

(a) Eligible Costs

Eligible costs mean all goods and services and professional and technical personnel costs required to conduct the scientific and technical activities directly related to project objectives, and the

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dissemination of research results (including costs related to data management, such as preparation of metadata). Costs of capital items may be included if the items are specifically required in the delivery of the proposed objectives (e.g., atmospheric data collection equipment required as part of a time-limited research activity, or required for development or testing of prototypes).

(b) Exclusions from Eligible Costs

For greater clarity, Eligible costs do not include:

- 1. Office space for Eligible Project administrative staff;*
- 2. Administrative or travel costs not specifically listed as eligible costs;*
- 3. Office supplies;*
- 4. Capital costs associated with ongoing long-term scientific activities (e.g. atmospheric data collection; and,*
- 5. Project capital costs eligible under the Canada Foundation for Innovation or Technology Partnerships Canada which value exceeds \$200,000.00;*
- 6. And, provincial sales tax and goods and services tax for which the recipient is eligible for a tax rebate and other costs eligible for rebates.*

Further details on eligible and non-eligible costs are given in Section 3.3.

2.2 Criteria for CFCAS Grants

CFCAS uses a peer review process to evaluate applications for funding. A Grants Review Committee (GRC) evaluates and ranks applications. Those ranked highest are recommended for funding to the CFCAS Board of Trustees. The competitive ranking of applications is based on six criteria, which are stipulated in the Agreement governing the Foundation's operations. All criteria are considered but the review committee may deem some more critical than others, depending on the nature of the research initiative. There are also absolute standards of excellence that must be met for all applications being recommended for funding.

Letters of Intent (LOIs) and Applications for all CFCAS grants must clearly describe how they meet **all** criteria listed below. Applicants should not assume that the merits of the application or of the applicant are obvious.

2.2.1 Science

The proposal must be scientifically sound.

The Science is assessed on factors such as:

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- The significance of the scientific issues and technical challenges being addressed.
- The novelty and originality of the overall approach and concepts;
- The extent to which the proposed project is likely to advance current knowledge and understanding.
- The justification of the proposed approach, based on the background research.
- Feasibility of the proposed project.
- Focus and clarity of the project's objectives based on both short term and long term perspectives.
- The appropriateness of the project's design and the techniques proposed.

2.2.2 Expertise

The proposal must demonstrate the proponent's capacity and capability to deliver the project, as well as that of the co-applicants. This criterion is assessed on:

- The stature and research accomplishments of the applicant and co-applicants and their potential to perform the proposed research;
- The appropriateness of the assembled expertise with regard to the project's breadth and complementarities;
- The recognition of the collective research contributions of the applicant and co-applicants by their peers.

Note that in the case of applications from adjunct faculty members whose primary employment is not at a university, the ability to devote time and effort to university-based research, to supervise students or research personnel, and to contribute to the intellectual life of the university is taken into account.

2.2.3 Targeted

The proposal must demonstrate how the work will make a clear contribution to one or more of the areas identified in Section 2.1.1(a). The degree to which the project will make a contribution will be a key factor in determining its funding.

Consideration should also be given to how research results are likely to be used by the receptor community, and their relevance to policy.

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2.2.4 National Context

The proposal must make a clear contribution to a national effort, i.e. address issues of national interest or, if addressing a regional issue, have applicability in a national context.

Projects addressing Arctic studies, coastal oceanographic studies, and severe weather conditions for example, might be viewed as “regional” in their focus; however there may be important national consequences and impacts associated with these types of projects.

2.2.5 Funding

The proposal should justify the need for Foundation funds and demonstrate how it is leveraging funds from other sources. This criterion is assessed on factors such as:

- Need for CFCAS funding;
- Justification for the level and duration of funding in relation to the stated objectives;
- Work does not duplicate existing funding; the project is separate or incremental to other work being done;
- Plans for collaboration and communication among the researchers;
- Potential for knowledge and technology transfer; a plan for dissemination of research results to the receptor community;
- Clarity of the project description and sound methodology;
- Use of CFCAS funds to ‘leverage’ funds and in-kind support from other sources;
- Relevant research management and coordination, especially in the case of large collaborative projects;
- Availability of required equipment and infrastructure;
- The coherence of activities, timelines, milestones and deliverables;
- The probability of achieving the project objectives in the proposed time frame.

The Grants Review Committee and Board of Trustees may also give additional weight to proposals that address areas of stated CFCAS priority.

2.2.6 Collaboration

A proposal that involves collaboration with a number of partners is encouraged and preferred.

The Collaboration criterion does not necessarily preclude the recommending of a Project having no co-applicants. A positive

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factor in the review of such a project would be that it would make future collaborations more likely. The Collaboration criterion will be assessed on factors such as:

- The potential for synergistic interactions among the elements of the team;
- The credibility of each participant on the team and a clear description of his/her contribution;
- The interdisciplinary nature of the collaboration, and the potential for cross-fertilization of scientific and technological understanding;
- The participation of researchers from different sectors (academic, international, government, private sector, and industrial).

2.3 Types of Grants and Application Procedures

2.3.1 CFCAS Major Initiative Grants

CFCAS will consider proposals to establish substantial group projects or to fund intersectoral and interdisciplinary networks costing in excess of \$300,000 over a five-year period. There is a two-stage application process. Applicants must first submit a Letter of Intent (LOI). LOIs are reviewed by the Board of Trustees and selected applicants are invited to submit a full proposal. The Board of Trustees may recommend that two or more proposals of similar or complementary nature consider submitting a combined application. The full proposal should address all comments and issues that were noted by the Board of Trustees in response to the LOI. An invitation to submit a full proposal does not imply funding.

CFCAS major initiatives and networks usually involve at least 5-researchers from three or more organizations (university, public or private sector, or foreign). Full networks are interdisciplinary, intersectoral and regional to national in scope. CFCAS funding can only be used to fund the eligible activities of eligible recipients at eligible institutions (Section 2.1). Non-eligible researchers and institutions are encouraged to partner in CFCAS Networks, however their activities must be funded from non-CFCAS sources.

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2.3.1.1 Deadlines

Deadlines for Letters of Intent and applications are announced on the Web (<http://www.cfcas.org>) and e-mail notification is sent to research grants offices in Canadian universities. There are two annual deadlines for Letters of Intent.

2.3.1.2 Application Procedures

A Letter of Intent (LOI) must be submitted by the competition deadline. LOIs are limited to 7-pages, free form and should explain the objectives of the initiative, describe how it meets all selection criteria and discuss key aspects such as:

- The different components, and their contribution to the total initiative;
- The technical and other resources that are required, and how they will be obtained;
- The management of the initiative;
- How the initiative will contribute to CFCAS objectives
- Anticipated outputs, including short, medium and longer term benefits

The Foundation's Board of Trustees will send written comments to applicants following review of the LOIs. Full applications, if invited, must address the comments made.

2.3.1.3 Review Procedures

Details of the Review Procedures are described in the CFCAS *Peer Review Manual*.

Table 1 Summary of CFCAS grant, and some application requirements. Detailed instructions for Letters of Intent (LOI) and applications are in the CFCAS Document entitled: [Instructions For Applicants](#).

Type	Amount	Duration	Forms	Comments
Project Grant	Up to \$300,000	Up to 3 years (Disbursements allowed over four years.)	Form 101 (10-page limit) Form 100	
Letter of Intent For Major Initiative	Estimate required	Estimate required	Free form, (7-pages limit)	Letter of Intent
Major Initiative (including Network)	>\$300,000	Up to 5 years (years 4 & 5 conditional upon mid-term review)	Form 101 (up to 60 pages depending on size & complexity) Form 100	Invited Application

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Applicants for major networks (generally over \$1 million) may request up to \$10,000 to help defray the cost of a workshop or organizational meeting for preparation of the proposal.

2.3.2 CFCAS Project Grants

Project proposals are from individuals or small groups and involve a specific research project over a three-year period. They may request up to \$300,000. The Grants Review Committee (GRC) reviews project applications and makes funding recommendations to the Board of Trustees. CFCAS does not fund on-going research programs.

Projects must have well defined parameters and objectives. Characteristics include:

- Specific objectives and a plan to achieve them;
- Budget related to the achievement of objectives;
- Milestones and timelines describing how and when specific (and where possible, quantifiable) objectives will likely be achieved;
- Commitment to submit annual progress and financial reports, and a final report.

Projects are normally funded at the level required to achieve the research objectives, as approved by the Board of Trustees. Conditional awards may be offered if, in the view of the Board:

- Specific budget items are excessive;
- Some items are not essential to achieving the objectives of the project;
- Some objectives or activities are not approved by the Board of Trustees;
- The initiative is worthy of support but requires proof of concept or confirmation/clarification of some aspects.

When a conditional grant is offered, the applicant must satisfy CFCAS that the condition has been met before funds will be released. In some cases the applicant will be asked to submit a revised research plan and budget that addresses the specified condition(s).

CFCAS Project Grants are for up to 3 years. Grant disbursements will be allowed over a maximum of four years, to allow grantees to tailor funds more closely to fieldwork or funding commitments, and

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to wind-up any residual activities at the end of the project. No additional funding is provided for these wind-up activities.

Individual researchers can be involved in more than one CFCAS grant (Project or Major Initiative/Network). All applicants or co-applicants who hold a CFCAS grant must include a brief report in the application, describing progress on the current CFCAS project. These reports will be assessed as part of the evaluation input for any new award. If the previous CFCAS-funded project is complete, CFCAS must have received the final report on that project.

2.3.2.1 Deadlines

Deadlines for project applications are announced on the CFCAS Web-site (<http://www.cfcas.org>) and provided by e-mail to the research grants offices of Canadian universities. There is one deadline per year for project grant proposals.

2.3.2.2 Application Procedures

Instructions for completing the application are described in the CFCAS document: *Instructions for Applicants*.

2.3.2.3 Review Procedures

Details of the Review Procedures are described in a CFCAS *Peer Review Manual*.

2.3.2.4 Project Extensions and Renewals

No extensions will be considered beyond the fourth year of the award. CFCAS will only consider extension requests from grantees who were awarded a two-year grant, and sent a message on behalf of the Grants Review Committee that they are eligible to submit a request for a third year of funding.

Project grants are not renewable. An applicant may apply for a new project grant for an initiative that has arisen from previous work funded by CFCAS. The application must clearly demonstrate how the new work is distinct from but builds upon that previously funded.

2.3.2.5 Supplement for Major Logistical or Field Costs

CFCAS will consider requests for grant supplements, in the case of particularly heavy logistical expenses or field costs of an unusual nature. These must be justified in the context of the research. The request for supplement must not exceed two pages and must be submitted with the application itself. The Grants Review Committee will discuss it during its

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normal deliberations. The request should not normally exceed \$100,000.

Capital equipment will not be considered for supplementary support.

2.4 Equipment Requests

CFCAS will consider support for capital items that are specifically required to meet the research objectives. It does not support capital costs associated with ongoing data collection. The equipment must be included in the proposal: separate requests for equipment will not be accepted.

Equipment will be considered in the same way as other budget items and may be recommended for funding if the Grants Review Committee considers it necessary to achievement of research objectives. The maximum equipment amounts that can be requested are:

- Project: \$75,000
- Major initiative/network \$150,000

For equipment costing more than \$25,000 the applicant must include at least two competitive quotes from suppliers.

Note: CFCAS does not fund major research facilities.

2.5 Signatures on Grant Applications

One copy of the application (Form 101) must be signed by:

- The applicant;
- Each co-applicant;
- The designated representatives of the applicant's department and institution;
- The designated representatives of co-applicants' departments and institutions.

Note: the institutional representative is usually the president of the university or his/her designate. Some universities also require the signature of a faculty official or other representative. Applicants and co-applicants must conform to their institution's policies on signatures.

The applicant's signature means that he/she:

- Certifies that the information provided in the application is complete and accurate to the best of the applicant's knowledge. False or inaccurate information on an application may result in sanctions,

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including the termination of funding and disentanglement of the applicant for future CFCAS funding;

- Agrees to abide by CFCAS regulations governing awards as outlined in the Award's Guide.
- Will use the grant only for the purpose for which it is awarded;
- Agrees to abide by regulations regarding animal care, ethical considerations in the use of human subjects in research, biohazards, and environmental impact guidelines;
- Agrees to comply with the CFCAS integrity policy, and authorizes the university, if need be, to release to CFCAS personal information that is relevant to the CFCAS application and award.
- Will acknowledge, wherever possible, CFCAS funding assistance for the research;

All independent researchers playing an important or essential role in the network or project should appear on the application as co-applicants whether or not they are eligible to receive CFCAS funding. A co-applicant's signature means that he/she:

- Agrees to the same conditions as the applicant;
- Agrees that the applicant will administer the grant on behalf of the group
- Will report to the principal applicant on progress and use of any funds transferred for his/her element of the project, in a timely and accurate way.

The signatures of the Canadian university authorities certify that:

- The applicant (or co-applicant) meets the eligibility requirements for CFCAS funding (Section 2.1);
- The university will provide the applicant with the space and basic facilities to carry out the research;
- The university meets the requirements set out in tri-Council policies on Ethical Conduct for Research Involving Humans and Integrity in Research and Scholarship, and respects normal guidelines for the supervision and safety of undergraduate and graduate students involved in research;
- The university complies with the Canadian Council on Animal Care guidelines, where applicable;
- The university agrees to comply with normal data protection requirements and has adequate safeguards in place to protect sensitive information entrusted to it by CFCAS for the purpose of administering applications and awards;
- The university will administer the CFCAS funds on the applicant's behalf, consistent with the provisions of the *Awards Guide*;
- The university will release funds to the applicant once all necessary certification requirements have been met;

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- The university will notify CFCAS of any change in the applicant's status during the tenure of the award.
- The university will enter into any necessary agreements with partner universities, for the transfer (and accounting for use) of funds allocated to a co-investigator at that other institution, by the project or network leader, consistent with the management arrangements for the initiative.

The signatures of authorized officers of other supporting organizations certify that the organization:

- Agrees with the content of the application and will provide the resources it has committed to it, as described in the application and/or the organization's letter of support;
- Agrees to the release of the public summary of the award and to the publication of the organization's name as a supporter of the initiative.
- Agrees that researchers in their employ who are on the project team will be permitted to contribute to the research, as described in the application;

2.6 Certificates, Licenses and Special Forms

The applicant is responsible for obtaining appropriate certifications, permits and licences, required to carry out the research project. These certificates must be obtained within 6 months of the awarding of the grant. Universities will not release funds until the required certificates are obtained. The award may be cancelled by CFCAS if the required certifications have not been obtained within 6 months of the announcement of the award.

Research involving human subjects, animals, biohazards or radioactive materials require appropriate certificates.

2.6.1 Environmental Assessment Requirements

Applicants must complete Appendix A (Environmental Impact) and Appendix B (Environmental Assessment and Pre-screening) if the project involves any kind of work outdoors, including:

- Field work;
- The operation of field or marine stations;
- The use of hazardous substances outside a laboratory that has hazardous waste control procedures;
- Any other activities that may affect the environment.

Research in the Yukon, Northwest Territories and Nunavut may require special licences.

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The purpose of the Environmental Assessment (EA) information is to integrate environmental considerations into decision-making before a decision is made. The approach used in EA is to evaluate potential environmental effects as early as possible in project planning. The assessment provides an analysis that informs decision-makers about the types of potential environmental effects (e.g., on flora or fauna, water courses, soil stability and on human health).

2.7 Privacy, Official Language and Access to Information Issues

The federal *Access to Information Act*, *Privacy Act*, and *The Official Languages Act* do not legislatively bind CFCAS, which is an autonomous foundation; nonetheless, CFCAS voluntarily complies with the spirit of these Acts.

CFCAS safeguards the information provided by Applicants in internal files. Reviewers are instructed to keep all information provided to them as confidential and to use it only for review purposes. Reviewers are instructed to return or destroy the information when they have completed the review process.

2.8 Ownership of Intellectual Property from CFCAS Grants

CFCAS does not retain, claim or exploit intellectual property arising from CFCAS grants. CFCAS policy is as follows.

- (a) Title to all intellectual property created or acquired as part of the Eligible Project is vested in the Eligible Recipient and/or the Recipient's institution in accordance with the policies of that institution.
- (b) The Recipient undertakes to collect, record, control and archive research data, and to make it available to the scientific and professional community and to the federal government in a timely and open manner.
- (c) Should the Recipient decide to pursue commercialization of any result of the research funded by the Foundation, the Recipient must disclose to the Foundation and to their Institution the general nature of the intellectual property arising from the research; the Recipient and the Institution must make every effort to obtain the best economic benefit to Canada from the resulting commercial activity. The onus is on the Recipient to seek patent protection for inventions or software or other developments arising from the research in collaboration with the appropriate Technology Transfer Office of their Institution.

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- (d) If in the Board's sole opinion the Eligible Recipient or his/her institution has failed to take reasonable steps to develop, make available or market the products, processes, tools (including software) or services in Canada to which the intellectual property relates, the Recipient will grant the Foundation a non-exclusive, royalty-free licence in perpetuity to use or sub-license the intellectual property for any purpose. The Foundation may not exercise the license until three years after the project completion date.

2.9 Ownership of Equipment and Materials Bought From CFCAS Grants

All equipment and materials purchased or collected with grant funds belong to the Institution and not to the individual researcher. The Institution is responsible for ensuring that the equipment is used to support the research program of the grantee and co-applicants. Decisions on the use and management of the equipment should be made between the Institution and the grantee or user group.

It is expected that the equipment will be made available to other faculty members and students for their research when not in use by the grantee. Fees may be charged to these users to recover direct costs. Insurance must not be charged to the grants; it is the Institution's responsibility to insure all its equipment and assets.

If foundation-funded equipment is later sold, proceeds from the sale belong to the Institution and must be used for research-related purposes.

2.10 Conflict of Interest for CFCAS Grant Holders

Applicants and co-applicants for CFCAS Grants as well as grant recipients must have no financial or personal interest in any transaction charged against a CFCAS Grant.

2.11 Data Management Policy

CFCAS views the production of datasets for the general community as an important outcome of the research it supports; such data sets are required to ensure the widespread usefulness and lasting legacy of CFCAS-funded work. Hence, the Foundation expects grantees to collect, record, control and archive research data, and to make it available to the scientific and professional community in a timely and open manner. It will support essential costs associated with data management, consistent with this policy.

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Note: A CFCAS data set can be observational measurements or model-derived output, either resulting from CFCAS-funded work or utilizing special observations generated in the course of the research.

3.0 FINANCIAL AND GRANTS ADMINISTRATION

CFCAS funds contribute towards the direct cost of the research project, network or major initiative for which the funds were awarded. The institution is expected to provide indirect or overhead costs, such as the costs associated with facilities and basic utilities, the purchase and repair of office equipment, administration fees, insurance for equipment and research vehicles, and basic communication devices such as telephones, fax machines, *etc.*

CFCAS, the universities and the grantees all have a responsibility to ensure that grant funds are well managed and used properly, effectively, and economically in the interest of supporting excellent research. Accepting CFCAS funding is an implied agreement by the university and the grant recipients that they will use the funds in accordance with CFCAS policies and procedures, and strictly for the purposes for which the award was made. By signing the application, grantees have agreed to perform the proposed project in a manner consistent with that described in the application. Where a conditional award has been offered, the acceptance of a subsequent grant implies that the grantees agree to be bound by the conditions and the revised project plan.

Any use of CFCAS grant funds in a manner that is non-compliant with the regulations outlined in the *Awards Guide* can result in the freezing or closing of the grant account(s) of an individual researchers or even of all of CFCAS's grant accounts with that university. If grant funds are used to pay expenditures contrary to CFCAS policy, they will have to be repaid to the grant account or to CFCAS. Grantees who disregard the regulations outlined in this *Awards Guide*, university policies, or principles of sound financial management risk losing CFCAS funding.

The suspected or potentially fraudulent use of CFCAS funds will be referred to appropriate legal authorities.

In the sub-sections that follow, some of the more common administrative and financial issues are discussed. Not all issues that will arise can be dealt with in this *Awards Guide*. For CFCAS policies regarding items not discussed, and for further clarification of those discussed here, please contact the CFCAS Secretariat.

3.1 Responsibility and Accountability

CFCAS, the universities and grantees are jointly responsible for administration of CFCAS awards. CFCAS defines the framework of rules and regulations within which its funds may be expended. Universities are

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responsible for monitoring the use of funds and interpreting (or seeking interpretations of) CFCAS rules and regulations to ensure they are respected at the institution.

Grantees authorize expenditures in accordance with the purpose of the grant (including any conditions imposed on the award), with CFCAS regulations as outlined in this *Awards Guide*, and with university policies. No one may initiate or authorize expenditures from a CFCAS grant account without the grantee's authority.

Each university establishes appropriate policies, controls, and systems to ensure that CFCAS policies and regulations are followed. The university has the right and responsibility to withhold approval of expenditures proposed by grantees that contravene CFCAS regulations or university policies.

Administrative, personnel and accounting procedures must conform to the standards, practices and policies of the grantee's university. If a university suspects or has evidence that research funds have been used in an inappropriate manner, it must advise CFCAS without delay.

3.2 Grant Notifications and Awards

Notifications of a CFCAS award will be sent to the Applicant and to the university Research Grants and Finance Offices, with a commitment for funding and indicating annual instalments, as appropriate.

Grant funds are sent to the university Finance Office for retention on the grantee's behalf, in a CFCAS grant account. The Business Office maintains custody of the grant funds, manages expenditures authorized by the grantee, and provides periodic reports to the grantee and CFCAS on the status of grant funds.

Where several universities or colleges are involved in the research initiative, the Applicant's university agrees to assume responsibility for administration of the grant and to transfer funds to the other institutions in a manner consistent with the approved budget for the grant.

The university may not disburse any funds on behalf of the grantee until all relevant certification requirements, such as animal care, biohazards, etc., have been met.

University officials must inform CFCAS of any change in the grantee's academic status or any circumstances that affect the tenure of the award(s).

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Each calendar quarter, CFCAS sends the relevant university Finance Office a list of CFCAS grant instalments at that institution for the quarter, and the amount remaining in each award.

CFCAS is not responsible for expenditures or commitments by grantees that exceed the CFCAS funds to their credit at the university for the current and prior fiscal periods.

3.3 Use of Funds

CFCAS funds are provided for research initiatives as described by grantees in their proposals, or as modified by any conditions placed on the award by CFCAS. Significant departures from the budget require advance CFCAS approval. “Significant departures” refer to any deviation from the original objectives or budget categories for specific elements, of more than 20% in a year.

Only the direct costs of research may be paid from CFCAS grants. Grantees who wish to use funds in a manner not explicitly discussed in the *Awards Guide* must consult university grants and business officers to determine university policies in such matters. If there are no appropriate university policies to guide the decision, CFCAS must be consulted for a ruling on the proposed expenditure.

Universities agree to provide the space and facilities to carry out research; CFCAS funds must not be used to pay any part of indirect or overhead costs.

Non-eligible examples include:

- Facilities and basic utilities, including renovations, expansions, heat, air conditioning, light, cleaning, water, or waste disposal (including the disposal of radioactive or hazardous wastes from projects);
- Purchase, repair or maintenance of office furniture and equipment;
- Administrative charges and fees;
- Contributions to “pooled” expenses from which no directly attributable benefit derives to the project or network;
- Transfers to other researchers except a co-applicant as part of the purposes of the project or network;
- Transfers to non-CFCAS accounts;
- Telephone lines and equipment, including installation, purchase and monthly rental;
- Voice mail, cellular phone rental or purchase;
- Monthly or connection charges for access to the university Local Area Network or Internet hook-up charges;
- Communication links from a researcher’s home;
- Monthly parking fees for a vehicle, unless specifically required for field work;

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- Health insurance beyond a provincial plan;
- Life insurance;
- Membership fees;
- Subscriptions and books available in the university library;
- Education-related costs such as thesis preparation, tuition and course fees;
- Costs related to professional training or development, such as computer and language training;
- Costs of regular clothes;
- Entertainment, hospitality (except for workshops), or gifts.

3.3.1 Compensation

Salaries or stipends to research personnel are eligible expenses. Salaries and related non-discretionary benefits should be paid only for work performed on the CFCAS research project or major initiative. Persons paid from CFCAS grants are not CFCAS employees.

Eligible compensation expenditures include:

- Salaries, stipends and related federal, provincial and institutional non-discretionary benefits to graduate and undergraduate students, research associates, technicians, programmers, etc.;
- Salaries for network administrators or managers;
- Salaries for postdoctoral fellows;
- Consulting fees;
- Stipends to visiting researchers not eligible for CFCAS funding for a period of up to three months and to a maximum of \$2,000.00 per month, or at rates comparable to those in effect for granting councils;
- Salaries for employees paid from grants for up to one-month, during a period of long-term disability.

Non-eligible compensation expenses include:

- Any part of the salary or consulting fee of CFCAS grantees or to other persons whose status would make them eligible to apply for CFCAS awards;
- Salaries paid for teaching and other duties not related to research;
- Salaries of secretaries and administrative staff (except those related to the operations of a network, and approved by CFCAS);

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- Any part of the salary or employee benefit plan of the grantee or other person whose status would make them eligible to apply for a CFCAS award;
- Consulting fees to researchers outside Canada;
- Honoraria for guest lecturers;
- Discretionary severance and separation packages;
- Teaching relief;
- Education related costs such as thesis preparation, tuition, and course fees.

3.3.1.1 Parental Leave Policy

CFCAS has adopted the following policy regarding parental leave by research personnel working for grantees:

- 1) CFCAS will allow compensation from grant funds for up to four months of parental leave, at up to 90% of existing salary levels.
- 2) Where an unspent surplus of grant monies exists within the grantee's account, the parental leave compensation must be funded out of these monies. If an unspent surplus does not exist, the grantee may approach CFCAS for a parental leave supplement to make up the shortfall.

The application of this policy will take the relevant university policy into account.

3.3.2 Travel Expenses

Reasonable out-of-pocket expenses may be paid for the grantee, for students working with the grantee, for research personnel employed by the grantee or for colleagues working with the grantee, for trips of less than three months in duration. Costs normally charged to a grant would cover transportation, accommodation, and meals.

Eligible expenses may include:

- Travel costs to conduct field work, to attend research-related conferences and symposia and to collaborate or consult with peers (for periods up to three months);
- Travel costs for visiting researchers, including transportation, accommodation and meals for up to three months;
- Childcare or babysitting expenses while a nursing mother is attending a conference;
- Entry visas;
- Travel cancellation insurance;

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- Insurance costs for vehicle rentals.

Non-eligible expenses include:

- Interview expenses related to recruitment of students;
- Costs for students or the grantee to defend or present thesis results;
- First-class or business-class travel;
- Transportation costs of personal belongings;
- Passport and immigration fees;
- Costs of immunization and medications;
- Health insurance costs.

3.3.3 Moving Expenses

CFCAS has adopted the following policy concerning relocation costs of eligible research personnel and their immediate family members:

Relocation costs for eligible research personnel and their immediate family members will be reimbursed up to the equivalent of economy airfare. All costs must be paid from existing grant monies.

3.3.4 Equipment Purchases and Maintenance

Only equipment specified in the application may be purchased, provided it was not specifically excluded from the award.

Related **eligible** equipment costs include:

- Travel costs to visit manufacturers to select major equipment purchases;
- Brokerage and transportation costs;
- Extended warranties;
- Initial set-up and calibration costs, where required;
- Staff training for equipment use.

3.3.5 Dissemination of Research Results

Eligible expenses in this category include:

- Typing/inputting charges for research manuscripts;
- Page charges for publications in print and/or electronic research journals;
- Reprints;
- Preparation of metadata.

3.3.6 Computers and Electronic Communications

Eligible expenses include:

- Computers, modems, and software directly supporting the CFCAS research initiative;
- Charges for the use of the Internet, directly supporting the CFCAS award.

3.3.7 Miscellaneous Eligible Expenses

Other **eligible expenses** include:

- Advertising costs for recruiting research personnel;
- Organization of workshops, including refreshments or luncheon costs during a CFCAS supported workshop;
- Office supplies directly used in the Project or Network.

3.4 Financial Reporting

Applicants holding CFCAS awards are required to submit annual and final Financial Reports. The annual Financial Report should include expenditures up to March 31 for the year in question. All Financial Reports must contain a Statement of Account (SOA) signed by the grantee. The SOA may be submitted on the standardized form used by the university Business Offices for the federal granting councils.

The Final Financial Report should include all expenditures. The reports may be reviewed and discussed by the Grants Review Committee during its Meeting, and recommendations arising from these discussions may be made to the Board of Trustees.

All CFCAS Project and Network awards made before March 31, 2004 are granted a period of up to 6-months after the original termination date to complete the project commitments. Unspent funds in the grant account can be used for this purpose only. To activate the grace period and to prevent the freezing of unspent funds, CFCAS requires grantees to report unspent funds and indicate how the funds will be expended during the wrap-up period. This report should be received at least two weeks before the original project termination date. A Final Financial Report is required at the end of the 6-month wrap-up period.

All Project awards beginning after March 31, 2004 have a 1-year wrap-up period incorporated into the project duration (i.e., the fourth year). A Final Financial Report is required within at least three months following the end of the fourth year. Funds expended before March 31 of the fourth year will be reported on the Annual Financial Report for that year. Funds expended after March 31 of the fourth year will be reported in the Final Financial Report.

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Other financial reports may be requested as needed. CFCAS reserves the right to audit or verify the records of grant accounts to ensure that sound financial practices are followed, and that expenditures from grants are in accordance with CFCAS regulations and requirements. Examples of records that, as a minimum, must be kept, are described in the sub-sections below.

3.4.1 Compensation and Benefits Records

Supporting evidence should, as a minimum, include items such as:

- Signed records regarding personnel paid from grant funds, including names, categories, salary levels, and length of time supported in each case;
- Details of employee benefits charged and relevant calculations.

3.4.2 Travel Claims

Individual travel claims must be prepared for each trip by the traveller claiming expenses from a CFCAS grant. For claimants other than the grantee, the affiliation with the project must be indicated. Travel claims must conform to the standard travel policies and procedures of the grantee's university and must be countersigned by the department head or dean, or other appropriate official confirming the relevance of the travel to the research funded.

Claims must include the following:

- The purpose of the trip, person(s) or organization(s) visited and the dates of each visit or event;
- Details of daily claims for expenditures, including details of any vehicles used, kilometres driven, and destinations;
- Original receipts, such as detailed hotel bills, car rental agreements and air fare ticket stubs (invoices and credit card slips are not adequate receipts);
- The claimant's signature certifying that all expenditures listed on the claim are for purposes for which the grant was awarded, that charges included have not been claimed from other organizations and that reimbursements for expenditures received from other organizations will be disclosed to the university.

3.4.3 Powered Vehicles

Detailed daily logbooks must be kept of kilometres driven by the researcher for all vehicles used in CFCAS-funded research.

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3.4.4 Equipment and Other Expenditures

Expenditures on CFCAS accounts should be supported by documents such as:

- Supplier invoices indicating details of purchases and prices paid;
- For internal expense allocations or shared expenditures, documentation indicating the exact charge being made, the method of calculation or attribution, and the grantee authorization for costs assigned to the CFCAS account.

3.5 Annual and Final Reporting of Research Activity

CFCAS requires annual Progress Reports covering activities up to June 30 of each year, and a final Report. Progress Reports (7-page maximum for projects; more for Major Initiatives) should include all relevant information on the advancement of the research and any tangible results from the activities supported by the grant. Copies of publications arising from the work should be appended. Reports may be reviewed by the GRC. The next instalment of the award is contingent upon satisfactory progress having been made.

Provided that the most recent progress report is not more than 6-months old, it may be used to fulfill the requirement that applicants and co-applicants for new CFCAS awards must submit status reports on current CFCAS funded research.

3.6 Residual Balances in CFCAS Accounts

Upon the termination or completion of a CFCAS award, there may be some unspent funds left in the grant account. These unspent funds must be returned to CFCAS.

The university must inform the Foundation immediately when a grantee ceases to be eligible to hold CFCAS funding or becomes unable to carry out the research for which the grant was awarded. The following items should be included in this notice:

- Statement of account as of the date of the departure or change in status;
- A detailed list of outstanding commitments made by the grantee prior to termination, including employment contracts for research personnel;
- The grantee's forwarding address if applicable.

CFCAS will make provisions (not to exceed the balance of available funds in the grantee's account) to allow for an orderly phase out of the research and to meet outstanding commitments.

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3.7 Acknowledgement of CFCAS Awards

Grantees are reminded that the CFCAS award must be acknowledged on all publications arising from the grant, in conference presentations and on other appropriate occasions.

4.0 Appeals

The Board of Trustees will entertain appeals of decisions. Such appeals must be submitted in writing within 90 days of the decision being communicated to the applicant, and must provide compelling evidence of errors in the review system or of inequities in relation to other applicants.

If the appeal is deemed admissible, the Secretariat will co-ordinate a review of the case and submit it to an independent senior scientist who is familiar with the Foundation and its peer review process, and has not been involved in the assessment of the application, or the decision process. That person's review and recommendation will be presented to the Board of Trustees for a decision on the appeal. The Board's decision will subsequently be sent, with an explanation, to the applicant.