



Canadian Foundation for Climate
and Atmospheric Sciences (CFCAS)

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

Peer Review Manual

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1.0 The Canadian Foundation for Climate and Atmospheric Sciences (CFCAS)

1.1 History

The Canadian Foundation for Climate and Atmospheric Sciences (CFCAS) was formed in 2000 as a not-for-profit Foundation, through a three-party Agreement among the Minister of the Environment, the Canadian Meteorological and Oceanographic Society (CMOS) and CFCAS.

CFCAS received an initial grant of \$60 M from the Government of Canada in 2000. In 2003 the Agreement was amended and the Foundation received an additional grant of \$50 M. The purpose of CFCAS is to fund excellent research in Canadian universities, which addresses one or more of the following areas:

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

CFCAS is also authorized to provide support on a cost shared basis, for the co-ordination of international scientific activities addressing one or more of the above areas. Total support for this category of initiative is limited to 50% of the amounts required, up to a maximum of \$200,000 per year.

Foundation monies and interest earned on them must be disbursed by March 2011.

CFCAS funding is focused on the following four broad themes:

- Climate Change
- Air Quality
- Extreme Weather
- Marine Environmental Prediction.

1.2 Vision, Purpose and Objectives of CFCAS

CFCAS Vision Statement:

CFCAS 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.

The purposes of CFCAS are to:

- Fund research and modelling in the climate system and atmospheric sciences, including extreme weather and air quality;
- Accept grants, contributions, donations, gifts, legacies and bequests to support these activities;

The objectives of the Foundation, as specified in the Agreement, 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;*
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.*

1.3 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.

¹ Throughout this document, wording taken from the three-party Agreement (as amended Aug. 2003) that established CFCAS is shown in italics.

1.4 Organizational Structure

1.4.1 Members

The Members of CFCAS are the Councillors of the Canadian Meteorological and Oceanographic Society (CMOS). They elect members of the CFCAS Board of Trustees from a slate of individuals nominated by a CMOS committee and by the Minister of the Environment (on behalf of the Government of Canada). The nominating committee, in establishing the slate, consults with:

- Canadian universities prominent in climate system and atmosphere sciences;
- Levels of government other than federal;
- Private sector organizations; and
- Other non-government organizations.

1.4.2 Directors

CFCAS is governed by a 12-member Board of Trustees. The members of this Board are broadly representative, being drawn from:

- Universities (not more than 5 members);
- Private sector organizations (not more than 2 members);
- Levels of government other than federal (not more than 2 members),
- Non-governmental or non-industrial organizations (not more than 2 members);
- International bodies (not more than 1 member);
- Federal government (not more than 3 members).

There must be at least one federal government representative, and at least one appointee from each of the following regions:

- Atlantic Canada (NF, PEI, NS, NB)
- Quebec
- Ontario
- Prairies (MB, SK, AB)
- Pacific (BC)
- Northern Canada (NU, NT, YK).

The Members appoint the Chairperson who cannot be from the Federal Government. The Chairperson is the Chief Executive Officer (CEO) of the Corporation.

1.4.3 Secretariat

Day-to-day administration and management is carried out by a Secretariat headed by the Executive Director, who is the Chief Operating Officer (COO) of the Corporation.

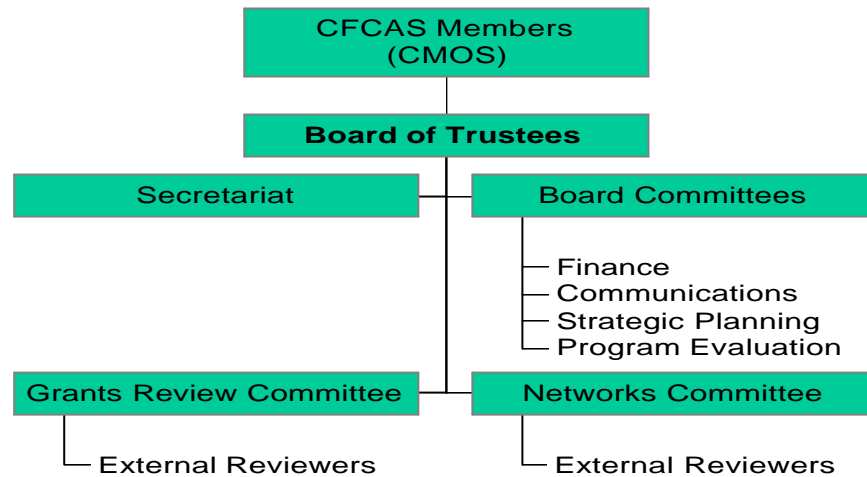


Figure 1. CFCAS Organization Chart

1.5 Budget

The Board establishes a budget for each funding competition, based on past demand, the volume of requests and other factors.

1.6 Relationship with other Agencies and Programs

CFCAS is an independent, not-for-profit Foundation. Its grants are intended to augment Canadian research in the targeted areas and not to replace funding from other programs or agencies.

1.7 Program Evaluation

In 2002/3 CFCAS underwent a mandatory, independent evaluation. From 2003 it will be independently evaluated every 4 years and in the final year of operation. The evaluations determine if the Foundation and its programs are:

- Relevant
- Successful
- Cost-effective

The 2003 interim evaluation was very positive, and made several recommendations that have since been implemented.

2.0 Legal and Ethical Principles

CFCAS Board Members, Secretariat Staff, Members of Grants Review Committees (GRCs) and all persons participating in any portion of the Peer Review process or other CFCAS business are expected to function according to the highest legal and ethical standards in all aspects of their CFCAS responsibilities. The Board has adopted a “Code of Ethics and Conduct of Business for Members of CFCAS Committees” (Appendix A).

2.1 Confidentiality, Non-Disclosure and Communications with the Community

CFCAS Board Members, Secretariat Staff, GRC Members, external evaluators and others involved in the Peer Review Process are provided with documents containing personal and confidential technical information. All information must be held in strictest confidence and suitable protective measures must be taken to guard documents from being seen or used by unauthorized parties. The information in the documents may only be used as part of the official CFCAS review process and for no other purpose. Upon appointment all members must indicate in writing that they understand and accept CFCAS requirements concerning conflicts of interests, confidentiality and non-disclosure. Upon completion of the official purpose for which the documents were provided, documents must either be securely destroyed or returned to the CFCAS.

Members must not enter into discussions with applicants or others concerning applications that are under consideration by CFCAS (except where this discussion is an officially recognised, formal part of the selection process, such as during a Site Visit). Deliberations of committees, results of deliberations or other confidential matters must not be divulged. Enquires received by Members about the review of applications must be referred to CFCAS staff, and there must be no direct communication between applicants and committee Members on matters arising out of the Peer Review process.

2.2 Transparency, Access to Information and Official Languages

Since CFCAS is not a government institution, it is not legislatively bound by:

- *The Privacy Act;*
- *Access to Information Act*
- *The Official Languages Act.*

CFCAS believes in the rights and values protected by these Acts and, by resolution of the Board of Trustees, voluntarily follows the spirit of the Acts to ensure transparency in the functions and deliberations of the Foundation, protection of privacy, linguistic balance and the right of individuals to deal with CFCAS in the official language of their choice.

CFCAS makes public, abstracts of the research initiatives it supports and a list of Awards. These are posted on the CFCAS web site in both official languages.

2.3 Guidelines on Conflicts of Interest

Conflict of Interest guidelines ensure that no Member participates in those decisions, for which he/she might personally derive a benefit, or where there exists a real, potential or apparent Conflict of Interest. Since members in direct conflict are required to leave the meeting room during discussion of the relevant application(s), the guidelines also ensure that the decision-making capacity of the Committee is not impaired by the loss of the Member's participation. The guidelines also protect the Member from any appearance of inappropriate influence on the Committee's decisions.

Before meetings of the Board or GRC, CFCAS staff, in consultation with the Chair and Members, determines what conflicts exist and makes appropriate plans for dealing with them, including:

- Arranging for an alternative Chair to preside over discussions for which the Chair is in conflict;
- Arranging for alternative expertise to be available for those applications where conflicts would leave the Committee seriously short of Members with suitable expertise. Remedies could include:
 - Asking for additional external reviewers for some applications;
 - Bringing in external experts to participate in discussion of a limited set of applications.
- Organizing the meeting so that, wherever possible, certain applications are grouped, to minimize the absence of members from discussions.

The following Guidelines help in determining and managing Conflicts of Interest.

Individual and small group applications:

This applies to applications that have an applicant and no more than 3 co-applicants.

- 2.3.1 When a Member, for personal reasons, feels he/she is in Conflict or is uncomfortable participating in the review of an application from a particular applicant or co-applicant, the Member should declare a Conflict and refrain from being present during Committee discussion of that application.
- 2.3.2 When a member is an applicant or co-applicant on an application, the member should declare a Conflict and refrain from being present during Committee discussion of that application.
- 2.3.3 When a Member is (or was, in the previous 2 years) from the same university, company, or department or belongs to the same research unit as the applicant or a co-applicant, the Member should declare a Conflict and refrain from being present during Committee discussion of that application.
- 2.3.4 When a Member has an administrative or family link with the applicant or a co-applicant, the Member should declare a Conflict and refrain from being present during Committee discussion of that application.
- 2.3.5 When a Member is (or was, in the past 4-years) directly involved in a collaboration with the applicant or a co-applicant, the Member should

declare a Conflict and refrain from being present during Committee discussion of that application.

2.3.6 When a Member was a thesis or post-doctoral supervisor of (or was himself/herself supervised by) the applicant or a co-applicant in the past 6-years, the Member should declare a Conflict and refrain from being present during Committee discussion of that application.

2.3.7 When a Member is part of a large network and there is an application with an applicant or co-applicant from the same node as the Member, the Member should declare a Conflict (Section 2.3.3) and refrain from being present during Committee discussion of that application. The member is not normally considered in Conflict for an application for which the applicant or co-applicant are from a different node, unless the Member is a collaborator (Section 2.3.5) or the granting of the application would have a significant impact on the operation of the network, and indirectly upon the Member.

Applications involving a large group of researchers

For larger proposals (i.e., applications with an applicant and more than three co-applicants) strict enforcement of the above guidelines could result in an impairment of the committee's function by removing from discussion a large fraction of the membership. For these cases, the less restrictive 2.3.8 may replace 2.3.3.

2.3.8 For large proposals involving several departments in different universities, and at the discretion of the Committee, a member from the same university as one or several of the co-applicants (but not the same department) may participate in the Committee discussion of that application and vote.

3.0 Overview of Peer Review

Peer Review is a widely used and important tool in the technical and academic worlds for reviewing and evaluating research proposals, scholarly manuscripts, scholarship applications, academic appointments and promotions, and for many other technical decision-making processes.

3.1 Principles and Practices of Peer Review

Evolving knowledge and the understanding of complex technical issues is vital to the well-being of our society in innumerable ways. Leading edge research is the mechanism providing the understanding to allow new and unpredictable challenges and opportunities to be addressed. While a general linkage between research and well-being is obvious, it is impossible to predict exactly how current research will specifically impact the future. However, the funds that can be invested in research are limited, and choices about what research to support must be made. Peer Review is the traditional way to make these subjective choices.

At the core of any Peer Review process is the individual “Peer” who is selected principally for his/her expertise and judgement and in whom is entrusted the vital task of providing advice, and of making choices.

To enhance the quality of this subjective judgement, a committee of peers is frequently brought together in the belief that their collegial judgement, and the resulting advice, is more reliable than that of the individual peers.

Each member of the Peer Review Committee must participate fully in the deliberations of the committee, freely expressing his/her considered opinions, listening to the views of other members and actively and fully participating in the debate. In an interdisciplinary committee it is especially important that no member defer to the views of another member, solely on the basis that the other member’s “expertise is more relevant”. Members must challenge each other to be rigorous and present logical arguments in support of their opinions. Only by the active participation of every member, will a collective judgement emerge from the deliberations of the Peer Review Committee.

3.2 Pitfalls in the Practice of Peer Review

For all the strengths and advantages of the committee-based Peer Review process, there are pitfalls that committees can fall into, thus potentially impairing the quality of their collective judgement.

A number of subtle biases or tendencies can inadvertently direct committees in particular directions, resulting in some worthy projects not receiving adequate consideration. Some of these pitfalls may include:

- Being overly conservative and favouring “safe” but routine projects over highly innovative, but risky ones;
- Trying to spread the available funding around and recommending small projects over large ones;
- Attempting to balance regional, discipline, or other factors (not part of the selection criteria) in the list of projects recommended;
- Putting undue emphasis on established researchers versus new promising researchers;
- Overlooking deficiencies in an application based on the outstanding reputation of the applicant and/or co-applicants;
- Favouring particular types of research (e.g. fundamental versus applied, and “school of thought” biases);
- Favouring large institutions over small ones;
- Other, more “classical” biases, such as gender, race, age, language, region, etc may also appear, but often in very subtle, non-overt ways.

It is important that committee recommendations be based on the published selection criteria, and all Members must be vigilant to ensure that other factors do not inadvertently creep into the deliberations.

In a highly competitive environment for limited funds, committee members may sometimes fall into the trap of “negative thinking”, i.e. trying to find reasons to eliminate projects. It is important also to recognize that factors such as “fatigue” can mean that projects discussed at the end are not considered in the same way as those discussed at the beginning of a session. A balanced approach, and an ever-vigilant membership is the best safeguard to an equitable Peer Review process.

3.3 Roles and Specific Responsibilities

3.3.1 Chairperson of the Board of Trustees

Roles and responsibilities of the Chairperson of the Board of Trustees, regarding the peer review process include:

- Presiding over discussion of Letters of Intent at meetings of the Board of Trustees;
- The Chairperson or a designate will be present during discussion of the applications from Members of the GRC.

3.3.2 CFCAS Board of Trustees

Roles and responsibilities of the Board of Trustees, regarding the peer review process include:

- Policies governing the Peer Review Process;
- Approval of all grants;
- Review of Letters of Intent (LOI);
- Consideration of appeals.

3.3.3 Grants Review Committees (GRCs)

The GRC is the heart and soul of the CFCAS Peer Review Process. The GRC members collectively review and discuss all applications for CFCAS Project Grants (< \$300,000) or invited Applications for Major Initiative Grants (\$300,000). A GRC ranks the applications according to the Selection Criteria, and makes funding recommendations to the Board of Trustees. Rankings and recommendations of the GRC are a collegial decision arrived at usually by consensus, but by a majority vote if necessary.

3.3.4 GRC Chair

As a GRC Member, the Chair participates in the discussions and decisions of the GRC, as any other Member, but is normally assigned as an internal reviewer to a reduced number of applications. In addition to his/her role as a Member, the Chair has other responsibilities. These include:

- The “Steward” for maintaining the integrity of the Peer Review Process, and for the effective operations of the GRC;

- In consultation with the CFCAS Science Officer, advising on the assignment of internal and external reviewers for the applications, and on any other special procedure in place;
- In consultation with the CFCAS Science Officer and CFCAS staff, advising on Conflicts of Interest within the Committee and planning procedures to manage these (including identifying an alternative Chairperson(s) to preside over discussions where the Chair is in Conflict of Interest);
- Chairs all GRC meetings. This involves briefing members on evaluation procedures, conducting policy discussions, reviewing final reports on completed grants and assigning external reviewers to applications as required. Most importantly the Chair will guide the evaluation of applications according to the CFCAS criteria and ensure that each application receives an orderly, fair and complete evaluation. In order to do so, the Chair should be familiar with all the proposals being considered.
- Provide advice to, and consult with, CFCAS staff and others having responsibilities for drafting policies and procedures;
- Coordination and reviewing of comments to applicants to ensure that they accurately reflect the full committee discussion and consensus rather than just the views of a single member;
- Spokesperson for the GRC in presenting and defending the recommendations of the GRC to the Board of Trustees;
- Preparing an annual report on the workings of the deliberations of the GRC, including suggestions for improvements.

The work of the Chair is extremely important to the effective operations of the GRC. It is a delicate balance of advocate, advisor, steward and critic. The Chair and CFCAS staff work together to facilitate the evolution of the Peer Review Process by monitoring the quality of the Peer Review and the development of appropriate policy guidelines and procedures.

The Board of Trustees appoints the Chair.

3.3.5 GRC Members

Committee membership was designed to provide broad coverage of the areas of research that were anticipated in the current and future grant proposals. Committee members are expected to participate in the discussion and rating of all applications received within the bounds of conflict of interest guidelines. They should not feel inhibited about commenting on, or asking questions about applications in disciplines remote from their own. The ability to recognize good or bad research is not limited by discipline boundaries, and it is frequently a member from another discipline who asks the most penetrating questions or makes the most cogent observations. It is also important that members not see themselves as advocates for their own disciplines. Only by fair and open discussion of all applications by all members will the very best proposals be selected for funding.

Specific responsibilities include:

- Reading the “Code of Ethics and Conduct of Business for members” and taking any necessary compliance steps (including signing and returning the “CFCAS Confidentiality and Non-Disclosure Declaration”);
- Scoring applications to which the member has been assigned as an Internal Reviewer for the initial ranking process;
- Providing in-depth evaluations during committee discussions, for a subset of the applications for which the member has been assigned as an internal reviewer;
- Reading all applications and participating in committee discussions (except for those applications for which the member is in Conflict of Interest);
- As designated by the Chair, preparing comments to certain applicants, that accurately reflect the committee consensus (these applications will usually be ones for which the member has been designated an internal reviewer);
- Responding to staff requests for additional comments or information after the committee meeting, if required;

3.3.6 CFCAS Science Officer

The CFCAS Science Officer will be responsible for the administrative aspects of the peer review process. He/she will provide support for the committee including:

- Providing interpretation on matters of CFCAS policy.
- Ensuring that the committee has at its disposal all information required to make informed judgments.
- Monitoring the quality and consistency of the peer review.
- Serving as an interface between the CFCAS and the research community
- Administering grant awards
- Putting together reference material for use by the committee, and assisting the committee with its use.

3.3.7 CFCAS Staff

The CFCAS Secretariat is responsible for the day-to-day management and administration of the CFCAS. These responsibilities include (but are not limited to):

- Administration of awards and grants;
- Corporate policy, research integrity issues and ethics;
- Maintenance of proper financial and administrative documentation and records;
- Press releases and providing CFCAS information to the public;
- Correspondence, comments and other documentation to applicants;

- Travel and hotel arrangements, including the processing of travel claims;
- Administration of the Peer Review process, including information from external and internal reviewers, provision of honoraria, etc.

3.3.8 Applicant and Co-Applicants

The applicant on a CFCAS proposal is the administrator for the proposal and any resulting grant. He/she is CFCAS's primary contact for communications regarding the proposal and any resulting grant (some matters may also require contacts with university grants and business officers). The applicant:

- Certifies that the information provided in the application is complete and accurate to the best of the his/her knowledge
- 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's funding assistance for the research;
- Will report as required, on research progress and financial disbursements including the use of any funds transferred to co-investigators at other institutions.

All independent researchers, whether or not they are eligible to receive CFCAS funding, who play an essential role in the network or project should appear on the application as a co-applicant. Co-applicants:

- Agree to the same conditions as the Applicant;
- Agree the applicant will administer the grant on behalf of the group;
- Agree to provide the applicant with information on the co-applicant's part of the project, including the use of any transferred grant funds.

4.0 Peer Review of Grant Applications to the CFCAS

4.1 Types of Grants awarded by CFCAS

The CFCAS awards Major Initiative Grants (including Networks) and Project Grants. From 2004 the majority of its awards are focused on major initiatives.

4.1.1 CFCAS Major Initiative Grants

CFCAS will consider Major Initiative proposals (including networks) requesting in excess of \$300,000. These applications are evaluated according to the eligibility requirements described in Section 4.6, and the selection criteria in Section 4.7.

Major Initiative Grants involve groups of researchers and include Networks for co-ordinated and frequently multidisciplinary activities of research teams based at different institutions or agencies.

Major initiative grants are assessed through a two-stage process. Applicants must first submit a Letter of Intent (LOI), which will be reviewed by the CFCAS Board of Trustees. The Board of Trustees may recommend that two or more proposals of similar or complementary nature consider submitting a combined application. Those applicants with successful LOIs will be invited to submit a full application, which will be reviewed by a Grants Review Committee (GRC).

There will be two deadlines per year for letters of intent. The deadline for submission of full requests will be approximately 6 months after applicants have been notified of successful LOIs.

4.1.2 CFCAS Project Grants

CFCAS will consider proposals from small groups or individuals, for research projects totalling up to \$300,000. These applications will be evaluated according to the eligibility requirements described in Section 4.6, and the selection criteria in Section 4.7.

The Grants Review Committee reviews proposals for CFCAS Project Grants. There is one project grants competition each year.

4.1.3 Grant Supplements

CFCAS will consider requests for Supplements for logistical or field costs of an unusual or particularly heavy nature, when required for implementation of the research. The supplements could be of the following type:

- Heavy travel costs or charges associated with use of a special research facility or shipping of equipment or heavy field costs that cannot be accommodated within the project budget.

A request for supplement (normally up to \$100,000) must accompany the project application and will be discussed by the GRC during its normal deliberations.

4.2 Project versus Program Funding

The CFCAS Project Grants are for Research Projects rather than Research Programs. Characteristics of Research Projects include:

- Specific objectives and a plan to achieve research objectives and anticipated outputs;
- A budget related to achieving the objectives;
- Milestones and timelines describing how and when the objectives are expected to be achieved;
- Progress and final reports.

CFCAS Project Grants must be “fully funded” (which does not necessarily imply that funding will be at the full level requested). The GRC will recommend the amount of funding required to achieve those objectives of the project that the GRC wishes to support. The amount of the request will not be reduced in an arbitrary or “across-the-board manner”, however, a reduced award may be recommended if the GRC determines that:

- A specific budget item(s) is (are) excessive.
- An identifiable item(s) is (are) not necessary to achieving the objectives of the project.
- There is an element, which the GRC does not recommend for support.

4.2.1 Conditional Awards

The GRC may recommend a conditional award if it deems the request generally deserving of support, but where there is:

- An element of the request that is not sufficiently justified;
- Uncertainty about an element in the methodology, in project staffing or in access to essential data, need for complementary expertise or for support from a partner agency;
- A need for proof of concept or other interim progress to justify one or more years of the requested grant.

The GRC must not attempt to “second guess” applicants, or to “micro-manage” projects. When the Board makes a Conditional award, the conditions will be communicated to the applicant, who may then choose whether or not to accept the Conditional Grant. The applicant will be provided with the opportunity to provide the information necessary for release of the full award. Grants may also be recommended subject to receipt and approval of further information (e.g., revised milestones in cases where the GRC recommends a major change to the project). CFCAS staff will normally

consult with the GRC Internal Reviewers and the GRC Chair in deciding if and when the conditions have been met.

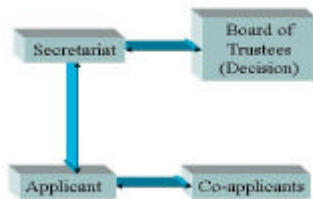
4.3 The Review Process

All full applications are reviewed by an interdisciplinary Grants Review Committee, which is provided with the reviews of expert external referees. **Figure 2** depicts schematically the CFCAS Peer Review process for both Letters of Intent (LOIs), and Project Applications.

All Letters of Intent for major initiative proposals are reviewed by the CFCAS Board of Trustees, which decides whether or not to invite a full application. Some Major Initiative applications will receive a site visit.

The GRC reviews all applications (and has the benefit of external referees' comments and any Site Visit report). It makes funding recommendations to the CFCAS Board of Trustees. The Board of Trustees makes funding decisions.

Letters of Intent



Grant Applications



Fig. 2. The review process for Letters of Intent (top figure) and for Project Applications or full Major Initiative proposals (bottom figure).

The figure represents the flows of information during the proposal preparation, adjudication and reporting processes. Site visits are done on a selective basis only.

4.4 Letters of Intent (LOIs)

LOIs are required before submitting Major Initiative proposals. The Board of Trustees reviews LOIs. A full application will not be accepted for review unless the Board of Trustees has approved the initiative and invited a full proposal.

Following review of each LOI by the Board of Trustees, written comments will be provided to the applicant. For LOIs that are not accepted, the reasons will be given along with suggestions, if appropriate, on how the LOI (and the proposed initiative it represents) might be improved. The applicant is free to submit a revised LOI in a future competition.

For LOIs that are accepted, the written comments will give suggestions, where appropriate, of specific issues to be addressed in a full application. Acceptance of an LOI by the Board of Trustees means only that a full application is invited for detailed consideration; it does not imply funding.

4.5 Full Applications

Invited applications for Major Initiatives will be reviewed by the GRC, which will take the Board's comments into account to ensure that its concerns have been adequately addressed.

4.6 Eligibility

CFCAS staff is responsible for confirming the eligibility of individuals and institutions. If a question of eligibility arises during GRC deliberations, this should be brought to the attention of CFCAS staff, and the application treated as though it were eligible. Staff will investigate and resolve the issue of eligibility before any grant is made.

Both the GRC and CFCAS staff is responsible for ensuring that research and associated costs are eligible. Eligibility was stipulated in the three-party Agreement.

4.6.1 Eligibility of Projects

Eligible Projects

Eligible projects are scientific studies that address one or more of the following areas:

- 1. Understanding key climate system processes including greenhouse gas sources and sinks;*
- 2. Understanding key meteorological and atmospheric chemistry processes that impact air quality;*
- 3. Understanding the probability of occurrence and/or improving the*

- prediction of extreme and hazardous weather;*
- 4. 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;*
 - 5. Improving knowledge of ocean and atmospheric processes leading to better marine environmental predictions.*

4.6.2 Eligibility of Recipients

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 may be able to receive funds. Not for profit organizations that are federated or associated with universities will be regarded as integral parts of their parent institutions.

Eligible Not-for-profit Organizations

Not-for-profit Organizations that have demonstrated their capabilities to support and conduct research 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.

Excluded Recipients – International Collaborators

If a co-applicant is not affiliated with a Canadian university or other Canadian degree-granting institution and is involved with collaborative networks of researchers, 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.

4.6.3 Eligibility of Costs

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. 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).

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 scientific activities (e.g. atmospheric data collection);
5. All project capital costs eligible under the Canada Foundation for Innovation or Technology Partnerships Canada the value of which exceeds \$200,000;
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.

4.7 Selection Criteria

The six Selection Criteria to be used for evaluating grant applications to the CFCAS were stipulated in the three-part Agreement.

The role of the GRC is to evaluate and rank applications so that the applications ranked highest overall are the ones recommended for funding. The application of the criteria is to be applied on a relative basis, with the proviso that absolute standards of excellence must be met for all applications being recommended for funding.

4.7.1 Science

The proposal must be scientifically sound.

The Science criterion should be assessed on factors such as:

- The significance of the scientific issues and technical challenges being addressed in the project.
- 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 judged from both short term and long term perspectives.
- The appropriateness of the project's design and techniques proposed.

4.7.2 Expertise

The proposal must demonstrate the proponent's capacity and capability to deliver the project

The Expertise criterion should be assessed on:

- The stature and research accomplishments of the applicant and co-applicants and their potential to perform the proposed project;
- The appropriateness of the assembled expertise in terms of the proposed project and its 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 a university department must be taken into account.

4.7.3 Targeted

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

The Targeted criterion must be assessed on the significance of the potential contribution of the project to one or more of the following:

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

Consideration should also given to the degree to which research results are likely to be used by the receptor community, particularly in terms of providing advice of policy relevance.

4.7.4 National

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, occurring mainly in certain regions might be viewed as “regional” in their focus; however there may be important national consequences and impacts associated with these types of projects, and these should be considered for the purposes of this criterion.

4.7.5 Funding

The proposal should justify the need for Foundation funds and demonstrate how it is leveraging funds from other sources.

The Funding criterion should be assessed on factors such as:

- The need for CFCAS funding;
- The work being proposed does not duplicate existing funding, and the project is separate or incremental to other work being done;
- The potential for knowledge and technology exchange and the plan for dissemination of research results to the receptor community;
- The clarity of the project descriptions;
- The use of CFCAS funds to leverage funds from other sources;
- The justification for the level and duration of funding requested *vis-à-vis* the stated objectives;
- A clear account that the relevant research management and coordination issues have been adequately addressed, especially for large collaborative projects;
- Plans for collaboration and communications among the researchers;
- The availability of required equipment and infrastructure;
- The coherence of activities, milestones, timelines and deliverables;
- The probability of achieving the project objectives in the proposed time frames.

4.7.6 Collaboration

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

The collaboration criterion does not necessarily preclude a recommendation to fund a Project that has no co-applicants. A positive factor in the review of such a project would be that it would make future collaborations more likely.

The Collaboration criterion should be assessed on factors such as:

- The potential for synergistic interactions among the team elements;

- The credibility of each participant as a member of the team and a clear description of the contribution of each member;
- The interdisciplinary nature of the collaboration, and the potential for cross fertilization of scientific and technological understanding;
- The bringing together of researchers from different research sectors (academic, international, governmental, and industrial).

4.8 The Evaluation Process

The efficient and equitable operation of the evaluation process is vital to achieving the goals and objectives of CFCAS. All participants in every part of the evaluation process must take personal and collective responsibility for the integrity of the process, to ensure that the most meritorious applications, as measured against the criteria, are the ones recommended for funding.

The GRC is expected to provide ranked listings of the applications recommended for funding and appropriate written comments on them, as warranted. This information is provided to the Board of Trustees, which is responsible for approving grants.

4.8.1 Joint Evaluation with other Funding Agencies

Applicants may seek partial funding from CFCAS and from another agency. The Foundation encourages interdisciplinary research, which may involve collaboration with researchers whose work is supported by other agencies. Normally, funding agencies will require that the application be evaluated according to criteria set by the respective agency and program; that is, each funding agency will evaluate the application according to their custom. In some cases CFCAS and other agencies will perform joint evaluations for all or part of the Peer Review process (e.g., site visits). Staff will implement joint evaluation mechanisms on an *ad hoc* basis.

An application requesting joint funding will be evaluated by the GRC according to CFCAS program criteria. If appropriate, the GRC may recommend funding, conditional on the approval of a grant from the proposed funding partner.

4.8.2 Site Visits

CFCAS reserves the right to conduct site visits for any application. Factors considered in determining whether or not to carry out a site visit include the amount of funds requested and the complexity of the infrastructure and management required for the network or project. Normally, site visits are limited to invited (Major Initiatives) applications.

Where appropriate, site visits are conducted jointly with other potential funding partners. Site visits should not be used to resolve issues that should have been adequately addressed in the application. An *ad hoc* site visit committee will be established as required. If appropriate, the same site visit committee may visit more than one team of applicants. Membership should

include at least one GRC Member, and may also include experts who are not GRC Members, as well as representatives nominated by potential funding partners. The site visit committee will prepare a written report as input to GRC discussion.

4.8.3 Policy Meeting of the GRC

Policy Meetings are generally held during the Competition Meeting, to allow the GRC to:

- Discuss, establish and revise policies and procedures for the effective and equitable operations of the GRC;
- Provide a critical review of the operations of the GRC, with a view to continuous improvements and constructive suggestions;
- Provide feedback to the CFCAS staff and the Board of Trustees on the workings of the GRC and on policies and procedures.

4.8.4 Assignment of Internal Reviewers

Shortly after applications have been received, the CFCAS Science Officer, in consultation with the GRC Chair, will assign three GRC members as 'Internal Reviewers' to each application. The first two Internal Reviewers are assigned on the basis of their expertise. The third reviewer will be assigned randomly and to balance members' workload. No member in Conflict of Interest (see Section 2.3) will be assigned as an Internal Reviewer. Immediately upon receiving their assignments, members should determine whether they have inadvertently been assigned an application for which they are in Conflict of Interest and immediately notify the CFCAS Science Officer if this is the case.

Members must score applications and submit these scores on the form supplied, for all applications for which they are Internal Reviewers (see the instructions for the initial evaluation given in Section 4.8.6).

Members should arrive at the competition meeting prepared to lead discussion on the sub-set of applications for which he/she is the Internal Reviewer. Following discussion, an Internal Reviewer will be asked by the Chair to prepare comments to be provided to the applicant eventually. These comments are submitted to the Science Officer during or immediately following the meeting.

4.8.5 Selection of External Reviewers (Referees)

Reports from referees augment the expertise available to the committee and allow a wider participation of the research community in the Peer Review process. Referees normally see only one or two applications in the competition and are not able to provide a relative ranking of applications (that function is the exclusive responsibility of the GRC); nonetheless, referee

reports are an important input to the GRC members and assist them in arriving at the ranking of applications.

One or more of the Internal Reviewers will be asked to provide a list of recommended external referees shortly after applications have been received. Normally, referee reports will be sought from 4 external referees. If appropriate, two should be selected from the list proposed by the applicant. No referee who is known to have a conflict of interest should be selected.

4.8.6 Competition Meetings

The competition meeting enables the GRC to review and discuss applications, and to prepare funding recommendations to the CFCAS Board of Trustees. GRC meetings are scheduled approximately three months after the deadline for grant applications or receipt of invited applications for Major Initiatives. There are one to two competition meetings each year, normally lasting 3-4 days.

For regular competitions, a ranking is established at the beginning of the GRC meeting. Each application will have been assigned to three committee members (see Section 4.8.4). Those members will have scored the applications before the meeting, using the process described in Section 4.8.7. Scores are sent in advance to CFCAS for compilation. The ranking is available at the GRC meeting, and serves as the starting point for discussions.

Members should have read all applications (except those for which they are in conflict) before the meeting. All applications will be discussed, though the time devoted to them will not necessarily be equal. Following the initial ranking, the GRC may choose to eliminate some applications from further consideration. For these applications, one of the Internal Reviewers will be designated to prepare comments for the applicants, to reflect the GRC reaction to the application. Guidelines on preparation of comments may be found in Section 4.8.9.

The GRC will continue discussion of applications still in competition, and make ordered lists of those to be recommended for funding. The GRC may choose to create several ordered lists, for example:

- Those recommended for funding as “must fund” (the “A” list);
- Those recommended for funding if possible (the “B” list);
- Those not recommended for funding (the “C” list)

4.8.7 Initial Ranking Process for the Competition Meeting

On each of the first three criteria (*i.e.*, Science, Expertise and Targeted, see Section 4.7), each internal reviewer is assigned a budget of scores, from 1 to 5 (1 is low; 5 is high). This budget of scores, which is a function of the

number of applications assigned to each member, will be deduced from a normal distribution (**Table 1**). While a normal distribution has been selected for its convenience, the integrity of the Peer Review process does not depend on the particular choice of an initial distribution.

Numerical Score	Percentage of the applications having this score
5	6.7
4	24.2
3	38.2
2	24.2
1	6.7
Total	100%

Table 1. A normal distribution of scores.

Members must adhere to the budget of scores that they are given. The integrity of the Initial Ranking process depends on all members strictly following the procedures. It is important to recognise that the scores are relative to the set of applications assigned to a particular member and they are not absolute scores; if one assumes that the quality of the sub-set of applications assigned to any particular member may be expressed by a normal distribution, scores from all members may be combined (by averaging for each criterion and adding the averages) to give a normal distribution in quality for the set of all applications.

For the three remaining criteria (i.e. National, Funding and Collaboration, see Section 4.7), it is recognized that a strictly numerical scoring may be problematic, hence members are asked to rank these as: high, medium or low (with no restrictions on the number in each category). These ratings are discussed, along with the numerical scores, during the initial and subsequent ranking processes.

Members will be given a rating sheet that must be completed and returned by the specified date to allow CFCAS staff to combine scores and prepare spreadsheets to be available to members at the start of the competition meeting. When a GRC member has an application in the competition, the scores given their application will not appear on their spreadsheet. Other members should be careful not to reveal where the application is ranked.

The full committee will have the opportunity to discuss every application during the competition meeting. This includes applications that fall below the “cut off” for further review as the result of a low score in the initial ranking.

4.8.8 Review of Applications from GRC Members

Applications for which GRC members are either an applicant or a co-applicant will be grouped together and discussed at a convenient time. During these discussions, the Chairperson of the Board of Trustees, or designate (generally a senior member of Secretariat staff) will be present to observe the process.

During the Initial Ranking, applications submitted by members will be handled like other applications, but committee discussion will be held in the absence of the member. The member must not know who the three internal reviewers are, and the scores for their application must not be revealed to them. The specific member must not be present for any subsequent discussion and the ratings, as well as the identity of the internal reviewers must remain confidential. If the member's application is in the A or B category, the A or B-list should be ranked without the member's application, which will then be inserted into the ranked list with the member absent from the room. The Chairperson of the Board of Trustees, or designate, will be present to observe discussion of member's applications.

4.8.9 Committee Reports and Preparation of Comments to Applicants

The GRC should prepare constructive and specific comments to applicants whenever this is required to explain a committee recommendation or to provide helpful advice on the applicant's research proposal. Where funding has been recommended, the report of the Committee should provide the Board of Trustees with the ranking and sufficient detail to allow the Board of Trustees to make informed funding decisions. Where the recommended funding is less than that requested, the record of evaluation should clearly state what was reduced, and why. This information is essential both for the Board of Trustees, and for the applicant. Depending on the outcome of the Board of Director's deliberations, the comments to the applicants may need to be revised following the Board of Director's meeting.

If no funding has been recommended the comments to the applicants are of vital importance to the researchers in both providing them with the rationale for the GRC decisions, and with the feedback necessary to improve future applications.

The GRC should provide comments primarily on those aspects of the proposal that are important in arriving at the GRC's recommendation. Both strengths and weaknesses are appropriate for comment. The comments should also address any apparent discrepancy between the GRC's recommendation and the referee reports in order to provide a clear understanding of the GRC evaluation. Once approved, the written comments will be sent by CFCAS to the applicant.

Comments should:

- Be clear, and convey the exact message the GRC intends;
- Reflect the GRC/Board of Trustees discussion, not just the opinion of the member preparing the comment;
- Be sufficiently detailed to be of use to the applicant. For example, comments such as “applicant did not rate as highly as others in the competition”, while obviously accurate, are not helpful.
- Not contain belittling language.

4.8.10 Budgets in Applications

When recommending funding, the GRC must ensure that the budget amounts are adequate for project implementation, consistent with “Full Project Funding”. The amounts should not be cut so that more projects can be funded, however specific items may be eliminated or reduced if they are not essential to project objectives. In deciding on any budget modifications, the GRC must not “second-guess” or “micro-manage” the proposal. Members should also be aware that the cost of equipment and other items vary according to location, size of the university, and other factors. The GRC must take care in using anecdotal or personal experience when judging budget items.

4.8.11 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 GRC considers it appropriate and 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 quotations from suppliers.

Note: CFCAS does not fund major research facilities.

4.8.12 Logistical and Field Costs

From 2004, project applicants can request supplementary support for unusually heavy logistical or field expenses. Such requests are submitted at the same time as the project application. In making its recommendation, the GRC must also provide a recommendation on whether the supplement is justified and for how much.

4.8.13 Management of Research Initiatives

The adequate management of Major Initiatives and Projects, especially those that are complex and involve different organizations, is extremely important to a successful outcome of the funded research. Adequate resources must be available to meet the various management needs. These resources may include:

- Administrative (human) resources;
- Travel, meetings and communications resources (including metadata);
- Infrastructure and other cost.

Some of these costs may reasonably be expected to be covered by the institutions involved, however, there are many costs that are not covered and the GRC must consider these needs in their deliberations.

4.8.14 Data Management

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.

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.

4.8.15 Review of Progress and Final Reports

Applicants holding CFCAS Grants (Major Initiatives and Projects) are required to submit annual Progress and Financial reports, as well as Final Reports. The annual Financial Report should include expenditures up to March 31 of each project year; the Final Financial Report should include all expenditures during the life of the project. The annual Progress Report should cover activities for work to June 30 of each year. It and the Final Report should include copies of publications, reports and other relevant documentation and a report of tangible results from the research activities supported by the grant. The annual and final reports will also be part of the input to the GRC for any new or renewal grant applications from participants (applicant and co-applicants). Progress reports may be reviewed and discussed by the GRC during its Competition Meeting, and recommendations arising from these discussions may be made to the Board of Trustees.

4.8.16 Funding Recommendations

The funding recommendations made by the GRC to the Board of Trustees, along with the ordered list of projects, must be made in sufficient detail to provide the Trustees with the rationale for the recommendations. This should include an account of the strengths and weaknesses of the applications as well as any conditions that the GRC believes are relevant.

The Board of Trustees is not bound to accept the recommendations of the GRC. The Chair of the GRC will be present as a non-voting Member of the Board of Trustees (except where in conflict).

4.9 Reporting of Success Stories

CFCAS endeavours to highlight the impacts and contributions arising from research it has funded. GRC Members are asked to inform CFCAS staff of any success stories that they become aware of in the course of their duties.

Publicizing these success stories is an effective way for CFCAS to communicate the tangible benefits of research to the general public, industry, members of parliament, and government officials.

4.10 Appeal of Decisions

The Board of Trustees will entertain appeals of decisions. Such appeals of decision 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.

APPENDIX A

Code of Ethics and Conduct of Business for Members of CFCAS Committees

A.1 Introduction

The Code of Ethics and Business Conduct (Code) for Members of CFCAS Committees is adapted to the particular circumstances of the CFCAS, from a Code of Ethics originally developed by NSERC.

Every member of a CFCAS committee is required to read the Code and related documents (e.g., Guidelines on Conflict of Interest, in the Peer Review Manual) and observe their provisions throughout the member's Mandate on the committee.

The Executive Director of CFCAS is responsible for the application of the Code. Members may seek assistance from the Executive Director or designate in interpreting the Code as necessary.

A.2 Role of Committees

The role of Grants Review Committees is to oversee and carry out the work of peer review, to make recommendations to the Board of Trustees on awards to individuals or groups, and to advise the Board of Trustees on specific policies and programs.

To be effective, committees must be composed of knowledgeable individuals who do, manage or use research; consequently, Members may themselves be recipients of CFCAS awards, senior administrators of universities that benefit from CFCAS support, officers of companies that are, have been, or could become involved in funding relationships with the CFCAS. Members are appointed as individuals: they are not advocates or representatives of their discipline(s) nor delegates of any organisation. Their duty is to make the best possible objective decisions on the strategic investment of CFCAS funds in research.

A.3 Objective

The Board of Trustees believes that a strong code of ethics and business conduct ensures that its operations and decisions continue to merit the trust and confidence of the public, governments, the academic community and CFCAS' client communities. Confidence in CFCAS is nurtured in a consistently ethical environment where the right actions are routine, the public good comes first, integrity is demonstrated in behaviour and the truth is valued, acted upon and communicated appropriately with openness.

The Code is designed to enhance public confidence in the integrity, objectivity and impartiality of committee members and in committee decision-making, while enabling competent persons with current experience to accept advisory roles and responsibilities:

- By establishing clear guidelines respecting conflict of interest;
- By providing for the resolution of conflicts in the public interest.

The Code requires individuals to practice ethical behaviour and to disclose real, potential, or apparent conflicts of interest.

A member is in conflict if the member could personally benefit from a committee decision or when private interests conflict with public duties as a committee member. The Code provides the context for the existing CFCAS guidelines on conflict of interest relating to peer review activities.

CFCAS recognizes that the first guardian of ethical behaviour in the event of a conflict of interest is the individual member involved: the second guardian is the committee as a whole. Rules of disclosure and procedure can assist Members to meet their obligations, but only if they choose to invoke them and to follow them to the letter and in the spirit in which they were formulated.

A.4 General Principles

In carrying out their committee-related duties, Members of CFCAS committees shall:

Ethical Standards

Act with honesty and uphold the highest ethical standards in order to honour and enhance public confidence in CFCAS's ability to act in the public interest and for long term public good.

Public Scrutiny

Perform their official duties and arrange their private affairs in a manner that will bear the closest public scrutiny, an obligation that is not fully discharged by simply acting within the law.

Decision-Making

In fulfilling their official duties and responsibilities, make decisions in the public interest and with regard to the merits of each case.

Private Interests

Disclose any private interests that could be affected particularly or significantly by CFCAS actions or that could put ethical practice at risk.

Public Interest

Arrange their private affairs in a manner that will prevent real, potential or apparent conflicts of interest from arising. If such a conflict does arise between the private interests of a Member and the official duties and responsibilities of that Member, the conflict shall be disclosed and resolved in favour of the public interest.

Gifts and Benefits

Not solicit or accept transfers of economic benefit, other than incidental gifts, customary hospitality, or other benefits of nominal value from persons, groups or organizations having, or likely to have dealings with CFCAS unless the transfer is pursuant to an honorarium or an enforceable contract or property right of the Member.

Preferential Treatment

Not step out of their official roles to assist private entities or persons in their dealings with CFCAS where this would result in preferential treatment to any person or organisation.

Insider Information

Not knowingly take advantage of, or benefit from, material information that is not generally available to the public that is obtained in the course of their official duties and responsibilities.

CFCAS Property

Not directly or indirectly use, or allow the use of, CFCAS property of any kind, including property leased to CFCAS, for anything other than officially approved activities.

Post Committee Membership

Not act, after their term of office on a CFCAS committee has expired, in such a manner as to take improper advantage of their previous office.

A.5 Compliance

Compliance with the measures detailed in the Code shall be a condition of serving on a CFCAS committee. Upon appointment, Members shall provide written confirmation of having read the Code and related documents and their agreement to abide by them.

Conforming to the Code does not absolve individual Members of the responsibility to take such additional action as may be necessary to avoid real, potential or apparent conflicts of interest.

Provisions of the Code respecting conflict of interest do not apply to a Member's immediate family (*i.e.*, those living with the Member and/or those considered to be dependents of the Member). Members shall be responsible, however, for ensuring that they are not in a conflict of interest situation between their advisory duties and the activities and financial interests of their immediate family.

A.6 Disclosure Requirements

The Code requires that members, at the time of appointment and as the need arises during the course of their term on a CFCAS committee, disclose in writing to the Executive Director assets, liabilities or outside activities which have a direct relevance to CFCAS business and which could give rise to a real, perceived or apparent conflict of interest. Such a disclosure should include activities outside an individual's normal employment (*e.g.*, philanthropic, charitable, commercial and non-commercial activities) covering a period of two years prior to appointment to the committee.

A.7 Condition of Service

Upon receipt of the written disclosure, the Executive Director or delegate shall determine whether a real, potential or apparent conflict of interest exists, and determine compliance measures, which may be necessary.

Disclosures may also arise unexpectedly during the course of a meeting. In such cases, the official Minutes shall reflect that a declaration was made orally at the time of the meeting and the decision on whether any compliance measures are required. The Executive Director or delegate shall determine the compliance measures that may be required.

Compliance measures may include requiring the Member to withdraw from specific CFCAS activities or from discussions on matters, which could give rise to a conflict of interest. In the latter case, the official Minutes of the meeting shall record the Member's absence or abstention from the discussions.

Refusal to abide by the compliance measures identified by the Executive Director or delegate may result in appropriate sanctions being taken.

A.8 Confidentiality

CFCAS' Executive Director shall be responsible for ensuring that information Members provide about their assets, liabilities or activities is held in complete confidence. Any document provided by Members shall be kept in secure personal files. Access will be limited to the Executive Director or designate unless otherwise specified by statute. As well, any material related to Members' activities shall always be stored in separate sealed envelopes.

A.9 Review

Members shall review their obligations as necessary, but at least once per year, to ensure that any change in their activities, financial interests, or CFCAS advisory duties and responsibilities is taken into account.



CFCAS Confidentiality and Non-Disclosure Declaration

Documents provided to Board Members, the Grants Review Committee (GRC) and the CFCAS Secretariat for the purposes of Peer Review contain personal information and may contain confidential technical information that is possibly subject to other policies and legal or civil sanctions. Documentation must be treated as strictly confidential. To assist CFCAS in meeting its obligation, you are asked to read the following instructions and to sign below to attest that you are aware of the importance of confidentiality and that you agree to comply. It is mandatory that you return this form at your earliest convenience to the **Executive Director, CFCAS, 350 Sparks Street, Suite 901, Ottawa, ON, K1R 7S8.**

- (1) Peer Review documents provided to Board and GRC members must be used by Members only for the purpose for which it was originally collected i.e., assessing CFCAS applications and making funding decisions. It must not be used for any other purpose or discussed with or disclosed to non-committee Members, including the applicants.
- (2) Members must ensure that CFCAS documents in their possession are stored in a secure manner to prevent unauthorized access. They must be transmitted using secure techniques and when they are no longer required they must be destroyed in a secure manner, e.g., by deleting electronic data files, or by shredding or burning paper or arranging for its return to CFCAS.
- (3) Peer Review deliberations are confidential. Comments made by individual committee Members during the meetings and during the ranking of applications must never be discussed or disclosed. In deliberations where consensus committee comments are recorded, CFCAS staff will provide such comments to the applicant(s). Until competition results are announced officially they must remain confidential. CFCAS approvals are required of the recommendations of committees before the names of successful applicants and details of awards are released to the public. The names of applicants whose proposals were not recommended for support or who were declared ineligible are never made public by CFCAS and must not be divulged by members.
- (4) Enquiries received by committee Members from applicants about the review of their applications must be referred to CFCAS staff. There must be no direct communications between applicants and Members arising out of Peer Review.

I have read the above instructions on the need for confidentiality with respect to CFCAS information and deliberations and the requirement for secure management of all information entrusted to me by CFCAS. I understand that breaches of confidentiality are subject to investigation, and to the imposition of sanctions by CFCAS and that the person about whom the information relates may seek civil remedy against me for breach of confidentiality. I agree to take personal responsibility for complying with these requirements.

Name (Print): _____ Date: _____

Signature: _____

APPENDIX B CFCAS Grant Agreements

The Funding Agreement establishing CFCAS and governing its operations requires that grantees sign a “Project Funding Agreement”. This requirement is met through signature of the application form by the applicant, co-applicants and university or organization representatives. A copy of a Grant Acceptance Form confirming grantees’ responsibilities follows.



Canadian Foundation for Climate
and Atmospheric Sciences (CFCAS)
Fondation canadienne pour les sciences
du climat et de l'atmosphère (FCSCA)

Kindly complete this form and return it to CFCAS by fax to 613 238-2227 and/or mail to: CFCAS, 350 Sparks Street, Suite 901, Ottawa ON, K1R 7S8.

Grant Acceptance Form

Title of Research Initiative:

The grantee:

- Acknowledges the CFCAS policies concerning the use of grant funds, as published in the CFCAS Awards Guide (available on the CFCAS Website: www.cfcas.org), and agrees to adhere to them;
- Will report to CFCAS at least annually on progress towards the accomplishment of project objectives (progress on deliverables) and will ensure submission of an annual financial statement on the grant. Upon completion of the grant, will provide CFCAS with a summary report and other relevant information on the project, presenting the results and accomplishments of the work undertaken;
- Undertakes to inform CFCAS of particularly noteworthy project accomplishments (or challenges/problems), and to alert the Foundation to significant opportunities for publicity related to the project.

The grantee requests the first financial instalment of the grant as follows:

October 1, 2004 (immediately)

January 1, 2005

April 1, 2005

Other Date: _____

Name (print): _____

Date: _____

Signature: _____

Research Grants Office: _____