



**Canadian Foundation for Climate
and Atmospheric Sciences (CFCAS)**

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

CFCAS Awards Guide: Knowledge Synthesis, Outreach and Lecture Series Grants

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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 management of their award;
- 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 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 to:

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 are increasingly affected by human-induced change. This is presenting new, important challenges and 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, and to help us understand and address the important climatic issues that are facing Canada and the world. It also facilitates the education and training of the people needed to deal with future environmental challenges.

CFCAS funds a variety of research initiatives, including project and network grants as well as network supplements, knowledge synthesis, outreach and lecture series awards. All funded initiatives are expected to benefit Canadians by providing scientific results relevant to weather operations or policy development and encouraging the use of these results. All research and knowledge transfer initiatives are selected for funding by a peer review process of the highest integrity and rigour.

2.0 APPLICATIONS FOR CFCAS GRANTS

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

Eligible projects are:

Scientific and/ or knowledge transfer studies, which address one or more of the following areas:

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

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- (a) Understanding key climate system processes including greenhouse gas sources and sinks;
- (b) Understanding key meteorological and atmospheric chemistry processes that impact air quality;
- (c) Understanding the probability of occurrence and/or improving the prediction of extreme and hazardous weather;
- (d) 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;
- (e) Improving knowledge of ocean and atmospheric processes leading to better marine environmental predictions.

2.1 Eligibility of Recipients and Organizations

(a) Eligible Recipients

The Foundation shall provide grants only to Eligible Recipients. Individual researchers and collaborative networks of researchers must be affiliated with Canadian universities or other degree granting institutions, and these universities or other institutions must have demonstrated their capabilities to support and conduct research as defined in Section 2.0. 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 2.0, 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 of researchers led by one or more universities.

(c) Excluded Recipients – International Collaborators

If a co-investigator (referred to as a co-applicant (NF²) is not affiliated with a Canadian university or other Canadian degree granting institution and is involved with a collaborative research network as defined in Section 2.0, he/she must be qualified to undertake independent research. This co-applicant (NF) is not eligible to receive funding from the Foundation, and is expected to bring his/her own resources to the collaboration.

² Co-applicant (NF) – a co-investigator who will not be receiving CFCAS funds.

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(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 CFCAS funding Agreement are discussed in more detail below.

All independent researchers playing an important or essential role in the proposed grant should be listed in one of the following categories:

- Co-applicants (F) - university based researchers sharing responsibility for the work and requesting funds (F) from CFCAS;
- Co-applicants (NF) - individuals and independent researchers (including university based) playing an important or essential role in the project, who are not requesting funds (NF) from CFCAS;
- Collaborators - individuals and independent researchers, playing a minor role in the project and who are not requesting funds from CFCAS.

Eligible researchers (principal investigator and co-applicants (F)) 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) A tenured, tenure-track or life-time professor emeritus position;
- (b) 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 program, or postdoctoral fellows. Eligible researchers must not themselves be enrolled in a graduate program in the natural sciences or engineering. They must not hold a full-time position

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(academic or other) outside Canada. They 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 (NF) 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 (F) for CFCAS grants under the following conditions:

- (a) 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;
- (b) 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;
- (c) The position must permit the researcher to engage in research that is not under the direction of another individual;
- (d) The researcher must not hold a full-time position of any kind outside Canada;
- (e) The researcher must not be enrolled in a degree program in the natural sciences or engineering during the tenure of the award;
- (f) 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).

2.2 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 knowledge transfer activities directly related to project objectives, and the dissemination of research results (including costs related to data management, as appropriate).

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(b) Exclusions from Eligible Costs

CFCAS grants cannot cover the indirect costs of research. For greater clarity, Eligible costs do not include:

- Office space for project administrative staff;
- Administrative or travel costs not specifically listed as eligible costs;
- Office supplies;
- Capital costs associated with ongoing long-term scientific activities (e.g. atmospheric data collection); and,
- Capital costs eligible under the Canada Foundation for Innovation or Technology Partnerships Canada with a value exceeding \$200,000.00;
- 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 4.0.

2.3 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 fundamental 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 knowledge transfer or research initiative under consideration. There are also absolute standards of excellence that must be met for all applications being recommended for funding.

Applications for all CFCAS grants must clearly describe how they meet all criteria listed in Section 3.0. Applicants should not assume that the merits of the application or of the applicant are obvious.

2.4 Types of Grants and Application Procedures

Proposals are invited from individuals or small groups in the following three categories:

- Knowledge Synthesis grant
- Outreach grant
- Lecture Series grant

Work on the grant activities is to be undertaken over a period of up to ten (10) months during the period starting in January 2010 and finishing no later than December 2010. The amount requested can be up to \$80,000 for Knowledge Synthesis and Outreach grants and up to \$20,000 for Lecture Series grants. The Grants Review Committee

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(GRC) will review project applications and make funding recommendations to the Board of Trustees. For this competition **CFCAS will not fund on-going research. Activities to conduct new or enhance existing research will be rejected.**

Submissions for any of the grant categories must have well defined parameters and objectives and 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;
- A commitment to submit final progress and financial reports.

Projects are normally funded at the level required to achieve the activity 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 confirmation or clarification of some aspects.

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

All Knowledge Synthesis, Outreach and Lecture Series grants are for a period of up to ten (10) months. The “wrap-up” of any residual activities must be undertaken and included within the existing project timeframe. No additional funding will be provided for any “wrap-up” activities.

Individual researchers can be involved in more than one CFCAS grant.

2.4.1 Deadlines

Deadlines for knowledge synthesis, outreach and lecture series 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 will only be one call for proposals with a deadline of Wednesday, **October 7th, 2009** at 16:00 hours.

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2.4.2 Application Procedures

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

2.4.3 Review Procedures

Details of the Review Procedures are described in Section 3.0.

2.4.4 Grant Extensions

No extensions past December 15th, 2010 will be considered for Knowledge Synthesis, Outreach and Lecture Series grants.

2.5 Equipment Requests

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 for the achievement of knowledge transfer objectives. Equipment should not normally exceed \$3,000 and must be fully justified in the proposal. The applicant must clearly explain why funding for the equipment cannot be obtained from other sources.

2.6 Signatures on Grant Applications

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

The applicant;

Each co-applicant (F and NF);

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:

- (a) 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, including the termination of funding and disentanglement of the applicant for future CFCAS funding;
- (b) Agrees to abide by CFCAS regulations governing awards as outlined in the Award's Guide.
- (c) Will use the grant only for the purpose for which it is awarded;

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- (d) Agrees to abide by regulations regarding animal care, ethical considerations in the use of human subjects in research, biohazards, and environmental impact guidelines;
- (e) 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.
- (f) Will report as required on research progress and financial disbursements including the use of any funds transferred to co-applicants (F) at other institutions;
- (g) Will acknowledge, wherever possible, CFCAS funding assistance for the research;

All independent and eligible researchers requesting CFCAS funds must appear on the application as co-applicants. A co-applicant (F)'s signature means that he/she:

- (a) Agrees to the same conditions as the applicant;
- (b) Agrees that the applicant will administer the grant on behalf of the group
- (c) 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 (F)) 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 project;
- 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 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;
- 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-applicant (F) at another institution, consistent with the management arrangements for the project.

For the Institutions employing co-applicants (NF), the signatures of authorized officers of other supporting organizations certify that the organization:

- (a) 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;

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- (b) Agrees to the release of a public summary of the award and to the publication of the organization's name as a supporter of the initiative.
- (c) Agrees that researchers in their employ who are on the project team will be permitted to contribute to the project, as described in the application.

2.7 Certificates, Licenses and Special Forms

The applicant is responsible for obtaining appropriate certifications, permits and licences, required to carry out the project. These certificates must be obtained within 3 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 3 months of the announcement of the award.

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

2.7.1 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:

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

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

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).

2.8 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

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review purposes. Reviewers are instructed to return or destroy the information when they have completed the review process.

2.9 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.

If in the Board's 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.

2.10 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.

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

2.11 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.

2.12 Data Management Policy

CFCAS views the production of data and knowledge sets for the general community as an important outcome of the research activities 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 and knowledge 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 and knowledge management, consistent with this policy.

3.0 SELECTION CRITERIA FOR CFCAS AWARDS

In evaluating the Knowledge Synthesis, Outreach and Lecture Series grant applications, competitive rankings will be made by the Review Committee using the selection criteria presented below. Applications should demonstrate how they meet all the criteria. Applicants should not assume that the merits of the application or the applicants, with respect to any of the criteria, is so obvious to the review committee that they only need to be addressed superficially.

Criteria will not necessarily be given equal weight by the Review Committee in its adjudication and depending on the nature of the “request for proposal”, some criteria may be deemed more critical than others. However, all criteria will be considered.

The role of the Review Committee is to evaluate and rank applications so that those ranked highest overall, in the collective opinion of the Review Committee, are the ones recommended for funding to the Board of Trustees. Therefore, the criteria will be applied on a relative basis, with the proviso that there are also absolute standards of excellence that must be met for all applications being recommended for funding.

The following selection criteria will be used to evaluate applications to CFCAS for Knowledge Synthesis, Outreach and Lecture Series Grants.

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3.1 Knowledge Synthesis

3.1.1 Science: Scope and Understanding

The proposal must be scientifically sound.

The Science criterion will be assessed on factors such as:

- The scope and justification of the proposed work, including an understanding of the existing background knowledge.
- The significance of the scientific issues and challenges being addressed: this may include the novelty and originality of the overall approach and concepts being proposed.
- The extent to which the proposed project is likely to advance current knowledge and understanding.
- Feasibility of the proposed project and its potential to deliver tangible results through knowledge translation and transfer strategies.

3.1.2 Team Expertise and Capability

The proposal must demonstrate the proponent's capacity and capability to deliver the proposed work and the level of collaboration with decision makers and knowledge use organizations or individuals.

The Team Expertise criterion will be assessed on:

- The stature and research or other accomplishments of the applicant and the team members and their potential to both perform and deliver the work being proposed.
- The appropriateness, credibility and completeness of the assembled expertise in terms of the work being proposed.
- The credibility of each participant as a member of the team and a clear description of the role and anticipated contribution of each team member;
- The interdisciplinary nature of the collaboration, and the potential for cross fertilization of scientific and multi-disciplinary knowledge.
- The bringing together of researchers from different science and policy sectors (academic, international, governmental, industrial and private).

3.1.3 Benefits of the Proposed Work

The proposal must demonstrate how the work will address national interests and make a clear contribution to knowledge users and decision makers.

The Benefits criterion will be assessed on the significance of the potential contribution of the project to:

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Understanding the complex interactions between climate-weather-ocean and policy-governance issues related to different sectors and segments of Canadian society (e.g. Health, the North, Energy and Natural Resources, Transportation, Agriculture, Security and Social and Economic issues).

Consideration will be given to the degree of likely use of results by knowledge users, particularly in terms of providing advice for decision making and policy formulation.

3.1.4 Funding

The proposal must justify the need for Foundation funds and demonstrate any leverage of funds from other sources.

The Funding criterion will be assessed on factors such as:

- The need for CFCAS funding;
- That the work being proposed does not duplicate existing funding, and is separate or incremental to other work being done;
- The potential for information exchange and the plan for dissemination of knowledge results to the receptor community;
- The clarity of the project description;
- The use of CFCAS funds to leverage support 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 management and coordination issues have been adequately addressed;
- Plans for collaboration and communications among the participants;
- The coherence of activities, milestones, timelines and deliverables;
- The probability of achieving the project objectives in the proposed time frame.

3.2 Outreach Grants

Eligibility for Outreach grants is restricted to individuals who are, or have been, either principal or co-investigators on CFCAS project or network grants.

3.2.1 Science: Scope and Understanding

The proposal must be scientifically sound.

The Science criterion will be assessed on factors such as:

- The scope and justification of the proposed outreach activities and their relation to existing or previous CFCAS-funded research activities.
- The significance of the scientific issues and challenges being addressed and communicated and the audiences being targeted.

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- The extent to which the proposed work is likely to expand the understanding of the research activities undertaken.
- Feasibility of the proposed outreach activities and their potential to communicate tangible results through knowledge translation strategies.

3.2.2 Team Expertise and Capability

The proposal must demonstrate the proponent's ability to deliver the proposed outreach activities.

Team Expertise and Capability criterion will be assessed on:

- The stature and research or other accomplishments of the applicant and any other proposed team members and their potential both to perform and to deliver the outreach activities being proposed.
- The appropriateness of the assembled expertise in terms of the outreach activities being proposed.
- The credibility of each participant as a member of the team and a clear description of the contribution of each member.
- The bringing together of researchers from different research and science sectors (academic, international, governmental, industrial and private).

3.2.3 Benefits of the Proposed Work

The proposal must demonstrate how the outreach activities will address regional or national interests and/or make a clear contribution to the uptake of scientific knowledge. The degree to which the proposed outreach activities will make a significant contribution will be a key factor in determining its ranking.

The Benefits criterion will be assessed on the significance of the potential outreach activities to:

- Facilitate the uptake of scientific knowledge to one or more target audiences
- Enhance the scientific understanding of and policy use by one or more target audiences.
- Facilitate a better understanding of the complex interactions between climate-weather and policy-governance issues related to different sectors and segments of Canadian society (e.g. Health, the North, Energy and Natural Resources, Transportation, Agriculture, Security and Social and Economic issues).

Consideration will also be given to the degree of likely use of results by knowledge end-users and educators. Particular attention will be paid to outreach activities which communicate relevant knowledge/understanding to decision makers.

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3.2.4 Funding

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

The Funding criterion will be assessed on factors such as:

- The need for CFCAS funding;
- The work being proposed does not duplicate existing funding, and the work 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 an identified audience or community;
- The clarity of the proposed outreach activities;
- The use of CFCAS funds to leverage funds from other sources;
- A clear account that the relevant management and coordination issues have been adequately addressed;
- Plans for collaboration and communications among the researchers;
- The coherence of activities, milestones, timelines and deliverables;
- The probability of achieving the project objectives in the proposed time frame.

3.3 Lecture Series Grants

3.3.1 Science: Scope and Understanding

The Science criterion will be assessed on factors such as:

- The scope and justification of the lecture tour being proposed.
- The significance of the scientific issues and challenges being addressed.
- The extent to which the proposed lectures are likely to advance current knowledge, understanding and awareness of important climate-weather-ocean issues in the audiences being targeted.

3.3.2 Team Expertise and Capability

The proposal must demonstrate the proponent's ability to implement the activity.

The Expertise criterion will be assessed on:

- The stature and research accomplishments of the applicant, the proposed speaker(s) and other members of the team and their potential to undertake and deliver the work being proposed.
- The appropriateness of the speaker in terms of topic and venues being proposed.
- The ability of the speaker to deliver lectures on the proposed topic at the venues indicated.

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- The ability of the applicant to undertake the organization of the proposed lecture tour, its associated publicity and the necessary reporting requirements upon its completion.

3.3.3 Benefits of the Proposed Work

The proposal must demonstrate how the proposed speaker will address national interests and highlight the importance of the complex interactions between climate-weather-ocean and policy-governance.

The Benefits criterion will be assessed on the ability to:

- Facilitate the transfer of scientific knowledge to the target audiences
- Influence public opinion on the importance of weather - climate - ocean to Canadian society.
- Improve understanding of the complex interactions between climate-weather-oceans and policy-governance issues related to different sectors and segments of Canadian society (e.g. Health, the North, Energy and Natural Resources, Transportation, Agriculture, Security and Social and Economic issues).

Consideration will also be given to the degree to which lectures are likely to influence policy makers and the end-users of scientific knowledge.

3.3.4 Funding

The proposal must justify the need for Foundation funds.

The Funding criterion will be assessed on factors such as:

- The need for CFCAS funding.
- The potential to convey scientific knowledge to audiences and user communities.
- The benefits of the proposed lectures.
- The justification for the level and duration of funding requested vis-à-vis the stated objectives.
- A clear account that organizational and coordination issues have been adequately addressed.
- Development of a communications plan.
- The coherence of activities, milestones, timelines and deliverables.
- The probability of achieving the proposed objectives in the given timeframe.

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4.0 FINANCIAL AND GRANTS ADMINISTRATION

CFCAS funds contribute towards the direct costs of the knowledge synthesis, outreach or lecture series activities for which they 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 and associated knowledge transfer activities. 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 researcher(s) or even of all of CFCAS's grant accounts with that university. If grant funds are used to pay expenditures that are 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.

4.1 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 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

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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.

4.2 Grant Notifications and Awards

Notification of a CFCAS award will be sent to the Applicant and to the university Research Grants and Finance Offices.

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).

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.

4.3 Use of Grant Funds

CFCAS funds are provided for research or other initiatives as described by grantees in their applications, 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 of more than 20% in a year.

Only the direct costs of research or other activities as specified in the grant application may be paid from CFCAS grants. Grantees who wish to use funds in a manner not explicitly

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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 and related knowledge transfer activities; CFCAS funds must not be used to pay any part of indirect or overhead costs.

Non-eligible expenditures 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 (F) 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;
- 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.

4.4 Compensation

Salaries or stipends to non-academic personnel for knowledge transfer and outreach support are eligible expenses. Salaries and related non-discretionary benefits should be paid only for work performed on the CFCAS awards. Persons paid from CFCAS grants are not CFCAS employees.

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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;
- Honoraria for guest lecturers;
- 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 or specified grant activity, and approved by CFCAS);
- 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;
- Discretionary severance and separation packages;
- Teaching relief;
- Education related costs such as thesis preparation, tuition, and course fees.

4.4.1 Parental Leave Policy

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

- (a) CFCAS will allow compensation from grant funds for up to four months of parental leave, at up to 90% of existing salary levels.
- (b) 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.

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4.5 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, to collaborate or consult with peers (for periods up to three months), and to undertake outreach or knowledge transfer activities associated with a CFCAS award;
- 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;
- 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.

4.5.1 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.

4.5.2 Equipment Purchases and Maintenance

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

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4.5.3 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.

4.5.4 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-funded activity.

4.5.5 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.

4.6 Financial Reporting

Applicants holding CFCAS Knowledge Synthesis, Outreach and Lecture Series 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. Recommendations arising from review of these reports may be made to the Board of Trustees.

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 must be kept, are described in the sub-sections below.

4.6.1 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.

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4.6.2 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 that the travel is related to the CFCAS-funded project.

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 the 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.

4.6.3 Powered Vehicles

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

4.6.4 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.

5.0 FINAL REPORTING OF KNOWLEDGE SYNTHESIS, OUTREACH AND LECTURE SERIES RESULTS

CFCAS requires a final report to be submitted at the end of the grant, using the CFCAS Final Report Template. The report must cover activities undertaken during the grant, including all relevant information on the knowledge transfer and /or outreach activities undertaken, as well as any tangible results achieved from the activities supported by the grant. Copies of publications or other products arising from the work should be appended.

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6.0 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 work 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.

7.0 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.

8.0 APPEALS

The Board of Trustees will entertain appeals of decisions. Such appeals must be submitted in writing by the end of January 2010 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.