# Western Research

**GUIDELINES FOR THE OPERATION & MAINTENANCE OF
CANADA FOUNDATION FOR INNOVATION-FUNDED INFRASTRUCTURE**

**Contents**

**Appendices**

Appendix A: Western IOF Guidelines

Appendix B: Western IOF Application Form

# 1.   Overview

Western University has benefited from substantial investments from the Canada Foundation for Innovation (CFI) for research infrastructure which have enriched the institution's research capacity. As a recipient of funds to establish and upgrade research infrastructure, Western is committed to providing support for the operation and maintenance (O&M) of CFI-funded infrastructure at the institution over its useful life.

These guidelines outline the overall strategy and procedures for the operation and maintenance, and long-term sustainability, of CFI-funded research infrastructure, including planning, roles and responsibilities, allocation of funding, monitoring of expenditures, and reporting. These guidelines were developed by the Vice-President (Research) in consultation with faculty leadership and other stakeholders at the institution.

The objectives of these O&M guidelines are:

- To support the operation and sustainability of CFI-funded infrastructure and prevent or resolve issues related to O&M so that they can be addressed before they have an adverse effect on research or technology development activities;
- To optimize the use of available resources for O&M;
- To facilitate the development of reasonable, accurate, and sustainable O&M plans by Project Leaders, departments, and faculties;
- To provide guidance and resources for Project Leaders to identify O&M costs and funding sources and ensure sustainability of CFI-funded infrastructure over its useful life; and
- To provide guidance for multi-year planning and monitoring of O&M needs across the institution throughout the useful life of the infrastructure.

# 2.   Guiding Principles

- Western is committed to supporting the operation and maintenance of CFI-funded infrastructure over its useful life through the allocation of institutional support and through institutional efforts to secure funding from internal and external sources, as required.
- Applications submitted to the CFI by Western will reflect the institution's best efforts and practices to identify accurate and realistic O&M costs and sources of support.
- The Vice-President (Research) oversees Western's accountability to the CFI to provide O&M support, which comes from all levels of the institution, including the Project Leader(s), the relevant department(s), and the relevant faculty(ies).
- Western maintains an overall risk-based approach to assessing O&M needs and funding sources for CFI (and other) projects. The ongoing management of smaller projects with limited O&M needs is primarily undertaken at the investigator and departmental levels; larger and more complex projects are expected to develop business/operational plans and will receive proportionally augmented faculty-level and central institutional oversight. These plans are developed in coordination between the investigators, the department, the faculty, and central administration.
- The CFI Infrastructure Operating Fund (IOF) allocation provided to Western will be managed by the Vice-President (Research) in ways that:
  - Leverage common O&M needs across facilities, including those not initially joined by a common application;
  - Coordinate with resources available from within the institution;
  - Align with the efforts, investments, and priorities of the Project Leader(s), department(s), and faculty(ies) to sustain the infrastructure;
  - Are transparent.
- Western recognizes that the portion of the IOF associated with CFI projects may be insufficient to cover all O&M costs associated with the infrastructure.

- The O&M plan and the need for O&M funding may change over the course of the infrastructure's useful life. In order to adapt to unexpected variations in O&M costs, the on-going institutional support for O&M, including IOF allocations, must be flexible.
- On-going institutional support for a CFI-funded facility may cease once the facility has achieved its intended purpose, if the facility is no longer state-of-the-art, or if key changes to the project team are such that the infrastructure cannot deliver on its intended purposes.

## 3. Definitions

**CFI-funded infrastructure** includes "the state-of-the-art equipment, laboratories, databases, specimens, scientific collections, computer hardware and software, communications linkages and buildings necessary to conduct leading-edge research."[1]

**Operation and maintenance support** includes technical support, maintenance and repairs, materials and supplies for the operation of infrastructure, utilities, and support for core research facilities.

**Useful life of CFI infrastructure** is defined as "the period of time over which the infrastructure is expected to provide benefits and be usable for its intended purpose, factoring in normal repairs and maintenance."[2]  Useful life is not equivalent to physical life.

**Project Leader** is the lead researcher responsible for the CFI infrastructure. The Project Leader is the scientific leader of the research program proposed for awarded CFI projects. The Project Leader may be the sole user of the infrastructure, or share with several other users.

## 4. Planning Process and Sources of Support for Operation & Maintenance

### 4.1 Planning for O&M at Application Stage

Applications to the CFI require an O&M budget for the first five years of infrastructure operation, and a sustainability plan including a description of O&M costs and sources of support. This plan is an important starting point for the assessment of O&M needs, available resources, and sources of funding for O&M.

### Project Leader Responsibilities

Project Leaders have the primary responsibility for identifying O&M costs at the time of application, and for planning for the longer-term sustainability of the infrastructure, in consultation with their Department Chair and Dean/Associate Dean (Research). Project Leaders are expected to use the expertise and resources available at the department, faculty, and institutional level. Project Leaders are responsible for developing a reasonable O&M budget and all application components related to Sustainability/O&M for internal review (Section 5) prior to application submission.

Project Leaders are expected to recognize that the portion of the IOF associated with their project, and allocated to them through Western's internal IOF process (Section 6), may be insufficient to cover all O&M costs associated with the infrastructure.

Project Leaders are asked to:

- Identify the amount and type of O&M costs anticipated for the first five years of infrastructure use, including anticipated personnel needs, supplies, maintenance and repairs, and services.
- Identify the proposed sources of support for these O&M costs, including the IOF, internal or external funding such as start-up grants or operating funds, or user fees.

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[1] Canada Foundation for Innovation. Our Mandate. https://www.innovation.ca/our-mandate

[2] Canada Foundation for Innovation. Program & Policy Guide, 2017, Section 4.4

- Provide realistic and obtainable options for securing other funding as necessary, and for longer-term sustainability of the infrastructure.

Western's support and resources for Project Leaders from Research Development, Facilities Management, and Procurement Services during the application development process for JELF and Innovation Fund proposals provide Project Leaders with additional guidance and important considerations for developing their O&M budget and sustainability plan.

### Faculty/Department Responsibilities

Western's Faculties play a key role in setting the institution's infrastructure strategy and priorities, and have a responsibility to ensure at the time of application that the necessary space, support, and services are in place to ensure sustainability and successful operation and maintenance of the infrastructure.

- For applications to the CFI John R. Evans Leaders Fund (JELF), priorities are determined at the Faculty level and all applicants must have received approval from their Dean/Associate Dean (Research) (or equivalent) to submit a JELF application. Faculties must ensure that selected applicants will have access to the necessary space, support, and services to successfully operate and maintain the requested infrastructure, or that realistic and obtainable options are available to secure any necessary additional funding.
- For applications to the CFI Innovation Fund, Western's internal selection process will include a strategic and risk management review and an assessment of the sustainability of the proposed infrastructure and the projected operation and maintenance needs by Western's Associate Deans (Research), Facilities Management, and the Vice-President (Research). A secondary risk management review may also be conducted during the proposal development stage, prior to submission to the CFI.

### 4.2    Sources of Support for Operation & Maintenance

Support for O&M expenses comes from multiple sources which can be internal or external to the institution. It is the joint responsibility of the Project Leader(s), the host department, faculty, or affiliated research institute, and the institution to provide sufficient funds for the operation and maintenance costs of CFI-funded infrastructure.

### Institutional support

Western's commitment to supporting its faculty, their research initiatives, and the operation and maintenance of CFI-funded infrastructure is demonstrated by the support structures and resources made available to investigators, departments, and faculties. Western provides comprehensive pre- and post-award research services over the entire life cycle of the project, including financial and project reporting, human resources, facilities management, procurement services, insurance coverage, utility costs, and specialized safety training.

Institutional support for O&M can include personnel support (e.g. technical staff), support for the indirect costs of research (e.g. utilities, ITS), maintenance of the space housing the infrastructure, or contributions towards the operating costs of core facilities. Information Technology support is provided across the institution through Western Technology Services. In addition to these institutional-level supports, at the faculty or department level specialized support such as engineers and technicians are made available. For example, University Machine Services within the Faculty of Engineering provides specialized services including the design and manufacture of specialized components and equipment.

Funding requirements from Western's capital or operating budgets in support of core facilities is considered on a case-by-case basis through the annual planning and budget processes.

### CFI Infrastructure Operating Fund

The CFI Infrastructure Operating Fund (IOF) provides a secondary source of support for the O&M of CFI-funded infrastructure. CFI provides IOF funding to the institution based on the value of CFI contributions for IOF-eligible projects. The IOF funding provided to the institution is 30% of the

maximum CFI amount approved at award finalization. Western's IOF guidelines (section 6; Appendix A) allow Project Leaders to apply for the full IOF amount associated with their project, less any IOF funding attributed to CFI-funded renovation or construction. The IOF funding can be used to support eligible operation and maintenance costs of the CFI-funded infrastructure, as detailed in the CFI Program & Policy Guide.

CFI gives each institution the authority to manage its IOF allocation to address the O&M needs of the institution's portfolio of CFI-funded infrastructure. This provides the institution with the flexibility to distribute its IOF allocation based on actual O&M needs as opposed to allocating the exact amount to the project that generated it. The CFI therefore encourages the institution to carefully review and determine how it can make optimal use of the IOF funding. Western's procedures for distribution of IOF allocations are described in section 6.

### Research Grants & Contracts

When eligible within sponsor guidelines, research grants or contracts held by the Project Leader(s) or other key users of the infrastructure are expected to contribute a portion of their research grants and contracts to the O&M expenses of the infrastructure. The amount and mechanisms for these contributions is project-specific and should be determined by the Project Leader(s) and key users of the infrastructure. The Project Leader(s) and key users are encouraged to apply for funding that supports O&M expenses.

In order to help ensure that necessary external sources of support will be in place for the sustainability of the infrastructure and the operating costs of the research or technology development to be supported by the infrastructure, Western's guidelines for the CFI JELF require that all applicants hold, or have recently held, external peer-reviewed funding.

### User Fees

Users of the CFI-funded infrastructure may contribute funding to support the O&M costs through user fees. The mechanism for user fees (rates, applicability, and management) depends on the nature of the infrastructure. Where user fees are determined to be an appropriate mechanism of cost recovery, it is recommended that the Project Leader(s) and key users establish user fee rates for both academic users (internal or external) and external users (e.g. industry). It is the responsibility of the Project Leaders to ensure that the use of the infrastructure complies with CFI guidelines and the planned usage of the infrastructure as identified in the proposal submitted to the CFI.

## 5.  Western CFI Review Process

### John R. Evans Leaders Fund (JELF)

All JELF applications at Western must be approved by the applicant's Dean/Associate Dean (Research) prior to application development to ensure that investments in infrastructure by the CFI are aligned with faculty priorities.

Research Development, Procurement Services, Facilities Management (where projects include construction or renovation), and department and faculty leadership and staff work closely with applicants during the development of the JELF application and provide assistance in developing the proposal including the O&M budget and plans for sustainability of the infrastructure.

All JELF applications are submitted to Western's Core Planning Group, which is chaired by the Vice-President (Research) and includes the Associate Vice-Presidents (Research) and the Associate Deans (Research). This review includes an assessment of the proposed O&M budget and plan for sustainability of the infrastructure.

Project Leaders must submit a proposal in Western's Research On-line Administration (ROLA) system associated with the CFI application, which will obtain approval from the Project Leader's department and faculty, as well as institutional approval, prior to submission to the CFI. Specific commitments towards the O&M costs of the infrastructure from the department or faculty may additionally be confirmed in writing by Research Development.

Further details of Western's JELF procedures can be found in the [Western JELF Guidelines](#).

**Innovation Fund**

To help ensure that facilities supported by the Innovation Fund will have the necessary space, support, and resources to be sustainable, all applications submitted to Western's internal selection process for the Innovation Fund require approval of the Project Leader's Dean (or Dean's designate).

Beginning with the next round of the Innovation Fund (anticipated to launch in 2018), Western's internal selection process will include a two-stage review process. The first stage of review by leading Western researchers will assess the scientific merit, team, and potential for innovation of the proposal. The second stage of review by the Vice-President (Research), the Associate Deans (Research), and representatives from Facilities Management will include a risk assessment of the proposals, the anticipated operation & maintenance costs of the infrastructure/facility, and the potential for long-term sustainability of the infrastructure/facility.

A secondary risk management review may be conducted late in the proposal development stage to identify any emergent risks, including those related to O&M and sustainability.

## 6.  Allocation of CFI Infrastructure Operating Funds (IOF)

### 6.1    IOF Allocations

Western provides IOF allocations to Project Leaders as a one-time allocation to help support the incremental operating and maintenance costs of IOF-eligible infrastructure projects. The Vice-President (Research) is responsible for allocating funds among some or all of the finalized projects eligible under CFI's IOF guidelines. Western issues an annual call to leaders of eligible projects for IOF applications.

Project Leaders must submit an application for an IOF allocation explaining all sources of available funds and how the IOF request will be spent on eligible costs. Complete details of Western's IOF management process can be found in the Guidelines for CFI IOF Allocations (Appendix A).

### 6.2    IOF Eligibility

In order to be eligible to receive an allocation from the IOF:

- The infrastructure item to which the application relates must have been funded by the CFI (i.e. appears on the itemized list and/or the final financial report).
- The CFI-funded infrastructure project to which the application relates must have been approved by the CFI Board of Directors after July 1, 2001. Projects funded under the Major Science Initiatives Fund, the Canada Research Chairs Infrastructure Fund, and the international funds are not eligible for the IOF.
- The CFI-funded infrastructure project to which the application relates must have passed the stage of award finalization and have an Award Agreement in place for the project.
- The operation and maintenance activities to be supported by the IOF are needed to ensure the infrastructure can be used to carry out the proposed research.

### 6.3    IOF Application Process

Project Leaders must submit a completed IOF Application Form (Appendix B) to the appropriate Dean's office. It is the responsibility of the Project Leader in consultation with their faculty to ensure that all conditions are met and that the application is complete. Research Development informs faculties of the maximum amount available to each applicant; the faculty, in consultation as necessary with Research Development, makes any required adjustments to the requests based on potential synergies across projects. In the case of multi-faculty proposals, the lead faculty negotiates with the participating faculties.

### 6.4    Vice-President (Research) IOF Fund

Consistent with CFI policy, the Vice-President (Research) will reserve the right to allocate IOF attributed to CFI-funded renovation or construction, or any IOF which is declined by the Project Leader, to a VPR IOF Fund. This Fund is intended to support extraordinary O&M support needs. Project Leaders can notify Research Development if they require assistance from this Fund, and submit an IOF Application Form (Appendix B) to justify the need for additional funding beyond their normal and/or previously requested IOF allocation.

### 6.5    IOF Administration & Adjudication

The IOF is administered by Research Development. Applications will be adjudicated by the Vice-President (Research) in consultation with the faculties.

### 6.6    IOF Distribution & Project Time Period

The IOF allocation is a one-time allocation at the time the project becomes operational. However, the expenses are forecasted over a 5 year budget period. Each year, Research Finance will confirm the forecast for the forthcoming year with Project Leaders.

There is no maximum number of years for which IOF can be claimed, as long as the infrastructure is still being used for research purposes during the period claimed.

### 6.7    IOF Monitoring & Reporting

IOF expenditures will be monitored by Research Finance to ensure compliance with CFI policy. Required supporting documentation is detailed in Western's IOF Guidelines (Appendix A) and in the CFI Program & Policy Guide (May 2013, Section 6.10.6).

Research Finance will coordinate with Project Leaders to prepare annual financial reports on IOF spending and the next year forecast. The financial report is submitted to CFI by the institution by June 15th for the fiscal year ended March 31st.

### 6.8    Inter-Institutional Projects

When two or more institutions are involved in a CFI project, the inter-institutional agreement (IIA) must be negotiated at time of award confirmation, to address the operational and management plans and IOF allocation to each institution.

# APPENDIX A

## GUIDELINES FOR CFI INFRASTRUCTURE OPERATING FUND (IOF) ALLOCATIONS

### 1 INFRASTRUCTURE OPERATING FUND (IOF) ALLOCATIONS

INFRASTRUCTURE OPERATING FUND (IOF) is a one time allocation to help support the incremental operating and maintenance costs of infrastructure projects approved after July 1, 2001. IOF allocation representing 30 percent of the finalized CFI contribution for projects approved after July 1, 2001, are eligible to receive IOF, with the exception of projects funded under the Canada Research Chairs Infrastructure Fund and the International Funds.

The Vice-President (Research) is responsible for deciding on the allocation of the funds among some or all of its finalized projects eligible under the IOF. Each application must present a budget explaining all sources of available funds and how the IOF request will be spent on eligible costs.

### 2 ADMINISTRATION

The IOF is administered by Research Development & Services (RD&S), Room 5150, Support Services Building (T: 661-2111 Ext.84620; E-mail: amartin3@uwo.ca).

### 3 ADJUDICATION

Applications will be adjudicated by the Vice-President (Research) in consultation with the Faculties.

### 4 ELIGIBILITY

- The infrastructure item to which it relates must have been funded by the CFI (i.e. it appears on the Itemized list and/or the final financial report);
- The CFI-funded infrastructure project to which it relates must have been approved after July 1, 2001. However, projects funded under the Canada Research Chairs Infrastructure Fund and the international funds are not eligible for IOF;
- The CFI-funded infrastructure project to which it relates must have passed the stage of award finalization. An Award agreement is thus in place for the project;
- The operating and maintenance activities are needed to ensure the infrastructure can be used to carry out the proposed research.

### 5 APPLICATION FORMS

Completed applications, in original, must be submitted to the appropriate Dean's Office. It is the responsibility of the project team in consultation with their Faculty to ensure that all conditions are met and that the application is complete. The Faculty, in consultation as necessary with Research Development, makes any required adjustments to the requests based on potential synergies across

projects.  In the case of multi-faculty proposals, the lead faculty negotiates with the participating faculties.

Applicants must complete and submit a ROLA (Research On-line Administration (ROLA) http://uwo.ca/research/rds/ROLA/ROLAFrameset.html.  This form is submitted electronically. RD&S will assist with the initiation of the ROLA form.

## 6 NUMBER OF COPIES FOR RD&S

One Original signed hard copy, and an electronic version to amartin3@uwo.ca

## 7 DEADLINES

Western will make one submission to CFI per calendar year.  **Applications must be delivered to RD&S on the internal deadline date of Monday, May 29, 2017.** If the deadline falls on a weekend or statutory holiday, the deadline will be extended to the next working day.

## 8 PROJECT TIME PERIOD

The IOF allocation is a **one-time** allocation to your project.  However, the expenses are initially spread over 5 years in the budget. Each year a revised forecast is submitted to CFI - see Budget Section 11.

There is no maximum number of years for which IOF can be claimed, as long as the infrastructure is still being used for research purposes during the period claimed.

## 9 DISTRIBUTION OF INFRASTRUCTURE OPERATING FUNDS

An account will be set up for each IOF request approved by CFI. Grant accounts will be established under individual researchers. Each researcher will be accountable for the administration and reporting of these funds.

## 10 INTER-INSTITUTIONAL PROJECTS

When two or more institutions are involved in a project, the inter-institutional agreement (IIA) must be negotiated at time of award confirmation, to address the operational and management plans, and the IOF allocation to each institution.

## 11 BUDGET

The IOF allocation is a **one time** allocation to your project.  The end date of the IOF is when your IOF allocation is all spent or your Infrastructure is no longer being used for the intended research purposes. There is no maximum number of

years for which IOF can be claimed. Payments are made based on your yearly forecast provided in the annual financial reporting.

Each year, Research Accounting will be re-confirming with you your next year forecast. We ask that you initially create a 5-year budget, ensuring that the 1st year - **April 1, 2017 - March 31, 2018** – reflect the expected funds you will require in the upcoming year. If you require longer than 5 years, more columns can be added.

### 11.1 Budget Justification

An adequate budget justification is required in each application. The IOF amounts included in the operating budget assumptions at the CFI project proposal stage are not a guaranteed entitlement. This request will be reviewed based upon need, the budget assumptions from the approved CFI infrastructure proposal, and possible synergies, which may exist within the approved portfolio.

### 11.2 Personnel

Each participating institution will be the employer of any staff hired using their prescribed share of the IOF funds; therefore researchers must pay appropriate wages and include benefits at established rates. Colleagues or the Compensation Department can be a good source of information. The budget justification must include a description of the duties of the personnel requested, the required qualifications, and an explanation as to why the position is necessary to the project. Workload should be shown to justify the amount of time the person will be employed on the project.

### 11.3 Eligible Costs

- Salaries (including benefits) of highly qualified personnel (technicians or professionals) directly involved in the operation and maintenance of the CFI-funded infrastructure. The full salary of the highly qualified personnel may be eligible if the infrastructure cannot be operated without their assistance.
- Training for the main operator(s) of the research infrastructure, not included in the infrastructure award. It is expected that the main operator(s) will train other users. Alternatively, a group training session may be provided by the vendor at the institution.
- Extended warranties and/or service contracts not included in the infrastructure award
- Extensions to warranty coverage and software licences
- Maintenance and repairs
- Replacement parts
- Replacement of a CFI-funded infrastructure item needing repair, only if the replacement is more cost-effective than the repair (the replacement item must have similar functionality)
- Services (e.g. electricity, security, cleaning) that directly support the CFI-funded equipment or CFI-funded constructed or renovated space (only the portion attributable to the CFI-funded infrastructure is eligible)

- Supplies and consumables needed to operate the research infrastructure (not to exceed 10 percent of the cumulative total IOF claimed by the institution)

11. 4 Non-Eligible Costs
- Purchase or lease of real property
- Cost of equipment, installation and construction or renovation deemed eligible under an infrastructure award
- Upgrades related to the infrastructure
- Extended warranties and/or service contracts included in the infrastructure award
- Telephone, Internet and cable or satellite television services that are not necessary to ensure the infrastructure can be used for research
- Insurance
- Costs not directly related to the CFI-funded infrastructure (e.g. maintenance contract for equipment not acquired through a CFI-funded infrastructure project that is eligible to receive IOF, services related to space for which the CFI has not funded the construction or renovation, etc.)
- Trainee stipends (undergraduates, graduates and post-doctoral fellows) and researcher salaries
- Administrative, secretarial or clerical personnel not directly related to the operation and maintenance of the infrastructure (e.g. research services office, library and finance services)
- Any cost to conduct research activities
- Costs attributed to the dissemination of information such as promotion, publications or conferences
- Expenditures reimbursed from another source

**Note:**

- Costs should include taxes, shipping, installation, salary and fringe benefits, if applicable. Costs must be prorated for research use of the infrastructure. Amounts should be net of any discount received.

- Western and hospital employees only can be considered as "Personnel-Technical and other operational". The hiring of personnel from a company to perform the maintenance or upkeep on a piece of equipment on a regular basis will be considered as "Services".

- Your CFI equipment must be purchased and operational before personnel costs for technicians, or other eligible operating expenses, can be expensed on the IOF grant.

- The infrastructure must still be used for research purposes. There is no maximum number of years for which IOF can be claimed, as long as the infrastructure is still being used for research purposes during the period claimed.

- Only the proportion of operating and maintenance costs associated with research is eligible.

11. 5   <u>What are the restrictions imposed by the CFI for the "supplies" category?</u>

There are restrictions on the amount of IOF funds that can be claimed by an institution under the supplies category. This amount will not exceed 10 percent of the overall cumulative total IOF claimed by an institution at the time of the IOF request or the annual report on actual expenditures.

## 12 <u>REPORTING</u>

Research Accounting will be co-ordinating with you an annual financial report on actual spending and the next year forecast.  This financial report is submitted to CFI by June 15th based on the financial year ended March 31st.

12.1   Supporting Documentation

Institutions must be prepared to provide full supporting documentation for all actual expenditures reported in their IOF Annual Report.   The Certification form found at the end of this document will need to be completed and submitted at the end of each year.

Required documentation:
- originating documentation for salaries of highly qualified personnel (technicians or professionals) directly involved in the operation and maintenance of the CFI-funded infrastructure:
- Description of the operations and maintenance activities performed, and certification that the infrastructure cannot be operated without the assistance of the highly qualified personnel. This certification must be obtained annually and signed by the employee and approved by the supervisor. The CFI will also accept a certification of this information from another person (e.g. project leader or department head) if this person is knowledgeable of the activities performed by the employee.
- Supporting evidence for the individual's salary rate and fringe benefits (e.g. letter of hire or change in salary rate, payroll records, etc.)

Further information on the Infrastructure Operating Fund, can be found on the CFI Website at: https://www.innovation.ca/awards/infrastructure-operating-fund

# Certification
# Salary of Technicians and Professionals
# CFI Infrastructure Operating Fund (IOF)

**Please read the following information carefully before completing this form:**

- The related infrastructure item must have been funded by the CFI as part of an infrastructure project eligible to receive IOF. All CFI projects approved after July 1, 2001, are eligible to receive IOF, with the exception of projects funded under the Canada Research Chairs Infrastructure Fund and the international funds.

- The related CFI-funded infrastructure project must have passed the stage of award finalization, and the related CFI-funded infrastructure item must be operational and still used for research purposes during the period claimed.

- The institution may choose to report under the IOF an amount that is equal to, or lesser than, the full salary (including benefits) of the individual for the period where the operations and maintenance (O&M) activities were performed. Salary expenditures are only eligible if the highly qualified personnel is directly involved in the O&M of the CFI-funded infrastructure and if such infrastructure cannot be operated without the assistance of the highly qualified personnel.

- All documentation must be retained on file at the institution, for audit purposes, and provided to the CFI upon request. Supporting documents must be maintained for a minimum period of five years following the submission of the IOF Annual Report.

- This form should not be used when reporting personnel costs in a CFI infrastructure project.

**Employee name:** _____     **Title:** _____

**Period:** _____

**Annual salary (including benefits):** _____

**Salary (including benefits) reported under the IOF:** _____

**Related CFI-funded infrastructure (please list):**

| CFI project number | Infrastructure item(s) |
|---|---|
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

**Description of the O&M activities performed in relation to the infrastructure item(s), and justification of why these activities were essential to the operation of the infrastructure:**

**Certification:**

**I hereby certify that the above information is accurate and that activities performed were essential to the operation of the infrastructure.**

_____                    _____
 **(Employee signature)**                        **(Supervisor approval - signature)**

*Note:* *The CFI will also accept a certification of this information from another person (e.g. Project Leader or department head) if this person is knowledgeable of the activities performed by the employee.*

# INFRASTRUCTURE OPERATING FUND APPLICATION

**PROJECT LEADER:**

**DEPARTMENT/FACULTY:**                    **BUILDING:**

**TELEPHONE:**                    **EMAIL:**

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**PROJECT TITLE:**

**CFI PROJECT NUMBER:**

**KEYWORDS: (max 6)**

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**TOTAL IOF FUNDS REQUESTED:**
(From Page 3)

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**I have read and agree to adhere to the policies as outlined in Western's Infrastructure Operating Fund guidelines.**

_____                    _____

**Signature of Applicant**                    **Date**

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DEPARTMENT CHAIR'S COMMENTS IF APPLICABLE:

_____

**Signature of Department Chair**

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DEAN'S COMMENTS IF APPLICABLE:

**COMMENTS:**

_____

**Signature of Dean of Faculty**

**If successful these funds will be managed at the following level:** ☐ **Departmental**
☐ **Faculty**

## BRIEF DESCRIPTION OF THE CFI FUNDED PROJECT (max. ½ page)

**Provide a brief description of your CFI funded infrastructure project in relation to the IOF request**

**OPERATING BUDGET SUMMARY TABLE - RESEARCHER**

| Proposed Total Operating Expenses<br>Amount to be spent in year ending 3/31 | 1 Apr 17 —<br>31 Mar 18 | 1 Apr 18 —<br>31 Mar 19 | 1 Apr 19 —<br>31 Mar 20 | 1 Apr 20 —<br>31 Mar 21 | 1 Apr 21 —<br>31 Mar 22 | Total |
|---|---|---|---|---|---|---|
| **Personnel - Technical and other operational** | | | | | | |
| **Supplies (consumables)** | | | | | | |
| **Maintenance & Repairs** | | | | | | |
| **Services** | | | | | | |
| **Others, specify** | | | | | | |
| **Total** | | | | | | |
| **Funding Sources (Excluding IOF)** | **2017** | **2018** | **2019** | **2020** | **2021** | **Total** |
| *Do you/will you have funding from Tri-council agencies for operating support for this project? Yes/No? If yes, how much each year?* | | | | | | |
| *Do you have any discretionary funds from other sources that can be used for the operating costs of this project? Yes/No? If yes, how much each year?* | | | | | | |
| **Total** | | | | | | |
| **IOF Request** | | | | | | **Total** |
| **2017** | **2017** | **2018** | **2019** | **2020** | **2021** | |
| **Supplies***<br>*Consumables and new infrastructure costs are not allowed. Only supplies required to maintain the facility in a state of research readiness are permitted.* | | | | | | |
| **Maintenance & Repairs***<br>*Maintenance or service contracts for the infrastructure not included in the initial infrastructure project, including costs for parts and professional labour.* | | | | | | |
| **Services***<br>*Incremental services that directly support the infrastructure (e.g. hydro, security, cleaning, etc.). If a new facility has been constructed or the infrastructure is used in an existing facility where there is an incremental cost of the service, then the incremental cost of this service is admissible.* | | | | | | |
| **Others, specify*** | | | | | | |
| **Total** | | | | | | |

Note: * **Please replace text in *italics* with description.** Please be as clear as possible on expenses.

Add additional columns if required to utilize entire allocation. Note: Infrastructure must still be in use for the intended research purposes.

**2.4.2 - What are eligible costs for the Infrastructure Operating Fund?**
Eligible operating costs for the Infrastructure Operating Fund (IOF) (see Section 11.3) are the incremental operating and maintenance costs directly related to the infrastructure projects that are needed to maintain the infrastructure in a state of "readiness for research." Only the proportion of operation and maintenance costs associated with the research portion of the infrastructure is admissible.
*CFI Guidelines - https://www.innovation.ca/awards/infrastructure-operating-fund*
(CFI's Policy and Program Guide may be found at the link above. Refer to sections 4.6 to 4.7).

## BUDGET JUSTIFICATION (max. 2 pages)

**Provide a justification to each IOF eligible item on how it will contribute to the incremental operating and maintenance costs of your CFI funded infrastructure project.**
- **If start date of expenses is not April 1, 2017, please indicate actual start date: e.g. October 2017.**
- **CFI equipment/infrastructure must be purchased and operational, i.e. being utilized for your CFI research purposes before IOF grant can be accessed.**