University of Alberta (U of A) Plan for the Operation and Maintenance of Infrastructure funded through the Canada Foundation for Innovation (CFI)

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Introduction and Definitions
The U of A is committed to providing operating and maintenance support for CFI-funded infrastructure for its useful life.

CFI-funded Infrastructure is “the equipment, scientific collections, computer hardware and/or software, information databases and communications linkages used or to be used primarily for carrying out research, including housing and
installations essential for their use and servicing, that has been purchased for the University as part of an approved CFI award.”

**Operation and maintenance support** (O & M) includes advanced technical support, materials and supplies, sustainability, utilities and maintenance, and support for core research facilities.

**Useful life of CFI infrastructure** is defined as the period of time that the infrastructure remains useful for the purposes described in the CFI funding application. “The useful life of research infrastructure is considered to be 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.” (Canada Foundation for Innovation, 2013). Useful life is not equivalent to physical life.

**Sources of Support for Operation and Maintenance**

The first source of funds comes from institutional commitments for support at application, in the form of contributions towards renovation costs, staff support for beyond the term of the project, and the indirect costs of research (e.g., utilities and staff to oversee and manage the facility installation). The ability to make these commitments depends on the availability of funds that are not otherwise committed to support the institution’s overall academic enterprise.

The second source of support is the institution’s **CFI Infrastructure Operating Fund** (IOF). An institution’s IOF allocation is based on the CFI contributions for all IOF-eligible projects. These are CFI projects approved after July 1, 2001, with the exception of projects funded under the Canada Research Chairs Infrastructure Fund and the international fund envelope. All IOF-eligible projects generate an IOF allocation of 30% of the maximum CFI amount approved at award finalization. Thus, if a $1M project received a $400,000 CFI contribution, then that project generates $120,000 towards the institution’s IOF.

CFI gives each institution the authority to manage its IOF allocation in ways that address actual operating and maintenance needs, as opposed to allocating the exact amount to the project that generated it. This offers institutions maximum flexibility to support projects with different needs and scope, while ensuring accountability.¹ Consistent with this CFI policy, the Vice-President Research has allocated up to 1/6th of the institution’s IOF to create a **Research Infrastructure Support (RIS)** fund. This fund is intended to contribute towards a facility’s need for extraordinary O&M support needs.

Other necessary sources of revenue for operating and maintenance include investigators’ research operating and equipment funds obtained through other sources, including start-up funds, and, for some facilities, user fees and external funding sources.

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¹ (Canada Foundation for Innovation Policy and Program Guide, 2013) Section 6.10.2
Guiding Principles

- UofA is committed to ensuring O&M support for the useful life of CFI-funded infrastructure that is meeting its intended purpose through the allocation of institutional support and through institutional efforts to obtain such funds from external sources.

- The Vice-President (Research) oversees the UofA’s responsibility to provide O&M support, which comes from all levels of the institution, including the Project Lead(s), the relevant Department(s), and relevant Faculty or Faculties.

- Institutional contributions are first committed at the time of application, through the support items within the application budget and the associated sign off by Department Chairs, Faculty Deans, and the Vice-President (Research). They are confirmed by these parties at the time the Award Agreement is executed.

- The UofA will submit CFI applications that reflect the institution’s best efforts and practices, to identify accurate and realistic O&M costs.

- The Vice-President (Research) will manage the institution’s IOF and RIS in ways that
  o leverage common O&M needs across facilities, including those not initially joined by a common application.
  o coordinate with resources available from levels within the institution
  o align with the efforts, investments, and priorities of the investigator(s), department(s), and faculty or faculties to sustain the infrastructure
  o are transparent

- On-going Institutional support for a CFI-funded facility may cease once the facility has achieved its intended purpose or 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.

- The project leads, the relevant Department Chairs and Faculty Deans, and the Vice-President (Research) recognize that the CFI IOF may not be sufficient to operate the facility for its useful lifetime, and are committed to allocating other funds under their control, and to identifying other avenues of support external to the institution to sustain the facilities.

- Ongoing O&M for innovative research infrastructure is a collective institutional, provincial, and federal effort.

Comitting Institutional Support for O&M at Application

Overview
For CFI funded projects, the Project Lead(s) have the primary responsibility for identifying O&M costs at the time of application, and for planning for infrastructure sustainability, in consultation with his or her Department Chair and Faculty Dean.
CFI Project Leads shall ask for, and can expect, assistance from the administrative and financial expertise residing at the department, faculty, and institutional level. CFI project leaders will develop realistic operational budgets, including all of these components for the review and approval of their department heads prior to application submission.

In signing the application, the applicant’s Chair and Dean agree to their commitments for operating funds as indicated in the budget.

**Procedure**

*At Application:*

- Project leaders will identify the amount and type of funding that will be needed and to also identify sources of addition revenue that may be brought to bear on operational costs.
- The Project leader will provide realistic and obtainable options for finding the necessary funding, recognizing that the specific minimum amount of the CFI Infrastructure Operating Fund (IOF) funding secured by the application that will be available for this purpose may not be sufficient to cover all costs associated with the infrastructure.
- The O & M budget, including proposed sources of funding will be appropriately completed in the application form by the Project Leader.

*At Award Agreement:*

- Project leaders must confirm the operational budget and acknowledge the necessity for departmental and faculty commitment to operate and maintain the infrastructure for its useful life or until the facility is decommissioned.

**Decision Making Process**

At application, the Department and Faculty are expected to review and understand the commitments in the budget and the signature of the Chair and Dean/Associate Dean (Research) on the Application Signature Page indicate that the costs and revenues are appropriate and commit their support.

In completing the CFI Award Agreement, the University confirms and commits to providing operating and maintenance costs. The Award Conditions form must be fully completed and signed by the project leader, the Department Chair, and the Dean/Associate Dean (Research) committing the institution to “ensure that appropriate resources are provided for the operation and maintenance of the CFI-funded research infrastructure over its useful life (i.e., 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).” (Canada Foundation for Innovation, 2013).

It is the responsibility of all signatories to understand and ensure that O & M funds are available.
Allocating Infrastructure Operating Funds for O&M Support

Overview
All CFI projects approved for funding after July 1, 2001, including Leaders Opportunity Funds for Canada Research Chairs since 2005 (excluding International, Canada Research Chairs Infrastructure and Career Award projects) will be eligible for IOF funds.

Normally, a project will have access to IOF funds not exceeding 25% of the CFI contribution to the project. In the case of inter-institutional projects, funds will be allocated according to demonstrated need, normally not to exceed 30% of the CFI contribution attributed to each participating institution. This allocation will be negotiated and included as part of the required inter-institutional agreement.

Projects that used CFI funds for construction or major renovation of facilities will be required to provide on-going confirmation of the use of the space for the lifetime of the IOF program at the University. In the event that a Project Leader is no longer responsible for the constructed or renovated space, then the Department or Faculty will be required to provide the annual confirmation.

Projects must apply for IOF funds within 2 years of the submission of the CFI Final Financial Report or in the event that infrastructure implementation is delayed, the IOF application must be submitted within 2 years of the implementation. Projects that do not apply for funding within this period will forfeit their allocation of IOF funding to the Research Infrastructure Support (RIS) fund under the oversight of the Vice-President (Research). Expenses may be claimed under the IOF for up to a total of five years. Expenses incurred in the year preceding submission of the IOF claim are eligible.

Eligible costs include costs directly associated with operation of the CFI-funded infrastructure including personnel, supplies, maintenance, repairs and services. As with other CFI funds, all expenditures claimed must be prorated to include only that portion used for research (no teaching). Examples of eligible costs include technical personnel, maintenance or service contracts, supplies needed to run the infrastructure, and services to support the infrastructure (electricity, heating, security, etc.). For details see the CFI Policy and Program Guide, Section 4.7.

Examples of ineligible costs include administrative and secretarial services not directly related to the operation of the infrastructure, faculty salary, minor and significant upgrades, indirect cost of administering CFI awards, publications, software site licenses, and conference expenses. This is only a partial list; please see the CFI Policy and Program Guide, Section 4.7 for more detail.

IOF awards do not require matching funds, and there is no holdback for IOF funds.

Procedure
- Project leaders may submit a Request for IOF funding through the Research Services Office (RSO) at any time during the fiscal year. The request will confirm
the full costs and revenues for the infrastructure for its useful life. IOF will be awarded at a maximum amount for a specified period of time and will be accessed through an annual claim procedure.

- In order to receive IOF funds a CFI project must meet all of the following criteria:
  - The project must be a CFI project approved for funding after July 1, 2001 including Leaders Opportunity Funds for Canada Research Chairs since 2005 (International, Canada Research Chairs Infrastructure and career award projects are not eligible);
  - The award agreement must be in place (i.e, CFI has approved the finalized budget and issued an award agreement).
  - Some infrastructure has been received and is being used for research.
- CFI Project Leaders contact the RSO Partnership and Institutional Projects team to initiate application for IOF funds. The Project Leader prepares a budget showing eligible expenditures in accordance with CFI guidelines. The following information will be provided by the applicant:
  - Scope of work
  - UA IOF Itemized List
  - Budget Justification
- Once complete Project Lead(s) can send the documentation to RSO for review.
- Once RSO review is completed the documentation may be forwarded to the appropriate Chair(s) and Dean(s) to review the proposed budget, indicating by their signatures that the costs as described are appropriate and sufficient for the operation of the infrastructure.
- Forms must be signed by the Project Leader, the Dean and the Chair and submitted to the RSO for review and authorization.
- Budgets will be subject to review and approval through the decision-making process outlined below.
- Annually, Project Leaders will be contacted by RSO to confirm their annual financial statement and to provide a budget forecast for the following year. This claim will be reviewed and approved by RSO, and, once it is approved, the next installment of IOF funds will be deposited into the IOF project.

Decision Making Process
- RSO will review each application for eligibility and conformity to the available allocation for the project.
- The Assistant Director or the Manager, Partnership and Institutional Projects, will consider and approve the application on behalf of the University.
- Upon approval, RSO will authorize the set-up of the project and issue an Advice Notice to the Project Leader.
- In like manner, annual claims will be reviewed and approved by RSO and, once approved, the next installment of IOF funds will be deposited into the IOF project.
Allocating Research Infrastructure Support Funds for O&M

Overview
Occasionally, a situation may arise where the CFI project is in need of extra operational funding for costs that are not normally eligible under IOF terms or for costs that exceed the authorized IOF allocation of 25% during the five year funding period. In these cases, the Project Leader may submit an Extraordinary Request (EOR) for support from the Research Infrastructure Support fund. Any CFI-funded infrastructure may be eligible for RIS funding for operation and maintenance during its useful life.

There is not sufficient RIS funding to provide on-going operating resources for all projects. Project Leaders, Departments and Faculties must be prepared to seek out and commit efficient and effective resources for their projects.

RIS funding decisions will favor requests from projects that are serving a large set of principle investigators and teams that include a shared-cost arrangement at the Department or Faculty level, or that include a commitment for complete support after the RIS funds are spent. In some cases, it may be most effective for departments or faculties to combine support for CFI infrastructure or to place it within core facilities. For instance, a Department Chair could submit, on behalf of several award holders, an EOR request that impacts multiple facilities or a Dean could submit an EOR request for support of CFI projects of similar nature that exist across departments.

If funding is awarded, the Project Leader(s) must report annually to the VP-R on the expenditure of the additional funding, until the full amount is accounted for. If it cannot be spent as requested, the funds will be returned to the Research Infrastructure Fund.

Procedure
- The Project Leader, Department, or Faculty contacts RSO to discuss the possibility of alternative funding arrangements. If advised to do so by RSO, the Project Leader may apply to the Vice-President (Research) (VPR) for additional funds.
- The applicant fills out the EOR form, which includes a justification for the requested funds and a budget showing eligible expenditures in accordance with CFI guidelines. As noted above, a department chair or ADR could submit a request to support infrastructure from several CFI projects.
- Once completed Project Lead(s) may send the documentation to RSO for review.
- Once RSO review is completed the documentation may be forwarded to the appropriate Chair(s) and Associate Dean(s) Research (or delegate) to review the finalized proposed budget, indicating by their signatures that the costs as described are appropriate and sufficient for the operation of the infrastructure.
- Project Leaders, Departments or Faculties may be required to commit to providing the funding for future on-going operational costs.
- Requests must be submitted annually.
• In the case of multi-year requests, an annual report justifying actual expenditures must be completed. If there is insufficient justification for unspent funds, the remaining funds may be withdrawn.

Decision Making Process
The applications will be considered by the VP-R on a case-by-case basis, taking into account how the initial funding was spent, what other resources the project has brought to bear on its operating costs, the productivity of the facility, the range of investigators the facility serves, and the purpose for the additional funds.

Decommissioning of CFI-Funded Infrastructure

Overview
Most CFI-funded infrastructure is retired from use informally when it is no longer needed for research purposes, non-repairable, or replaced by newer technology. In some cases to conserve University resources for support of critical infrastructure, the University may choose to formally decommission infrastructure so that it is no longer considered eligible for on-going support by the institution. The decommissioning process can be initiated by the project leader, the department, the Faculty or the VPR and is subject to approval by CFI when the decommissioning takes place prior to five years from the date of acquisition or implementation of the infrastructure or facility.

Procedure
This process may be initiated at the request of the VPR or by departments or faculties. A template for this purpose will be provided. The following information is required:

• CFI Project number and budget line item or name of infrastructure
• Date of acquisition of the infrastructure or implementation of the facility
• If decommissioning sooner than 5 years from acquisition, what is the impact on the research project as approved by CFI
• Reason for decommissioning – e.g. no longer required for the research; want to use for non-research purposes (teaching/clinical)
• Projected timeline and costs of decommissioning (Note: it is important that contract considerations be properly understood in order to avoid costly severance payments).

The request to decommission must be signed by the Project Leader, Chair and Dean and submitted to RSO. Note: If the infrastructure is more than 5 years old and the Project Leader is not available, the request may be signed solely by the Chair and Dean.

Decision Making Process
RSO will review the request, seek CFI approval as required, and forward the request to the VP-R for final approval.
Bibliography


Appendices
O & M budget template
IOF application form
EOR application form
Decommissioning template
**Project #**

**Project Leader**

**CFI award** $ -

**Start Date**

**CFI IOF (max)** $ -

**End Date** (maximum 5 years from start date)

**CFI IOF Available To Forecast** $ -

**please list only expenses to be covered by the CFI IOF**

<table>
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<th>Category #</th>
<th>Description of Expenditure</th>
<th>Justification for Expenditure</th>
<th>Previous Spending*</th>
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* must be within 1 year of the date of this submission

The personal information requested on this form is collected under the authority of Section 33(c) of the Alberta Freedom of Information and Protection of Privacy Act and will be protected under Part 2 of that Act. It will be used for the purpose of administration of the CFI Infrastructure Operating Fund. Direct any questions about this collection to the Director, University of Alberta Research Services Office, 222 - 8625 - 112 Street NW, Edmonton, AB T6G 2E1; tel (780) 492-5787; fax (780) 492-0949.
# REQUEST FOR NEW IOF PROJECT

For assistance, contact your faculty Research Facilitator or Research Services Administrator at www.rso.ualberta.ca/contact.cfm

### Proposed Project Holder

<table>
<thead>
<tr>
<th>Principal Investigator</th>
<th>Project Holder (if not Principal Investigator):</th>
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<tr>
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<td><strong>Vice-President (Research)</strong></td>
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### Project Details

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<tr>
<th>CFI Project Number</th>
<th>CFI IOF Award</th>
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**CFI Project Title**

**Project Start Date**

**Project End Date**

### Please attach the following:  (for all requests)

- [ ] Scope of Work – description of research activity/research proposal
- [ ] IOF Budget Justification – explanation of budget line items
- [ ] IOF Itemized List – detailed budget or projected expenditures

### Certifications Required  ( Indicate Yes or No for each requirement)

**Human Ethics**

- [ ] Yes
- [ ] No

**Animal Care**

- [ ] Yes
- [ ] No

**Biohazards/Transgenic Plants**

- [ ] Yes
- [ ] No

**Stem Cell**

- [ ] Yes
- [ ] No

### Declaration of Principal Investigator

I certify that:

1. I will abide by University of Alberta (UofA) policies and procedures governing research, including animal care, use of human subjects and biohazards.
2. I will use the grant only for the purpose for which it is awarded and that the information provided in the application is complete and accurate.
3. The IOF Itemized List includes only eligible incremental operating and maintenance costs directly related to the specified infrastructure project
4. The IOF Itemized List includes only the portion of costs associated with the research portion of the infrastructure
5. UofA costs included in the IOF Itemized List are based on the UofA’s usual tendering and purchasing policies and represent fair value.
6. UofA Costs included in the IOF Itemized List will be incurred only if the infrastructure is used for research
7. If applicable, the terms of the inter-institutional agreement (IIA) governing this project have been respected in the preparation of IOF claim documents
8. I understand that IOF funds may be claimed on an annual basis and fully understand and accept reporting obligations and other deliverables associated with this grant

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<tr>
<th>Principal Investigator Signature</th>
<th>Date</th>
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### Declarations of Chair and Dean

We certify that:

1. The Principal Investigator is eligible by virtue of his/her employment contract in accordance with UofA policy, and the eligibility requirements of the sponsor.
2. The department and faculty will administer the research funds in accordance with UofA policies and procedures governing research, including animal care, use of human subjects and biohazards.
3. Space and basic facilities to carry out the research in a responsible manner are available.
4. The Scope of Work and IOF Budget Justification is appropriate and realistic.
5. I have reviewed the IOF Itemized List for the above project and find the costs to be incurred at the UofA appropriate and, alone, or in conjunction with other funding, sufficient for operation of the associated infrastructure

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<thead>
<tr>
<th>Chair Signature</th>
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### RSO Approval

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The personal information requested on this form is collected under the authority of Section 33(c) of the Alberta Freedom of Information and Protection of Privacy Act and will be protected under Part 2 of that Act. It will be used for the purpose of establishing a PeopleSoft project from internal University sources. Direct any questions about this collection to: Assistant Director – Partnership and Institutional Projects, Research Services Office, 222 Campus Tower, 8625 – 112 Street, Edmonton, AB T6G 2E1
**REQUEST FOR EXTRAORDINARY OPERATING FUNDS (EOF)**

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Support is requested for CFI Funded Infrastructure: Yes or No

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<th>CFI IF Line Item(s):</th>
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| CFI IOF Award: | $ |
| CFI IOF Actual Expenses | $ |
| CFI IOF Remaining: | $ |
| Previous EOF Award | $ |
| EOF Actual Expenses | $ |
| EOF Remaining | $ |
| Total Revenue Available From Previous fiscal years: | $ |

**EOF REQUEST**

**Justification - Please append a document that addresses the following:**

1. Is this request for additional CFI IOF funding, more time to spend your CFI IOF award, or other?
2. Please provide a detailed budget and budget justification associated with this request, as well as a brief explanation about the proposed research plan for the period to be funded. E.g. What activities will be supported by this funding? How many individuals will be supported by the infrastructure? What is the importance of the infrastructure to the unit/department/faculty? Please also confirm that the supported pieces of equipment are still being used for research.
3. What have you used the CFI IOF for to date and the associated research successes?
4. What other financial resources you have used to operate and maintain the equipment? As the CFI IOF is only a portion of your operational budget, please describe other activities/expenses and associated revenues. This is required to demonstrate that your additional resources are not enough to keep the equipment in an optimal research readiness state.
5. Summarize future operational financial resources that will complement the CFI IOF and describe your plan for the long term operation and maintenance activities once the CFI IOF money and/or extraordinary request is fully expended. The CFI IOF cannot be used to provide long-term sustainability and a project is expected to be self-sustaining within 5 years.

**NOTE:** This request will be considered by the VPR on a case-by-case basis taking into account how the initial funding was spent, what other resources the project has brought to bear on its operating costs, and the purpose for the additional funds.

**Name of PI**

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In agreement with the above:

**Name of Chair (or delegate)**

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**Name of Assoc. Dean Research (or delegate)**

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**RSO ONLY**

| Purchase Date of CFI IF Line Item(s): | MM/YYYY |
| Funding Recommendation: | Yes or No |
| Amount: | $ |
| Source of Funds: | IOF or VPR Research Infrastructure Support |

**Agreements Administrator**

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**Ast. Director , Partnership and Institutional Projects**

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**Vice President, Research**

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Last Review: Sept 2014
Last Update: Sept 2014
## CFI Equipment Decommissioning Request

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<tr>
<th>CFI Project Number</th>
<th>CFI Project Line Number</th>
<th>Equipment Description</th>
<th>Location (Lab/Bldg)</th>
<th>Model/Serial Number</th>
<th>UofA Capital Asset Tag #</th>
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**Details of decommissioning request:** (no longer required for research; repurpose to non-research uses; impact on CFI approved project if asset is less than 5 years from acquisition date, etc.)

**Projected timeline and estimates costs of decommissioning:**

**Project Leader Signature/Date**

**Chair Signature/Date**

**Dean Signature/Date**

**RSO Approver/Date**

**Vice-President (Research) Signature/Date**