



**Canada Foundation for Innovation (CFI)
Infrastructure Operating Fund (IOF)**

1.0 Purpose

- 1.1 To outline the StFX University Policy on the use and administration of the CFI IOF.
- 1.2 St. Francis Xavier University (StFX) is eligible to receive a CFI Infrastructure Operating Fund (IOF) allocation that can contribute to the incremental operating and maintenance costs associated with eligible projects funded by the CFI. The purpose of IOF support is to maximize the efficient utilization of research infrastructure and to ensure the infrastructure is operational and ready for research. 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.
- 1.3 Eligible projects generate an IOF allocation to StFX of 30 percent of the CFI amount approved for a given project at award finalization. Each institution is responsible for deciding how to distribute the IOF allocation among its eligible funded projects.
- 1.4 St. Francis Xavier University has been given the responsibility and authority by CFI to allocate the IOF funds among its eligible finalized projects admissible under the IOF in accordance with an internal plan for maintenance of CFI-funded infrastructure. It is the University's responsibility to ensure that sufficient funds are provided for the operations and maintenance of CFI-funded infrastructure.
- 1.5 CFI IOF helps with a portion of the overall operations and maintenance costs of CFI-funded infrastructure. Normally, funds are also contributed by StFX, as well by individual researchers to cover research infrastructure operations and maintenance.
- 1.6 StFX will develop and keep an up-to-date a research infrastructure plan, which includes CFI-funded infrastructure, which can be provided to the CFI upon request.

2.0 Applicability

- 2.1 University-wide

2.2 This policy applies immediately to all CFI Projects awarded with a date of final decision made after January 1, 2015.

2.3 For CFI projects awarded prior to January 1, 2015, this policy will be retroactively applied to any CFI projects approved after January 1 2009, which have already received IOF funding, but which have not completely spent the IOF funding previously awarded by StFX. Unspent IOF funds associated with previously awarded CFI projects will be reviewed annually and returned to a central IOF account that will be administered by the Associate Vice President, Research and Graduate Studies (AVPRGS).

2.4 StFX will establish a central IOF account that will be used to distribute IOF awards based on actual operating and maintenance needs. This will allow StFX maximum flexibility to support projects with different needs and scope, while ensuring accountability to CFI. It will also enable StFX to prepare an annual plan and report on IOF expenditures, as well as management, sustainability and operations of CFI-funded infrastructure.

2.5 Based on need and eligible expenditures (see Appendix A for CFI's IOF eligible expenditures), CFI Project Leaders will be awarded an annual IOF allocation associated with a specific proposal for use of the funds. These operating IOF funds will be accounted for in a distinct IOF research account held by a given Project Leader. An annual reporting process will be undertaken and any unused IOF funds will be returned to the University central IOF account on an annual basis. Unallocated IOF funds will remain in the University's central IOF account to address future operational and maintenance needs of eligible CFI infrastructure projects.

2.6 Prior to requesting funding from the StFX central IOF account each Project Leader is expected to:

- Identify synergies between CFI-funded projects and submit joint proposals (i.e., hiring of shared technicians), whenever possible, for more efficient use of the IOF funding and to avoid any inappropriate duplication of expenses;
- Attempt to identify operating funding from other sources prior to requesting funding from the IOF.

2.7 Applications for IOF grants will be submitted to the AVPRGS on an annual basis. Normally, these requests will be completed in Spring each year, in order for an appropriate request to be made to CFI. It is expected that Project Leaders will normally apply for IOF funding within six months of the completion of the CFI project (infrastructure has been installed and is in state of readiness for conducting research). 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 for which IOF funds are claimed. However, the AVPRGS will take into account number of years of IOF support, plans for use of funding, research productivity in the use of the IOF and infrastructure, as well as other Project Leaders' demands on the use of IOF funding.

2.8 The AVPRGS and Office of Financial Services will administer the IOF in accordance with the

CFI Policy and Program Guide and CFI Award Agreements. The Research Operations Officer, where possible, will assist Project Leaders with advice on proposed expenses.

2.9 In the case of inter-institutional projects, funds will be allocated according to demonstrated need, and in accordance with CFI IOF policies. This allocation will be negotiated and included as part of the required inter-institutional agreement at the time of CFI application.

2.10 The final decision regarding the process and allocation of the central IOF account will be made by the AVPRGS.

3.0 Implementation

3.1 The following procedure will be followed when requesting funds from St. Francis Xavier University's IOF allotment:

- 3.1.1 The Research Operations Officer will send each eligible CFI Project Leader an invitation to submit a StFX CFI **Request for CFI IOF Funding** form (Appendix 2) in Spring each year. The CFI IOF application form will indicate the amounts required for operations and maintenance on an annual basis. Personnel hired through the IOF must follow procedures required by the Payroll Department. Acceptance of the CFI IOF Application terms and conditions must be confirmed by the Project Leader prior to release of IOF.
- 3.1.2 Admissible costs. Only the proportion of operations and maintenance costs associated with the research portion of the infrastructure is admissible by CFI. Budgets for use of IOF should be in accordance with eligible operating/maintenance costs as defined by CFI. Examples of admissible costs under the IOF can be found in Appendix A and CFI's Policy and Program Guide on the CFI website.
- 3.1.3 Annually, the Research Operations Officer and Finance Division will review IOF expenditures associated with individual project accounts in order to prepare an annual report to CFI. Any unused IOF funding at year-end (March 31) will be returned to the central IOF account. The Finance Division will submit the University's annual financial report to CFI for the IOF program. Please note that IOF instalments will not be transferred to the Project Leader's IOF account for the subsequent year if a Project Leader's annual report to CFI remains outstanding.

Appendix A
Eligible costs for the Infrastructure Operating Fund
(CFI Program Guide 2010 - Section 4.6)

Under the Infrastructure Operating Fund (IOF), the costs of operating and maintaining CFI-funded infrastructure are eligible. Unlike the majority of CFI's programs, no partner funding is required. An eligible operating and maintenance cost for the IOF must meet the following conditions:

- 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.;
- 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;
- 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.

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 licenses
- 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)

Non-eligible costs

- 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

REQUEST FOR CFI INFRASTRUCTURE OPERATING FUNDS (IOF)

CFI Project number: _____

Project Leader: _____

PROJECTED EXPENSES FOR THE PERIOD APRIL 1, 20XX TO MARCH 31, 20YY		
Detail by type of expenditure	Budget	Explanation (attach additional pages as required)
Personnel – Technical and other operational		
Supplies (maximum 10%)		
Maintenance and repairs		
Services		
Other (specify)		
Total		

CERTIFICATION OF THE PROJECT LEADER

I hereby certify that:

- . the financial information is complete and accurate for annual reporting purposes.
- . the forecast presented in this report is realistic and takes into consideration the most recent expectations.
- . costs forecasted are admissible costs as per the CFI Policy and Program Guide.
- . costs forecasted are related to infrastructure projects which are admissible under the IOF, as per Section 4.6 of the CFI Policy and Program
- . costs included have not been claimed for reimbursement from another source.
- . costs included and requested were/will be subject to the institution's usual tendering and purchasing policies and procedures.
- . the infrastructure for which IOF is being requested is still used for research purposes.

Project Leader Signature _____
(or submission by email in lieu of signature)

Date _____