

A photograph of a microscope with a blue light source, serving as a background for the title text.

# **CFI Grant Administration Handbook**

**User Handbook on the Administration of  
CFI Grants**

**Research Financial Services  
Finance Department  
March 2015**

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## **ADMINISTRATION OF CANADIAN FOUNDATION FOR INNOVATION (CFI) FUNDS INTRODUCTION**

The information contained in this guide is accurate as of January 2015 and is summarized from the detailed May 2013 CFI Policy and Program Guide and can be found at:

**URL:** <http://www.innovation.ca/en/OurFunds>

Researchers and Administrators are encouraged to visit the CFI website for complete eligibility rules:

### **ROLES & RESPONSIBILITES**

- ✓ Researchers must operate in compliance with the CFI agency guidelines and all University policies
- ✓ Administrative, personnel and accounting procedures must conform to the standards, practices and policies of the University
- ✓ Each researcher authorizes expenditures in accordance with CFI agency policies
- ✓ No one may initiate or authorize expenditures from a CFI cost centre without the authority of the researcher or his/her delegated authority

### **CFI FUNDS – GENERAL PRINCIPLES**

- Equipment purchased against a grant belongs to the University
- Eligible expenses are for the costs of modernizing, acquiring and developing research infrastructure
- Eligible expenses must be included on the CFI itemized budget
- When there is no written agency policy covering a specific purchase the University's policy applies
- CFI defers to the University's Conflict of Interest Policy to ensure accountable and responsible use of grant funds
- The University can withhold payment of expenses approved by grant holders that contravene the agencies' requirements or the University's policies



**Should you have any questions, or if you wish us to pursue any clarification pertaining to these guidelines, contact Research Financial Services at ext. 20232**

## ***RESEARCH RELATED YORK POLICIES***

Visit the following websites for detailed information on research related York policies and procedures:

### **Reimbursement of Expenses Policy**

<https://secretariat-policies.info.yorku.ca/policies/reimbursement-of-expenses-policy/>

### **Reimbursement of Expenses Procedure**

<https://secretariat-policies.info.yorku.ca/policies/reimbursement-of-expenses-procedure/>

### **Procurement Policy**

<https://secretariat-policies.info.yorku.ca/policies/procurement-of-goods-and-services-policy/>

### **Procurement Procedure**

<https://secretariat-policies.info.yorku.ca/policies/procurement-of-goods-and-services-procedure/>

### **Conflict of Interest for Faculty and Librarians Policy & Procedure**

<https://secretariat-policies.info.yorku.ca/policies/conflicts-of-interest-policy-and-guidelines-for-faculty-and-librarians/>

## ***COMMON GRANT EXPENSES***

This handbook highlights sections of the CFI Policy and Program guide and provides general information to assist grantees and administrators in determining the eligibility of expenses against their CFI grants. A description of the supporting evidence requirements for each type of expenditure category is included.

In the following pages is a list of the most common expenses charged against CFI grants. Note that this list of examples is not exhaustive.

## *Equipment, Warranties, Components, Software Licences and Upgrades*

<b>Eligible Expenses</b>	<b>Ineligible Expenses</b>	<b>Supporting Evidence Requirements</b>
<ul style="list-style-type: none"> <li>✓ Research equipment and components</li> <li>✓ Shipping, transportation and installation of research infrastructure</li> <li>✓ Initial warranty period plus any extended warranty or service period</li> <li>✓ Software licences</li> <li>✓ Laboratory furniture</li> <li>✓ Communications infrastructure essential for the research activities described in the proposal</li> <li>✓ Initial training for the main operators of the research infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>✗ Equipment not listed on the itemized budget</li> <li>✗ Purchase or lease of property</li> <li>✗ Infrastructure used for teaching or clinical care</li> <li>✗ Office furniture and supplies</li> <li>✗ Internal fees for use of infrastructure owned by the institution (e.g. lease of server space)</li> <li>✗ Operating costs related to the general maintenance &amp; overhead of infrastructure</li> <li>✗ Supplies and consumables</li> <li>✗ Administrative costs not specifically listed as eligible</li> </ul>	<ul style="list-style-type: none"> <li>▪ Original supplier quotes showing list price, normal and educational discounts, CFI discounts and net selling price.</li> <li>▪ Original supplier invoice showing the same information noted above.</li> <li>▪ Approval of grant holder or delegate</li> </ul>

## Personnel

Eligible Expenses	Ineligible Expenses	Supporting Evidence Requirements
<p>✓ Professional, technical and managerial personnel, consultants and contractors directly involved in the design, engineering, manufacturing, installation, construction or renovation of the infrastructure</p>	<p>✗ Trainee stipends (undergraduates, graduates and post-docs) and researcher salaries</p> <p>✗ Salaries paid or payments made to individuals hired to maintain/operate the research infrastructure</p> <p>✗ Recruitment costs</p>	<ul style="list-style-type: none"> <li>▪ External professional services require a quote describing type of service provided and rates charged-follow the Procurement policy</li> <li>▪ External professional services require an invoice with the same information as on the quote</li> <li>▪ Donated external services (in-kind) require written confirmation from the service provider stating that the rates quoted or the value assigned to the donated service represent FMV consistent with rates/fees charged to fee-paying clients as well as written confirmation supporting the # of hours of service donated.</li> <li>▪ Internal Professional Services require time records signed by individual and the supervisor detailing times spent and description of work performed. At minimum must be obtained annually before annual report submitted.</li> <li>▪ If an internal rate/fee is used to charge for service/work performed a description of the method used to determine the rate/fee is required as well as evidence to support that the rate/fee is the same one used to charge other internal clients not related to the CFI project</li> <li>▪ If detailed timesheets are not kept, completion of the CFI salary certificate is required at minimum annually before annual report is submitted</li> <li>▪ All hiring must be authorized by grant holder or delegate</li> <li>▪ Name of person being compensated</li> <li>▪ Position or category of employment</li> <li>▪ Description of work performed</li> </ul>

## Databases and Digital Libraries

Acquisition of a database or the time-limited design and development of a database to the point it is ready for use by the designated research community. For the purpose of these guidelines, digital library are considered to be a database.

Eligible Expenses	Ineligible Expenses	Supporting Evidence Requirements
<ul style="list-style-type: none"> <li>✓ Computers, communications hardware and software</li> <li>✓ Technical or professional work required for the time-limited design &amp; development of a database to the point it is ready for use by the designated research community</li> <li>✓ Data cleaning (verification editing), coding, format conversion, data entry and data transfer</li> <li>✓ Design, develop, beta testing, piloting, commissioning, and integration of databases</li> <li>✓ Merging and organizing existing data that are not already in accessible reference units that can be used efficiently and effectively</li> <li>✓ Development of user guides</li> </ul>	<ul style="list-style-type: none"> <li>✗ Research costs to produce a dataset or database</li> <li>✗ Primary data collection</li> <li>✗ Questionnaire development</li> <li>✗ Survey protocol design</li> <li>✗ Development of sampling methodologies</li> <li>✗ Fieldwork</li> <li>✗ Conduct surveys and interviews</li> <li>✗ Non-technical personnel costs (e.g. privacy officers, security auditors, security personnel)</li> <li>✗ Routine update of database</li> <li>✗ Fees for accessing database for research use</li> <li>✗ Research activities using the database</li> <li>✗ Costs to maintain library collections</li> </ul>	<ul style="list-style-type: none"> <li>▪ Quote from supplier same as for purchasing equipment</li> <li>▪ Invoice from supplier same as purchasing equipment</li> <li>▪ Donated (In-kind) require written confirmation from supplier supporting incremental costs to customize (e.g. hourly rate x # hours). Must be signed by authorized agent, director or employee of supplier OR</li> <li>▪ Donated (In-kind) written confirmation from supplier supporting the value of the dataset (or comparable dataset) as charged to a 3<sup>rd</sup> party. Must be signed by authorized agent, director or employee of supplier</li> </ul>

**Construction/Renovation**

Eligible Expenses	Ineligible Expenses	Supporting Evidence Requirements
<ul style="list-style-type: none"> <li>✓ Construction/renovation of facility to house the infrastructure equipment, databases (e.g. laboratories, animal facilities, computer rooms and greenhouses)</li> <li>✓ Space to use the infrastructure or conduct research (e.g. workstations, storage areas, technicians' offices and interview rooms)</li> <li>✓ Additional space to house and use the eligible infrastructure (not part of project proposal) that is essential for the use of the requested infrastructure (must be for the housing or using of the eligible infrastructure)</li> <li>✓ Essential common elements (blg. codes) - custodial areas, circulation areas, stairways, elevator shafts, mechanical and utility areas and space occupied by structural features (e.g. fire walls).</li> <li>✓ Costs related to essential modification of the space immediately adjacent to the CFI eligible constructed/ renovated space that are a direct result of the construction/renovation of the eligible space.</li> <li>✓ Contingency costs for expected price fluctuations from time of application to start of construction as well unforeseen expenses (no more than 10% of construction costs)</li> <li>✓ Site development &amp; planning costs</li> <li>✓ Architectural and design services</li> <li>✓ Professional fees</li> <li>✓ Permits</li> <li>✓ Insurance</li> </ul>	<ul style="list-style-type: none"> <li>✗ Space for non-research use (administration, teaching or clinical use)</li> <li>✗ Space to house non-eligible equipment</li> <li>✗ Office space for faculty, administrative staff and students</li> <li>✗ Space for meeting or conference rooms</li> <li>✗ Costs to relocate existing tenants</li> <li>✗ Landscaping costs</li> <li>✗ Art collections</li> <li>✗ Administrative costs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Quotes</li> <li>▪ Purchase Requisitions</li> <li>▪ Request for bids</li> <li>▪ Evidence that all bids received followed a competitive bid process</li> <li>▪ Summary form documenting bids received, evaluation and rationale for selecting successful supplier</li> </ul>



## Travel

Eligible Expenses	Ineligible Expenses	Supporting Evidence Requirements
<ul style="list-style-type: none"> <li>✓ Travel to manufacturer, dealer or supplier to select infrastructure</li> <li>✓ Travel using most economical available at time of travel</li> </ul>	<ul style="list-style-type: none"> <li>✗ Cost of airfare acquired with frequent flyer points</li> <li>✗ Travel not listed on itemized list.</li> <li>✗ Conference travel</li> </ul>	<ul style="list-style-type: none"> <li>▪ Purpose of Trip</li> <li>▪ Dates &amp; destinations</li> <li>▪ Details of daily expenses</li> <li>▪ Details of vehicle usage</li> <li>▪ Original detailed receipts</li> <li>▪ Original Travel ticket</li> <li>▪ Original Boarding Passes</li> <li>▪ Separate claim for each claimant</li> <li>▪ Traveler's affiliation to the grant</li> <li>▪ Signature of claimant and grant holder</li> <li>▪ Approval of Dean, Chair, Director or Principal for all travel claims</li> </ul>

## Infrastructure Operating Funds

Costs to maintain and operate CFI-funded infrastructure

Eligible Expenses	Ineligible Expenses	Supporting Evidence Requirements
<ul style="list-style-type: none"> <li>✓ Salaries (including benefits) of highly qualified personnel directly involved in the maintenance or operation of the infrastructure</li> <li>✓ Training for main operator(s) if these costs were not included in the itemized budget</li> <li>✓ Extended warranties and/or service contracts not included in the itemized budget</li> <li>✓ Extensions to warranties and software licenses</li> <li>✓ Maintenance &amp; repairs</li> <li>✓ Replacement parts</li> <li>✓ Replacement of equipment, only if replacement is more cost effective than repair and replacement must have similar functionality as original</li> </ul>	<ul style="list-style-type: none"> <li>✗ Cost of equipment, installation and construction or renovation</li> <li>✗ Upgrades related to the infrastructure</li> <li>✗ Extended warranties and/or service contracts included in the itemized budget</li> <li>✗ Telephone, internet, cable or satellite that are not necessary for the infrastructure to be used for research</li> <li>✗ Insurance</li> <li>✗ Costs not directly related to the CFI funded infrastructure (e.g. maint. contract for non-CFI equipment or services for space not funded by CFI)</li> <li>✗ Trainee stipends (undergrads, grads and post docs)</li> <li>✗ Researchers' salaries</li> <li>✗ Administrative/secretarial/clerical staff not directly related to the operations &amp; maintenance of the CFI funded infrastructure</li> <li>✗ Costs to conduct research activities</li> <li>✗ Costs related to dissemination of information – promotion, publications or conferences</li> </ul>	<ul style="list-style-type: none"> <li>▪ External professional services require a quote describing type of service provided and rates charged</li> <li>▪ External professional services require an invoice with the same information as on the quote</li> <li>▪ Internal Professional Services require time records signed by individual and the supervisor detailing times spent and description of work performed. At minimum must be obtained annually before annual report submitted.</li> <li>▪ If an internal rate/fee is used to charge for service/work performed a description of the method used to determine the rate/fee is required as well as evidence to support that the rate/fee is the same one used to charge other internal clients not related to the CFI project</li> <li>▪ If detailed time sheets are not kept, completion of the IOF Salary certificate is required at a minimum annually before annual report is submitted.</li> </ul>

## **CONTACT US**

### *Research Financial Services – Post Awards Administration*

**Website:** <https://finance.info.yorku.ca/managing-research-grants/>

**Location:** 4747 Keele Street  
Toronto ON M3J 2N9

**Main Line:** 416-736-2100 ext. 20232

**Contact:** Angela Zeno  
Manager, Research Accounting

**Email:** [azeno@yorku.ca](mailto:azeno@yorku.ca)

**Telephone:** 416-736-2100 ext 55668

### *Office of Research Services – Grant Applications & Contracts*

**Website:** <http://www.yorku.ca/research/support/index.html>

**Contact:** Richard Smith  
Director- Strategic & institutional Research Initiatives

**Email:** [richard.smith@yorku.ca](mailto:richard.smith@yorku.ca)

**Telephone:** 416-736-2100 ext 22507