

# CFI New Initiatives / Leading Edge Fund 2009 Instructions

These instructions are for institutions and Project Leaders completing the electronic forms for the **New Initiatives (NIF) or Leading Edge Fund (LEF) 2009 competition**. For further information on these funds and other CFI funding mechanisms, please consult the CFI **Policy and Program Guide** at: ([http://www.innovation.ca/programs/2008/2008\\_cfi\\_guide\\_e.pdf](http://www.innovation.ca/programs/2008/2008_cfi_guide_e.pdf)).

## Deadlines

**Notice of Intent (NOI)** - The institution must submit the Notice of Intent by June 30, 2008. The NOIs will be used for planning purposes and to initiate the recruitment of expert committees tasked with assessing the application. A full application can only be submitted for a project if an NOI has been submitted by the CFI.

**Full application** - The institution must submit the completed electronic application and send a paper copy of the application to the CFI by October 3, 2008.

## Electronic Forms

The CFI does not distribute paper copies of its forms. Institutions must use the web-based electronic forms for completing and submitting applications.

The web-based electronic form controls the font size and the number of characters allowed. Use only the space provided in the form and please respect the page limit for attachments (e.g. Budget justification and eligible 'extra pages').

Help with completing specific fields in the form can be obtained by clicking on the "?" that appears at the specific locations. The following instructions are for general guidance.

The form contains many large text blocks with different character limits. The CFI recommends that these text blocks be written and saved offline, using a word processor, to ensure your work is not lost due to any technical difficulties. However, it is important to remember that the word count function of a word processor may yield a result slightly different than the CFI forms. This is the consequence of the inclusion of spaces and carriage returns in the count. In the CFI forms, spaces and carriage returns are considered characters.

**Please note:** Users of Internet Explorer for Mac. We have identified problems with Internet Explorer for Mac. This combination can cause line breaks (carriage returns) to appear in text blocks. Until such a time that a solution has been found by Microsoft or Apple, we recommend that users of this combination try a different Web browser.

## First steps

The Project Leader must register on the CFI web-site to create an electronic profile with a Personal Identification Number (PIN) and password. You may only have one PIN in the CFI

database. If you already have a PIN you should use it for the 2009 LEF/NIF competition. If you have previously been part of an application to the CFI or the Canada Research Chairs, you probably already have a PIN. To find out if you are already registered, contact the CFI ([pin.nip@innovation.ca](mailto:pin.nip@innovation.ca)) with your name, research institution and department. We will respond to your query by the next business day.

Using this PIN, the Project Leader can complete a CV and all sections of an application except for the "Institutional Commitment" section. Other Principal Users must also register and obtain a PIN, and complete a CV. The CVs are "linked" to the application by the Project Leader, using the PINs of the other Principal Users. When you first log on you will find yourself on your "Portfolio" page. This page displays links to your CV and to all 'live' applications on which there is not yet a decision. You can print any of these forms directly from the Portfolio page.

## **Completing the Notice of Intent**

For both the NIF and LEF, the Notice of Intent (NOI) is an integral part of the application process. The NOIs will be used for planning purposes and to initiate the recruitment of expert committees tasked with assessing the application. Consequently, it should contain accurate information about the infrastructure and the research it will enable. A one paragraph overview of each NOI will be posted in July on the CFI web-site where they may be used by potential collaborating institutions to identify opportunities for joint proposals.

To complete the Notice of Intent, the Project Leader must first create a new project by clicking on the "New project" button at the top of the Portfolio page and selecting the appropriate fund from the drop-down menu. Following this selection, the first page of the NOI form will appear. Once the first page is completed and saved, the New Initiatives or Leading Edge Fund application will be created and will subsequently appear on the Project Leader's Portfolio page. Once the NOI is completed by the Project Leader, it must be submitted electronically by the lead institution before June 30, 2008.

In addition to the on-line submission, one identical, complete copy of the NOI must be submitted to CFI. The application should be printed on one side of standard letter size paper (8½ x 11). The paper copy should be mailed (and postmarked) or dispatched by courier no later than the closing date for NOI: June 30<sup>th</sup> 2008.

Please forward the paper copy to:

Canada Foundation for Innovation  
Attn: Elaine Salmon  
230 Queen Street, Suite 450  
Ottawa ON K1P 5E4

## **Completing the Full Application – Project Module**

Once an NOI has been submitted to the CFI, the project leader will be able to create the full application. All the sections can be completed by the project leader (through the researcher's portal) or the institution (through the institutional portal) except for the institutional commitment section that needs to be completed by the institution.

### **Description of Infrastructure Project and Assessment against CFI criteria**

This section is used to provide:

- administrative information;
- an overview of the research infrastructure project;
- for LEF projects only, a Performance Report on the outcomes and impacts of the previous CFI investment(s);
- the institutional Commitment to the project and the area of research;
- the institution's justification on how it meets the requirements for each of the review factors as described in the normative statements. Please note that a section about operations and maintenance has been added since the last competition.

## **Administrative information (pages 1-2)**

For multi-institutional proposals, signed copies of page 2 must be sent to the CFI up to two weeks after the application deadline. Please note that signatures are only required from eligible institutions sharing ownership and responsibility for the infrastructure, not from all collaborating institutions.

## **Performance Report section**

Under the Leading Edge Fund, performance is an essential component of the assessment. Given that LEF proposals build upon research projects and facilities that have been in place for a period of time, the CFI expects these to have reached an appropriate level of maturity in order to have a range of demonstrable results and outcomes.

Although publication records are an important indicator of research productivity, they are only one of a number of possible indicators used in assessing the results and outcomes of previous CFI projects. This section will be evaluated on the assessment criteria listed in the Call for Proposals.

## **Institutional Commitment section**

For each application, the institution will describe past and future institutional support and commitment in that area of strategic priority. It will also demonstrate how it is supporting this particular project. This section must be completed and submitted by the President or CEO of the institution, or their designated representative. This section can be accessed via the Institutional Component column within the institutional portal. Upon submission, this section will be automatically incorporated to the application.

## **Other assessment criteria**

There is no required format or structure for these sections: it is the responsibility of the applicant to make the case for funding, responding to each specific criterion, identifying strengths and possible weaknesses, and to the broader objectives set out in the Call for Proposals ([http://www.innovation.ca/programs/2008/lef\\_nif\\_call\\_e.pdf](http://www.innovation.ca/programs/2008/lef_nif_call_e.pdf)). In all sections, the institution must provide a justification on how the proposal meets the requirements as described by the criterion standard. Although each review factor contains instructions identifying specific elements that must be addressed, the justification should not be limited only to these elements.

**Nevertheless, each of these elements must be addressed. Failure to do so will weaken the application.**

Each committee will use statements to describe the degree to which the proposal meets each of the criteria. For each assessment criterion, a criterion standard is provided. The information presented will be assessed on whether the requirements for that standard are:

- not satisfied;
- partially satisfied;

- fully satisfied;
- fully satisfied, and significantly exceeded in one or more key aspects.

## Operations and Maintenance section

As more emphasis is placed on sustainability of the infrastructure, more information is now required on the proposed operations and maintenance (O&M) of the infrastructure. In this new section, the applicant should describe:

- the resources necessary to the optimal operation and maintenance of the proposed infrastructure for the first five years of operations;
- the sources of funding (secured or anticipated) to cover for the costs associated with O&M;
- a contingency plan in the event that some of the anticipated funding does not materialize.

## Extra pages

If the project costs total \$10M or more, the application may use an additional 10 pages to address the assessment criteria: these 10 pages should be in a separate word-processed file, and the file should be attached electronically to the application.

The pages may be distributed among the sub-sections as necessary, but each page must be fully attributed to a particular section: a partly-used page will count as a full page and we will not accept a page which includes the 'orphaned' final paragraphs of a number of sub-sections. A black-and-white copy of a construction floor-plan may be submitted in addition to the 10 extra pages.

## Completing the Full Application – Finance Report

This module provides information on:

- total project cost to acquire or develop the infrastructure;
- justification for items requested;
- funding from other partners;
- plans for operation and maintenance of the infrastructure;
- utilization of the infrastructure for uses other than research.

**Only eligible costs** should be included in the total eligible project costs. If the infrastructure is to be used for purposes other than research, the **costs must be prorated for the research use only**.

Financial documentation, such as quotes, must be retained by the institution but shouldn't be attached to the application.

All **matching funding** must be secured at the time of application, or a persuasive plan included in the application for securing the funds within nine months of the CFI decision.

**Persuasive plans** for securing funds include:

- an application to a provincial matching program, or
- commitments from partners (documentation not required with application).

An application to agencies that review and decide on funding independently of CFI decisions is not considered a persuasive plan.

The source of the matching funding is not a consideration in the review process; nevertheless, the presence of a specific source of funding may demonstrate the interest of: potential users of the infrastructure; the beneficiaries of research results; or, the potential employers of the highly qualified personnel.

All **in-kind contributions** must be eligible costs, and must be essential components of the infrastructure project.

## CVs of Principal Users

These provide information on the principal users of the infrastructure project. CVs should be completed electronically by the Principal Users (a maximum of 10 CVs can be included) of the infrastructure. Use only the pages provided. The Project Leader should attach the CVs electronically to the application using the PINs of the principal users. The CFI CV and the Common CV can be used for this competition.

[Click here](#) for information regarding how to use your common CV with CFI applications.

The CVs will be used in conjunction with the researchers section of the application form, so you should avoid unnecessary duplication of information.

## Submitting the full Application Form on-line

Once all the information is entered and saved into the electronic application form, the Project Leader indicates on the Portfolio page that the application is completed by selecting “Yes” for the Completed? – Yes/No toggle. The application status will change from “In progress” to “Completed by researcher”. **The status can be reversed by selecting “No”** for the Completed? – Yes/No toggle.

Using the Institutional Username and password, an authorized official<sup>1</sup> of the institution may review the application form. The authorized official must complete the Institutional Commitment section before the application can be submitted, by selecting the “submit to CFI” toggle found on the Institutional screen. The status on the Project Leader’s Portfolio page will change to “submitted by institution”. **At this point, no further changes can be made to the application by either the Project Leader or the institution.**

## Submitting a paper copy of the application

In addition to the on-line submission, one identical, complete and signed paper copy of the application must be submitted to CFI. The application should be printed on one side of standard size paper (8½ x 11), and the package should be held together with a bulldog clip rather than stapled or bound. Do not use coloured inks or paper as photocopies will only be in black and white. Remember to include a black-and-white copy of the floor plan (where applicable). Text attachments (e.g. 10 extra pages where applicable, budget justification) must be printed in black ink, of letter quality and single-spaced with no more than six lines per inch. Type size must be no smaller than 12 points or 10 cpi.

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<sup>1</sup> This can only be one of the named individuals on the signed Institutional Agreement with CFI

The paper copy should be mailed (and postmarked) or dispatched by courier no later than the closing date for applications: October 3<sup>rd</sup> 2008. We cannot guarantee that we will accept applications submitted after the closing date.

Please forward the paper copy to :

Canada Foundation for Innovation  
Attn: Elaine Salmon  
230 Queen Street, Suite 450  
Ottawa ON K1P 5E4