College-Industry Innovation Fund — Stream 1

Guidelines for completing a Notice of Intent and proposal

October 2014
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CHAPTER 1 – INTRODUCTION

These guidelines are intended for researchers and institutional research services personnel wishing to prepare and submit a Notice of Intent (NOI) and a proposal to the 2015 College-Industry Innovation Fund (CIIF) — Stream 1 (infrastructure only) competition. For further information, consult the Call for Proposals on the Canada Foundation for Innovation’s (CFI) website. Researchers and institutional research services personnel will use the CFI Awards Management System (CAMS) to prepare, share and submit NOIs and proposals for this competition. Links to the technical instructions for using CAMS to create and manage NOIs and proposals to the 2015 CIIF-stream 1 competition, and other useful resources, are listed below.

Helpful links
The following documents are available in PDF format.

- CIIF — Stream 1: Call for Proposals
- CIIF — Stream 1: Technical instructions for completing a Notice of Intent and a proposal
- Getting started with CAMS: An overview document for researchers
- Getting started with CAMS: An overview document for institutional research services personnel

Deadlines

**Notices of intent**
Institutions wishing to submit a proposal to the 2015 CIIF — Stream 1 competition must first submit a NOI. The submission deadline for the NOI is January 16, 2015.

**Proposals**
The submission deadline for proposals for this competition is May 15, 2015
CHAPTER 2 - GUIDELINES FOR ATTACHMENTS

Electronic forms
Proposals for the 2015 CIIF — Stream 1 competition must be completed and submitted to the CFI through CAMS.

Conformance with instructions for proposal preparation
It is important that all proposals conform to the instructions provided on the electronic proposal form as well as those in this guide. It is strongly recommended that the forms be carefully reviewed prior to submission to the CFI to ensure completeness and compliance with the guidelines.

Pagination
CAMS will automatically paginate proposals submitted to the CFI. Attachments should not be individually paginated prior to upload to the electronic system.

Page formatting
Expert reviewers and the Multidisciplinary Assessment Committee (MAC) assess the electronic versions of the proposals. It is therefore imperative that proposals be properly and consistently formatted. Attachments should be formatted in a standard, single-column layout on an 8.5” x 11” page. Avoid using a two-column or landscape format since it may cause difficulties when reading the document electronically.

Legibility is of paramount importance and should take precedence in the selection of an appropriate font for use in the proposal form. The applicant is strongly encouraged to use a 12-point, black-coloured font and use single line spacing (six lines per inch) with no condensed type or spacing. Small font sizes make it difficult for reviewers to read the proposal; use of a font not in compliance with the above recommendation may result in the CFI returning the proposal for further revision.

Additionally, the CFI expects attachments to conform to the following guidelines:

- **Header**: Indicate the applicant institution in the top left, the title of the section in the middle and the project number on the top right of each page.
- **Footer**: Indicate the title of the section in the bottom left of each page. Do not include any information in the bottom right side of the page as this area will be used for automatic page numbering.
- **Page margin**: Insert a margin of no less than 2.5 centimetres (1 inch) around the page. The header and footer may be within the margin.
- **File format and size**: Only PDF files may be uploaded. Documents in other formats should be converted to PDF prior to upload and should not be encrypted or password-protected. The file size must not exceed twenty megabytes (20MB).

Adherence to the page formatting guidelines and requirements noted above is necessary to ensure that no applicant will have an unfair advantage by using smaller type, line spacing or margins to provide more text in the proposal.
CHAPTER 3 – NOTICE OF INTENT STRUCTURE

The NOIs will be used to assist the CFI in planning the review process, recruiting expert committee members and identifying potential eligibility issues for the infrastructure items requested. Therefore, the NOI should contain accurate information about the infrastructure and its users, the proposed applied research and technology activities and the expected outcomes. The requisite NOI preparation instructions are contained herein.

The NOI consists of the following four sections:

- Project information
- Key participants
- Project description
- Suggested reviewers

**Project information**
The project information section captures basic information about the project such as the title, applicant institution and keywords.

**Key participants**
List up to eight key participants, including the project leader, associated with the proposal. These participants can be associated with the college or with other organizations but should be essential to the proposed activities leading to business innovation. The NOI cannot be submitted before all key participants have confirmed their participation. Researchers listed as key participants automatically gain read access to the NOI and proposal.

**Project description (maximum three pages)**
The project description should include:

- A brief description of the major pieces of infrastructure requested;
- A short overview of the applied research and technology projects to be enabled by the infrastructure and how these align with the needs of private or other sector partners; and
- A list of up to five private or other sector partners (current or planned), indicating their roles in the planned projects.

Please use this section to clearly indicate if the proposal will include research computing infrastructure components.

**Suggested reviewers**
Identify a minimum of six reviewers who are especially well qualified to review the proposal and who are not in a position of conflict of interest. A conflict of interest may be deemed to exist or perceived as such when reviewers:

- Are a relative or close friend, or have a personal relationship with the project leader or one of the principal users;
- Are in a position to gain or lose financially/materially from the funding of the proposal;
- Have had long-standing scientific or personal differences with the project leader or one of the principal users;
- Are currently affiliated with the project leader’s or the principal users’ institutions, organizations or companies — including research hospitals and research institutes;
- Are closely professionally affiliated with the project leader or one of the principal users, as a result of having in the last six years:
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- Frequent and regular interactions with the project leader or one of the principal users in the course of their duties at their department, institution, organization or company;
- Been a supervisor or a trainee of the project leader or one of the principal users;
- Collaborated, published or shared funding with the project leader or one of the principal users, or have plans to do so in the immediate future; or,
- Been employed by the lead institution; and/or

- Feel for any reason unable to provide an impartial review of the proposal.

**Note:** The decision whether or not to use the suggestions remains with the CFI.

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**CHAPTER 4 - PROPOSAL STRUCTURE**

The proposal should clearly present the merits of the proposed CIIF project. Sufficient information should be provided to enable reviewers to evaluate the proposal in accordance with the assessment criteria established by the CFI.

The proposal consists of three modules:

1. **Project module**: Information about the proposed project, how it meets the objectives and criteria of the competition, as well as a budget justification for the infrastructure items requested in the finance module;
2. **Finance module**: Information pertaining to the budgetary details of the proposal;
3. **Suggested reviewers module**: Recommendations of potential reviewers of the proposal.

The online forms will dictate the maximum number of characters that can be included in each section and the page limits for uploaded files.

**Project module**

The project module consists of the following sections:

- Project information
- Plain language summary and project summary
- Key participants
- Assessment criteria and budget justification (attachment)
- Financial resources for operation and maintenance
- Performance indicators
- Collaborating institutions

**Project information**

The project information section captures basic information about the project such as the title, applicant institution and keywords. The information on this page is automatically populated with information provided in the NOI.

Please note that the applicant will not have the ability to change the name of the project leader or applicant institution from those provided at the NOI stage. The CFI uses the NOI to help prepare the review committees. Changes in the project leader or applicant institution may result in a conflict of interest for a review committee member. **If such a change is deemed necessary, we ask that you contact your Senior Programs Officer as soon as possible to have the change made in CAMS.**
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Plain language summary (1,500 characters)
The CFI’s ongoing efforts to remain accountable to the Government of Canada include showing how CFI investments lead to tangible social, economic and environmental outcomes for Canada and Canadians. To do so, we need your help in providing information that will help us tell the stories about how CFI-funded infrastructure plays a key role in outcomes such as creating jobs and spin-off companies, and improving products, policies, processes and services.

Please provide a short summary of the proposed project in plain language, focusing on the expected outcomes for business innovation and any additional benefits for Canada.

Note: This summary will not be used in the review process. Should the project be funded, the CFI may use it in its communications

Project summary (maximum three pages)
In language appropriate for a multidisciplinary assessment committee, provide a summary of the applied research or technology development activities to be undertaken and the key partnerships to be enabled. Provide an overview of the infrastructure being requested and an explanation why it is needed at this time

Key participants
List up to eight key participants (college staff, private sector partners, etc.) and their affiliations.

Key participants must have a CAMS account and must accept to participate in this project before the proposal can be submitted to the CFI. Researchers listed as key participants automatically gain read access to the proposal.

Assessment criteria, budget justification and letters of commitment (maximum 40 pages)
For this section of the online form, upload a PDF document that contains key information on how the proposal meets the objectives and established assessment criteria for this competition as well as a budget justification for the infrastructure items requested. Assessment criteria and budget justification may not exceed 30 pages.

Letters of commitment (up to five letters) must also be scanned and included in this PDF document. Letters must not exceed two pages each, for a total of 10 pages for five letters.

Ensure that the document follows the guidelines on format, spacing and font use detailed in Chapter 2 of this document. Additionally, the applicant should:

1. Address each criterion in the order that they appear below; and,
2. Begin each criterion on a new page.

Each criterion contains a number of aspects that the applicant must address in the proposal. Failure to address all the aspects that apply to the proposal within each of the criteria will weaken the proposal. Each assessment criterion will be evaluated against a standard. Reviewers will be asked to rate the degree to which the proposal meets each standard.

The attachment allows the applicant maximum flexibility to address each criterion, including through the use of figures or diagrams where appropriate. The exact distribution of pages among sections is at the applicant’s discretion, up to the total page limits noted. Based on past competitions, a typical distribution of pages among the sections for projects is:
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<table>
<thead>
<tr>
<th>College capacity and track record</th>
<th>3 pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contribution to business innovation</td>
<td>5 pages</td>
</tr>
<tr>
<td>Team</td>
<td>5 pages</td>
</tr>
<tr>
<td>Infrastructure (including the budget justification)</td>
<td>8 pages</td>
</tr>
<tr>
<td>Sustainability of the infrastructure</td>
<td>3 pages</td>
</tr>
<tr>
<td>Training of highly qualified personnel (HQP) through research</td>
<td>3 pages</td>
</tr>
<tr>
<td>Benefits to Canadians</td>
<td>3 pages</td>
</tr>
<tr>
<td>Letters of commitment</td>
<td>5-10 pages</td>
</tr>
</tbody>
</table>

College capacity and track record

Criterion standard: The proposed activities align with applied research and development areas in which the college has proven excellence and for which it has shown substantial commitment. The college has demonstrated its ability to build and maintain valuable partnerships with the private sector in this area of strategic priority.

Each of the following aspects must be addressed:

- Explain how the proposed applied research domain fits within the institution’s strategic research priorities, and demonstrate the past and current institutional commitments (e.g. space allocation, financial investments) in this area of strategic priority.
- Describe the capacity of the college (e.g. personnel, equipment, support/administrative staff, business development) and any external funds (contracts, grants, etc.) received in this applied research domain.
- Indicate the number of partnerships with the private sector that were created in this area of strategic priority and provide a few examples to illustrate the nature of these partnerships. For each of the examples, indicate the outcomes for both parties.

Contributions to business innovation

Criterion standard: The proposed activities meet the needs of the college’s private sector partners and have the potential to enhance business innovation.

Each of the following aspects must be addressed:

- Demonstrate the need for, and value of, the proposed applied research to the private sector partners (e.g. refer to environmental scans, consultations with stakeholders, market research analyses, etc.).
- Describe the applied research and technology development activities to be undertaken by the college and its private sector partners once the infrastructure is operational. Include information on:
  a. The proposed activities, the role(s) of the private sector partners and their level of involvement;
  b. The immediate outcomes to the private sector partners in terms of business innovation; and,
  c. The plan to forge and foster productive, value-added, new partnerships with the private sector, including technology transfer and business innovation.

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1 “Private sector” refers to partnerships with the private sector as well as ultimate/end users from other sectors, if appropriate. The term “private sector” is used in this document to encompass all partnerships that contribute to business innovation.
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Business innovation — Letters of commitment
The applicant institution may provide letters of commitment from private-sector partners. Letters of commitment may also be provided by ultimate or end users from outside the private sector, if appropriate. However, all partnerships must ultimately contribute to business innovation.

Up to five letters of commitment, with one or two pages per letter, may be submitted. Letters must be signed by the partners and include the following details:

- A description of the applied research and technology development activities to be jointly undertaken as well as the expected benefits and contributions to business innovation;
- The nature of the involvement of the private sector partner and its contributions to the project, including cash or in-kind contributions, consulting, etc.; and,
- A brief profile of the private sector partner (including, as applicable, type of product sold or service offered, number of employees, total annual sales, level of research and development expenses, etc.).

The team

Criterion standard: The team has the required expertise and capacity to carry out the proposed activities with the requested infrastructure.

Each of the following aspects must be addressed:

- List up to eight key participants (college staff, private sector partners, etc.). Provide a short profile for each of the key participants describing their qualifications, expertise and experience relevant to carrying out the proposed activities. Indicate the role and time commitment of each of the team members.
- Describe the team’s complementary expertise and experience relevant to operating the infrastructure requested, including previous use of similar equipment.

Infrastructure (including budget justification)

Criterion standard: The requested infrastructure will maximize the potential of the described partnerships and will boost the college’s capacity for forging future partnerships through applied research and technology development activities.

Each of the following aspects must be addressed:

- By referring to the cost of individual items section of the finance module, describe the requested infrastructure, its proposed location and how it will enable the proposed applied research or technology development activities. Provide a clear and concise budget justification for the items requested. Please reference items with their respective line item number and description. Provide a cost breakdown for any grouping of items.
- Explain how the requested infrastructure will increase college capacity, benefit the described partnerships and help the college form new partnerships.
- Describe how the new infrastructure complements existing infrastructure at the college and in the region (at public and private sector organizations). Address any potential duplication at the regional and provincial levels.

Additional aspect to address, if applicable:

- For proposals that include construction or renovation costs, the applicant must also include the following information:
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- A description of the entire space, including common elements (e.g. corridors, washrooms, etc.). The description should include the location(s), size and nature (wet lab, dry lab, office, greenhouse, etc.) of the space;
- A breakdown of the overall cost of the construction or renovation project, categorized by cost component (i.e. direct, soft and contingency costs); and,
- A timeline identifying key dates for the various stages of the proposed renovation or construction.

Sustainability of the infrastructure

Criterion standard: The college has developed a credible and convincing plan for maximizing the impact of the infrastructure and for ensuring its long-term sustainability.

Each of the following aspects must be addressed:

- By referring to the tables provided in the financial resources for operation and maintenance section, describe the operation and maintenance needs of the infrastructure over its useful life, and of the personnel (current or planned hires) involved in day-to-day operations and facility management.
- Outline of the sources of support for operation and maintenance costs (e.g. institutional funds, user fees), and the contingency plans should any of this support become unavailable.
- Describe the plan for ensuring the continued relevance of the infrastructure to current and future partners. Indicate the number of current users and how the number of users and partnerships will evolve over time.

Training of highly qualified personnel (HQP) through research

Criterion standard: The infrastructure will create a stimulating and enriched environment for training HQP (technicians, post-secondary students and other research personnel) through applied research and technology development activities, including hands-on training with state-of-the-art equipment relevant to the private sector.

Each of the following aspects must be addressed:

- Describe how the training environment will be enriched by the infrastructure and proposed activities. Indicate the number of HQP who will use the infrastructure, the nature of the training (e.g. co-op or summer students) and their engagement in the proposed applied research activities.
- Indicate how the training environment will enable the acquisition of skills and expertise to meet the needs of the private sector. Specify the industries or domains with demand for these HQP.

Benefits to Canadians

Criterion standard: The proposed activities will lead to socioeconomic benefits for the region and for Canada.

Each of the following aspects must be addressed:

- Describe the expected near- and longer-term benefits to Canadians (e.g. new or improved products, technologies or processes, job creation), why they are significant and the timeframe over which they are expected to occur.
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- Describe the institution’s plans for knowledge mobilization, technology transfer and/or commercialization for the applied research activities. Demonstrate that the institution has the structures in place and the team has the skills and experience to ensure the successful transfer of the research and technology development results.

**Financial resources for operation and maintenance**
This page of the project module captures the annual costs and sources of committed support to ensure the effective operations and maintenance of the infrastructure for the first five years after implementation.

In cases where the useful life of some of the infrastructure items requested is longer or shorter than five years, the assessment criteria section of the proposal should provide complementary information regarding the operating and maintenance needs for these items over their useful life.

Do not include costs related to research and/or technology development. If funding sources include the CFI Infrastructure Operating Fund (IOF), list these under the institutional contribution category.

**Performance indicators**
Complete the unshaded cells for each performance indicator only with information relating to the CFI project. Provide values for each indicator at the time of application (where indicated) and projected values for the indicated timeframe (i.e. at application and 18, 36 and 60 months after finalization).

Please note that “at the time of application” refers to activities undertaken in the past calendar year by the college in the area of the proposal. “Projected ‘x’ months after finalization” refers to the estimated total value of the indicator from the award finalization date to the end of the projected period in the area of the proposal (i.e. total cumulative). Performance indicator values at the time of application are considered “baseline” data for progress reports to be submitted at 18, 36 and 60 months following award finalization.

In addition to reporting the values of performance indicators (PI), these indicators should be described within the context of the aspects outlined under the assessment criteria, as appropriate. For example, PI on partnerships may be addressed in the college capacity and track record section; PI for existing products improved or new technologies developed may be described in the contributions to business innovation or benefits to Canadians criteria.

See appendix A for the list of the performance indicators.

**Collaborating institutions**
If applicable, identify the institutions eligible for CFI funding collaborating on this project. A collaborating institution is one that receives part of the infrastructure.

Do not include the lead institution identified in the project information section in this list.

**Finance module**
The finance module consists of the following sections:

- Cost of individual items;
- Floor plans (if applicable);

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2The useful life of the 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 as per the proposal, factoring in normal repairs and maintenance.
College-Industry Innovation Fund — Stream 1 - Guidelines for completing a NOI and proposal

- Contributions from eligible partners;
- Infrastructure utilization; and,
- Overview of infrastructure project funding (generated automatically).

For each section of the finance module, the applicant should ensure that all requested information has been entered into the relevant fields.

For the overview of infrastructure project funding section, the tables will be automatically populated with information taken from the other sections of the finance module. Note that the amount requested from the CFI is calculated based on the difference between the total contributions from eligible partners and the total eligible costs.

**Cost of individual items**

When completing the cost of individual items section, the CFI recommends that the applicant bundle items into functional groupings. The budget justification should, however, detail and provide justification for each item within a group. Section 4.6 of the *CFI Policy and program guide* outlines the eligible costs for infrastructure projects.

List only the eligible infrastructure acquisition and development costs. List the full cost of each item. Retain documentation (price lists, quotes, etc.) so that you can provide it to the CFI upon request.

**Please note:**

1. If the infrastructure will be used for purposes other than research or technology development, list only pro-rated research or technology development costs;
2. The total eligible costs must include taxes (net of credits received), shipping and installation. However, taxes must not be calculated on the in-kind portion.
3. When preparing budget estimates, the applicant must follow its existing institutional policies and procedures. Costs included in this budget must be close estimates of fair market value. Refer to section 6.5 of the *CFI Policy and program guide* for information on how in-kind contributions must be assessed.

**Floor plans (if applicable)**

For proposals that include construction or renovation involving multiple rooms, please provide floor plans of the proposed area(s), showing the location of the infrastructure and the scale of the plans. The floor plans must be legible when printed in black and white on standard letter-size paper (8.5” x 11”).

**Note:** The floor plans will be a separate attachment and not included in the 40-page maximum for the assessment criteria and budget justification and letters of commitment section of the proposal.

**Contributions from eligible partners**

List all contributions from eligible partners. *Do not* include the amount requested from the CFI. Provide the partner name and type, as well as a breakdown of contributions (cash and in-kind) for each eligible partner. The applicant is encouraged to bundle all expected in-kind contributions from vendors into a single line. If partner contributions are expected but have not yet been confirmed, outline the plans for securing these funds.

**Infrastructure utilization**

This section of the finance module captures the use of the requested infrastructure for CFI-eligible and non-eligible purposes and any applicable prorating of costs.
CHAPTER 5 – SUBMISSION PROCESS

Notice of Intent submission
Notices of Intent for the 2015 CIIF — Stream 1 competition must be submitted through CAMS by January 16, 2015.

Proposal submission
Proposals for the 2015 CIIF — Stream 1 must be submitted through CAMS. A paper copy including the original signature should be mailed to the CFI or sent by courier no later than May 15, 2015 to:

Canada Foundation for Innovation
Attn: Elaine Salmon
230 Queen Street, Suite 450
Ottawa ON K1P 5E4
Tel: (613) 943-0210
### APPENDIX A: CIIF — STREAM 1 PERFORMANCE INDICATORS

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total cash investment ($)</td>
<td>by private-sector partners in the research and development project</td>
</tr>
<tr>
<td>Total in-kind ($)</td>
<td>invested by private-sector partners in the research and development project</td>
</tr>
<tr>
<td>Total number of partnerships</td>
<td>between colleges, local industries and other organizations on applied research and development projects</td>
</tr>
<tr>
<td>Of the total number of partnerships reported above, number of private sector partnerships</td>
<td>on applied research and development projects</td>
</tr>
<tr>
<td>Number of faculty</td>
<td>using the CFI-funded infrastructure as a key resource in their applied research and development projects</td>
</tr>
<tr>
<td>Number of college staff (excluding faculty)</td>
<td>using the CFI-funded infrastructure as a key resource in their applied research and development projects</td>
</tr>
<tr>
<td>Number of students</td>
<td>using the CFI-funded infrastructure as a key resource in their applied research and development projects</td>
</tr>
<tr>
<td>Number of individuals from the private sector</td>
<td>using the CFI-funded infrastructure as a key resource in their applied research and development projects</td>
</tr>
<tr>
<td>Number of existing products/technologies/processes improved</td>
<td></td>
</tr>
<tr>
<td>Number of new products/technologies/processes/prototypes developed</td>
<td></td>
</tr>
<tr>
<td>Number of technical publications</td>
<td>derived from CIIF projects</td>
</tr>
<tr>
<td>Additional technology transfer:</td>
<td>Patents, other IP rights, spin-offs, other</td>
</tr>
<tr>
<td>Additional knowledge transfer:</td>
<td>Impact on protocols, public policies, environmental benefits, other</td>
</tr>
</tbody>
</table>