College-Industry Innovation Fund – Stream 2

Guidelines for completing a proposal

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CHAPTER 1 - INTRODUCTION

These guidelines are intended for researchers and institutional research services personnel invited to submit a proposal to the Canada Foundation for Innovation's (CFI) College-Industry Innovation Fund (CIIF) – Stream 2 (Research infrastructure associated with a Five-Year College and Community Innovation – Innovation Enhancement (CCI-IE) grant application). For further information, consult the <u>Call for proposals</u> on the CFI website. Proposals may be prepared and must be submitted through the CFI Awards Management System (<u>CAMS</u>). Links to the technical instructions for using CAMS to create and manage proposals to the CIIF – Stream 2 competition, and other useful resources, are listed below.

Helpful links

- <u>CIIF Stream 2 Call for proposals</u>
- Getting started with CAMS

Deadlines

The deadline for submission of proposals to this competition is October 30, 2015. Proposals will only be accepted from institutions invited to submit a proposal following the review of the Letter of Intent for CCI-IE competition 13.

On-line submission of a CIIF-stream 2 proposal

The steps necessary to submit a proposal are summarized in Figure 1 below.





Creating a new proposal when the form becomes available

From the "Researcher dashboard", researchers can create a new proposal and begin to fill in the proposal form. They will have access to two separate modules, the project module and the finance module, which pertain to information on the proposed project and to the budgetary details of the proposal, respectively. To facilitate the merge process of the CCI-IE and the CFI proposals, both proposals should display the same project leader name and project title.

Sharing a proposal

Key participants identified in the proposal will automatically have read-only access to the proposal through their researcher dashboard. Before the proposal is submitted to the CFI by the institution, all key participants will need to agree to participate, which is done from the researcher dashboard. To be consistent with the CCI-IE proposal, the CFI expects the same key participants to be identified in the CFI proposal as the ones indicated in the CCI-IE proposal.

In addition to key participants, the project leader can use his/her discretion in sharing the proposal with other CAMS users. This is done though the "Project sharing" section of the proposal. The project leader can give different levels of access to other users — from 'read' to 'update' access. If the project leader shares access with a user that also has access to the "Institutional dashboard" of CAMS, that user will need to first click on "Researcher dashboard" in the left navigation bar before he/she can access the proposal.

Completing a proposal

The project leader (or his/her delegate) should complete all sections of the proposal as outlined in Chapter 3.

Once the project leader has completed all sections of the proposal, he/she must submit it to their institutional administrator for approval and submission to the CFI. The project leader can indicate that the proposal is complete through the "Researcher dashboard." If errors are detected in the proposal, the project leader will need to fix them before the proposal can be set to 'complete' and submitted to the institution.

Once the proposal has been submitted to the institution, the project leader will be able to read it, but will no longer be able to modify its content.

Action	Proposal status
Project leader creates proposal	In progress
Project leader	Completed
completes proposal	by researcher
Institutional administrators	Verified
verify the proposal	by institution
Institutional administrator	Submitted
submits the proposal to the CFI	to the CFI

Figure 2 – Proposal statuses

Verifying and editing a proposal

This step is done by institutional administrators through the "Institutional dashboard". Administrators from the applicant institution have 'read' and 'update' access to any proposal created by researchers from their institution. Once the project leader has submitted the proposal to the institution, institutional administrators should verify its content and edit it if necessary through their "Institutional dashboard". Institutional administrators will also have the option to send the proposal back to the project leader for modifications.

Submitting a proposal to the CFI

Once the institutional administrator has verified the proposal, he/she can submit it to the CFI through its "Institutional dashboard". After the proposal has been submitted to the CFI, institutional administrators will be able to read it, but will no longer be able to modify its content. In addition to the electronic submission, a completed and signed¹ paper copy of the proposal must be submitted to the CFI

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¹ Only an authorized signatory (as per the *Institutional agreement* between the CFI and the institution) is permitted to sign the paper copy.

CHAPTER 2 - GUIDELINES FOR ATTACHMENTS

Electronic forms

Proposals for the CIIF stream 2 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 CCI-IE review committee 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:

- <u>Header</u>: Indicate the lead institution in the top left, the title of the section in the middle and the project number on the top right of each page.
- <u>Footer</u>: 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.
- <u>Page margin</u>: Insert a margin of no less than 2.5 centimetres (1 inch) around the page. The header and footer may be within the margin.
- <u>File format and size</u>: 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 - 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 two modules:

- 1. **Project module**: Information about the proposed project and how it meets the objectives and criteria of the competition.
- 2. **Finance module**: Information pertaining to the budgetary details of the proposal and a budget justification for the infrastructure items requested.

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
- Key participants
- Assessment criteria (attachment)
- Sustainability of the infrastructure finances
- Performance indicators
- Collaborating institutions

Project information

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

Key participants

List the key participants (up to five) included in the CCI-IE proposal 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 (maximum 10 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. 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 is associated with a number of aspects that the applicant must address in the proposal. Failure to address all of the aspects for each of the criteria will lead to a lower rating. If an aspect is not applicable to the proposed facility, this should be clearly stated in the proposal.

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 limit noted.

<u>The team</u>

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

Each of the following aspects must be addressed:

- 1. Describe the team's ('key participants') overall expertise regarding the operation of the infrastructure requested, including previous experience with similar equipment.
- 2. Describe how the team proposes to keep current in the field (e.g., through workshops, conferences, technical groups, collaboration with other groups).

Need for the infrastructure

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:

- 1. Briefly describe the requested infrastructure and indicate its location.
- 2. Explain how the increased capacity will benefit the described partnerships and help the college form new partnerships.
- 3. Describe how the new infrastructure complements existing infrastructure at the college and in the region (at public and private sector organizations). Address potential duplications at the regional and provincial levels.

Benefits to Canada

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

Each of the following aspects must be addressed:

- 1. Describe the long-term impacts of the proposed activities on economic activity (regionally and nationally) and on the competitiveness of the industry sector.
- 2. Describe likely long-term impacts of the proposed activities on society, health, the environment, quality of life and/or public policy.

Sustainability of the infrastructure

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

Each of the following aspects must be addressed:

- 1. Describe the implementation phases, including key milestones, required to bring the proposed infrastructure to a fully operational state.
- 2. Provide information about the day-to-day operation of the infrastructure, including the personnel to be involved.
- 3. Provide additional details on the costs associated with operating and maintaining the infrastructure and the associated sources of funding as per the tables in the

"Sustainability of the infrastructure – finances" section. Describe the contingency plan should any of the sources of funding be unavailable.

- 4. Explain how the college will manage access between internal and external users.
- 5. Describe the plan for ensuring long-term relevance of the infrastructure to the private sector and future institutional commitments to the area of strategic priority (e.g., recruitment plan for new professors or professionals, contribution to the costs associated with operating the infrastructure).

Sustainability of the infrastructure - finances

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 life² 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

Provide projected values for each indicator for the timeframe indicated.

Collaborating institutions

Identify the institutions eligible for CFI funding collaborating in 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
- Budget justification (attachment)
- Floor plans (if applicable)
- Contributions from eligible partners
- Infrastructure utilization
- 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.

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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.

For the section "Overview of infrastructure project funding", 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 <u>CFI Policy and program</u> <u>guide</u> 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.

Budget justification (maximum 8 pages)

In this section of the online form, upload a PDF document that conforms to the page formatting instructions as provided in Chapter 2: Guidelines for attachments.

The budget justification should provide a clear and concise explanation for the requested infrastructure items. Applicants are strongly encouraged to reference items with their respective line item number and description as presented in the "Cost of individual items" section. For proposals that include renovation costs, institutions must include in the budget justification the following information (refer also to the following section regarding floor plans):

- A complete 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 detailed breakdown of the overall cost of the renovation project, categorized by cost component (i.e., direct, soft and contingency costs).
- A timeline identifying key dates for the various stages of the proposed renovation.

Sufficient information should be provided to enable reviewers to answer the following questions:

- 1. Is the requested infrastructure necessary, effective and efficient in view of the research activities planned?
- 2. Are the cost estimates realistic?
- 3. If applicable, are the plans adequate for the renovations proposed?

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").

<u>Note</u>: The floor plans will be a separate attachment and not included in the 10 page maximum for the "Assessment criteria" 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 CFIeligible and non-eligible purposes and any applicable prorating of costs.

CHAPTER 4 – SUBMISSION PROCESS

Proposals for the CIIF-stream 2 must are submitted through CAMS. A paper copy including the original signature should be mailed to the CFI or sent by courier no later than October 30, 2015 to:

Canada Foundation for Innovation Attn: Elaine Salmon 230 Queen Street, Suite 450 Ottawa ON K1P 5E4 Tel: (613) 943-0210
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