



College-Industry Innovation Fund — Stream 1

Guidelines for completing a Notice of intent and Proposal

December 2016

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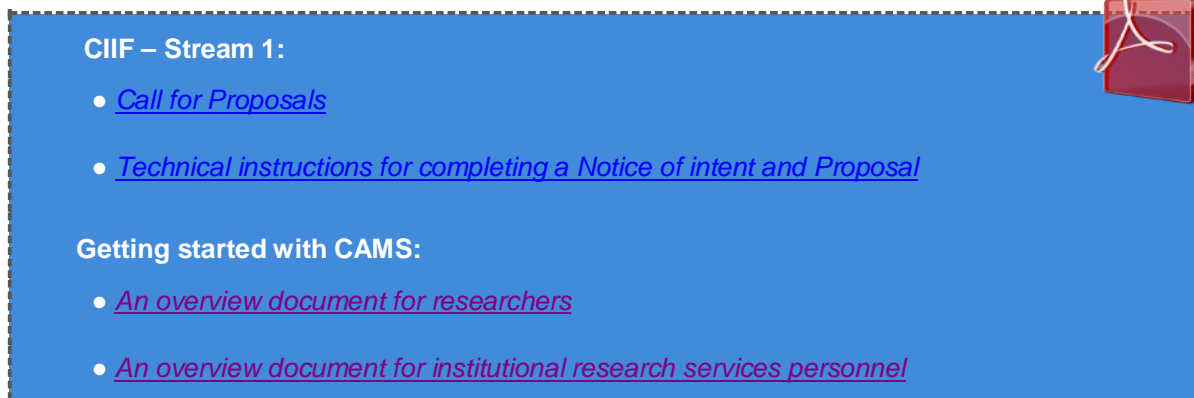
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CHAPTER 1 – INTRODUCTION

These guidelines are intended for researchers and institutional research services personnel wishing to prepare and submit a Notice of intent (NOI) and a proposal a 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 CIIF competitions. Links to the technical instructions for using CAMS to create and manage NOIs and proposals CIIF-stream 1 competitions, and other useful resources, are listed below.

Helpful links

The following documents are available in PDF format.



CIIF – Stream 1:

- [Call for Proposals](#)
- [Technical instructions for completing a Notice of intent and Proposal](#)

Getting started with CAMS:

- [An overview document for researchers](#)
- [An overview document for institutional research services personnel](#)

Deadlines

Notices of intent

Institutions wishing to submit a proposal to a CIIF — Stream 1 competition must first submit a NOI. The annual submission deadline for NOI is March 15.

Proposals

The annual submission deadline for proposals is May 15.

Note: Should a Stream 1 deadline fall on a weekend or statutory holiday, the deadline will be moved forward to the next business day.

CHAPTER 2 - GUIDELINES FOR ATTACHMENTS

Electronic forms

Proposals for 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 development 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, private sector partners, 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 development projects to be enabled by the infrastructure and how these align with the needs of private sector partners; and
- A list of up to five private sector partners (current or planned), indicating their roles in the planned projects.

Please use this section to clearly indicate if the proposal will include advanced 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 key participants;
- 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 key participants;

- Are currently affiliated with the project leader's or the key participants' institutions, organizations or companies — including research hospitals and research institutes;
- Are closely professionally affiliated with the project leader or one of the key participants, as a result of having in the last six years:
 - Frequent and regular interactions with the project leader or one of the key participants 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 key participants;
 - Collaborated, published or shared funding with the project leader or one of the key participants, 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.

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
- 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.**

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 products.

Project summary (maximum two 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 for creating and enhancing collaborations with industrial partners.

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. Those listed as key participants automatically gain read access to the proposal.

Assessment criteria and budget justification (maximum 20 pages)

For this section of the online form, upload a PDF document that contains key information on how the proposal meets the objectives and assessment criteria for this competition as well as a budget justification for the infrastructure items requested. 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.

The five assessment criteria, criteria standards and aspects are:

Criterion standard:

The proposed applied research activities respond to well-identified needs of the private sector and have been developed in collaboration with key industrial partners to ensure they achieve the intended business innovation outcomes.

Contribution to business innovation

Each of the following aspects must be addressed:

- Outline the approach (e.g. stakeholder consultations) the college took to establish the needs of the private sector for the proposed applied research activities and describe the business development and outreach plans.
- Identify key industrial partners as well as the process used to select them and detail their contributions (e.g. time, financial, role in joint projects) to these applied research activities.
- Describe the applied research activities to be undertaken in partnership with the private sector and the specific industry needs these activities will address. Include a brief description of research methodologies and the business innovation objectives of these projects.

Infrastructure (including budget justification)

Each of the following aspects must be addressed:

- By referring to the individual items (including item number) listed in the finance module, demonstrate that the requested infrastructure is required for the applied research activities. Demonstrate how the infrastructure is industry-relevant and essential for creating and enhancing collaborations with industrial partners.
- Indicate how the infrastructure will be efficiently used and maintained in the short term and sustained over the long-term.
- Demonstrate the versatility of the requested infrastructure to respond to immediate and longer-term applied research needs of industrial partners.

Additional aspect to address, if applicable:

- For proposals that include construction or renovation costs, the applicant must also include the following information:
 - 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.

Criterion standard:

The requested infrastructure plays an essential role in creating and enhancing collaborations with industrial partners. The infrastructure will be optimally used and maintained to ensure continued collaborations with, and relevance to, the partners.

Criterion standard:

The proposal builds on the institution's proven applied research capacity and key investments in people and infrastructure in the area of strategic priority. Existing applied research capacity will be further enhanced by the requested infrastructure and associated institutional commitments.

Enhancing applied research capacity

Each of the following aspects must be addressed:

- Describe the college's current applied research capacity, including the experience and expertise of key participants (from the college and private sector), administrative and business development personnel, available equipment and research space, and sources of financial support in this area of strategic priority.
- Describe how the institution's existing applied research capacity will be enhanced by the requested infrastructure.
- Specify the institutional commitments in support of this proposal.

Partnerships with the private sector

Each of the following aspects must be addressed:

- Demonstrate the college's and research team's track record of establishing and maintaining partnerships with the private sector.
- Provide evidence of the business innovation outcomes enabled by these partnerships.

Criterion standard:

The college has demonstrated its ability to build and maintain productive partnerships with the private sector in the area of strategic priority.

Criterion standard:

The proposed activities have the potential to lead to business innovation and socioeconomic benefits for the region and for Canada. The proposed activities will enable the development of highly skilled, qualified personnel.

Benefits to Canada

Each of the following aspects must be addressed:

- Outline the expected business innovation outcomes of the applied research activities for the private sector and other sectors as applicable. Specify the timeframe over which these outcomes are expected to occur and their anticipated benefits for the region and for Canada.
- Describe the skills highly qualified personnel (HQP) will acquire through engagement with private-sector partners in the applied research activities using the requested infrastructure. Include the anticipated number of HQP and describe the plans to involve them in applied research activities (e.g. co-op projects, summer students).

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 life¹ 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.

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.

¹The 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 purposes as per the proposal, factoring in normal repairs and maintenance.

Finance module

The finance module consists of the following sections:

- Cost of individual items;
- Floor plans (if applicable);
- 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 20-page maximum for the assessment criteria and budget justification.

Contributions from eligible partners

List all contributions from eligible partners². 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 CIIF — Stream 1 competitions must be submitted through CAMS by March 15. The CFI does not require hardcopies of notices of intent.

Proposal submission

Proposals for the CIIF — Stream 1 competitions must be submitted through CAMS by May 15. The CFI does not require a hardcopy of the proposals. However, a cover letter (using the template in Appendix 1), signed by the President or authorized signatory at the institution as per the Institutional agreement with the CFI, must be sent to the CFI. Please email as a PDF file attachment a scanned copy of the signed original cover letter to Elaine Salmon at elaine.salmon@innovation.ca no later than May 15.

² Note: Only cash or in-kind contributions made to the eligible costs of a project are accepted as eligible partner contributions. Contributions from research partners may be included only if the funds are for the acquisition of CFI-eligible infrastructure. *Cash or in-kind contributions for applied research activities (excluding the purchase of infrastructure) are not considered eligible partner contributions.*

Appendix 1: TEMPLATE – CIIF PROPOSAL SUBMISSION COVER LETTER TO THE CFI

Mohamad Nasser-Eddine
Director, Programs
Canada Foundation for Innovation
450 - 230 Queen Street
Ottawa ON
K1P 5E4

Re: Confirmation and institutional approval of proposals to the Canada Foundation for Innovation's (CFI) College-Industry Innovation Fund — Stream 1 competition

Dear Dr. Nasser-Eddine,

I am pleased to approve the submission of the following proposals:

Project number:

Project leader:

Project title:

In signing this letter, I confirm that the institution:

- Agrees to and accepts the conditions governing CFI funding, as outlined in the *Policy and program guide* and the *Institutional agreement*;
- Accepts its commitment to ensure appropriate resources are provided for the operation and maintenance of the proposed CFI-funded research infrastructure over its useful life (i.e., the period of time over which the infrastructure is expected to provide benefits and be usable for its intended purpose, factoring in normal repairs and maintenance); and,
- Has previously, or as an attachment to this letter, submitted to the CFI its most recent strategic research plan.

Sincerely,

_____	_____
President (or authorized signatory)	Signature
_____	_____
Institution	Date



Research builds communities

La recherche au service des collectivités

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