



Major Science Initiatives Fund competition 2017–2022

Guidelines for completing a proposal
(only for facilities invited to submit a proposal)

December 2015

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INTRODUCTION

These guidelines are intended for individuals preparing proposals to the Canada Foundation for Innovation's (CFI) Major Science Initiatives (MSI) Fund 2017-2022 competition. For further information, consult the [Call for Proposals](#) for this competition on the CFI website, [Innovation.ca](#). Project leaders, researchers and institutional research services personnel will use the CFI Awards Management System ([CAMS](#)) to prepare, share and submit proposals for this competition. Links to the technical instructions for using CAMS to create and manage proposals to the MSI 2017-2022 competition, and other useful resources, are listed below.

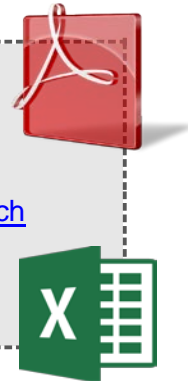
Helpful links

[MSI 2017-2022 - Call for Proposals](#)

[Getting started with CAMS: An overview document for researchers](#)

[Getting started with CAMS: An overview document for institutional research services personnel](#)

[MSI 2017-2022 - Detailed budget template](#)



Deadline

The deadline for submission of proposals to this competition is **April 21, 2016**. Proposals will only be accepted from the administrative institutions of the national research facilities invited by the CFI to submit a proposal following the review of the notice of intent (NOI). Institutions will be advised by February 4, 2016 whether or not they will be invited to submit a proposal.

GUIDELINES FOR ATTACHMENTS

Ensure that the document follows the guidelines on format, spacing and font use detailed below.

Pagination

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

Page formatting

The proposal must be clear and easily readable, both electronically and in print format. To allow reviewers to easily read the document and to ensure that no applicant has an unfair advantage, the following guidelines must be adhered to:

Font and line spacing: 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.

Legibility is of paramount importance and should take precedence in the selection of an appropriate font. Small font sizes make it difficult for reviewers to read the proposal; consequently, the use of small font not in compliance with the above recommendation may result in the CFI returning the form for revision.

Paper size and orientation: Please use a single-column on an 8.5 inch x 11 inch page in portrait layout. Other layouts (e.g. two-column or landscape format) will not be accepted.

Header: Indicate the project number on the top right of each page, the administrative institution on the top left and the title of the section in the middle.

Footer: Do not include any information in the bottom right side of the page as this area will be used for automatic page numbering.

Page margins: 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).

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. Prior to electronic submission, it is strongly recommended that researchers and institutional research services personnel review the forms to ensure that the proposal complies with these guidelines.

PROPOSAL STRUCTURE

The proposal should clearly present the merits of the national research facility and the need for CFI support for operations and maintenance (O&M) of the facility. The requirements for preparing proposals are outlined below. Sufficient information should be provided to enable reviewers to evaluate the proposal in accordance with the assessment criteria and the objectives of this competition (please refer to the [Assessment criteria](#) section).

The proposal consists of four separate modules:

1. **Project module:** Information about the facility and how it meets the objectives and criteria of the competition
2. **Participating institutions:** A list of institutions actively involved in the governance and management of the facility
3. **Finance module:** Information pertaining to the facility's O&M costs and a budget justification for the O&M support requested from the CFI
4. **Suggested reviewers:** Recommendation of potential reviewers of the proposal

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

Project module

The *Project module* consists of the following sections:

- Project information
- Plain language summary and project summary
- Principal users
- Assessment criteria
- Participating institutions

Project information

The *Project information* section captures basic information about the facility such as the name, administrative institution and keywords. The information on this page is automatically populated with information provided in the notice of intent (NOI).

Please note that the applicant will not have the ability to change the name of the project leader or administrative institution from those provided at the NOI stage. If such a change is deemed necessary, please 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 facilities play 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 facility and its research activities in plain language, focusing on the expected outcomes and benefits for Canada, beyond academic accomplishments.

Note: The plain language 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 this section, applicants should provide an overview of the facility and a summary of its most current strategic plan. In language appropriate for a multidisciplinary assessment committee, provide the following information:

- Overview of the facility including:
 - General description of the facility's specialized resources (infrastructure and expertise);
 - Summary of the research or technology development enabled by the facility; and,
 - Outline of the operating and maintenance funding being requested.

- Facility's strategic plan:
 - Provide a summary of the facility's strategic plan, including the long-term objectives.

The project summary will be made available to both expert review and multidisciplinary assessment committees and will provide additional context for the assessment at both stages of the merit review process.

Principal users

List up to five principal users of the facility as well as the facility director. These users may include individuals from organizations ineligible for CFI funding. The principal users should be chosen to demonstrate that the facility supports innovative and leading-edge research programs and is used by researchers of the highest calibre. Refer to the [Assessment criteria](#) section for further details.

Principal users must have a CAMS account and must accept to participate in this project before the proposal can be submitted to the CFI. The curricula vitae (CV) of the principal users will be appended to the proposal and must be completed in CAMS prior to submission of the proposal. Researchers listed as principal users automatically gain read access to the proposal.

The CV within CAMS is structured for researchers. The facility director is asked to use the space available (7,600 characters) in the CV section *Research/technology contributions in the last five years* to describe his or her facility management expertise and experience.

Assessment criteria

(Maximum 25 pages)

For this section of the online form, upload a PDF document (maximum 25 pages) 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 the [Guidelines for attachments](#) section of this document. 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. However, the applicant is encouraged to address each criterion in the order that they appear below. Note that failure to address each criterion standard will lead to a lower rating of the proposal.

Scientific excellence

Criterion standard

The facility is used by researchers and highly qualified personnel (HQP) of the highest calibre and enables innovative and leading-edge research that leads to social, health, economic, or environmental benefits to Canadians.

To allow reviewers to assess this criterion, please:

- Provide an overview of the scope and nature of the research enabled by the facility and outline the priority research directions envisioned for the next five years.
- Describe the community or communities of users of the facility including, for example, the scope, diversity, sector and geographic distribution of users.
- Based on the five principal users for whom CVs were provided and other key users:
 - Describe recent (within the last three years) research or technology development activities enabled by the facility and their transformative and innovative aspects; and,
 - Highlight the key accomplishments of the users that demonstrate they are leaders in their relevant research or technology development domains.
- Describe the single most significant benefit to Canadians realized to date based on research enabled by the facility and list other significant benefits to Canadians.
- Describe anticipated benefits to Canadians and specify the timeframe over which these benefits are expected to occur.
- Provide the number and type (e.g. technician, graduate student, research associate, etc.) of highly qualified personnel (HQP) that used the facility or that were employed by the facility in the past three years. Describe the high-level skills acquired by the HQP and their relevance to careers in research and other fields (e.g. provide quantitative information about the career path of these HQP).

International competitiveness

Criterion standard

The facility's highly specialized equipment, services, resources, and scientific and technical personnel are internationally-competitive and are a high priority for the user community.

To allow reviewers to assess this criterion, please:

- Describe the facility's highly specialized equipment, services, resources, and scientific and technical personnel.
- Identify similar facilities world-wide and, through comparison to these facilities, demonstrate how the facility is internationally competitive.
- Demonstrate that the highly specialized equipment, services, resources, and scientific and technical personnel are a high priority for the research community that the facility serves and that the facility works in cooperation and collaboration with its users to define future needs to maintain its competitive standing.

Need for CFI funding*Criterion standard*

There is a demonstrated need for the requested funding to allow the facility's scientific and technical capabilities to be fully exploited and to operate at an optimal level to address the needs of the user community.

To allow reviewers to assess this criterion, please:

- Demonstrate there is significant demand by the user community for the equipment, services, resources, and scientific and technical personnel offered by the facility.
- Describe how the requested funding will allow the facility's scientific and technical capabilities to be fully exploited and how it will allow the facility to operate at an optimal level to address the needs of the user community.
- Describe the plan for maintaining the current sources of funding, securing and diversifying sources of funding and contingency plans for potential funding shortfalls.
- Describe the impact on the facility in the event that CFI funding is not awarded.

Excellence in governance*Criterion standard*

The facility adopts best practices in governance, including long-term strategic planning, as appropriate to its size and complexity. The facility defines its future needs in consultation with the user community.

To allow reviewers to assess this criterion, please:

- Describe the governance structure of the facility, including the composition and mandate of each of its committees and affiliations of its members. Compare this to best practices in governance of similar facilities or organizations.
- Explain how the facility is accountable to its administrative institution, and if applicable, to member institutions.
- Explain how the facility will measure its success in achieving its objectives, including its priority research directions. Include performance measures.
- If not already included within the plan, describe the consultation process leading to the most current strategic plan
- Provide the facility's most current strategic plan separately by email to the CFI by the submission deadline (refer to the [Submission process](#) section).

Excellence in management and operations

Criterion standard

To realize the strategic objectives, the facility is effectively and efficiently operated and has established mechanisms to ensure optimal use by the user community.

To allow reviewers to assess this criterion, please:

- Describe the current management structure.
- Describe the expertise and specialized support (e.g. technical staff) available and planned, as well as how this support contributes to realizing the objectives of the facility's strategic plan.
- Describe the facility's process and mechanisms to track and measure the outcomes enabled by the facility.
- Identify the facility's key risks and describe the strategies to mitigate these risks.
- Describe the process to allocate access to the facility, including access for academic, public and private users. Specify the annual number of access requests received and accommodated over the past three years.
- Provide the facility's current management plan separately by email to the CFI by the submission deadline (refer to the [Submission process](#) section). This plan should include financial controls, safety monitoring, human resource and succession planning, maintenance and repairs, and decommissioning plans.

Participating institutions

Identify the institutions actively involved in the management and governance of the facility. Participating institutions may include institutions that are not CFI-eligible.

Do not include the administrative institution, identified in the Project information section, in this list.

Finance module

The Finance module consists of the following sections:

- Overall O&M costs (2017-2022)
- Detailed budget and budget justification (attachment)
- Request for transitional funding (if eligible)
- Contributions from eligible partners
- Project funding & summary of eligible costs (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 section *Project funding & summary of eligible costs* the tables will be automatically populated with information taken from the other sections of the Finance module.

For the purposes of CFI funding, the fiscal year runs from April 1 to March 31. Financial information in this section of the form should be entered based on this fiscal period.

Overall O&M costs (2017-2022)

When completing the *Overall O&M costs (2017-2022)* section in CAMS, the CFI requests that the applicant bundle all eligible items, as listed in Tables 1 and 2 of the attached detailed budget, into a single

line item. Please enter “Total O&M costs” as the item description and select “Other” as the type of expenditure, as shown in Figure 1. The date to be acquired should correspond to the first fiscal year in which the O&M costs will be incurred. For “Item location” please select “Other” and indicate the name of the facility in the text box.

Figure 1: Overall O&M costs (2017-2022)

Detailed budget and budget justification

This section accepts a single PDF document that must include the detailed budget of the facility and a budget justification.

Using the detailed budget template available [here](#) in Excel format (also refer to [Appendix 1](#) of this document) complete each of the four tables outlined below. These tables outline the costs and sources of contributions for eligible O&M costs for each of five fiscal periods (2017-18 to 2021-22).

Table 1: Details on eligible O&M costs

List the full cost of each item in the appropriate category (personnel, maintenance and repairs, services, facility supplies, general administration and other) for each of the five fiscal periods (April to March) indicated. Please refer to the [MSI 2017-2022 competition Call for Proposals](#) for a list of eligible O&M costs. Only fields highlighted in yellow should be filled out.

Note: Only the portion of operating and maintenance costs incurred to provide services to external users of the national research facility should be included. For greater clarity, the operating and maintenance costs incurred to support the activities of users based at a national research facility are not eligible under the MSI Fund.

Table 2: Overview of eligible O&M costs

This table lists the total cost of O&M expenditures for each category, by fiscal period. This table is filled out automatically based on information entered in Table 1. The total eligible cash and in-kind costs for the 2017-18 through 2021-22 period must also be entered into the appropriate field in the *Overall O&M costs (2017-2022)* table in the finance module in CAMS (see Overall O&M costs (2017-2022)).

Table 3: Contributions to eligible O&M costs from eligible partners

List the total contributions as cash or in-kind, as appropriate, for each eligible partner for each of the five fiscal periods (April to March) indicated. For each contribution, indicate whether the amount is *expected*

or has been *secured* at the time of proposal submission. Do not include the amount received from the CFI's Infrastructure Operating Fund (IOF) or the amount requested from the CFI in this table. Only fields highlighted in yellow should be filled out.

Note: When adding or removing rows from this table, ensure that the "Total" columns, "Subtotal" rows and "Total contributions from eligible partners" row are updated as the formulae may not automatically adjust to include the new rows of data.

The total cost for the 2017-18 through 2021-22 periods for each eligible partner must also be entered into the appropriate field in the *Contributions from eligible partners* table in the finance module in CAMS (see section [Contributions from eligible partners](#)).

Table 4: Contributions to O&M costs (including CFI)

The top portion of this table lists the total contribution to O&M costs for each category of partner, by fiscal period. This portion is filled out automatically based on information entered in Table 3. In the bottom portion of this table, include the amount received from the CFI's IOF, if applicable, as well as the amount requested from the CFI. The amount received from the CFI's IOF, if applicable, should also be entered into the *Contributions from eligible partners* table in the finance module of CAMS. Only fields highlighted in yellow should be filled out.

Note: The cumulative CFI contribution in any given year, including any funding drawn from the IOF, must not exceed 40 percent of the total cumulative O&M costs.

Budget justification (maximum five pages)

The budget justification should detail and provide justification for each expense outlined in the detailed budget, to a maximum of five pages. For costs related to personnel who provide services which benefit the pan-Canadian user community, include the number of full-time equivalents (FTEs) and the total salary that applies to each position. For example, software engineers, five FTEs, total annual salaries plus benefits, \$500,000.

Note: Only the portion of salaries of personnel supported by the national research facility should be included. For greater clarity, do not include the portion of salaries for personnel who are funded directly from research grants held by a principal investigator, as these personnel are deemed to be conducting work in support of the investigator-led program.

Provide an explanation for any year-to-year changes in O&M costs and partner contributions.

Once completed, upload the document (four tables and the budget justification) as a single PDF into the *Detailed budget and budget justification* section in CAMS.

Request for transitional funding (if applicable)

Only facilities currently receiving more than \$2 million of MSI funding annually from the CFI should complete this section. These facilities should use this section to demonstrate the need for transitional funding should the proposal not be successful in this competition. Transitional funding may be used over a maximum of two years (2017–18 and 2018–19) and may not exceed a total of 75 percent of the facility's current annual CFI funding (for example, the facility may plan on using the full 75 percent in a single year, or 50 percent in the first year and 25 percent in the second year).

Facilities requesting this funding must submit a plan (not to exceed three pages) to describe why the funding is required and how it will be used. A breakdown of costs by category and contributions from partners must be provided in tables similar to the ones below.

	2017-18	2018-19	Total
<u>Category</u>			
Personnel			
Maintenance and repairs			
Services			
Facility supplies			
General administration			
Other			
<hr/>			
Total eligible O&M costs			

	2017-18	2018-19	Total
<u>Eligible partners</u>			
Institutions, institutional trust funds or foundations			
Federal government			
Provincial governments			
Corporations/firms			
Non-profit organizations			
User fees			
Other			
<hr/>			
Total contributions to O&M costs from eligible partners			

	2017-18	2018-19	Total
<u>CFI contribution</u>			
Infrastructure Operating Fund (IOF)			
Amount requested from the CFI			
<hr/>			
Total CFI contribution (\$)			
CFI contribution as a % of O&M costs			
Cumulative CFI contribution (%)			

This information will be reviewed by the Multidisciplinary Assessment Committee (MAC) which will make a funding recommendation to the CFI Board of Directors.

Contributions from eligible partners

In this section of the form in CAMS, list contributions for 2017-18 through 2021-22 from each eligible partner as outlined in Table 3 of the detailed budget. Include any IOF amounts in this section as a contribution with the name "IOF" and partner type of "Other." Do not include the amount requested from the CFI in this competition. Provide the partner name and type, as well as a breakdown of contributions (cash and in-kind) for each eligible partner. If partner contributions are expected but have not yet been confirmed, outline the plans for securing these funds.

Project funding (read-only)

This section in CAMS provides a summary of total contributions and eligible costs for the project. The values in the table are calculated based on the data entered in the *Overall O&M costs (2017-22)* section and the *Contributions from eligible partners* section.

Note: The amount requested from the CFI is calculated based on the difference between the total contributions from eligible partners and the total eligible costs.

Suggested reviewers

The list of suggested reviewers is prepopulated using the list provided in the NOI. You may want to identify additional reviewers who are especially well qualified to review the proposal, including reviewers with expertise in research, governance, management, or financial monitoring of national research facilities.

Suggested reviewers must not be in a position of conflict of interest. For additional details please see the [CFI's conflict of interest and confidentiality agreement](#).

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

SUBMISSION PROCESS

Proposals for the MSI 2017-2022 competition must be submitted through CAMS no later than April 21, 2016; the CFI does not require a hardcopy of the proposal.

In addition to the online submission, the administrative institution must send an email to MSI-ISM@innovation.ca no later than April 21, 2016 containing:

- A cover letter signed by an authorized signatory of the administrative institution and the president or chair of the board of directors of the facility. A template cover letter is found in Appendix 2.
- A PDF version of the facility's strategic plan.
- A PDF version of the facility's management plan.

The CFI will attach the strategic and management plans to the proposal.

APPENDIX 1

Table 1 — Details on eligible O&M costs (2017-2022)

Table 2 — Overview of eligible O&M costs
This table provides an overview of eligible O&M costs.

Table 3 — Contributions to O&M costs from eligible partners
Please indicate if the funds are secured (S) or anticipated (A).

Table 4 — Contributions to O&M costs
This table provides an overview of funding for O&M costs from eligible partners and the CFI.

APPENDIX 2

April 21, 2016

c/o Director, Programs
Canada Foundation for Innovation
450 - 230 Queen Street
Ottawa ON K1P 5E4

Re: Submission of a proposal to the MSI competition 2017-2022

In response to the CFI's *Call for Proposals for the Major Science Initiatives Fund 2017-2022 competition*, I am pleased to submit a proposal for the following national research facility: [NAME OF FACILITY].

Sincerely,

President (or authorized signatory)

Signature

Name of the CFI-eligible institution

President or Chair, Board of Directors

Signature

Name of the national research facility



Research builds communities

La recherche au service des collectivités

450-230 Queen St.
Ottawa ON K1P 5E4
Tel 613.947.7260
Fax 613.943.0227

450-230 rue Queen
Ottawa ON K1P 5E4
Tél 613.947.7260
Télééc 613.943.0227