



Major Science Initiatives Fund competition 2017-2022

Guidelines for completing a Notice of Intent

October 2015

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INTRODUCTION

Institutions wishing to submit a proposal to the Canada Foundation for Innovation's (CFI) Major Science Initiatives (MSI) competition 2017-2022 must first submit a Notice of Intent (NOI) to establish the eligibility of the proposed facility. NOIs will be reviewed to assess the eligibility of a facility based on the seven eligibility criteria outlined in the *Call for Proposals* and will assist the CFI in planning its merit review process.

These guidelines provide the necessary information to prepare and submit an NOI. The NOI must be submitted electronically, using the NOI form for this competition, found in the CFI Awards Management System (CAMS). Helpful links to the *Call for Proposals* and technical instructions for using CAMS to create and manage NOIs are listed below.

Helpful links

[MSI competition 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](#)

Deadline

The submission deadline for NOIs is December 21, 2015.

Please note that the CFI will post a full list of NOIs on its website — including the names of the administrative institutions, project leaders and the names of the national research facilities — shortly after they are received.

Institutions will be advised by February 4, 2016 whether they will be invited to submit a proposal. For institutions invited to submit a proposal following the merit review of the NOIs, the submission deadline is April 21, 2016.

Notice of Intent submission

The NOI must be submitted through CAMS. The CFI does not require a hardcopy of the NOI. A separate NOI submission letter (appendix 1), signed by an authorized signatory of the administrative institution and the Chair of the Board of Directors of the national research facility, must be emailed to MSI-ISM@innovation.ca by the deadline date. A separate letter is required for each NOI submitted.

Notice of Intent review process

Following receipt of the NOIs, an administrative review will be conducted by the CFI. Facilities that are deemed ineligible at that stage will not be assessed further. The CFI will not accept NOIs that are incomplete, nor those that are submitted on behalf of:

- Facilities that are not owned by one or more CFI eligible institutions;
- Facilities that are the responsibility of, or are included within the mandate of, a federal agency or are otherwise excluded as per the *Call for Proposals*; or,

- Facilities that have demonstrated total annual eligible operating costs less than \$500,000.

The NOIs will be subject to merit review by a Multidisciplinary Assessment Committee (MAC) composed of experienced individuals with expertise in the governance, management and operation of national research facilities. The merit review will first identify those NOIs that meet all seven eligibility criteria of the MSI Fund. Should the total request for this subset of NOIs exceed \$600 million (or one and a half times the available competition budget), the MAC will identify from that group facilities for which the loss or absence of support would represent the most serious setback for Canada, for a total CFI request not exceeding \$600 million. The recommendations from the MAC will be presented to CFI's senior management for endorsement.

The NOI will also be used by CFI staff to plan its merit review process and to start the recruitment of expert committee members who will review the proposals. The NOI budget will be used to determine the nature of the review process; therefore, the CFI expects that the NOI budgets will be realistic and robust estimates of the annual operating costs of the facility that will be reflected in the proposals.

COMPLETING AN NOI

It is important that all NOIs conform to the instructions provided on the electronic form as well as those in this guide. Prior to submission, it is strongly recommended that researchers and institutional research services personnel review the form to ensure completeness, accuracy and compliance.

The NOI consists of the following four sections:

1. Project information
2. Participating institutions
3. Demonstration of eligibility (PDF attachment)
4. Suggested reviewers

Project information

This section captures basic information about the facility such as the administrative institution, the name of the national research facility, the project leader (e.g. facility's CEO or Director), and keywords.

Participating institutions

This section identifies the institutions participating in the project. A participating institution is one that is actively involved in the management and governance of the facility. Do not include the administrative institution identified in the project information section.

Demonstration of eligibility

This section contains key information on how the facility meets all seven eligibility criteria in a PDF document.

GUIDELINES FOR THE ATTACHMENT

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 NOI 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 for use. Small font sizes make it difficult for reviewers to read the NOI; 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: Single-column on an 8.5 inch x 11 inch page; 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).

Eligibility criteria

For this section (maximum five pages), provide information on how the facility meets **all** seven eligibility criteria below. In addition, please ensure that this section includes a brief description of:

- the facility and identifies other similar facilities in Canada and abroad;
 - the request for CFI funding and how this will help the facility to achieve its optimal level of operation;
 - the impact of *not* receiving CFI support and how this would represent a serious setback for Canada;
 - your definition of a user and provide qualitative and quantitative evidence to demonstrate a critical mass of users distributed across the country
1. The facility enables research by providing an environment encompassing highly specialized equipment, services, resources, and scientific and technical personnel. No alternatives exist in Canada.
 2. The facility is fully operational and is owned by one or more CFI-eligible institutions.
 3. There is demonstrated demand by the Canadian research community for the equipment, services, resources, and scientific and technical personnel offered by the facility. This community represents a critical mass of users distributed across the country, in areas of research strength for Canada.
 4. The facility has an established user access policy that is publicly available such that any interested potential user is able to request access to the facility.
 5. The facility has demonstrated annual eligible operating and maintenance (O&M) costs exceeding \$500,000 to support significant human and operational resources beyond what is standard in Canadian research institutions.
 6. The facility has as an established governance model appropriate to the size and complexity of the facility, with a clearly defined mandate, structure and procedures to address:
 - Accountability, legal duties and responsibilities
 - Financial controls
 - Policy formulation and strategic planning including stakeholder communications
 - Oversight of facility performance
 7. The facility has a management structure and practices appropriate to the size and complexity of the facility to address:
 - Operation and maintenance of the facility
 - Human resources and succession planning
 - Risks and risk mitigation
 - Monitoring of performance

Additional information

In this section, provide the additional information requested below (not included in the five pages for the eligibility criteria section). Extra information beyond that requested will not be accepted.

Organizational charts

Include two separate charts which outline:

1. The governance structure of the national research facility; and,
2. Its management structure.

These charts should include the names, titles and affiliations. Please see appendix 2 for samples.

Access

Using Table 1, indicate the number of requests for access to the facility and how many of these were accommodated in the past two fiscal periods (April 1 to March 31).

Table 1: Demand for access

Demand	2013-14 Total number		2014-15 Total number	
	Request for Access	Access Accommodated	Request for Access	Access Accommodated
Number				

Actual and forecasted operating and maintenance costs and revenues

Actual and forecasted O&M costs and revenues are required to establish the facility's eligibility for MSI funding. Using tables 2 and 3, provide the actual budget information for the fiscal periods (April 1 – March 31) noted.

Table 2: Actual and forecasted operating and maintenance (O&M) costs of the facility (2013 to 2017)

O&M costs	Costs (in \$1000s)			
	2013-14 (Actual)	2014-15 (Actual)	2015-16 (Actual + Forecast)	2016-17 (Forecast)
Personnel				
Maintenance & repairs				
Services				
Supplies				
General administration				
Other (specify)				
Total O&M costs				

Table 3: Actual and forecasted funding from all funding partners, including the remaining CFI Infrastructure Operating Fund (IOF) amount (for facilities that have received previous CFI awards) (2013 to 2017)

O&M Revenues	Revenues (in \$1000s)			
	2013-14 (Actual)	2014-15 (Actual)	2015-16 (Actual + Forecast)	2016-17 (Forecast)
Funding Partner 1				
Funding Partner 2				
Funding Partner 3...				
CFI - IOF				
Total O&M revenues				

CFI request & forecasted O&M budgets

Using tables 4 and 5, provide the forecasted budget information for the fiscal periods (April 1 – March 31) noted.

Table 4: Forecasted O&M costs of the facility (2017 to 2022)

O&M Costs	Costs (in \$1000s)					
	2017-18	2018-19	2019-20	2020-21	2021-22	Total
Personnel						
Maintenance & repairs						
Services						
Supplies						
General administration						
Other (specify)						
Total O&M costs						

Table 5: Funding expected to be received from partners, including the remaining CFI Infrastructure Operating Fund (IOF) amount (for facilities that have received previous CFI awards)

O&M Revenues	Revenues (in \$1000s)					
	2017-18	2018-19	2019-20	2020-21	2021-22	Total
Funding Partner 1						
Funding Partner 2						
Funding Partner 3...						
CFI — IOF						
Funding requested from this competition ¹						
Total O&M revenues						

Suggested reviewers

Identify a minimum of six 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. The decision whether or not to use the suggested reviewers remains with the CFI.

Suggested reviewers must not be 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 facility 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:
 - 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;

¹ The total amount requested through the MSI competition (2017-2022) plus the amount provided through the IOF must not exceed 40 percent of the facility's total O&M costs.

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

APPENDIX 1 TEMPLATE – NOTICE OF INTENT SUBMISSION LETTER TO THE CFI

December 21, 2015

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

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

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

Sincerely,

President (or authorized signatory)

Signature

Name of the CFI-eligible institution

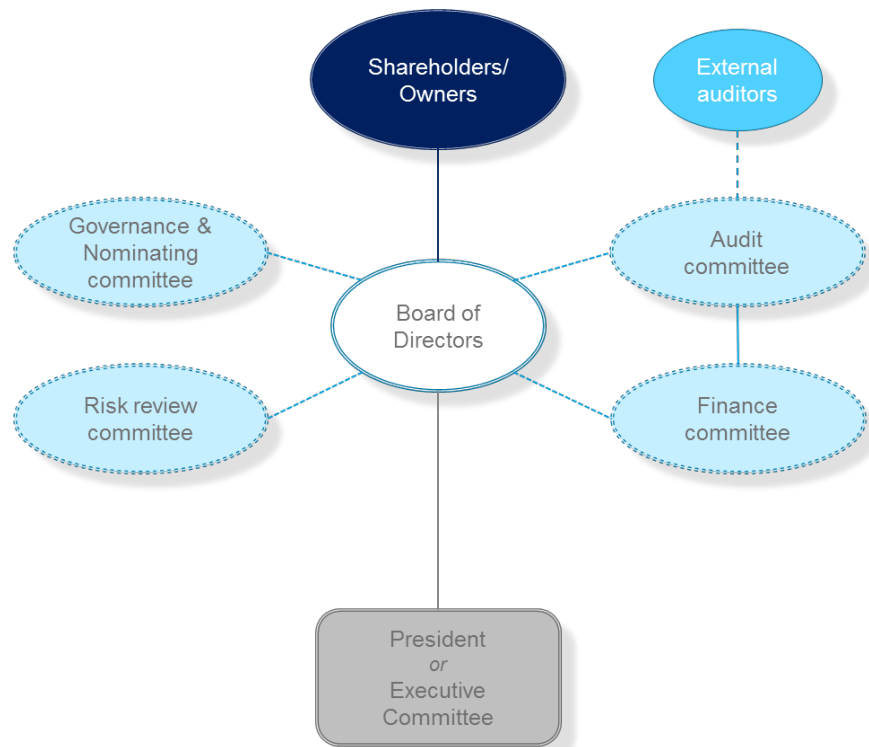
President or Chair, Board of Directors

Signature

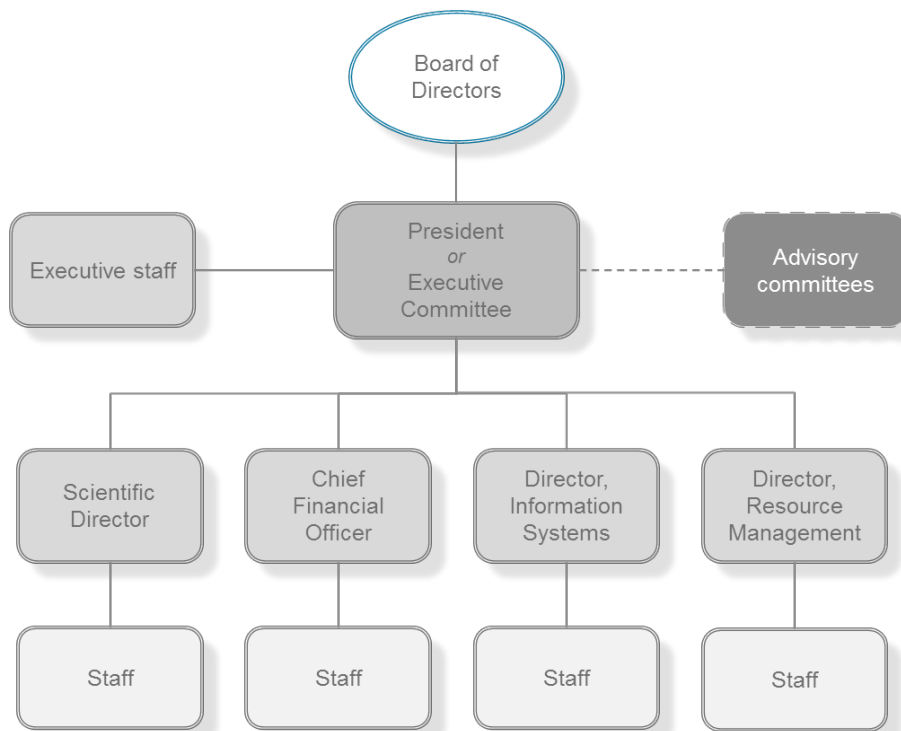
Name of the national research facility

APPENDIX 2: TEMPLATE CHARTS—GOVERNANCE AND MANAGEMENT STRUCTURE

Governance



Management





Research builds communities

La recherche au service des collectivités

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