

Research Services Office



Alberta Innovates Advance Stream II (NSERC Alliance) Supplemental Instructions for Application Submission

Authored By: Katie Cupello, Research Grants Officer

Date: 2024-08-22



**UNIVERSITY OF
CALGARY**



This is a joint funding partnership program between Alberta Innovates (AI) and the Natural Sciences and Engineering Research Council of Canada (NSERC). **Partner organizations are not permitted.**

The NSERC Alliance program falls within the scope of the Government of Canada's [Policy on Sensitive Technology Research and Affiliations of Concern](#) (STRAC). Grant applications that involve conducting research that aims to advance a sensitive technology research area will not be funded if any of the researchers involved in activities supported by the grant are currently affiliated with, or in receipt of funding or in-kind support from, a named research organization. Please read the [Tri-agency guidance on the STRAC Policy](#) to understand how this policy may impact your grant application. The [UCalgary Research Services Division](#) is available to help you.

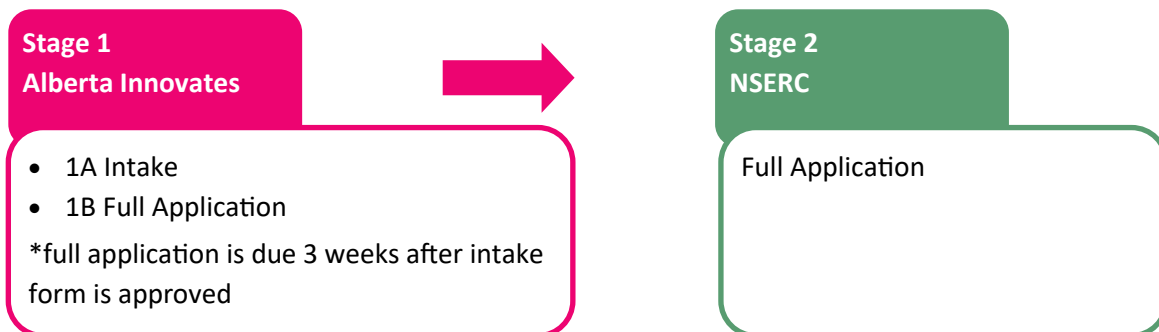
This document is not a substitute for the application instructions set forth by AI and NSERC. If there are any discrepancies with the information provided by AI and/or NSERC, the funding agencies shall prevail.

- Program Deadline:** Continunous intake
- RSO Internal Deadline:** At least 3 business days (by 12PM) ahead of submission to the funding agency
- Funding Amount:** Alberta Innovates will contribute max. \$100,000/year
NSERC will match the AI contribution at a ratio of 50%; max. \$50,000/year
- Duration:** max. 2 years

Before you begin, familiarise yourself with the following:

- [Alberta Innovates Advance](#) program website (including Program Guide)
- [NSERC Alliance — Advance](#) program website
 - download the Proposal Template and Technology Transfer Office (TTO) Review Form
 - review the Evaluation Criteria and Merit Indicators
- Research Services Office [funding opportunity posting](#)

The application process consists of 2 stages. Both stages require internal approvals through UCalgary's [Research Management System \(RMS\)](#).



**Technology Transfer Office (TTO) Review Form**

[Innovate Calgary](#) must complete the TTO Review Form. At the latest, you must contact Innovate Calgary as soon as you receive the invitation to full application from Alberta Innovates. You may wish to contact Innovate Calgary at an earlier point to discuss the proposed project and the Advance-Alliance program. Download the TTO Review Form from the [NSERC Alliance-Advance](#) program website.

STAGE 1A: ALBERTA INNOVATES INTAKE

1. Confirm that all eligibility criteria are met.
2. Contact the Alberta Innovates (AI) Advance program manger to assess alignment between the program objectives and the proposed project.
3. Upon approval from the AI program manager, submit a Post Secondary Investments & Emerging Technologies (PSIET) Intake Form using the [AI application portal](#) (also referred to as SmartSimple).
4. Complete the PSIET Intake Form. *Do not click Submit* in the AI portal until you have received approval from the Research Services Office (RSO) in Step 7.
5. Click *Generate Application PDF* (see below) to download a PDF of the entire application. The PDF generator will capture all attachments that are in PDF format.¹

The screenshot shows the 'ATTACHMENTS' tab of the application portal. The page displays the following information:

- Program Name: NSERC Alliance - Alberta Innovates Advance Program
- Competition: NSERC Alliance - Alberta Innovates Advance Program 2023/24 - Stream 2 (General)
- Grants Coordinator: Olesya Adamyk
- Project Title: [Redacted]

A red arrow points to the 'Generate Application PDF' button. Below the button, there is a navigation menu with the following items: INSTRUCTIONS AND DISCLAIMER, PROGRAM, APPLICANT INFORMATION, PROJECT OVERVIEW, ATTACHMENTS (selected), and CONSENT.

A note states: "Please Note: unless otherwise noted, the only files that can be uploaded are of the PDF file format. Please convert your files to PDF before uploading. PDFs may be combined prior to uploading, to reduce the number of uploaded files."

Under 'Supporting Documents Referenced in the Application:', there are two sections:

- Upload any documents that are referenced in the Application.
- (For Stream II Only) Application prepared for submission submitted to NSERC: Attach the complete application that has been prepared for submission to NSERC.

Navigation buttons for '< BACK' and 'NEXT >' are visible at the bottom of the page.

¹ Any attachments not captured by the PDF generator (especially Excel files) should be uploaded as separate files to the RMS record in Step 6.



6. Complete a Pre-award/Letter of Intent (LOI) record in the [Research Management System \(RMS\)](#) and attach the PDF of the completed PSIET Intake Form. Then, submit the RMS record for academic approvals, which are provided by your Department Head or designate, if applicable, and Associate Dean (Research). The status of the record must be “Submit for internal approvals.”
7. Once the RSO reviews the PSIET Intake Form and provides institutional approval, you will receive a system-generated email confirmation via RMS. You may then proceed with submission of the intake form to AI.
8. If AI approves your PSIET Intake Form, proceed to Stage 1B.

STAGE 1B: ALBERTA INNOVATES FULL APPLICATION

1. Immediately upon notification of intake form approval from AI, contact [Innovate Calgary](#) about completion of the [Technology Transfer Office \(TTO\) Review Form](#) required for the application. Please use their [Disclosure Form](#) to initiate a file with Innovate Calgary.
2. Log into RMS and navigate to the Pre-award/Letter of Intent record created in Stage 1A. Update the status to “Invited to full application.” This will create a Pre-award/Application record with the same RMS number. We will return to RMS in Step 8.
3. From this point forward, you will have to work with both the [AI application portal](#) and the [NSERC Online System](#) to complete the application. Please ensure that your NSERC profile data and [Canadian Common CV \(CCV\)](#) are up to date.
4. Log into the [NSERC Online System](#) and complete an Alliance — Alberta Innovates Advance application (Form 101) according to the [NSERC instructions](#). You will not submit the form until Stage 2.
 - a. Link your Form 100A (Personal Data) with CCV Attachment to the application from the Portfolio screen using the Link Manager (see below). All co-applicants are also required to link their Form 100As with CCV Attachments. **The CCVs must not be in draft form.**

The screenshot shows the NSERC eConsole interface. At the top, there are logos for the Natural Sciences and Engineering Research Council of Canada and the Conseil de recherches en sciences naturelles et en génie du Canada, along with the Canada wordmark. The main header features the NSERC logo and the website URL www.nserc-crsng.gc.ca. Below the header, there are navigation links for eConsole, Portfolio, Contact Us, Help, and Logout. The main content area is titled "Portfolio >" and contains a section for "Personal Data Forms". This section includes a table with columns for Form, Status, Last Updated, Edit Form, Verify Completeness, Preview/ Print, and Link Manager. The table lists two forms: Form 100 (In Progress, Last Updated 2023/09/06) and Form 100A (Completed, Last Updated 2023/09/06). The Link Manager button for Form 100A is highlighted with a green box. Below the table, there is a "Applications" section with a dropdown menu to "Select form to be created" and a "Create" button. A note below the dropdown states: "Click on a form number to access your applications (see Security Statement and Access to Information Act and Privacy Act for detailed information)." At the bottom, there is a row of buttons for forms 101, 102, 103, 182, 183A, 186, 187, 189, 202, and a "Final Report" button. The footer contains the eConsole logo, Portfolio, Date Modified: 2024/07/29, a "Top of Page" link, and a Logout button with a link to "Important Notices".

Form	Status	Last Updated	Edit Form	Verify Completeness	Preview/ Print	Link Manager
100	In Progress	2023/09/06	Edit	Verify	Preview	Link
100A	Completed	2023/09/06	Edit	Verify	Preview	Link



- b. Application Profile — Department must match the RMS record.
- c. Areas(s) of Research
- d. Certification/Requirement
- e. Sensitive Technology Research Areas — If you answer Yes, all researchers involved in the activities supported by the grant must complete an attestation form. Begin to collect the necessary attestation forms now; however, the completed forms are not required for the Stage 1B submission to Alberta Innovates. Please contact the Research Security Division for assistance (researchsecurity@ucalgary.ca).
- f. Co-applicants (if applicable)
- g. Collaborators (if applicable)
- h. Collaborator Biosketches (if applicable) — optional
- i. Summary of Proposal
- j. Proposal (max. 5 pages) — Use the template available for download on the [NSERC Alliance -Advance program page](#).
- k. Proposed Expenditures
- l. Budget Justification — The attachment must adhere to the [NSERC presentation standards](#).
- m. Contributions — Add Alberta Innovates–Post-secondary Investments and Emerging Technologies (PSIET) as a **Joint call funding partner** with a *maximum* annual cash contribution of \$100,000 in each of Years 1 and 2 (see below). Do not send the invitation to the authorised contact person at this point. Alberta Innovates will not complete the Partner Organization Form unless they approve the application for Stage 2.

Proposal	Provide the full name and email address of the authorized contact person for the organization.
Proposed Expenditures	Family Name : <input type="text"/>
Budget Justification	Given Name : <input type="text"/>
Contributions	Email Address : <input type="text"/>
Justification for In-kind Contributions	
Other Documents	
Environmental Impact	
STRAC Attestation Attachment	
Reviewers	
Reviewer Exclusion	
University Comments	

Organization and department or branch

Select the organization name and department or branch from the list.

Organization name : Alberta Innovates

Department or Branch : Post-secondary Investments and Emerging Technologies (PSIET)

	Year 1	Year 2	Year 3	Year 4	Year 5
Cash contributions to direct costs of research	100000	100000	0	0	0
In-kind Contributions					
1) Salaries for scientific and technical staff	0	0	0	0	0
2) Donation of equipment, software	0	0	0	0	0
3) Donation of material	0	0	0	0	0
4) Field work logistics	0	0	0	0	0
5) Provision of services	0	0	0	0	0
6) Use of organization's facilities	0	0	0	0	0
7) Salaries of managerial and administrative staff	0	0	0	0	0
8) <input type="text"/>	0	0	0	0	0
Total In-kind contributions	0	0	0	0	0
Contribution to postsecondary institution overhead	0	0	0	0	0



- n. Justification for In-kind Contributions — Not applicable. Upload a blank page to satisfy the requirement for an attachment.
 - o. Other Documents — Upload the signed Technology Transfer Office (TTO) Review Form.
 - p. Environmental Impact (if applicable)
 - q. STRAC Attestation Attachment — An attachment will be required in the Stage 2 submission to NSERC if you answered Yes to the question in the Sensitive Technology Research Areas section.
5. Using the Preview function in the NSERC Online System, download a PDF of the complete application including Form 101 and Form 100A(s).
 6. Log into the [AI application portal](#) and navigate to your Advance application. Complete all sections and upload the NSERC Form 101 in the Attachments section. The Form 100A with CCV Attachments for the applicant and any co-applicants must be included. Do not click Submit in the AI portal until you have received approval from the Research Services Office (RSO) in Step 9.
 7. Click Generate Application PDF to download a PDF of the entire application. The PDF generator will capture all attachments in PDF format.²
 8. Return to the [Research Management System \(RMS\)](#) and navigate to the Pre-award/Application record generated in Step 2. Complete the record and attach the PDF of the complete AI application (all attachments must be included). Then, submit the RMS record for academic approvals, which are provided by your Department Head or designate, if applicable, and Associate Dean (Research). The status of the record must be “Submitted for approvals.”
 9. Once the RSO reviews the application and provides institutional approval, you will receive a system-generated email confirmation via RMS. You may then proceed with submission of the application to AI.
 10. If AI approves your application, proceed to Stage 2.

² Any attachments not captured by the PDF generator (especially Excel files) should be uploaded as separate files to the RMS record in Step 8.



STAGE 2: NSERC APPLICATION

Note: Stage 2 does not require creation of an additional RMS record.

1. Log into the [NSERC Online System](#) and navigate to your in-progress Alliance-Advance application.
2. Under Contributions:
 - a. Enter the AI Advance program manager as the authorised contact person.
 - b. Click *Lock/Invite* to send the email containing the access link to the authorised contact. The AI program manager will complete the Partner Organization Form.

NSERC
www.nserc-crsng.gc.ca

Contact Us Help

Save Preview Portfolio Instructions Logout

Form 101 - Contributions from Supporting Organizations

Important: You **must save** the information about one organization **before adding another one**.

Note: Depending on the Type of call, Inviting the Joint call funding partner is either mandatory or optional. Please refer to the program description. After being invited, the authorized contact person for the organization will be able to view the application and may be required to submit information, according to the call requirements.

Before the authorized contact for the partner organization can be invited, you must complete the financial information in the table below, save the page, and then click the Lock/Invite button.

Record 1 of 1 Status: New

Organization Category : Joint call funding partner

Provide the full name and email address of the authorized contact person for the organization.

Family Name :
Given Name :
Email Address :

Organization and department or branch

Select the organization name and department or branch from the list.

Organization name : Alberta Innovates

Department or Branch : Post-secondary Investments and Emerging Technologies (PSIET)

	Year 1	Year 2	Year 3	Year 4	Year 5
Cash contributions to direct costs of research	<input type="text" value="100000"/>	<input type="text" value="100000"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
In-kind Contributions					
1) Salaries for scientific and technical staff	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
2) Donation of equipment, software	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
3) Donation of material	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
4) Field work logistics	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
5) Provision of services	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
6) Use of organization's facilities	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
7) Salaries of managerial and administrative staff	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
8) <input type="text"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
Total In-kind contributions	0	0	0	0	0
Contribution to postsecondary institution overhead	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>



3. Sensitive Technology Research Areas:

- a. If you answered Yes to the question in the Sensitive Technology Research Areas section (a), all researchers involved in the activities supported by the grant must complete an attestation form. Please contact the Research Security Division for assistance (researchsecurity@ucalgary.ca).
- b. Attach the attestation forms (as a single PDF) in the STRAC Attestation Attachment section (b).

NSERC
www.nserc-crsng.gc.ca

Contact Us Help

Save Preview Portfolio Instructions Logout

Sensitive Technology Research Areas >

Form 101 - Sensitive Technology Research Areas

In accordance with the [Policy on Sensitive Technology Research and Affiliations of Concern \(STRAC\)](#), the applicant must indicate whether research activities supported by this grant will aim to advance any of the listed areas in the [Sensitive Technology Research Areas \(STRA\) List](#).

- The STRA List includes technologies at various stages of development, notably where the concern is the **advancement of a STRA during the course of the research**.
- Research that will merely use an existing specific application of technology is not considered advancing any of the listed areas.
- Research areas outside of the listed sub-categories are not considered sensitive for the purposes of this policy.

For more information, please read the [Tri-Agency Guidance on the STRAC Policy](#).

Will the proposed research activities supported by this grant aim to advance any of the listed sensitive technology research areas?

If you answered "Yes" to the above question, you must complete and attach attestation forms to your grant application - in the STRAC Attestation Attachment section - to comply with the policy.

Sensitive Technology Research Areas a

STRAC Attestation Attachment b

Save Preview Portfolio Instructions Logout

4. Click *Verify* and address any incomplete items. Only applications that pass verification can be submitted.
5. Click *Submit* to forward the application to the Research Services Office (RSO).
6. Notify the RSO Research Grants Officer responsible for your file that you have submitted the application in the NSERC Online System.
7. Once the application undergoes a second review, the RSO will submit the application to NSERC.