UNIVERSITY OF CALGARY

Natural Sciences and Engineering Research Council
Alliance Grants | Rolling Intake

NSERC Alliance Grants

Objectives:

The Alliance Grants encourage university researchers to collaborate with partner organizations, which can be from the private, public or not-for-profit sectors. These grants support research projects led by strong, complementary, collaborative teams that will generate new knowledge and accelerate the application of research results to create benefits for Canada.

Award Amounts and Duration:

Option 1			
Applications/year	No limits		
Grant size	$20,000 to $1 million per year		
Duration	1 to 5 years		
NSERC contribution	**50%** **For Large Organizations:** As a sole partner organization from any sector (private, public or not-for-profit) OR In partnership exclusively with other large organizations within the same sector	**66.7%** **For large organizations:** In partnership with other large organizations from a different sector OR In partnership with small or medium-sized organizations from any sector	**66.7%** **For small and medium-sized organizations**: As a sole partner organization from any sector OR In partnership with other organizations of any size and from any sector

Option 2	
Applications/year	No limits
Grant size	$30,000 to $1 million per year
Duration	1 to 5 years
NSERC contribution	**100%** **For all partner sizes:** Partners from any sector. Your partnership must include at least one partner organization that could be recognized for cost-sharing, although a cash contribution is not required.

Eligibility:

If you are a Canadian university researcher who is **eligible** to receive NSERC funds, you can apply on your own or as a team with co-applicants who are also **eligible** academic researchers.

You must have at least one partner organization (in the private, public or not-for-profit sector) whose cash contributions will be recognized for cost-sharing (see **Alliance grants: Role of partner organizations**) but you may include other partner organizations who play an important role in your research project whether or not their cash contributions are recognized for cost sharing. In-kind contributions should be present for all partners.

Resources:

- Program Guidelines
- Application Instructions
- Instructions for the NSERC Canadian Common CV and the Canadian Common CV Help Manual
- NSERC Alliance application checklist
- NSERC Research Portal
- Selecting the Appropriate Granting Agency
- Guidelines for the Preparation and Review of Applications in Interdisciplinary Research

Application Deadline to Research Services Office:

> Deadline for Detailed Review: 2 weeks prior to final submission.
>
> Deadline for basic administrative review: 3 business days prior to final submission.

Please note, your application will not be considered submitted and will not be reviewed until the application is submitted in the Research Portal (a paper copy is not required) and the RMS Approvals have been received. As Alliance is a rolling intake, once we have received both the completed RMS record and the NSERC application in the NSERC portal, please indicate if you would like a basic (allowable turnaround time is 3 days) review or a detailed (allowable turnaround time is 2 weeks) review.

The **detailed administrative review** includes a detailed review of the application, checking for eligibility and UofC commitments and risk, compliance with program guidelines, completeness of application, and the opportunity for feedback to improve the application.

The **basic administrative review** involves a minimal check of the application for eligibility and any UofC commitment or risk.

Guide to Applying

To apply, submit a [Form 101](#), Form 100A with a [NSERC Common CV attachment](#). Click [here](#) for full NSERC instructions.

Application Overview

Form 101
- ☐ Application Profile
- ☐ Areas of Research
- ☐ Certification/Requirements
- ☐ Cover Letter (optional)
- ☐ Co-Applicants
- ☐ Collaborators and Collaborator Biographical Sketches
- ☐ Summary of Proposal
- ☐ Proposal
- ☐ Proposed Expenditures/Budget Justification
- ☐ Partner Organization(s) Contributions
- ☐ Justification for In-kind Contributions
- ☐ Other Documents
    - ☐ Risk Assessment Form (required for applications with private sector partners) *==NEW==
    - ☐ You may also use this section if you need to provide other documents requested by NSERC.
- ☐ Environmental Information Form (Appendix A), if applicable
- ☐ Reviewer Suggestions
- ☐ Review Exclusions (optional)

Form 100A with Canadian Common CV attachment
- ☐ Person Profile
- ☐ Contributions to research and training explanation
- ☐ CCV

Complete Form 101 Instructions

Application Profile

☐ Title of proposal should use lay language. Spell out scientific symbols and acronyms, and do not include a company or trade name.

Areas of Research

☐ Research subject codes – primary area required, secondary is optional

☐ Area of application codes – primary area required, secondary is optional

☐ Key words – provide a maximum of 10 descriptive key words

Certification/Requirements

☐ Certification requirements
   o Indicate if your research will involve human subjects, pluripotent stem cells, animals, or biohazards.

☐ Environmental impact
   o If required, you will need to include the Environmental Information Form (Appendix A)
   o For more information, consult NSERC's Guidelines on Environmental Review and Assessment

Cover Letter (optional)
   o Attach a cover letter if you wish to provide NSERC with information that will not be shared with external reviewers, such as an explanation of how the project has changed since a previous submission (optional).
   o Include: your name, the NSERC program to which you are applying, and the title of your application.

Co-Applicants
   o Indicate co-applicants who will participate in your application (enter the email address and family name). Co-applicants will automatically be invited to provide their Personal Data Form with CCV attachment (Form 100A). When co-applicants link a Personal Data Form with CCV Attachment (F100A) to the application, their personal information will appear on the Co-applicant page, and the status will change to Linked.
   o Advise co-applicants outside your institution that the authorized officer of their institution must agree to their participation. NSERC will confirm this agreement directly with the authorized officer.

Collaborators and Collaborator Biographical Sketches
   o Indicate any collaborators (government scientists, academic researchers or company staff member). Collaborators contribute to the overall intellectual direction of the research project and bring their own resources to the collaboration. The collaborator will not have access to the grant funds and must be qualified to undertake research independently.
   o On behalf of your collaborators, you may attach a biographical sketch or CV for collaborators and key staff of partner organizations whose role in the project is similar to that of a co-applicant (optional).
      - In a maximum of two pages for each person, provide the individual's Name/affiliation, Education/training, Employment/affiliations, Research funding, and up to five significant contributions related to the project.
      - **Note:** For upload purposes, **all** collaborator biographical sketches or CVs must be saved as a single PDF file.

Summary of Proposal

☐ Summary (text box)
   o This is not an attachment and must fit into the field provided.
   o The summary is intended to explain the proposal in language that the public can understand.
   o Indicate why and to whom the research is important, the anticipated outcomes/advancements, and how Canadians will benefit economically, socially and/or environmentally.

Proposal

☐ Complete the proposal template provided by NSERC. The headings and the bulleted instructions of the template cannot be removed and must remain in the document. Ensure that the evaluation criteria and merit indicators are reviewed when completing this section.

☐ The maximum number of pages allowed for the application is outlined in the table below.

Proposal sections and length

The number of suggested, maximum or additional pages always includes the NSERC template text.

		Average annual request		
		Up to $30,000/ year*	Up to $300,000/ year	More than $300,000/ year
Section	**Percentage of evaluation**	**Suggested number of pages per section**		
Background and expected outcomes	25%	1	2	3
Partnership	25%	1	2	5
Proposal	25%	1.5	4	10
Team		0.75	1	4**
Training plan	25%	0.75	1	3
		Maximum total number of pages		
		5	10	25
Public impact value proposition (PIVP): option 2 cost-sharing applications only		Add 3 pages to the maximum above for the PIVP (see 📄 proposal template)		

*At the time of application, if you and your co-applicant(s) **do not** hold an active peer-reviewed grant from NSERC as the primary applicant, you may submit a maximum of 10 pages (i.e., Background and expected outcomes, two pages; Partnership, two pages; Proposal, four pages; Team, one page; Training plan, one page), including the template text. Your application will be sent to external reviewers, as described in Review of your application.

**For large (average of more than $300,000 per year requested from NSERC) multi-party projects (multiple universities and/or partner organizations), it may be appropriate to provide a description of up to three additional pages strictly for the purposes of detailing topics such as project management, governance structure and university support. If applicable, please detail the project manager's qualifications, involvement, role and responsibilities.

Pages exceeding the maximum or documents not requested by NSERC (e.g., letters of support) will be removed and will not be taken into account in the assessment of the application. NSERC reserves the right to reject applications exceeding the maximum number of pages.

Proposal Template:

Background and expected outcomes
- Outline the goals of the partnership and explain the potential outcomes and impacts.
- Describe the importance of the topic to Canada and how the expected outcomes will benefit Canada.
- Explain the new concepts or directions needed to address the topic and how this research will fill knowledge gaps related to developing new and innovative policies, standards, products, services, processes or technologies in Canada. Position the proposed project relative to other efforts by the researchers and partner organizations and to any related research.
- Outline efforts the partner organizations will invest following the project's completion to advance the results in Canada.

Partnership
- List all partner organizations expected to play a key role in the activities or to make cash and/or in-kind contributions.
- Describe the core activity of the partner organizations and their experience related to the research project, such as any efforts to date that the partner organizations have invested toward addressing this problem, the need for this research project and how the topic is relevant and aligned with the partner organizations' activities.

- Explain how each partner organization will be actively involved (through cash and/or in-kind contributions) in co-designing and implementing the research program. Describe the value added through in-kind contributions and how these are important to realizing the project's intended outcomes.
- Outline each partner organization's strategy and capacity to translate the research results into practical application to achieve the desired outcomes and impacts, including any planned knowledge translation activities and integration of the research results into its operations.

Proposal
- Outline the research objectives. Detail the resources and activities needed to achieve the anticipated results.
- Indicate approximate timelines for the activities to lead to milestones and deliverables using a Gantt chart, table or diagram.
- Explain how sex, gender and diversity have been considered in the research design, if applicable.
- Identify the indicators and methods for monitoring progress during the project and for assessing the outcomes. You may include a chart or table.

Team
- List the applicant, any co-applicants and key staff of the partner organizations.
- Explain how the knowledge, experience and achievements of these individuals provide the expertise needed to accomplish the project objectives. Discuss the role of each individual and how their contributions, including those of staff from the partner organizations, will be integrated into the project.
- Explain how equity, diversity and inclusion have been considered in the academic team composition.
- For large (average of more than $300,000 per year requested from NSERC) multi-party projects (multiple universities and/or partner organizations), it may be appropriate to provide a description of up to three additional pages detailing university support, governance structure and project management. If applicable, please detail the project manager's qualifications, involvement, role and responsibilities.

Training plan
- Indicate how the knowledge and experience gained by research trainees and the partners' staff members are relevant to the advancement of the field, to applying knowledge or to strengthening the partners' sectors.
- Describe how the project and the partnership offer opportunities for enriched training experiences that will allow research trainees (undergraduates, graduates and postdoctoral fellows) to develop relevant technical skills as well as professional skills, such as leadership, communication, collaboration and entrepreneurship. Include the nature of the planned interactions with the partners and other relevant activities.
- Explain how equity, diversity and inclusion are considered in the training plan (see here for guidance).

References
- Use this section to provide a list of the most relevant literature references. Do not refer readers to websites for additional information on your proposal. Do not introduce hyperlinks in your list of references.
- These pages are not included in the page count.

Important Note: The EDI sections under 'Team' and 'Training plan' are often overlooked by applicants. EDI sections must be personalized, generic statements are not accepted.

Resources: For an overview of EDI, guidance on how to consider EDI in your training program, and some examples of practices that could be implemented to support EDI in your training program, the resources below may be helpful.
- NSERC's Guide for Applicants: Considering EDI in your application
- Best Practices in EDI guide for applicants to the New Frontiers in Research Fund, including the section on Research team and environment

Proposed Expenditures/Budget Justification

Before completing this page, first read the instructions, [Funding your research project](#) and consult the [Tri-Agency Financial Administration Guide](#).

In the **Proposed Expenditures** section, enter the planned spending in each budget category for each year of the project. For the **Budget Justification**, prepare a separate PDF document that provides a breakdown of each category and a detailed justification for spending in each category. Provide sufficient information to allow reviewers to assess whether the resources requested are appropriate. Attach the document in the Budget Justification section. The categories are as follows:

☐ Salaries and benefits
   o Give the names (if known), categories of employment, proposed salaries, and non-discretionary benefits) of students, postdoctoral fellows, research staff such as technical/professional assistants and the project manager. Briefly describe the responsibilities of each position and indicate the percentage of time they will be spending on this project over its life span. Do not include salaries of faculty in project costs.
   o Use departmental rates for student stipends and Post-doctoral fellows.
   o Post-doctoral fellows can only be paid out of the grant for 2 years. If post-doc employed for less, suggest applicant indicate support for second year.

☐ Equipment or facility
   o Give a breakdown of the items requested. Provide details on models, manufacturers, prices and applicable taxes. Justify the need for each item requested. Describe any fees for the use of equipment or a facility (e.g., hours and rate).
   o Any request over $400,000 over the total project should seek other avenues of funding, unless otherwise directed by NSERC.

☐ Materials and supplies
   o Provide details of materials and explain major items. Equipment and materials obtained from the partner organizations must be provided as in-kind contributions.

☐ Travel
   o Explain briefly how each planned travel activity relates to the proposed research.

☐ Dissemination and knowledge mobilization
   o Provide details of publication costs, user workshops or other activities that support collaboration and knowledge mobilization related to the project.

☐ Technology transfer activities
   o List the expenditure for field trials, prototypes, scale-up costs, demonstration projects, workshops and other activities to develop and grow the research collaborations with the partner organizations.

Partner Organization Contributions

<mark>Note</mark>: First, Use the [Partner Organization Self-Assessment for Alliance Grants](#) tool to ensure the partner organization's eligibility for this program.

Use this page to provide the contributions committed to the research project by the partner organizations, post-secondary institutions, as well as other funders, and to invite the partner organizations to complete a Partner organization form.
   o The invitation will be sent to the authorized contact you have provided. When you send the invitation, the contact person will receive an email with a link to NSERC's Online System, where they will be asked to complete a Partner Organization Form providing information about their organization.
   o Send [these instructions](#) to the partner representative to prepare them for filling out the form. Please note that a reference to the partner organization's website is not acceptable in lieu of the one-page profile that the partner representative will need to upload.
   o For each organization, select one of four categories (partner organization recognized for cost-sharing; partner organization not recognized for cost-sharing; other funder (not involved in the research); post-secondary institution);
      - To determine the appropriate category for partner organizations refer to [Role of partner organizations](#).
   o List the resources the partner organization will provide for proposed research, including

- cash contributions from your partner organizations paid to your institution for the direct costs of your research project (not including overhead); this amount will be transferred to the appropriate line on the Proposed expenditures page
- in-kind contributions (staff time and donations of services, materials and equipment, travel expenditures for staff)
- NOTE: In-kind is required of EACH partner.

Justification for In-Kind Contributions

Provide a detailed explanation of all in-kind contributions. All documents must be saved as a single PDF in order to be uploaded.

☐ Salaries for scientific and technical staff: list the name of each staff member, their role at the company and their specific expertise, details as to what they will be providing to the project (link to milestones if possible), the number of hours they will devote to the project, and their hourly rate.

☐ Salaries of managerial and administrative staff: list the name of each staff member, their role at the company, details as to what they will be providing to the project, the number of hours they will devote to the project, and their hourly rate.

☐ Donation of equipment, software: list each item of equipment and/or software being donated to the project, explaining how it will be used and its importance to the success of the project; provide details on how the cost of the equipment/software was calculated.

☐ Other contributions: describe the contribution to be provided, its importance to the project, and how the cost was calculated.

Other Documents – Risk Assessment Form

o You must use this section to provide your completed National Security Guidelines for Research Partnerships' risk assessment form in the case where your partnership involves one or more partner organizations from the private sector, including when they participate alongside other partner organizations from the public and/or not-for-profit sectors.

o Before you attach your completed risk assessment form to your application, you must convert it from a fillable to a read-only PDF format. For this purpose, one option is to click on Print in the form, select the PDF format as the printer, and save the file.

o You may also use this section if you need to provide other documents requested by NSERC.

o Note: For upload purposes, all other documents must be saved as a single PDF file.

Note: You must answer all the questions on the Risk Assessment form to the best of your knowledge and provide an explanation and a risk mitigation plan for any risks identified. Guidelines and tools on performing open source intelligence (OSINT) gathering are available here on the Safeguarding your research portal. **Please reach out to research.security@ucalgary.ca to help complete the assessment, and provide guidance on risk mitigation strategies and help with partner vetting.**

Environmental Information Form (Appendix A)

If required, an Environmental Information Form (Appendix A) must be completed and uploaded to the Environmental impact page*.*

Reviewer Suggestions

Consider the Review of your application to find out if external reviewers will be used in the assessment and if suggestions are needed here.

- o Suggest the names of five independent experts who can assess the technical aspects of the proposal as well as reviewers who can assess any research aspects outside the natural sciences and engineering. Ensure EDI is considered.
- o Give the name, address, telephone number, email address and the area(s) of expertise of potential external reviewers.
- o Reviewers should not be in conflict of interest.

Reviewer Exclusions (optional)

You can request that an individual, a group of individuals, or a specific non-academic organization not be involved in the review of your application (optional). Specify a general reason for this request (e.g., perceived conflict of interest, prior disputes, school of thought bias, professional or personal association not specified in the Conflict of Interest Policy). You may include in this list any exclusions requested by the partner organizations. While NSERC cannot be bound by this information, it will take it into consideration in the selection of reviewers.

Formatting Attachments

In the Application Overview page, click Upload to attach each required document. Attachments are free-form and must respect NSERC's presentation standards. All text, including references (where applicable), must conform to these standards:

1. Explain any acronyms and abbreviations fully;
2. **Pages must be 8 ½" x 11" (216mm x 279mm)** (you may have to crop the document to the correct dimensions in Adobe Acrobat or Mac OS X Preview);
3. Pages must be **single-spaced**, with no more than six lines of type per inch;
4. All text must be in **12 pt Times New Roman font**;
5. Condensed fonts will not be accepted;
6. NSERC will now accept colour images;
7. **Margins** must be set at a minimum of ¾" (1.87 cm);
8. Your **name** must appear outside the set margins of the page, at the top right corner of every page;
9. For multi-page attachments, **pages must be numbered** sequentially; and

If you have supporting documents written in a language other than English or French, you are required to provide NSERC with a certified translation of the document.

NSERC Common CV

☐ Go to the Canadian Common CV website. Follow the instructions to complete your CCV

☐ Do not use the PIN/System Account functionality to submit your CCV. NSERC does not use this functionality to validate your account.

☐ Once you have completed the NSERC CCV, click **Submit.**

☐ A confirmation number will automatically be provided onscreen after you agree to the consent statement. Click History in the top menu bar to view your Submission History.

For the NSERC Online System (including Alliance Grants)

- To upload a PDF version of your completed Common CV, from History select the PDF icon to Preview your completed version.
- Download and save a copy
- Attach that copy to the Personal Data Form with CCV Attachment (Form 100A)

In absence of these steps, only a draft copy will be included with your Personal Data Form with CCV Attachment.

Submitting the Application to NSERC

This competition will be run through Research Management System (RMS).

1. Complete your application in the NSERC <u>On-line system</u>. Once the application is complete (including required attachments and your CCV), verify each section, and then press "Submit". Your application will be sent to the Research Services Office. **Please ensure your application is final and complete**; Research Services will not review drafts, and, once received, your application may be submitted to NSERC without further notice.

 2. Complete the Pre-Award record in RMS (login at <u>https://research.ucalgary.ca/rms</u>) and "Submit for academic approvals" (Under Save & Progress) in good time to allow for approvals from your Department Head and/or ADR prior to the Research Services deadline. Consult your department and faculty for more information on their approval processes and timelines.

3. RSO will reach out to you with clarification on whether you would like a detailed review or a basic review. The assigned Research Grants Officer (RGO) will get back to you with feedback and provide the opportunity to make changes to the application file by returning the application back to the applicant in the NSERC portal.

4. Once any required changes have been made by the applicant, they can resubmit in the NSERC portal. This sends the application forward to the RSO. The assigned RGO will have a final look through the application and send it forward for institutional approval through RMS followed by submission to NSERC on the NSERC portal.