



Government of Canada
Networks of Centres
of Excellence

Gouvernement du Canada
Réseaux de centres
d'excellence

Centres of Excellence for Commercialization and Research (CECR)

COMPETITION GUIDE: 2018 Competition for Previously and Currently Funded CECRs

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Important Program Updates for the Current Competition

Who is eligible to apply

The 2018 CECR competition will be open to all previously and currently funded CECRs that have a demonstrated ability to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts. The competition will provide funding to CECRs that have reached previously established milestones and have a solid business plan for another cycle.

Definition of Commercialization *(Updated to broaden the scope of what constitutes commercialization)*

In the context of the CECR program, commercialization is defined as the spectrum of activities needed to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts.

Expectations for Sustainability

Applicants will be asked to provide a realistic plan regarding their progress towards self-sustainability; this expectation shall not limit their opportunities to pursue potentially higher-risk, higher value strategies. The CECR program supports the calculated risk-taking necessary to achieve results for Canadians.

Selection Criteria

While the three CECR selection criteria remain unchanged, the specific elements within each criterion used to evaluate applications have been adapted to fit the context of the current competition. To be considered for additional funding, applicants must demonstrate that they are drawing on existing research and commercialization strengths, infrastructure, networks and funding capacity to enhance their impact and/or open up new opportunities for Canada.

Background

The Centres of Excellence for Commercialization and Research (CECR) program was established to create internationally recognized centres of excellence that deliver economic, social, health and environmental benefits to Canadians.

Since the program's inception in 2007, the centres have generated value for Canada by matching research expertise to the needs of the business community, sharing knowledge, expertise and resources, and bringing innovations to the market. The Networks of Centres of Excellence (NCE) Steering Committee is pleased to invite previously and currently funded CECRs to apply for additional funding to capitalize on the initial CECR investments.

The 2018 CECR competition will build on the success of previously and currently funded CECRs that have a demonstrated ability to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts. The competition will provide additional funding to CECRs that can convincingly illustrate how they have reached previously established milestones, achieved demonstrable impact and have a solid business plan for another cycle.

Applications will undergo a rigorous peer review to assess how each centre will build on its demonstrated strengths and its connectivity within the Canadian research and innovation ecosystem to realize measurable outcomes for the benefit of Canada.

For detailed information about the CECR program, refer to the [CECR Program Guide](#).

Definition of Commercialization

(Updated to broaden the scope of what constitutes commercialization)

In the context of the CECR program, commercialization is defined as the spectrum of activities needed to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts.

Primary Results and Outcomes Expected for the Current Competition

- Accelerating the commercialization of leading edge technologies, goods, processes or services in priority areas where Canada can significantly enhance its competitive advantage
- Creating, growing and retaining companies/organizations in Canada that are able to capture new markets with breakthrough innovations, regulations and/or policies
- Attracting, retaining and providing training to highly qualified personnel (including internationally recognized business leaders)
- Attracting investment (including foreign direct and venture capital investment)
- Strengthening domestic and international collaboration and ensuring that benefits spill over to a wide array of firms, organizations, sectors and regions of the country.

Eligible Recipient Organizations

This competition is restricted to previously and currently funded CECRs only.

Maximum Term and Budget

A total of \$72 million is available to support centres over a period of up to five years. There is no maximum budget prescribed per centre.

Expectations for Sustainability

Applicants will be asked to provide a realistic plan regarding their progress towards self-sustainability; this expectation shall not limit their opportunities to pursue potentially higher-risk, higher value strategies. The CECR program supports the calculated risk-taking necessary to achieve results for Canadians.

Use of CECR Funds

Centres are expected to leverage funding from multiple sources to meet the CECR matching requirements. Total assistance provided to the centre will be carefully assessed to ensure adherence to the program requirements.

CECR grant funds can cover up to 50% of eligible commercialization costs and up to 75% of other eligible costs, with the remainder to be provided through non-federal partner contributions. A balance of cash and in-kind contributions should be sought in order to support the centre's long-term business plan.

Eligible Expenses

- **Operating costs:** maintenance and operation of the centre, materials and supplies, liability insurance for members of the board of directors and centre administrators, legal fees and other related incorporation costs
- **Salary costs:** salaries for management, technical and professional staff employed to provide support to users or to maintain and operate the centre
- **Knowledge mobilization costs:** expenses relating to communication activities, networking, promotion of the centre, knowledge dissemination and engagement of stakeholders to put available knowledge into active service
- **Commercialization costs:** expenses related to commercialization activities (e.g. intellectual property protection, market studies, business plan development, counselling and mentoring, technology evaluation, development, and investments)

Where centre activities involve capital equipment expenditures that are vital to the success of its commercialization plan, the cost of that equipment will be considered an eligible CECR expense, provided the equipment cost for which coverage is requested does not exceed \$1 million and the cost does not represent more than 20% of the total eligible expenses for commercialization over the full term of the grant. Expenses related to the construction, purchase or lease of a building are not eligible expenditures and are not considered to be matching funds.

For a more detailed list of eligible and ineligible expenses, please refer to the [CECR Program Guide](#).

Review Process

Applicants must demonstrate that they are drawing on existing research and commercialization strengths, infrastructure, networks and funding capacity to enhance their impact and/or open up new opportunities for Canada.

Criteria and Review Elements

The review elements within each criterion have been adapted to the context of this competition.

I. Track Record of the Applicants

- The track record of achieving meaningful, high-impact milestones and deliverables from current and/or previous CECR funding including:
 - Evidence of the achievement of meaningful, high-impact outcomes to advance the centre's commercialization objectives
 - The impact of the centre on its sector, such as support to researchers, partners, firms, policy-makers and other end users via the centre's unique value proposition, and calculated risk taking
 - The demonstrated ability of the applicants to attract ongoing investment sufficient to meet or surpass the program's matching requirements
- The strength of the management team and the evidence of a sound governance structure (including the board of directors and sub-committees)

II. Business Plan

- The quality of the plan to enhance and expand the centre's [commercialization](#) activities through innovative approaches (e.g. calculated risk taking) in order to achieve the [Primary Results and Outcomes Expected for the Current Competition](#)

- The effectiveness of the plan to manage, protect and exploit intellectual property
- The role, contribution and degree of involvement of partners and how they are participating in and exploiting centre activities
- The credibility of the plan in value creation and revenue generation, leading to a degree of financial independence

III. Benefits to Canada

- The extent to which the centre's activities address issues of high priority for Canada
- Evidence that the centre will help to accelerate commercialization in an area where Canada can significantly strengthen its competitive advantage
- The enhanced opportunities for training Canada's talent pool in appropriate scientific/engineering and professional skills relevant to the needs of the centre's partners

Review and Decision Process

Centres applying to the 2018 CECR competition must submit a letter of intent (LOI) and, if successful at the LOI stage, a full application.

The LOI must describe how the centre would further the goals of the CECR program, and provide a strong outline of the centre's plan to enhance and expand its commercialization activities. The [Private Sector Advisory Board](#) (PSAB) will assess the LOIs against the selection criteria and recommend to the NCE Management Committee a short-list of selected applicants to be invited to submit a full application.

Applicants invited to submit a full application may request Full Application Preparation (FAP) funding to assist them in preparing a full application. The 2018 competition will offer up to \$15,000 in FAP funding. To access the FAP funding, the invited applicants will be asked to provide an outline of the expenses requiring FAP funds to the NCE Secretariat. Typically, these funds are used to organize stakeholder meetings, develop the application and enable applicants to travel to meet with the expert panel.

Each full application will undergo a review by an expert panel established by the NCE Secretariat. These panels will be comprised of domestic and international experts, who will evaluate the centres' application, meet with the applicants and produce in-depth written assessments of the application.

The PSAB will review all applications and their associated expert panel reports to develop recommendations to present to the NCE Steering Committee.

The NCE Steering Committee will make the final decision regarding the amount and duration of funding for centres, based on the recommendations of the PSAB. The decisions by the NCE Steering Committee are final. There is no appeal process.

Given the multi-disciplinary nature of CECRs, funding for a given centre may come from more than one granting agency. The NCE Secretariat will be the primary point of contact for all centres. Funding will be managed by the NCE Secretariat and disbursed to the centres through a funding agreement under the legal authority(ies) of the relevant granting agency(ies) (CIHR, NSERC and/or SSHRC).

Comments to Applicants and Announcements

The confidential evaluation reports from the expert panel and the PSAB for each full application will be made available to each group of applicants after the final approval of the results of the competition.

Results of the competition will be posted on the [NCE website](#) when the official public announcement takes place.

Competition Timeline

November 2016	Competition launched
November 28, 2016 11:00 AM (Eastern)	Webinar for the preparation of the Letter of Intent (LOI)* *Please contact Alex Pigeon to register for the webinar
February 27, 2017 4:30 PM (Eastern)	LOI deadline
March 2017	Review of the LOI by the PSAB and approval of LOI results by the NCE Management Committee
March 2017	LOI results sent to applicants
May 2017	Webinar for preparation of full applications
August 4, 2017 4:30 PM (Eastern)	Full application deadline
August 2017	Expert panel review of applications
September 2017	Review of full applications by the PSAB
September 2017	Decision by the NCE Steering Committee
Winter 2017-18	Official announcement of CECR 2018 competition results
December-February 2018	Funding agreements and amendments circulated for signatures
Late March 2018	Funding starts

Application Requirements and Instructions

To be considered for funding in the 2018 CECR competition, centres must submit an LOI, and if invited to continue in the competition, a full application. Late submissions of any of these documents will not be accepted.

Letter of Intent (LOI) contents (Deadline: February 27, 2017)

Previously and currently funded CECRs only

1. Letter from the Chair of the Board of Directors
2. LOI form
3. Track Record of the Applicants
4. Biographies of Key Individuals
5. Business Plan
6. Financial Plan Overview
7. Benefits to Canada Overview
8. Letters of Support

Instructions for Preparing the LOI

The LOI will be used in the screening process to determine which applicants will be invited to submit a full application. The LOI will be evaluated according to the [review process](#) and all centres, including the ones that are no longer funded as a CECR, will be subject to the same expectations and rigour.

The LOI **must** be developed in collaboration with relevant stakeholders. The applicants must clearly indicate how the centre's activities fill a gap in Canada's commercialization landscape. Private and public sector participants should be informed that their level of involvement as well as their cash and in-kind commitments will be critical to the success of the centre.

In cases where the funding period of the existing CECR grant will overlap with an application under this competition, the LOI must:

1. Provide a clear picture of the CECR's entire business plan, identifying new and existing activities separately. If the application is successful, the current CECR award and the new award will be amalgamated and form the basis for a single award through an amendment to the existing funding agreement
2. Demonstrate that the new funding will be for new activities that could not be funded under the existing CECR grant
3. Demonstrate that the cash and in-kind contributions outlined in the letters of support were not already supporting activities of the current CECR grant

The LOI must include the following.

1. Letter from the Chair of the Board of Directors

Maximum 2 pages

A letter, signed by the chair of the board of directors, confirming the board's support for, and commitment to, the proposed activities.

2. LOI form

Complete the CECR 2018 LOI application form available on the [NCE website](#).

Section A: General Information

Provide the general information as requested in the LOI form.

Section B: Centre Revenues (cash)

Indicate the centre's anticipated cash support from all sources for the proposed activities. See the [CECR Program Guide](#) for information on eligible expenditures and use of CECR funds.

Section C: Centre Budget (cash expenditures)

Provide details by expenditure category to indicate the centre's anticipated budget.

Section D: Summary of the centre's in-kind contributions from its stakeholders

Summarize the nature of the contributions. Please verify that the method used to arrive at the value aligns with the [CECR guidelines on the calculation of in-kind contributions](#).

Section E: Executive Summary of the Application for Public Release (1 page)

Provide a brief summary that can be used for public communications and expert panel recruitment.

Section F: List of letters of support

Complete the list of letters of support. Sort letters by category (academia, industry, government, host institution, foreign and other). The number of letters is not limited.

3. Track Record of the Applicants

Maximum 5 pages

This section will be evaluated in the context of the Track Record of the Applicants criterion found in the [Criteria and Review Elements](#) section:

- The track record of achieving meaningful, high-impact milestones and deliverables from current and/or previous CECR funding including:
 - Evidence of the achievement of meaningful, high-impact outcomes to advance the centre's commercialization objectives
 - The impact of the centre on its sector, such as support to researchers, partners, firms, policy-makers and other end users via the centre's unique value proposition, and calculated risk taking
 - The demonstrated ability of the applicants to attract ongoing investment sufficient to meet or surpass the program's matching requirements
- The strength of the management team and the evidence of a sound governance structure (including the board of directors and sub-committees)

In this section, applicants should:

- Clearly outline how the proposed activities will build on the centre's achievements and expand on its current goals
- Include the relevant synergies of the centre within its sector
- Provide an overview of the centre's governance structure including the board of directors and its committees
- Provide a table which lists members of the board of directors, their affiliation, as well as their role on the various board committees
- Provide an overview of the centre's management structure and team; Clearly describe the roles and responsibilities of key management personnel and describe (if any) key additional personnel that would be required to deliver on the proposed activities
- If appropriate, describe any modifications to the current governance structure in order to deliver on the proposed activities

4. Biographies of Key Individuals

Maximum 3 pages

This section will also be evaluated in the context of the Track Record of the Applicants criterion.

In this section, applicants should:

- Include short biographies of the centre director, key management personnel and board members (links can be included)

- Explain how their collective business and commercialization experience provides suitable leadership to oversee a CECR

5. Business Plan

Maximum 8 pages

This section will be evaluated in the context of the Business Plan criterion found in [Criteria and Review Elements](#) section.

- The quality of the plan to enhance and expand the centre's [commercialization](#) activities through innovative approaches (e.g. calculated risk taking) in order to achieve the [Primary Results and Outcomes Expected for the Current Competition](#)
- The effectiveness of the plan to manage, protect and exploit intellectual property
- The role, contribution and degree of involvement of partners and how they are participating in and exploiting centre activities
- The credibility of the plan in value creation and revenue generation, leading to a degree of financial independence

In this section, applicants should:

- Describe how the centre will enhance and expand its commercialization activities through innovative approaches (e.g. calculated risk-taking) in order to achieve the [Primary Results and Outcomes Expected for the Current Competition](#)
- Give an overview of the centre's proposed activities, highlighting a summary of the following elements:

a. Strategic plan and commercialization strategy

The centre should describe its vision with the specific objectives that are focused on achieving that vision. The centre's strategic plan should describe how the centre will achieve its objectives to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts.

b. Operational plan

The centre must describe how its strategic plan and commercialization strategy will be put into operation. The operational plan should describe the specific objectives of the centre and the resources that will be required to deliver on these objectives.

c. Technological capability

This section must demonstrate that the centre possesses or can be reasonably expected to secure, the technological capability to achieve the centre's strategic plan and commercialization strategy.

d. Sector assessment and communication

The assessment should clearly articulate the key findings about the relevant sector, including the centre's best alliances, customers or clients, industrial and/or regulatory environment, and stakeholders including, where appropriate, competitors.

- Describe the metrics and processes that will be used to monitor performance.

6. Financial Plan

Maximum 2 pages

This section should provide a multi-year overview of the centre's financial projections, including revenues, sources of funding, operational expenses and R&D expenses. It will be evaluated as part of the overall Business Plan. The information presented should reflect the tables presented in the LOI form.

7. Benefits to Canada

Maximum 2 pages

This section will be evaluated in the context of the Benefits to Canada criterion found in the [Criteria and Review Elements](#) section.

- The extent to which the centre's activities address issues of high priority for Canada
- Evidence that the centre will help to accelerate commercialization in an area where Canada can significantly strengthen its competitive advantage
- The enhanced opportunities for training Canada's talent pool in appropriate scientific/engineering and professional skills relevant to the needs of the centre's partners

In this section, applicants should:

- Provide a summary of how the application addresses the Benefits to Canada review elements, linking them to the activities described in the business plan and achievements described in the track record, as appropriate.

8. Letters of Support

Maximum of 2 pages per letter

An unlimited number of letters of support may be included from stakeholder organizations. Letters of support must make explicit reference to the centre, and must:

- Come from a senior executive
- Make commitments in terms of cash and/or in-kind support
- Indicate how the centre would help their organization
- Indicate current and past associations with the applicant

Full Application contents (Deadline: August 4, 2017)

Invited applicants only - Deadline: August 4, 2017

The following sections are required as part of the Full Application:

1. One-page overview of the Centre (Elevator Pitch)
2. Full Application Form
3. Business Plan
4. Financial Plan

5. Performance Indicators, Targets and Milestones
6. Appendices
 - a. Letters of Support
 - b. Biographies of centre management and members of the board of directors
 - c. Alphabetical list of key individuals

Optionally, the following documents can be included (1 page each maximum):

1. Cover page
2. Table of contents
3. List of acronyms

Instructions for Preparing the Full Application

All parts of the Full Application will be evaluated as outlined in the [review process](#), and according to the [Criteria and Review Elements section](#).

All centres, including the ones that are no longer funded as a CECR, will be subject to the same expectations and rigour.

The full application must be developed in collaboration with relevant stakeholders. The applicants must clearly indicate how the centre's spectrum of activities fill a gap in Canada's commercialization landscape, and how the centre contributes to strengthening the ecosystem to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts. Private and public sector participants should be informed that their level of engagement as well as their cash and in-kind commitments will be critical to the success of the centre.

Important notes:

- The full application should carefully address feedback received as a result of the LOI.
- See [Appendix B: Checklists for Application Packages](#) for a checklist to ensure a full application package is submitted.
- For completion of the centre's business and financial plans, applicants should refer to the Excel spreadsheet available as part of the CECR application documents. Applicants may add or remove rows from the financial tables according to their requirements.
- As with the LOI, in cases where the funding period of the existing CECR grant will overlap with an application under this competition, the Full Application must:
 - Provide a clear picture of the CECR's entire business plan, identifying new and existing activities separately. New and existing performance indicators, targets and milestones should also be presented separately in the "Performance Indicators, Targets and Milestones" section. If the application is successful, the current CECR award and the new award will be amalgamated and form the basis for a single award through an amendment to the existing funding agreement
 - Demonstrate that the new funding will be for new activities that could not be funded under the existing CECR grant

- Demonstrate that the cash and in-kind contributions outlined in the letters of support were not already supporting activities of the current CECR grant

The full application package must include the following:

I. Overview of the Centre

Maximum 1-page

The one-pager should be a visual communication tool of the centre's vision and an overview of how the centre contributes to Canada's innovation ecosystem. The one-pager should be branded with the centre's logo, the years with CECR funding and provide a snapshot of the value of the centre for its sector and for Canada

II. Full Application Form

Complete the CECR 2018 Full Application Form, available [on the NCE web site](#).

Section A: General information

Complete and sign Section A of the form.

Section B: Centre revenues (cash)

Indicate the centre's anticipated cash support from all sources. See the CECR program guide for information on eligible expenditures and use of CECR funds.

Section C: Centre budget (cash expenditures)

Provide details by expenditure category to indicate the centre's anticipated budget. Please ensure to include sufficient ramp-up funds for fiscal year 2017-18. The results of the 2018 CECR competition should be available in fall 2017, and successful centres will be expected to deliver on their business plan shortly after they have been informed of the outcome of their application. Therefore, the centre should provide a budget starting in fall 2017. Planned expenditures using partner contributions (cash and in-kind) incurred from the date of the notification of a successful application can be counted towards the program's matching requirement. Planned expenditures using CECR funds incurred from the date of the notification of a successful application can be reimbursed from the grant once it is received in late March 2018.

Section D: Summary of the centre's in-kind contributions from its stakeholders

Summarize the nature of the contributions. Please verify that the method used to arrive at the value aligns with the [CECR guidelines on the calculation of in-kind contributions](#).

Section E: Executive summary of the application for public release

Provide a brief overview of the content of the application in the fields provided.

Section F: List of letters of support

Complete the list of letters of support. Sort letters by category (academic, industrial, government, host institution, foreign and other). The number of letters is not restricted; however, only two types of letters should be included:

1. Letters that confirm support in the form of in-kind or cash contributions; or
2. Letters that confirm a partnership between other [NCE-funded organizations](#).

Any cash or in-kind contributions from other NCE-funded organizations will not count towards the program matching requirement. See [Instructions for Letters of Support](#) for additional information.

III. Business Plan

Maximum 25 pages

1. Strategic Plan and Commercialization Strategy

The centre should describe its vision and the specific objectives (and associated milestones) that are focused on achieving that vision.

The centre's strategic plan should describe how the centre will achieve its objectives to turn knowledge and/or technology into new or improved goods, processes or services that result in positive socio-economic, health and environmental impacts. It should also describe how the centre is drawing on existing research and commercialization strengths, infrastructure, networks and funding capacity to enhance their impact and/or open up new opportunities for Canada.

The plan should highlight how the centre's spectrum of activities fills a gap in Canada's commercialization landscape and how the centre contributes to Canada's ecosystem.

In particular, the strategy should include:

- The centre's plan showing how its portfolio of activities fits into its current vision;
- A robust commercialization strategy that describes the centre's business model, the approach to partnership development and value creation, the benefits and impacts to stakeholders and to Canada's ecosystem;
- Evidence that the centre will help to enhance Canada's commercialization landscape and accelerate the commercialization of leading-edge technologies, goods, processes or services in priority areas where Canada can significantly advance its competitive advantage;
- The centre's intellectual property (IP) strategy, including:
 - a description of promising disclosures and high value IP that will be accessible to the centre;
 - The plan for managing IP and how it will result in commercial benefits; and
- If applicable, the centre should demonstrate that it has the capabilities to provide commercialization services that will help clients maximize market access opportunities.
- The centre should describe its progress towards self-sustainability. The plan should clearly identify how the centre will shape its impact on the Canadian ecosystem.

2. Operational Plan

The centre must describe how its strategic plan and commercialization strategy will be put into operation. The operational plan should describe the specific objectives of the centre and the resources that will be required to deliver on these objectives. The specific activities that will generate revenues and contributions from partners should be highlighted.

The centre must demonstrate that it possesses, or can reasonably be expected to secure, the requisite managerial capability to achieve its strategic plan and commercialization strategy. The following information, at a minimum, is required:

- A description of the track record, including the pertinent experience and expertise (corporate and individual, technical, business, entrepreneurial and managerial) of the centre's management team and its Board of Directors;
- A description of the strength of the management team and the evidence of a sound governance structure (including the board of directors and sub-committees);
- A description of the collaborations, joint ventures and partnerships with the public and private sector, including other centres, and the value of these collaborations; and
- A human resource plan outlining any new staff competencies that would be required to achieve objectives.

3. Centre Capabilities and Pipeline

This section must demonstrate that the centre possesses or can be reasonably expected to secure, the resources to achieve the centre's strategic plan and value creation / commercialization strategy. It should also demonstrate that systematic reviews will be conducted of opportunities, progress against technology development objectives and risks.

The following information is required:

- A description of the available resources (e.g. personnel, facilities, equipment, technology, partners);
- A description of the sources of disclosures available and the centre's development pipeline;
- A description of the collaborations, joint ventures or partnerships that will be established to enable the centre to successfully bolster its activities;
- A description of the centre's approach to managing the activities with an articulation of the tools that will be used (e.g. project team, planning, budgeting, scheduling, allocating responsibility, controlling);
- A clear articulation that the centre's activities are technologically feasible, and competitive;
- A demonstration of the technology readiness, as well as the stage of development of activities within its portfolio; and
- The technology feasibility risks and the centre's mitigation strategies.

4. Sector Assessment and Communications

The assessment should include a market analysis that:

- Defines and describes the market for its products, processes and/or services;
- Describes opportunities particularly relevant to the centre in the regional, national and international contexts;
- Identifies key competitors and partners;
- Identifies competitive and market access issues (e.g. regulatory approvals, market positioning, competing products, processes or services, corporate mandates); and
- Demonstrates that revenue projections align with current market and overall landscape in their priority area.

The centre must also describe its sales and communication strategies, how it will brand itself and how it will communicate with internal and external partners.

IV. Financial Plan

Narrative description with financial tables - maximum 10 pages including tables

This section must include a multi-year financial plan of the centre including:

- Revenues from external sources and revenues generated by the centre;
- Other sources of funding (e.g. grants and contributions) including the expected timing of receipt of funding;
- Operational and commercialization expenses; and
- A plan to reduce dependency on CECR funds over time.

The section must clearly distinguish between negotiated and planned funding. Government funding and non-governmental funding should be well identified.

The financial plan should also include a forecast of projected revenues from commercialization investments and any special conditions attached to any of the financial contributions from public and private sector partners. Key financial risks and a proposed mitigation strategy should also be included.

Financial Tables to be included are:

- **Income Statement** (three previous years)
- **Table 1 - Balance Sheet:** A snap shot of the centre's assets, liabilities and stakeholders' equity in the Centre (if applicable).
- **Table 2 - Financial Forecasts:** Provide an overview of the centre's projected sources of funding, operational and commercialization expenses.
- **Table 3 - Revenue Projections:** Projects the centre's future income.

V. Performance Indicators, Targets and Milestones

Maximum 2 pages

The centre must provide performance metrics and targets (short, medium and long-term) on which the centre will evaluate its achievements and demonstrate the value generated by the CECR investment.

For centres with CECR funding in 2017-18 and beyond, the section should provide a clear picture of the centre's existing metrics, targets and milestones and the new targets that would be made possible with the additional funding. The distinction of new and existing indicators, targets and milestones should clearly demonstrate what is possible with current funding and the added impact that would result with additional CECR funding.

VI. Appendices

A.1 Letters of Support

Maximum 2 pages per letter / unlimited number of letters

Provide letters confirming the contributions for each partner listed in Section F of the Full Application Form. For each stakeholder organization, the letter must make explicit reference to the centre, and should:

- Come from a senior executive;
- Make commitments of cash and/or in-kind support;
- Clearly describe the nature of in-kind support where applicable; and
- Indicate how the centre helps their organization (including current and past associations with the centre).

The letters should not follow a template/form format.

The signatures of authorized officers of supporting organizations certify that the organization agrees to the content of the application and will provide the committed resources.

If the centre director is also a principal of a collaborating or supporting organization, another senior official must sign on behalf of the organization.

The number of letters is not restricted; however, only two types of letters should be included:

1. Letters that confirm support in the form of in-kind or cash contributions; or
2. Letters that confirm a partnership between other [NCE-Funded organizations](#).

Any cash or in-kind contributions from other NCE-funded organizations will not count towards the program matching requirement.

A.2 List of Centre Management and Members of the Board of Directors

Provide a list of:

- the centre's management; and
- the members of the Board of Directors.

For each individual, provide the following:

- Name;
- Organization, department and position;
- Province;
- Percentage of salaried time to be devoted to the centre, if any;

- Role in the centre; and
- An asterisk if a biography is provided.

A.3 Biographies of centre management and members of the Board of Directors

Maximum 8 pages

Short biographies should be provided for the centre's management and for the members of the Board of Directors.

Instructions for Meeting with an Expert Panel

All applicants invited to submit a full application will meet with an expert panel comprised of experts in business, management, knowledge and technology transfer, commercialization, applied science, finance and/or public policy.

The role of the expert panel is to provide the PSAB with a report on the strengths and weaknesses of the application.

At this meeting, up to five representatives of the proposed centre will have an opportunity to make short presentations on the centre's:

- Vision, objectives and benefits to Canada;
- Track record;
- Business plan; and
- Financial projections

Presentations should add value to the written application by highlighting major features, achievements and new developments rather than repeating the details of the application.

Each section of the presentation will be followed by a question and answer period.

Based on the information provided in the proposal and during the expert panel presentation, the panel will prepare a report for the PSAB addressing the strengths and weaknesses of the application according to the CECR program evaluation criteria.

Applicants will be asked to distribute a paper copy of their presentation to the expert panelists and to leave an electronic copy of their presentation with the NCE Secretariat.

Application Submission and Presentation Standards

Submission Procedures

Please note that the NCE Secretariat no longer requires that a hard copy be provided by mail.

Application documents must be submitted via the [NCE Secure Submission Site](#).

Complete the required fields and select the relevant options from the respective drop down menus. The following message will appear if a document is successfully uploaded:

Thank you for using the NCE Secure Submission Site. You have successfully submitted the document below. We will contact you or the contact person indicated in the document should we require any additional information.

The application should be submitted as a single PDF that combines all of the required sections. **The PDF cannot exceed 49 MB.**

The deadline for submission of the Full Application via the [NCE Secure Submission Site](#) is **4:30 p.m. Eastern Time on August 4, 2017**. Late submissions will not be accepted.

The NCE Secretariat will send an email to the centre's director to confirm receipt of documents within a week after the submission. If confirmation is not received a week after the submission deadline, please contact:

Denis Godin
Program Deputy Director
Telephone: 613-947-8894
Denis.Godin@nce-rce.gc.ca

or

NCE Secretariat
Tel.: 613-995-6010
E-mail: info@nce-rce.gc.ca

Presentation Standards

- Page size: 8½ x 11 inches
- Margins: no less than ¾ of an inch on all sides
- Font: Times New Roman (no smaller than 12 pts) or Arial (no smaller than 11 pts). If measured in characters per inch (cpi), it must be no more than 10 cpi. Condensed type is not acceptable.
- Header: include the name of the centre at the top of every page
- All pages must be consecutively numbered
- Graphs and illustrations may be included, but will count as part of the set page limits
- Either single or double column presentation of text, graphs or illustrations is acceptable

Any pages exceeding the limits indicated in the instructions above and in Appendix B will be removed from the submission.

Appendix A: Conflict of Interest Guidelines

The NCE Secretariat follows the tri-agency [Conflict of Interest and Confidentiality Policy of the Federal Research Funding Organizations](#). Key elements are outlined below.

Conflict of Interest means a conflict between a Participant's duties and responsibilities with regard to the Review Process, and a Participant's private, professional, business or public interests. There may be a real, perceived or potential conflict of interest when the Participant:

- i. would receive professional or personal benefit resulting from the funding opportunity or application being reviewed;
- ii. has a professional or personal relationship with an Applicant or the Applicant's institution; or
- iii. has a direct or indirect financial interest in a funding opportunity or application being reviewed.

A conflict of interest may be deemed to exist or perceived as such when review committee members, external reviewers or observers:

- are a relative or close friend, or have a personal relationship with the applicants;
- are in a position to gain or lose financially/materially from the funding of the application;
- have had long-standing scientific or personal differences with the applicants;
- are currently affiliated with the applicants' institutions, organizations or companies-- including research hospitals and research institutes;
- are closely professionally affiliated with the applicants, as a result of having in the last six years:
 - frequent and regular interactions with the applicants in the course of their duties at their department, institution, organization or company;
 - been a supervisor or a trainee of the applicants;
 - collaborated, published or shared funding with the applicants, or have plans to do so in the immediate future; or,
 - been employed by the institution, when an institution is the applicant; and/or
- feel for any reason unable to provide an impartial review of the application.

Review Committee Members', External Reviewers' and Observers' Agreement

Review Committee Members, External Reviewers and Observers involved in the Review Process must agree to abide by the Policy prior to commencing their participation by signing or electronically agreeing to the Conflict of Interest and Confidentiality Agreement for Review Committee Members, External Reviewers and Observers ([PDF](#), [HTML](#)).

Appendix B: Checklists for Application Packages

LOI Deadline: February 27, 2017, 4:30 PM (Eastern Time)

Item	Maximum Number of Pages
Board chair covering letter	2
LOI form	As limited by the form
Track record of the applicants	5
Biographies of key individuals	3
Business Plan	8
Financial Plan	2
Benefits to Canada	2
Letters of Support	2 pages per letter /no limit on the number of letters

Full Application: Deadline August 4, 2017

Item	Maximum Number of Pages
Overview of the Centre's Achievement and Activities (Communication Product)	1
Full application form	As limited by the form
Business plan	Maximum 25 pages
Financial plan	Maximum 10 pages (including tables)
Performance indicators, targets and milestones	Maximum 2 pages
Appendices: <ol style="list-style-type: none"> 1. Letters of support 2. Biographies of centre management and members of the board of director 3. Alphabetical list of key individuals 	<ol style="list-style-type: none"> 1. Max 2 pages / letter 2. Max 1 page / bio 3. As needed
Optional items	
Cover page	1
Table of content	1
List of acronyms	1

Appendix C: What do the electronic or original signatures on the application mean?

For the Lead Applicant

By signing and submitting my application, I (the Lead Applicant):

- certify that the information provided in my funding applications and related documents is true, complete and accurate and that I have represented myself, my research and my accomplishments in a manner consistent with the norms of the relevant field;
- consent to the sharing between the NCE Secretariat and any academic institution to which I am, or may become, affiliated of any and all information, including personal information, in any way related to the application and to the grant/award;
- understand the [Access to Information Act and the Privacy Act](#) (including the Use and Disclosure of Personal Information Provided to the NCE Secretariat) as they pertain to grant application information;
- attest that participants listed on the application have agreed to be included;
- certify that I am not currently ineligible to apply for and/or hold funds from Natural Sciences and Engineering Research Council (NSERC), the Social Sciences and Humanities Research Council of Canada (SSHRC), Canadian Institutes of Health Research (CIHR) or any other research funding organization world-wide for reasons of breach of responsible conduct of research policies such as ethics, integrity or financial management policies;
- certify that I respect and comply with the [Values and Ethics Code of the Public Sector](#), as required only if I am, or was in the last 12 months, a public servant in the federal government;
- accept the terms and conditions set out in the CECR Program Guide and the [Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) between the federal granting agencies and Canadian institutions;
- will inform the NCE Secretariat and institutional officials of changes in eligibility status;
- agree to comply with the policies and guidelines described in the [Requirements for Certain Types of Research](#), including:
 - research involving humans;
 - research requiring human pluripotent stem cells;
 - research requiring the use of animals;
 - research involving controlled information;
 - research involving biohazards;
 - research involving radioactive materials;
 - research activities having potential effects on the environment; and
 - other related policies;
- will inform the NCE Secretariat and institutional officials of any changes in the nature of the research that may have an impact on certification or approvals on the same policies as in the previous bullet; and
- understand that maintaining public trust in the integrity of researchers is fundamental to building a knowledge-based society. By submitting this application or by accepting funding from CIHR, NSERC and/or SSHRC, I affirm that I have read and I agree to respect all the policies of these agencies that are relevant to my research, including the [Tri-Agency Framework: Responsible Conduct of Research](#). In cases of a serious breach of agency policy, the agency may publicly disclose my name, the nature of the breach, the institution where I was employed at the time of the breach and the institution where I am currently

employed. I accept this as a condition of applying for, or receiving, agency funding and I consent to such disclosure.

For academic participants

By accepting to participate in the Centre, I (the academic participant) also agree to the above.

The signatures of the institutional authorities certify that:

- the institution will abide by the roles and responsibilities as set out in the [Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) with the three federal granting agencies;
- the applicants have met, or will meet, the eligibility requirements;
- the institution obtained written approval from other institutions involved in the application process prior to submission; and
- the institution agrees to comply with NSERC's, CHIR's or SSHRC's data protection requirements and has adequate safeguards in place to protect sensitive information entrusted to it by the NCE Secretariat for the purpose of administering applications and awards.

The signatures of authorized officers of other supporting organizations certify that the organization:

- agrees with the content of the application and will provide the committed resources; and
- agrees to the release of the public summary of the award and to the publication of the organization's name as a supporter of the initiative.

For further information, see the Questions and Answers on the [Consent to Disclosure of Personal Information](#).

Appendix D: Guidelines for merging PDF documents

Adobe Pro is required in order to merge PDF documents, which is available for download online on [Adobe's website](#). Once Adobe Pro has been downloaded, various PDF documents can be merged into a single document.

The Application Form is a protected document, so you will need to follow the steps below in order to merge various PDF documents into one cohesive, *searchable* document.

- 1) Preferred method:
 - a. Open the completed form
 - b. Select “**file**” then “**print**”
 - c. When the print options opens select “**adobe PDF**” as your printer then click on “**print**”
 - d. This will not print the document. It will let you save it as another version
 - e. Once you have saved it, you will be able to merge the LOI Form with the other files
 - f. In order to merge various files, go to the last page of your newly formatted Form, and click the “Add Page from Another Document” icon in the toolbar; browse to the next PDF document that you want to add, double-click it and choose ‘after’ – the document will automatically be added.
 - g. Repeat step F with your subsequent PDF documents until you have one final merged document.

If you do not have the option to merge (which can happen depending on the software you are using, although it is fairly rare), you will have to complete the above steps then use one of the PDF merging websites below:

<http://www.primopdf.com/> (recommended – free and easy to use)
<http://foxyutils.com/mergepdf/>
<http://www.pdfmerge.com/>

- 2) Alternate method:

From the form

 - a. Click File
 - b. Click Create
 - c. Click ‘Combine files into a Single PDF’
 - d. Click ‘PDF portfolio’ in the upper right
 - e. Use the ‘Add Files’ button to select all PDFs that you want to merge together (including selecting the document you are currently using as the first one you select)