NSERC Alliance Grants

Canada’s research partnership program

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John Jackson – Ontario Regional Office – Mississauga

Natural Sciences and Engineering Research Council of Canada

Queen’s University – May 29, 2019
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 for the benefit of all Canadians.
NSERC grants support research that generates knowledge and ideas that can generate benefits for Canada.

Researchers establishing a base research program will support connectivity between generators of knowledge and users of that knowledge through the new Alliance Grants.
Alliance Grants…

were designed in consultation with the community and create an enabling platform for starting and growing research partnerships, while building on the strengths of our previous Research Partnerships Programs.

Previous Programs
• Engage Grants
• Collaborative Research & Development Grants
• Strategic Grants
• Industrial Research Chairs

Alliance Grants
• more flexible
• more eligible partners
• no restriction on research topic
• no application deadlines
• simpler process
• faster decision times
Generate new knowledge / technology
Create economic / social / environmental benefits
Contribute to Canada’s long-term competitiveness
Support public policy
Train new researchers
Draw on diverse perspectives / skill sets
Projects can vary in size and scope

- Short-term projects with one researcher
- Long-term projects involving several researchers
- One-on-one collaborations with one partner organization
- Projects involving many partners organizations from different sectors
Examples of types of partner organizations eligible for matching of cash contributions

<table>
<thead>
<tr>
<th>Private Sector</th>
<th>Public Sector</th>
<th>Not-for-profit Sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Canadian private companies</td>
<td></td>
<td></td>
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<tr>
<td>• Multinationals with presence in Canada</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Foreign companies (not as sole partner)</td>
<td></td>
<td></td>
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<tr>
<td>• Municipalities, local/regional governments</td>
<td></td>
<td></td>
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<tr>
<td>• Federal/provincial/territorial government departments (not funding agencies)</td>
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<tr>
<td>• Public utilities</td>
<td></td>
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<tr>
<td>• Crown corporations</td>
<td></td>
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<tr>
<td>• Producer groups</td>
<td></td>
<td></td>
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<tr>
<td>• Industrial associations</td>
<td></td>
<td></td>
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<tr>
<td>• Registered charities with a research mandate</td>
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<tr>
<td>• Museums/libraries</td>
<td></td>
<td></td>
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<tr>
<td>• Indigenous groups</td>
<td></td>
<td></td>
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<tr>
<td>• Community groups</td>
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</tr>
</tbody>
</table>
Role of partner organizations

Every partner organization must do at least one of:

- Play an active role in research activities
- Utilize the research results and achieve desired outcomes
- Play an active role in mobilizing knowledge

At least one partner organization must demonstrate ability to exploit research results

- Other partners may be chosen for their ability to generate and mobilize knowledge

Partner organizations must collectively support the project through cash and/or in-kind contributions
Research topics

Alliance Grants can support any R&D project that responds to a research challenge in the natural sciences or engineering

- See: Selecting the Appropriate Federal Granting Agency

Applicants are encouraged to collaborate with academic researchers in fields other than the natural sciences or engineering

- Costs for these collaborations must be identified in the project budget
- Up to a maximum of 30% of the project costs
Collaborating internationally

Project proposals may incorporate international collaborations

• Alliance Grant researchers may interact with foreign colleagues in a variety of ways
• See: Use of Grant Funds guidelines
Grant size and project duration

The minimum grant size is $20,000 per year.

The maximum is $1 million per year.

Alliance Grant projects can range from 1 year up to 5 years in duration.

Shorter projects can be scaled up or extended within the maximum 5-year period.
Cost-sharing...
Cost-sharing

Alliance Grants are calculated based on cost-sharing with the partner organizations

- The portion that can be cost-shared with NSERC includes only the cash contributions from partner organizations recognized for cost sharing.

In-kind contributions are important for the success of the project

- In-kind contributions are considered as part of the proposal evaluation.
- In-kind should not be considered when determining NSERC's contribution to the project costs.
Cost-sharing options

Alliance Grants incorporate a three-tiered cost-sharing structure

NSERC will provide:

1. **50%** (a 1:1 leverage ratio),
2. **66%** (a 2:1 leverage ratio), or
3. **90% to 100%** of the shareable costs, depending on the size of the partner organizations and the type of partnership
## Cost-sharing options

### Option 1

<table>
<thead>
<tr>
<th>Size of partner organization</th>
<th>Type of partnership</th>
<th>NSERC Contribution to Project costs</th>
<th>Parameters</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Large organizations</strong>*</td>
<td>Sole partner organization or in partnership exclusively with other large organizations</td>
<td>50% (1:1 leverage)</td>
<td>Applications per year: no limits</td>
</tr>
<tr>
<td></td>
<td>As a partner with small and medium-sized enterprises such as in value- or supply-chain relationship, or with other sectors*</td>
<td>66% (2:1 leverage)</td>
<td>Grant size: $20,000 to $1 million per year</td>
</tr>
<tr>
<td></td>
<td>Sole partner organization or in partnership with other sectors*</td>
<td>66% (2:1 leverage)</td>
<td>Duration: 1 to 5 years</td>
</tr>
</tbody>
</table>

*including private, public and not-for-profit
## Cost-sharing options

### Option 2

<table>
<thead>
<tr>
<th>Size of partner organization</th>
<th>Type of partnership</th>
<th>NSERC Contribution to Project costs</th>
<th>Parameters</th>
</tr>
</thead>
<tbody>
<tr>
<td>All partner sizes</td>
<td>Exclusively not-for-profit and public partner organizations</td>
<td>100%</td>
<td>Applications within a 12-month period:</td>
</tr>
<tr>
<td></td>
<td>Partnership must include one organization that is recognized for NSERC cost-sharing</td>
<td></td>
<td>• Two for non-academic partners</td>
</tr>
<tr>
<td></td>
<td>Any private-sector partner organization</td>
<td>90%</td>
<td>• Two for applicants (one as the principal investigator, one as co-applicant)</td>
</tr>
<tr>
<td></td>
<td>Requires a 10% cash contribution from the combined partner organizations</td>
<td></td>
<td>Grant size: $20,000 to $200,000 per year</td>
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<td></td>
<td></td>
<td></td>
<td>Duration: 1 to 5 years</td>
</tr>
</tbody>
</table>
Partner organizations recognized in cost-sharing calculations

Private Sector

<table>
<thead>
<tr>
<th>Cash contributions can be recognized*</th>
<th>Cash contributions <em>cannot</em> be recognized</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Canadian private companies</td>
<td>• Venture capital / Angel investors / Seed companies</td>
</tr>
<tr>
<td>• Multinationals with a presence in Canada</td>
<td>• Holding companies</td>
</tr>
<tr>
<td>• Foreign companies (but not as the sole partner organization)</td>
<td>• Companies with less than two full-time employees</td>
</tr>
</tbody>
</table>

*if NSERC cost-sharing requirements are met
### Partner organizations recognized in cost-sharing calculations

#### Canadian Public Sector

<table>
<thead>
<tr>
<th>Cash contributions can be recognized*</th>
<th>Cash contributions <em>cannot</em> be recognized</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Municipalities and local or regional governments established by or under provincial or territorial statute</td>
<td></td>
</tr>
<tr>
<td>• Provincial/territorial government departments</td>
<td></td>
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<tr>
<td>• Federal government departments</td>
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<tr>
<td>• Indigenous organizations</td>
<td></td>
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<tr>
<td>• Public utilities</td>
<td></td>
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<tr>
<td>• Crown corporations</td>
<td></td>
</tr>
<tr>
<td>• Funding organizations (federal, provincial, territorial, international) whose primary mission is to fund R&amp;D</td>
<td></td>
</tr>
<tr>
<td>• Organizations whose primary mission is to perform R&amp;D and are funded or controlled primarily by government</td>
<td></td>
</tr>
<tr>
<td>• Foreign governments</td>
<td></td>
</tr>
</tbody>
</table>

*if NSERC cost-sharing requirements are met
## Partner organizations recognized in cost-sharing calculations

### Canadian Not-for-Profit Sector

<table>
<thead>
<tr>
<th>Cash contributions can be recognized*</th>
<th>Cash contributions cannot be recognized</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Producer groups</td>
<td>• Not-for-profit organizations whose primary mission is to fund R&amp;D and are funded or controlled primarily by government</td>
</tr>
<tr>
<td>• Industrial associations</td>
<td>• Post-secondary institutions</td>
</tr>
<tr>
<td>• Registered charities that have a mandate to carry out and apply research (within natural sciences and engineering)</td>
<td>• Incubators and accelerators</td>
</tr>
<tr>
<td>• Organizations whose primary mission is to maintain collections (e.g., historical, scientific, artistic, or cultural) for the public good, such as libraries, museums, zoos or aquariums</td>
<td>• Other registered charities</td>
</tr>
<tr>
<td>• Community organizations</td>
<td>• Hospitals and medical/clinical research institutes</td>
</tr>
<tr>
<td></td>
<td>• Philanthropic organizations</td>
</tr>
<tr>
<td></td>
<td>• Consortia with the majority of their funding originating from government sources</td>
</tr>
<tr>
<td></td>
<td>• Foreign not-for-profit organizations</td>
</tr>
<tr>
<td></td>
<td>• Individuals</td>
</tr>
</tbody>
</table>

*if NSERC cost-sharing requirements are met
Projects can be supported by additional sources of funding that are not recognized for cost sharing

• Such funds can be listed in the project budget, but are not considered as part of the NSERC cost-sharing calculation
• These additional funds must be described in the proposal and will be considered in the assessment of a proposal’s overall merit
How to apply

Alliance Grant applications are submitted using NSERC’s online system

• Applicants fill out the proposal template and supporting documents and include their Common CV and the Common CVs of any co-applicants

• See the instructions for NSERC’s online system
How applications are reviewed

NSERC has adopted a financial risk-based approach that includes various assessment tools

- Reduces burden and delays
- Recognizes risk as a function of project complexity and funds requested
## Review of the application

<table>
<thead>
<tr>
<th>Project Size</th>
<th>Small</th>
<th>Medium</th>
<th>Large</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approximate thresholds</td>
<td>Average annual request of $20,000 to $30,000 for 1-5 years</td>
<td>Average annual request of more than $30,000 up to $300,000 for 1-5 years</td>
<td>Average annual request of more than $300,000 up to $1,000,000 for 1-5 years</td>
</tr>
</tbody>
</table>
| Review mechanism | NSERC File Managers  
• Evaluation supported by existing NSERC peer review (i.e. Discovery Grant rating, active Canada Research Chair holders, prior Partnership grants)  
• If no existing NSERC peer review evidence is available, external reviewers will be used | External Referees  
• With expertise directly related to the proposal  
• Provide review based on all evaluation criteria | Ad hoc committee members  
• With expertise directly related to the proposal  
• Provide review based on all evaluation criteria |
| Funding decisions | NSERC assigns merit indicators to determine priority for funding | | |
| Expected decision time* | 4 weeks | 8-12 weeks | 12-16 weeks |
Evaluation criteria

Applications are evaluated using the following criteria:

• Relevance and outcomes
• Partnership
• Quality of the proposal
• Training
Equity, diversity and inclusion

NSERC is committed to excellence in research and research training for the benefit of Canadians.

Achieving a more equitable, diverse and inclusive Canadian research enterprise is also essential to creating the excellent, innovative and impactful research necessary to seize opportunities and respond to global challenges.
Equity, diversity and inclusion

You are asked to consider sex, gender and diversity in the project’s research design and to consider how to promote and support a variety of forms of mentoring to ensure trainees’ equitable participation and growth.

• In large proposals, you must strive for equity, diversity and inclusion when developing your group of co-applicants, partners and trainees

• See Guide for Applicants: Considering equity, diversity, and inclusion in your application
Applications will be assessed using the evaluation criteria

- Priority for funding will be determined according to established merit indicators
- NSERC will select proposals for funding on a competitive basis
Scaling-up successful research collaborations

NSERC will support the growth of a project as the partnership progresses by providing options to expand successful projects

• Additional funds can be awarded within the original timeframe or during additional years of the project
• Maximum project duration (including any time extension) is five years
• Procedure for expanding projects will be detailed at a later date
Alliance Grants timeline...
Alliance Grants will be launched in a phased approach

On May 21st, 2019, Option 1 (NSERC cost-sharing of 50% or 66%) will be open for applications requesting $150,000 or more annually from NSERC

- Option 1 for applications requesting less than $150,000 annually, as well as Option 2 (NSERC cost-sharing of 90% or 100%), will be phased in gradually
- Consult the Alliance Grants Program Description page for updates
Transition plans for previous Research Partnerships Programs...
Collaborative Research & Development, Engage, and Engage Plus Grants

Applications to the Collaborative Research & Development and Engage and Engage Plus programs will be accepted until May 31, 2019

• All ongoing awards, as well as all new commitments made before this date will be honoured until their completion under the terms and conditions of the original award
Industrial Research Chairs

NSERC is continuing to accept first-to-second term renewal applications for Industrial Research Chairs (IRC) whose first term ends in fiscal year 2019-20

• We have also started to review the IRC applications received before the February 1, 2019 deadline
• No other renewal applications will be accepted under the IRC Grants program
Strategic Partnership Grants for Networks (SPG-N) and Projects (SPG-P)

No further competitions will be held

• This does not impact the evaluation of existing SPG-N applications that were invited in July 2018 to apply to the full 2018 SPG-N competition

• Commitments for previously awarded Strategic Partnership grants will be honoured
Connect Grants and Experience Awards

The Connect Grant program for universities is discontinued
• Commitments for previously awarded Connect Grants will be honoured

The Experience Awards program is discontinued
• Commitments for existing installments will be honoured