



## ENGAGE GRANTS FOR UNIVERSITIES APPLICATION CHECKLIST AND PROPOSAL TEMPLATE

*This document contains three sections:*

- 1. A list that summarizes the factors assessed in the review of a university-based Engage Grant application. Ensure these points are addressed before submitting a proposal. This list is provided for the convenience of applicants. Do not submit this list with the application.*
- 2. A proposed template for the research proposal.*
- 3. Supplementary information from a company participating in an Engage Grant application*

### Section 1: APPLICATION CHECKLIST

#### Eligibility Questions

##### Researcher

- Is the university principal investigator eligible to receive grant funds?
- Does the applicant's Personal Data Form (Form 100) demonstrate evidence that he or she has been granted NSERC individual or small team (principal investigator and up to two co-applicants) research support within the past six years?
- Has the applicant submitted a project report for all previous Engage Grants?

##### Company Partner

- Does the company meet the eligibility requirements described in the **Industrial Participation** section of the Engage Grants description?
- Has the company submitted a project report for all previous Engage Grants?

##### Both

- Is the number of Engage Grants in current fiscal year within the limit specified in the Engage Grants description for applicants and company partners?

#### New relationship

- Does this application foster a new collaborative relationship between the university researcher and the company partner (no existing or past relationship)? (See examples in the description of Engage Grants, **Requirements for university-based applicants** section).

#### Technical merit of the proposal

- Does the proposal describe the research challenge to be addressed through the project?
- Is the work innovative? Or is it one of the excluded activities listed in the **Engage Grant** description?
- Is there a clear plan to address the problem and proposed approach to solve it?
- Is the project within the natural sciences or engineering fields?

#### Industrial relevance and potential for innovation impact

- Does the company letter of support address the points outlined in the **Application Procedures** section of the Engage Grant description?
- Is the company-specific problem clearly identified and related to the company's core competencies or activities?
- Will the work lead to new or improved products, processes or services that benefit the company and are directly related to its core operations?
- Is the impact of the project described?
- Is the company in a position to successfully exploit the research results?
- Will the company see economic or other benefits within a reasonable timeframe?



### **Industrial participation and plan for technology transfer**

- Does the proposal identify how the results will be transferred to the company (i.e., what are the deliverables)?
- Does the proposal indicate how the principal investigator will interact with the company personnel to ensure the progress of the project?
- Does the proposal describe the nature of the company participation (characterized by the in-kind contribution)?
- Is the in-kind contribution detailed and in keeping with the NSERC guidelines for eligibility and value of in-kind contributions (such as the maximum hourly rate for salary costs)?
- Are the applicant and company in agreement that any intellectual property arising from the project will belong to the company?

### **Benefit to Canada**

- Are economic, social and/or environmental benefits to Canada described?

### **Research competence**

- Does the research team, including company partner's personnel, have the appropriate expertise?
- Is the research team limited to one university researcher (the applicant) and any research personnel (e.g., students, research technicians)? Engage Grant proposals with collaborating professors will be rejected.

### **Budget**

- Does the budget provide enough detail to justify each expenditure?
- Does it conform to the **Award Information and Eligible Expenses** section of the Engage Grant description?

### **Certification requirements — environmental review**

- Is an environmental review required for this project? If yes, has an Environmental Information Form (Appendix A) been filled out?



## Section 2: SAMPLE STRUCTURE FOR TWO-PAGE NSERC ENGAGE GRANT PROPOSAL

### Overview of the company-specific problem

Describe the company-specific problem to be addressed and the extent to which the company will benefit from scientific, engineering or technical advances, and the innovative techniques, processes or products that will be developed in the proposed project.

### Research Project

Describe the research challenge to be addressed through the project. Briefly outline the underlying challenges, the scientific issues or engineering issues, research problems or technical complexities associated with solving the company problem.

Paragraph 1. Outline the methodology proposed to resolve the problem.

Paragraph 2. Explain the innovative nature of the methodology.

Paragraph 3. Identify the milestones and deliverables, and provide a work plan in approximately one paragraph. A bar chart such as the example below may be provided. Reserve additional details for "Budget Justification" attachment.



**Table 1. Project Activities & Milestones**

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6
Meetings - in person	■	■	■	■	■	■
Meetings - teleconference		■	■	■	■	
Literature review	■	■				
Design experimental tests		■	■			
Conduct experimental tests		■	■	■		
Develop numerical model		■	■	■	■	
Numerical modelling & validation				■	■	■
Technical report for Company Prep & submission					■	■

Paragraph 4. Describe how the company will be involved in the project. (The company's direct, in-kind contribution and how its total value was determined, should be itemized separately, in a one-page attachment. See the "Contributions of the Supporting Organizations" section of the Instructions.)

**Research competence**

Explain how the knowledge and experience of the applicant relates to the expertise needed to accomplish the project objectives. Explain how the contributions of the team members (including, if applicable, the company personnel) will be integrated into the project's objectives.

**Contribution to the technology transfer**

Describe how communication between the university research group and the company staff will occur and be managed. Describe what regular interactions between the university research team, specifically the principal investigator, and the company representative(s) are planned (e.g., include a summary of planned project review meetings and specify the frequency of these interactions). Explain how the technology will be transferred to the company (i.e., specify how the finalized project deliverables will be packaged, e.g., final technical report, algorithms, software, physical prototype, etc.) and incorporated into the company's operations. Briefly describe plans (if any) for follow on research.

**Benefit to Canada**

Outline the key benefits to be accrued to the industrial partner when these results are implemented into the company's operations. Add any additional economic social and environmental benefits that could be realized in Canada within a reasonable time (e.g., within three to five years).

### Section 3: Supplementary information from a company participating in a Research Partnership application

Company Name:		Completed Date:	
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**TO BE COMPLETED ONLY AT THE REQUEST OF NSERC.**

In addition to the letter of support and completed Form 183A – Information Required from Organizations Participating in Research Partnerships, please address each of the questions below. This information must be completed by a company representative.

Describe the project that the company wishes to participate in:

1. Provide information on the key employees (management and researchers/technical staff). Indicate "X" in all but the first column. Designate who will be involved in the proposed research project (use \*).

EMPLOYEE (Name, title or role, diploma/degree, if applicable)	Full-time or Part-Time <sup>1</sup>		Salaried , Contract, or Other <sup>2</sup>			Work Location <sup>3</sup>	
	Full-time	Part-time (%)	Salaried	Contractor	Other	Company facility	Elsewhere

2. What prior experience does the company, its personnel and advisors have in the area of business related to the research application? Describe the company's core business activity.

<sup>1</sup> Full-time (i.e., does not also hold another job elsewhere) or Part-time (i.e., devotes only part-time or occasional efforts to the company). Indicate the percent of time spent.  
<sup>2</sup> Salaried (i.e., Company issues a T4 slip), Contractor (i.e., Company pays against invoice, timesheet or similar and does not issue a T4 slip), or Other (i.e., Currently providing services without monetary compensation, in-kind)  
<sup>3</sup> Company premises (i.e., normally operates from workspace at the company) or Elsewhere (i.e., normally operates from outside company facilities, e.g., private home office)

### Section 3: Supplementary information from a company participating in a Research Partnership application

Company Name:		Completed Date:	
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3. Describe the company's facilities (office, manufacturing, R&D and/or technical workspace):

4. Demonstrate that the company has (or will have in the near term) the financial capabilities to achieve the expected results and outcomes associated with the proposed project:

5. Indicate the total investment by category of source over the past two years:

Source	Amount	Description
Non-Government <sup>4</sup> contributions:		
Government <sup>5</sup> contributions:		
Other:		

6. Explain how the company expects to exploit the technology/products/services resulting from the proposed research project and how it is linked the company's core activity or competencies. This should address both production plans as well as marketing considerations such as target market and the company's competitive advantage:

<sup>4</sup> Type of investment such as founders, angel, venture capital, etc.

<sup>5</sup> Indicate sponsoring agency such as NRC's Industrial Research Assistance Program, Atlantic Canada Opportunities Agenda, Ontario Centres of Excellence, Western Economic Diversification, etc.

### Section 3: Supplementary information from a company participating in a Research Partnership application

Company Name:		Completed Date:	
7. <b>(FOR PRODUCER GROUPS OR INDUSTRIAL ASSOCIATIONS ONLY)</b> Briefly describe the mandate of your organization and its current membership (if applicable). With respect to distributing the project results to the producer group or association's member companies, please explain the role of the organization in diffusing and implementing the project results. Provide details of past collaborations during postsecondary-based research projects and how the results were used.			