



Canadian Foundation for Climate  
and Atmospheric Sciences (CFCAS)

Fondation canadienne pour les sciences  
du climat et de l'atmosphère (FCSCA)

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# Instructions For Applicants

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## 1.0 INTRODUCTION

CFCAS supports university-based research in the following areas, through a competitive peer review process:

- Climate system science
- Air quality
- Marine environmental prediction
- Climate change
- Extreme weather

The grant application is used in the review of the application, to obtain referee opinions on the initiative, and for evaluation and a funding recommendation from the CFCAS Grants Review Committee. A thoughtful and well-prepared application ensures that information supporting the merits of the request is readily available and easily understood. Researchers should read these instructions as well as the CFCAS *Awards Guide* before submitting their proposal. Applicants must strictly adhere to the requirements, procedures and policies described in both documents. Failure to comply with all CFCAS requirements could result in rejection of the application.

To simplify the application process, CFCAS has harmonized its forms, instructions and policies with those of NSERC<sup>1</sup>. Although the forms look similar, CFCAS's objectives, programs and selection criteria are different from those of NSERC, and applicants must address CFCAS requirements. CFCAS acknowledges and thanks NSERC for their assistance in the original preparation of the CFCAS application documents.

## 2.0 GENERAL INSTRUCTIONS

The Foundation offers two types of awards:

1. CFCAS Major Initiative grants, requesting over \$300,000 for a total duration of up to 5 years. These incorporate networks awards and major collaborative projects.
2. CFCAS Project Grants, requesting a total of up to \$300,000 over 3 years.

The application is in two parts, for both types of request: an Application Form (Form 101) and a Personal Data Form (Form 100).

Applicants for CFCAS Project Grants (up to \$300,000 over 1-3 years) should submit Form 101 (parts 1 and 2).

Networks or other substantial collaborative/intersectoral or group initiatives (over \$300,000 for up to 5 years) are considered major initiatives. Applicants must first submit a Letter of Intent (LOI). A detailed application will only be accepted if CFCAS has invited the applicant to submit this, in its response to the LOI. The

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<sup>1</sup> Natural Sciences and Engineering Research Council of Canada

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proposal form is the same one as for projects, but the page limit and nature of the request are different.

All independent researchers playing an important or essential role in the network or project should be listed as co-applicants on the proposal, whether or not they are eligible to receive CFCAS funding. Not including these researchers as co-applicants could lead reviewers to conclude, perhaps inadvertently, that some essential parts of the collaboration are missing. Independent researchers playing only a minor role may be included as collaborators. Form 100 is optional for the collaborators.

### **2.1 Presentation Standards**

When preparing the CFCAS application and supporting material, the following general presentation standards must be met:

- Print must be in black ink and of letter quality;
- Text must be single-spaced with no more than six lines per inch (2.54 cm);
- If you use a type size measured in pts, it must be no smaller than 12 pts;
- If you use a type size measured in cpi, it must be no smaller than 10 cpi.

When preparing Part 2 of Forms 100 and 101 (free form), the following standards must be met:

- Use white paper, 8½ x 11 inches (21.5 x 28 cm), portrait format, with a single column, unless specified otherwise;
- Set margins at ¾ of an inch (1.7 cm), minimum, all around;
- Enter your name at the top of every page, within the set margins;
- Number consecutively following the last page of Part 1;
- Print on one side of the page only;
- The maximum number of pages is specified in the instructions for the appropriate program. Pages in excess of the number permitted will be removed.

All text, including references, must conform to the above standards. Incomplete applications and/or applications that do not meet the standards may be rejected or be at a disadvantage in comparison with those that are complete and respect the standards.

## **3.0 SIGNATURES ON GRANT APPLICATIONS**

### **(What do they mean?)**

One copy of an application for a CFCAS award must be signed by:

- The applicant;

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- Each co-applicant;
- The designated representatives of the applicant's department and institution;
- The designated representatives of co-applicants' departments and institutions.

Note: the institutional representative is usually the president of the university or his/her designate. Some Canadian universities also require the signature of a faculty official. Applicants and co-applicants must conform to their institution's policy on signatures. In some cases these require additional institutional signatures.

The applicant's signature means that he/she:

- Certifies that the information provided in the application is complete and accurate to the best of his/her knowledge. Note: False or inaccurate information on an application may result in sanctions, including the termination of funding and disentanglement of the applicant for future CFCAS funding;
- Agrees to abide by CFCAS regulations governing awards as outlined in the *CFCAS Awards Guide*.
- Will use the grant only for the purpose for which it is awarded;
- Agrees to abide by regulations regarding animal care, ethical considerations in the use of human subjects in research, and biohazards, and environmental impact guidelines;
- Agrees to comply with the CFCAS integrity policy, and authorizes the university, if need be, to release to CFCAS personal information that is relevant to the CFCAS application and award.
- Will report as required on research progress and financial disbursements including the use of any funds transferred to co-investigators at other institutions;
- Will acknowledge, wherever possible, CFCAS's funding assistance for the research.

The co-applicant's signature means that he/she:

- Also agrees to the same conditions as the applicant;
- Agrees that the applicant will administer the grant on behalf of the group.
- Agrees to provide the applicant with information on the his/her part of the project, including timely reports on the use of any transferred grant funds

The signatures of the Canadian university authorities certify that:

- The applicant (or co-applicant) has met the eligibility requirements for CFCAS funding (Section 2.1, *CFCAS Awards Guide*);
- The university will provide the applicant with the space and basic facilities to carry out the research;
- The university meets the requirements set out in the tri-Council policies on Ethical Conduct for Research Involving Humans and Integrity in Research

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- and Scholarship and respects normal guidelines for the supervision and safety of undergraduate students involved in research;
- The university complies with the Canadian Council on Animal Care guidelines, where applicable;
  - The university agrees to comply with normal data protection requirements and has adequate safeguards in place to protect sensitive information entrusted to it by CFCAS for the purpose of administering applications and awards;
  - The university will administer the CFCAS's funds on the applicant's (or co-applicant's) behalf consistent with the provisions of the *CFCAS Awards Guide*;
  - The university will release funds to the applicant once all necessary certification requirements have been met;
  - The university will notify CFCAS of any change in the applicant's status during the tenure of the award;
  - The university will enter into any necessary agreements with partner universities, for the transfer (and accounting for use) of funds allocated to a co-investigator at that other institution, by the project or network leader, consistent with the management arrangements for the initiative.

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

- Agrees with the content of the application and will provide the resources it has committed to it, as described in the application and/or the organization's letter of support;
- 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;
- Agrees that researchers in their employ who are on the project team will be permitted to contribute to the research, as described in the application.

If the applicant is a principal of a collaborating company, another senior official must sign on behalf of the company.

## 4.0 SELECTION CRITERIA FOR CFCAS AWARDS

Competitive rankings of Letters of Intent and applications are made using the published selection criteria. LOIs and applications should demonstrate how they meet **all six** criteria. Applicants should not assume that the merits of the application or the applicants, with respect to **any** of the criteria, would be so obvious to the peers that they need only be addressed superficially.

Not all criteria will necessarily be given equal weight by the GRC in its adjudication. Depending on the nature of project or network being proposed, the GRC may find some criteria are more critical than others. However, all criteria will be considered.

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The role of the GRC is to evaluate and rank applications so that those ranked highest overall, in the collective opinion of the GRC, are the ones recommended for funding to the Board of Trustees. Therefore, the criteria will be applied on a relative basis, with the proviso that there are also absolute standards of excellence that must be met for all applications being recommended for funding.

The six Selection Criteria to be used for evaluating applications to the CFCAS are described below.

### **4.1 Science**

*The proposal must be scientifically sound.*

The Science criterion should be assessed on factors such as:

- The significance of the scientific issues and technical challenges being addressed in the project.
- The novelty and originality of the overall approach and concepts;
- The extent to which the proposed project is likely to advance current knowledge and understanding.
- The justification of the proposed approach, based on the background research.
- Feasibility of the proposed project.
- Focus and clarity of the project's objectives judged from both short term and long term perspectives.
- The appropriateness of the project's design and techniques proposed.

### **4.2 Expertise**

*The proposal must demonstrate the proponent's capacity and capability to deliver the project*

The Expertise criterion should be assessed on:

- The stature and research accomplishments of the applicant and co-applicants and their potential to perform the proposed project;
- The appropriateness of the assembled expertise in terms of the proposed project and its breadth and complementarities;
- The recognition of the collective research contributions of the applicant and co-applicants by their peers.

### **4.3 Targeted**

*The proposal must demonstrate how the work will make a clear contribution. The degree to which the project will make a contribution will be a key factor in determining its funding.*

The Targeted criterion must be assessed on the significance of the potential contribution of the project to one or more of the following:

- Understanding key climate system processes including greenhouse gas sources and sinks;
- Understanding key meteorological and atmospheric chemistry processes that impact air quality;
- Understanding the occurrence and/or improving the prediction of extreme and hazardous weather;
- Developing and improving models for weather, air quality and climate system, adapted to Canada's regional context, potentially leading to better prediction and to study anticipated impacts;
- Improving knowledge of ocean and atmospheric processes leading to better marine environmental predictions.

Consideration should also be given to the degree to which research results are likely to be used by the receptor community, particularly in terms of providing advice of policy relevance.

### **4.4 National Context**

*The proposal must make a clear contribution to a national effort, i.e. address issues of national interest or, if addressing a regional issue, have applicability in a national context.*

Projects addressing Arctic studies, coastal oceanographic studies, and severe weather conditions for example, occurring mainly in certain regions might be viewed as "regional" in their focus. However there may be important national consequences and impacts associated with these types of projects, and these should be considered for the purposes of this criterion.

### **4.5 Funding**

*The proposal should justify the need for Foundation funds and demonstrate how it is leveraging funds from other sources.*

The Funding criterion should be assessed on factors such as:

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- The need for CFCAS funding;
- The work being proposed does not duplicate existing funding, and the project is separate or incremental to other work being done;
- The potential for knowledge and technology exchange and the plan for dissemination of research results to the receptor community;
- The clarity of the project descriptions;
- The use of CFCAS funds to leverage funds from other sources;
- The justification for the level and duration of funding requested *vis-à-vis* the stated objectives;
- A clear account that the relevant research management and coordination issues have been adequately addressed, especially for large collaborative projects;
- Plans for collaboration and communications among the researchers;
- The availability of required equipment and infrastructure;
- The coherence of activities, milestones, timelines and deliverables;
- The probability of achieving the project objectives in the proposed time frames.

### 4.6 Collaboration

*A proposal that involves collaboration with a number of partners is preferred.*

The collaboration criterion does not necessarily preclude a recommendation to fund a Project with no co-applicants. A positive factor in the review of such a project would be that it would make future collaborations more likely.

The Collaboration criterion will be assessed on factors such as:

- The potential for synergistic interactions among the team elements;
- The credibility of each participant as a member of the team and a clear description of the contribution of each member;
- The interdisciplinary nature of the collaboration, and the potential for cross fertilization of scientific and technological understanding;
- The bringing together of researchers from different research sectors (academic, international, governmental, and industrial).

**Table 1 Summary of CFCAS grants, and some application requirements**

Type	Amount	Duration	Forms	Comments
<b>Project Grant</b>	Up to \$300,000	Up to 3 years (Disbursements allowed over four years.)	Form 101 (10-page limit) Form 100	
<b>Letter of Intent For Major Initiative</b>	Estimate required	Estimate required	Free form, (7-pages limit)	Letter of Intent
<b>Major Initiative (including Network )</b>	>\$300,000	Up to 5 years (years 4 & 5 conditional upon mid-term review)	Form 101 (up to 60 pages depending on size & complexity) Form 100	Invited Application

## 5.0 COMPLETING THE PERSONAL DATA FORM (FORM 100)

### 5.1 Part 1

Part 1 of Form 100 is preformatted, and information should be typed into the appropriate spaces on the form. Form-fillable versions are available on the CFCAS Website (<http://www.cfcas.org/applicationformse.htm>).

In Part 1, the applicant and each co-applicant (use a separate Form for each) must provide details about:

- Personal data;
- Academic background;
- Academic, research and industrial experience;
- Sources of research support.

#### **Name**

If you have changed your name since the last CFCAS application, enter the previous name in parentheses beside your family name on page 1.

#### **Appointment at a Postsecondary Institution**

If you have not taken up your position at the time of application, indicate in this section the institute where you have been offered a position or where you will hold the grant.

### 5.2 Part 2

This part of Form 100 is “free-form” and should be printed on regular white paper following the guidelines in Section 2.1 for general presentation standards. Using the headings below and a maximum of five single-sided pages, describe your contributions to research (including industrial R & D)

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over the last six years or 10 years for non-university contributions (include the period to Jan. 1 of the first year).

### **5.2.1 Most Significant Contributions to Research**

List up to five of your most significant contributions to research over the last six years (make reference to items listed in Section 5.2.2 rather than duplicating them here). For each, describe its significance in terms of its influence on the direction of thought and activity in the target community and in terms of significance to, and use by other researchers and end users. For collaborative contributions, describe your role.

### **5.2.2 Research Contributions**

List all research contributions over the last six years. Begin with your most recent and start each entry on a new line. Use the following order:

- Articles in refereed publications:
  - Published or accepted;
  - Submitted.
- Other refereed contributions. These may include:
  - Letters, notes, communications;
  - Review articles;
  - Papers in refereed conference proceedings (include the title, date and sponsoring society of the conference);
  - Monographs, books or book chapter;
  - Government publications.
- Non-refereed contributions. These may include any non-refereed item listed in the previous section, as well as:
  - Specialized publications, technical reports, internal reports, discussions, abstracts, symposium records;
  - All other publications, including those from research that you supervised (e.g., theses);
- Contributions to practical applications of knowledge. These may include:
  - R & D activities at your primary place of employment (non-university or part-time university participants);
  - Technology or product development;
  - Technology transfer and commercialization, including spin-off companies;
  - Participation in industrially relevant R & D activities;
  - Patents and copyrights (e.g., software, but excluding publications). For each, provide this information:
    - Date and country(ies) of issue;
    - Name(s) of joint inventor(s);
    - Title and brief description;

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- Patent/copyright number.

For published contributions, list the full authorship as it appears in the original publication, year, title, name and volume of the publication and first and last page numbers. For publications in press, indicate the date of acceptance.

Provide details, as appropriate, on the contributions you listed. Such details may include, for example:

- A list of collaborators and their institutions;
- The nature of collaborations with other researchers;
- Contributions to joint publications;
- The reason for selecting certain journals for publications, particularly features of the journals, *e.g.*, target audiences, review procedures;
- The impact of potential patents and technology transfer;
- The nature of industrially relevant R & D activities;
- The significance of technical reports;
- Original research reported in books or technical reports.

### **5.2.3 Other Evidence of Impact and Contributions**

List other activities that may show the impact of your work. These may include:

- Relevance of work to engineering practice or industrial processes (*e.g.*, methods and standards);
- Awards;
- Prestigious invited lectures;
- Research fellowships;
- Journal editorships;
- Memberships on committees, boards, or policy making bodies;
- Consulting activities;
- Public awareness/education;
- Any other activities or information that will help the committee to evaluate your contributions to and impact on science and engineering.

### **5.2.4 Delays in Research Activity**

Use this section to explain and give dates for any significant delays in your research activity or in disseminating research results (*e.g.*, parental leave, bereavement, single parent situations, illness, extraordinary administrative duties, *etc.*)

### **5.3 Appendix A**

*Note: This appendix is no longer required.*

### **5.4 Appendices B and B1 – Eligibility Questionnaire**

#### **Submit only single original copies of these Appendices**

Complete Appendix B or B1 if you are:

- An applicant or a co-applicant holding a position at a Canadian university that is not a tenured, tenure-track or lifetime professor emeritus position, or;
- A co-applicant from an eligible Canadian college at the time of application. Researchers holding an eligible position at an eligible Canadian college may participate in CFCAS Project and Major Initiative Grants as a co-applicant, but may not apply as an applicant.

The information you provide must be for the position you will hold at the time the grant is awarded. If you are not currently in that position, you must have a firm, written offer. You may append any relevant information. Please see the *CFCAS Awards Guide* for eligibility requirements.

### **5.5 Appendix C – Description of Applicant’s and/or Co-Applicant’s Activities**

#### **Send one copy of this appendix with each copy of the application.**

Complete Appendix C for the applicant and each co-applicant, who:

- Holds an academic appointment at a Canadian university, that is not a full, associate or assistant professor, or;
- Holds a part-time academic appointment at a Canadian postsecondary institution.

The requirement to submit Appendix C includes applicants and/or co-applicants holding an adjunct or emeritus professor position and all co-applicants from an eligible Canadian college.

The information must be for the position that you will hold at the time the grant is to be awarded. Provide a full and accurate description of the position and your research activity at the institution.

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The employer at your principal place of employment, and your department head at the university department where you also have an appointment must sign appendix C.

### **5.6 Letters of Support**

Additional documents, such as letters of support for **individual researchers**, must not be submitted. If submitted, they will be removed before the application is sent for review. The exception to this rule is letters from users attesting to the nature and significance of technical and internal reports described in the contributions section of Form 100, Part 2. Note that Letters of Support are required from the home institutions of co-applicants who are not based at Canadian universities. They can also come from potential users of the research results. These letters are described in Sections 6.8 and 7.6.

## **6.0 APPLYING FOR A MAJOR INITIATIVE GRANT**

CFCAS will consider proposals to establish substantial group projects involving intersectoral and interdisciplinary networks and costing in excess of \$300,000 over a 5-year period. This is a two-stage application process. Applicants must first submit a Letter of Intent (LOI). The Board of Trustees reviews all LOIs: selected applicants are then invited to submit a full proposal. There are two annual deadlines for receipt of Letters of Intent. These deadlines will be announced on the CFCAS Web-site (<http://www.cfcas.org>).

### **6.1 Letter of Intent for a Major Initiative Grant**

Applicants who intend to apply for a CFCAS Major Initiative Grant must first submit a Letter of Intent (LOI) to arrive at CFCAS offices no later than the announced deadline. The LOI must be no longer than 7 typed pages (follow the presentation standards described in Section 2.1 of this document). The LOI should:

- Identify applicants and co-applicants, their affiliations, and their roles in the initiative;
- Discuss the initiative's objectives, scientific rationale, expected 'outputs' (including the use of results by end users), and anticipated benefits of the research.
- Discuss the relationship of the proposed research to CFCAS objectives and topics;
- Provide a work plan (include milestones and progress indicators) and provisional budget, with a clear indication of how monies will be spent;
- List all available (or anticipated) funding and in-kind support from other sources
- Describe how the proposed network or major initiative addresses each of the Selection Criteria (Section 4).

## **6.2 Invited Applications for a CFCAS Major Initiative Grant**

The CFCAS Board of Trustees will review Letters of Intent and only if invited to do so, should an applicant submit a full proposal. Note that applicants for major networks (generally over \$1 million) may request up to \$10,000 to help defray the cost of a workshop or an organizational meeting for preparation of the proposal.

Applicants should carefully address all issues and requests for clarification transmitted to the applicants in the Board of Trustees' comments.

Fifteen copies (including the original) of the following items must be submitted:

- **Form 100 (for the applicant and each co-applicant)**
  - Part 1
  - Part 2
  - Appendix A Note: This form is no longer required.
  - Appendix B or B1 (Eligibility Questionnaire) – if required – send one original only (do not photocopy)
  - Appendix C (Description of Applicant's Research Activities – if required)
- **Form 101**
  - Part 1
  - Part 2 (The actual page limit will be given in the response to the LOI. In no case will this be greater than 60-pages – plus the 1-page executive summary)
  - Appendix A (Environmental Impact) – if applicable
  - Appendix B (Pre-screening Checklist) – if applicable
  - Appendix C (Referee Suggestions)
- **Status Report(s)** – if applicable
- **Quotes for Equipment** – if applicable
- **Material Required of Non-academic Participating Organizations**
  - Letter of support

## **6.3 Completing Form 101, Part 1**

Before completing Form 101, please read the General Instructions given in Section 2.0 of this document.

### **6.3.1. Page 1**

#### **Time to be devoted to the proposed project**

Enter an estimate of the number of hours per month you will devote to the proposed network.

**Type of Proposal**

Indicate that this is an application for a CFCAS Major Initiative Grant.

**Title of Proposal**

The title will be used for publication purposes. It should describe the subject of the proposal and not contain a company or trade name. Spell out scientific symbols and acronyms.

**Research Subject**

Please indicate in which of the four CFCAS subject areas your proposal is principally seeking to make a contribution. (Check only one area.)

**6.3.2 Page 2**

**Co-applicants**

List each co-applicant's name and organization, as well as an estimate of the number of hours per month the co-applicant anticipates devoting to the proposed project. Co-applicants (except those from the applicant's university) must obtain the signature of an authorized officer of their organization agreeing to their participation in the proposed project. Enter the total number of co-applicants in the space provided.

It is important that all independent researchers playing a major or essential role be listed as co-applicants whether or not they are eligible to receive CFCAS funding. Not listing them might inadvertently lead the Grants Review Committee to conclude that essential collaborations are missing. Researchers playing a more minor role and not requiring CFCAS funds could, at the applicant's option, be included as collaborators rather than co-applicants.

**6.3.3 Page 3**

**Summary of proposal for public release**

The summary is intended to explain the proposal in language that the public can understand.

Using simple terms, briefly describe the nature of the work to be done. Indicate why and to whom the research is important, the anticipated outcomes, and how your field and Canada will benefit. Applicants may also provide a summary in the second official language on an additional page.

**Research activity schedule**

List the activities/steps required to achieve the objectives for each year of the grant. Indicate the start and end dates for the

milestones/Targets as well as the major results expected. It is important that research activities be discussed in sufficient detail to assist reviewers in visualizing and understanding the full extent of the proposal.

#### **6.3.4 Page 4**

##### **Proposed expenditures for the direct costs of research**

CFCAS Major Initiative Grants will be funded for up to 5 years, with the two final years conditional on a satisfactory mid-term review.

Consult the CFCAS *Awards Guide* concerning the eligibility of expenditures for the direct costs of research and the regulations governing the use of grant funds. Use additional page(s) to explain and justify each budget item. Provide a budget page (Page 4) for each of the following:

- The entire initiative (including network);
- Each major theme area or project

Ensure that proper justification is provided for the requested length of support, if this is for less than 5-years.

##### ***Salaries and benefits***

Give name (if known), categories of employment and proposed salaries (indicating the amount of non-discretionary benefits) of students, postdoctoral fellows, assistants, etc. Briefly describe the responsibilities for each position for which support is requested.

##### ***Equipment or facilities***

CFCAS will support the costs of capital items that are specifically required to meet the objectives of the project. It will not support capital costs associated with ongoing data collection. CFCAS has adopted the following revised policy concerning equipment requests:

- The request must clearly demonstrate that the proposed equipment is essential to the research. The maximum equipment amount that can be requested is \$150,000 for Major Initiatives.
- The request must be fully integrated into the CFCAS grant application. Stand-alone equipment requests will not be considered.
- The applicant must clearly explain why funding for the equipment cannot be obtained from other sources.

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**Note:** CFCAS is not able to fund major capital costs that are eligible for funding from the Canada Foundation for Innovation or Technology Partnerships Canada.

Give a breakdown of the items requested, models manufacturers, prices, and applicable taxes. Justify the need for, and urgency of, each piece of equipment requested in Part 2 of Form 101. Provide two recent quotations for items or systems costing more than \$25,000.

Fees to be paid for the use of equipment or a facility should be described.

### ***Materials and Supplies***

Provide details; explain major items.

### ***Travel***

Explain briefly how each activity relates to the proposed research.

### ***Dissemination costs***

Justify funds for user workshops and the expected participation of industry and/or government.

### ***Other expenses***

List all items not relevant to previous categories and provide a brief explanation for major items.

Include expenses associated with operating the administrative centre for a network including costs for network meetings, communications, and technology transfer.

### ***Relationship to other research support***

Applicants must provide clear and concise information in the budget justification on the conceptual and budgetary relationship or difference between this application and all other support (currently held or applied for). The onus is on the applicant to provide sufficient information to enable a review committee to evaluate the relationship with other sources of support and to recommend the appropriate CFCAS funding level

## **6.3.5 Page 5**

### **Contributions from supporting organizations**

If appropriate, use Page 5 to report contributions committed by supporting organizations to the proposed network. Consult the *CFCAS Awards Guide* concerning the eligibility of expenditures for direct costs of research and the regulations governing the use of

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CFCAS grant funds. Provide an explanation of the cash and in-kind contributions, using an additional page if necessary. Transfer the total amount of **Cash Contributions to Direct Costs of Research** from industry and other sources to the appropriate line on Page 4.

Submit a separate copy for each supporting organization.

### **6.4 Completing Form 101, Part 2**

This part of the application is “free-form” and should be printed single-sided on regular white paper, following the general standards described in Section 2.1 of this document.

The page limit for each invited application will be given in the response to the LOI. In no case will this exceed 60 single-sided pages. In the number of pages allotted, describe the proposal using the headings listed below and addressing each of the CFCAS selection criteria given in Section 4. Describe how supporting the initiative would advance CFCAS objectives.

#### **Planning**

Discuss the strategic planning process and the consultations that resulted in the proposal for the CFCAS Major Initiative.

#### **Overview of the Initiative (Including Network)**

Provide an overview of the initiative’s research program including the scope, the focus and scientific or technical objectives, the proposed approach and the new knowledge, expertise or technology that could be generated. Describe the nature of network linkages and how the results will be integrated to achieve the objectives. Describe the anticipated value of the research results highlighting the relevance of the scientific or technical advances or the innovative techniques, processes or products that will be developed. Indicate the benefits expected to accrue to the academic, public or private sector participants and their institutions.

#### **Background**

Relate the proposal to current scientific and/or technical developments in the field referring to the current literature. Describe the background research on which the initiative is built. Explain the relationship of the research program to other initiatives in this area in Canada and abroad.

#### **Theme Areas**

For each major theme area:

- Identify the theme leader and participants;
- Summarize the specific objectives, approaches, research plan, methods, schedules and milestones/targets;

## Instructions for Applicants

- Describe the pertinent expertise, role and expected contributions of the participants and how they will be integrated;
- Provide details on where the research will be carried out and the roles of the participants and their ability to contribute to the research;
- Describe how the theme area fits into the overall network and contributes to achieving the objectives of the network and to CFCAS.

Discuss how the theme areas address one or more of the CFCAS targeted areas. How are the results likely to be used by the receptor community, particularly in terms of providing advice of policy relevance?

### **Interactions and Partnerships**

In this section:

- Indicate how the research priorities of the participating sectors have been integrated and incorporated into the initiative's research plan;
- Discuss the linkages in existence and to be created in the network among universities, industry and governments;
- Describe the nature and the extent of involvement of the user sector in the research and in the research planning, direction and management;
- Describe the communications mechanisms among the participants and how they will accelerate the exchange of research results within the network;
- Describe the mechanisms for knowledge and/or technology transfer;
- Describe the communications strategy to publicize the successes and activities to the scientific community, the partners and the general public.

### **Management and Budgeting**

See the instructions for competing Page 4, Form 101, Part 1 (Section 6.3.4 of this Document), for the specific budget information and explanations needed.

In particular:

- Justify the proposed budget and duration of the project including the anticipated support from non-CFCAS sources and the strategy for achieving the projected levels of contribution.
- Describe the network management structure including:
  - Roles and responsibilities of the committees and the expertise of key personnel;
  - The administrative and operational structures and their roles in coordinating activities, monitoring progress, setting schedules and controlling expenditures;

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- The responsibility for planning, decision making, and resource allocation within the network;
- Provide an organization chart showing names and affiliations;
- Explain why networking and a collaborative, multidisciplinary, and multi-sector approach contributes to achieving objectives of both the network and CFCAS;
- Provide a rationale detailing the “value-added” by a university-based network to the problems’ being addressed in the proposal.

### **Benefits to Canada**

Discuss the benefits of the proposed research and its potential impact within a reasonable time on Canada’s economy and/or environment. Discuss how the proposed network addresses issues of national interest, or if addressing regional issues, how is the research applicable in a national context?

### **Intellectual Property**

Discuss plans for the protection and disposition and sharing of intellectual property arising from the grant. Include a copy of any research or intellectual property agreement that exists between the university(ies) and the supporting organizations.

### **Data Management Plans**

CFCAS views the production of datasets for the general community as an important outcome of the research it supports; such data sets are required to ensure the widespread usefulness and lasting legacy of CFCAS-funded work. The Foundation expects grantees to collect, record, control and archive research data, and to make it available to the scientific and professional community in a timely and open manner. Discuss plans for the collection, control, and archiving of data and of making it available.

### **Status Reports**

If the applicant or any of the co-applicants, is or has been Principal Investigator on another CFCAS grant, then either:

- i) attach a two-page status report outlining the progress made against the project or network milestones, for each CFCAS grant held; or
- ii) if the previous grant has terminated, attach a copy of the final report.

If submitting a report on progress made, you can use the most recent annual report, provided it is not more than 6-months old.

### **References and web information**

References must comply to the General Instructions in Section 2. Proposals must be self-contained. Do not refer readers to Web sites for additional information.

### **6.5 Appendix A - Environmental Impact**

Complete Appendix A for all research involving a possible impact on the environment, hazardous substances, field work, or field or marine stations.

### **6.6 Appendix B - Pre-Screening**

If you submit Appendix A (Environmental Impact), you **must** complete Appendix B.

### **6.7 Appendix C - Referee Suggestions**

Give the name, complete mailing address, telephone and facsimile numbers, e-mail address, and the area(s) of expertise of potential referees. Do not suggest individuals who are in conflict of interest with the applicant or any co-applicant. Those in conflict include:

- Current or former (2-years) university or organizational colleagues;
- Persons with a family or administrative link;
- Current or former (4-years) collaborators;
- Thesis supervisors and former students for a period of 6-years.

Referees should be able to read the application in the language in which it is written. You may also request (in a covering letter) that particular individuals not be selected as a referee. Such requests will be taken into account.

### **6.8 Letters of Support**

Letters of support are required from supporting institutions (including those with which a co-applicant is affiliated), other than Canadian postsecondary institutions. Letters should provide the following:

- General information about the supporting organization, including:
  - Mailing address;
  - Name and title of liaison person between organization and the applicant;
  - A description of the organization, its mission and its services and products;
- Nature and amount of the contributions to the direct costs of the research;
- An account of how the organization will participate in the Network;
- An account of how the results of the Network will be used by the organization.

Letters of support may also be provided from the intended user community (though not participating in or supporting the network), describing the how the results are likely to impact their activities. Do not submit Letters of Support for individual applicants or co-applicants.

## 7.0 APPLYING FOR A CFCAS PROJECT GRANT

There will be one annual competition for Project Grants. The deadline for receipt of applications is announced on the CFCAS website (see <http://www.cfcas.org>). CFCAS Project Grants are from individuals or small groups and involve a specific research project over a three-year period. They may request up to \$300,000. Submit 8 copies (including the original) of the following items:

- **Form 100 (for the applicant and each co-applicant)**
  - Part 1
  - Part 2
  - Appendix A Note: This Appendix is no longer required.
  - Appendix B or B1 (Eligibility Questionnaire) – if required – send one original only (do not photocopy)
  - Appendix C (Description of applicant's Research Activities – if required)
- **Form 101**
  - Part 1
  - Part 2 (maximum of 10 pages and an executive summary)
  - Appendix A (Environmental Impact) – if required
  - Appendix B (Pre-screening Checklist) – if applicable
  - Appendix C (Referee Suggestions)
- **Status Report(s)** – if applicable
- **Quotes for Equipment** – if applicable
- **Material Required from Non-academic Participating Organizations**
  - Letter of support

### 7.1 Completing Form 101, Part 1

Before completing Form 101, please read the General Instructions in Section 2 of this document.

#### 7.1.1 Page 1

##### **Time to be devoted to the proposed project**

Enter an estimate of the number of hours per month the applicant expects to devote to the project.

##### **Type of Proposal**

Indicate that this is an application for a CFCAS Project Grant.

##### **Title of Proposal**

The title will be used for publication purposes. It should describe the subject of the proposal and not contain a company or trade name. Spell out scientific symbols and acronyms.

##### **Research Subject**

Please indicate in which of the four listed major subject area(s) of relevance to CFCAS, your proposal is primarily seeking to make a contribution. (Check only one area.)

### **7.1.2 Page 2**

#### **Co-applicants**

For group applications, list each co-applicant's name and organization, and provide an estimate of the number of hours per month each co-applicant will devote to the project. Co-applicants (except those from the applicant's university) must obtain the signature of an authorized officer of their organization, agreeing to their participation in the proposed research. Enter the total number of co-applicants on this proposal in the space provided.

It is important that all independent researchers playing a major or essential role be listed as co-applicants whether or not they are eligible to receive CFCAS funding. Not listing them might inadvertently lead the Grants Review Committee to conclude that essential collaborations are missing. Researchers playing a more minor role and not asking for CFCAS funding could, at the applicant's option, be included as collaborators rather than co-applicants.

### **7.1.3 Page 3**

#### **Summary of proposal for public release**

The summary is intended to explain the proposal in language that the public can understand.

Using simple terms, briefly describe the nature of the work to be done. Indicate why and to whom the research is important, the anticipated outcomes, and how your field and Canada will benefit. Applicants may also provide a summary in the second official language on an additional page.

#### **Research activity schedule**

List the activities/steps required to achieve the objectives for each year of the grant. Indicate the start and end dates for the milestones/Outcome Targets as well as the major results expected. It is important that research activities be discussed in sufficient detail to assist reviewers to visualize and understand the full extent of the proposal.

### **7.1.4 Page 4**

#### **Proposed expenditures for the direct costs of research**

CFCAS Project Grants are funded for up to 3 years. A 4<sup>th</sup> year is allowed to complete project commitments, for dissemination activities and to wrap-up final activities. No additional funding is provided for this and the budget must be listed for a three-year period only. On the form, do not put any budget figures in the

## Instructions for Applicants

shaded areas (these are reserved for networks and other major initiatives.)

Consult the CFCAS *Awards Guide* concerning the eligibility of expenditures for the direct costs of research and the regulations governing the use of grant funds. Use additional page(s) to explain and justify each budget item. Provide a budget page (Page 4) for each of the following:

- The entire project;
- Each major theme area or sub-project

Ensure that proper justification is provided for the requested length of term of support.

### ***Salaries and benefits***

Give name (if known), categories of employment and proposed salaries (indicating the amount of non-discretionary benefits) of students, postdoctoral fellows, assistants, etc. Briefly describe the responsibilities for each position for which support is requested.

### ***Equipment or facilities***

CFCAS will support the costs of capital items that are specifically required to meet the objectives of the project. It will not support capital costs associated with ongoing data collection. CFCAS has adopted the following revised policy concerning equipment requests:

- The request must clearly demonstrate that the proposed equipment is essential to the research. The maximum equipment amounts that can be requested is \$75,000 for project applications.
- The request must be fully integrated into the CFCAS grant application. Stand-alone equipment requests will not be considered.
- The applicant must clearly explain why funding for the equipment cannot be obtained from other sources.

**Note:** CFCAS is not able to fund major capital costs that are eligible for funding from the Canada Foundation for Innovation or Technology Partnerships Canada.

Give a breakdown of the items requested, models manufacturers, prices, and applicable taxes. Justify the need and urgency for each piece of equipment requested in Part 2 of Form 101. Provide two recent quotations for items or systems costing more than \$25,000.

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Fees to be paid for the use of equipment or a facility should be described.

### ***Materials and Supplies***

Provide details; explain major items.

### ***Travel***

Explain briefly how each activity relates to the proposed research.

### ***Dissemination costs***

Justify funds for user workshops and the expected participation of industry and/or government.

### ***Other expenses***

List all items not relevant to previous categories and provide a brief explanation for major items.

### ***Relationship to other research support***

Applicants must provide clear and concise information justifying the budget in relation to other support (currently held or applied for). The onus is on the applicant to provide sufficient information to enable a review committee to evaluate the relationship with other sources of support and to recommend the appropriate CFCAS funding level.

## **7.1.5 Page 5**

### **Contributions from supporting organizations**

Page 5 is only required if direct contributions to the project are being made by industry, universities or other sources.

If appropriate, use Page 5 to report contributions committed by supporting organizations to the research. Provide an explanation of the cash and in-kind contributions, using an additional page if necessary.

Transfer the total amount of **Cash Contributions to Direct Costs of Research** from industry and other sources to the appropriate line on Page 4.

Submit a separate copy for each supporting organization.

## **7.2 Completing Form 101, Part 2**

This part of the application consists of the Executive Summary (1-page maximum) and the proposal (10-page maximum).

## Instructions for Applicants

The Executive Summary and the Proposal are “free-form” and should be printed single-sided on regular white paper with the applicant’s Family name on the top of each page as described in Section 2.1.

### **Executive Summary**

This item (in addition to the summary for public release on Page 3, Part 1) should not exceed one page in length and should highlight the objectives of the project, how the project will be carried out, the interactions with non-academic participating organizations, the new knowledge and/or technology that will be generated and the benefits to the user sector and to Canada.

### **Proposal**

The proposal should describe the proposed project in detail, and demonstrate how the objectives will be achieved. All issues that are relevant to achieving these objectives should be discussed, and the applicant should anticipate points that are likely to be especially important to reviewers and address them. Show how the project meets each of the selection criteria discussed in Section 4 of this document. There are no page limits for each relevant section of the proposal, except that the total (Part 2) must not exceed 10 pages.

### **Status Reports**

If the applicant or any of the co-applicants, is or has been Principal Investigator on another CFCAS grant, then either:

- iii) attach a two-page status report outlining the progress made against the project or network milestones, for each CFCAS grant held; or
- iv) if the previous grant has terminated, attach a copy of the final report.

If submitting a report on progress made, you can use the most recent annual report, provided it is not more than 6-months old.

### **7.3 Appendix A - Environmental Impact**

Complete Appendix A for all research involving a possible impact on the environment, hazardous substances, field work, or field or marine stations.

### **7.4 Appendix B - Pre-Screening**

If you submit Appendix A (Environmental Impact), you **must** complete Appendix B.

### **7.4 Appendix C - Referee Suggestions**

Give the name, complete mailing address, telephone and facsimile numbers, e-mail address, and the area(s) of expertise of potential referees. Do not suggest individuals who are in conflict of interest with you or any co-applicant. These include:

## Instructions for Applicants

- Current or former (within the last 2-years) university or organizational colleagues;
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- General information about the supporting organization, including:
  - Mailing address;
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- An account of how the organization will participate;
- An account of how the results will be used by the organization.

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