NSERC Alliance Grants

Canada's research partnership program

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One
New
Flexible
Simplified
Enhanced
Responsive
Partnerships
Program

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

NSERC 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

Alliance Grants support collaborative projects that will…

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 partner organizations that can be recognized for cost-sharing*

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

*if NSERC cost-sharing requirements are met

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

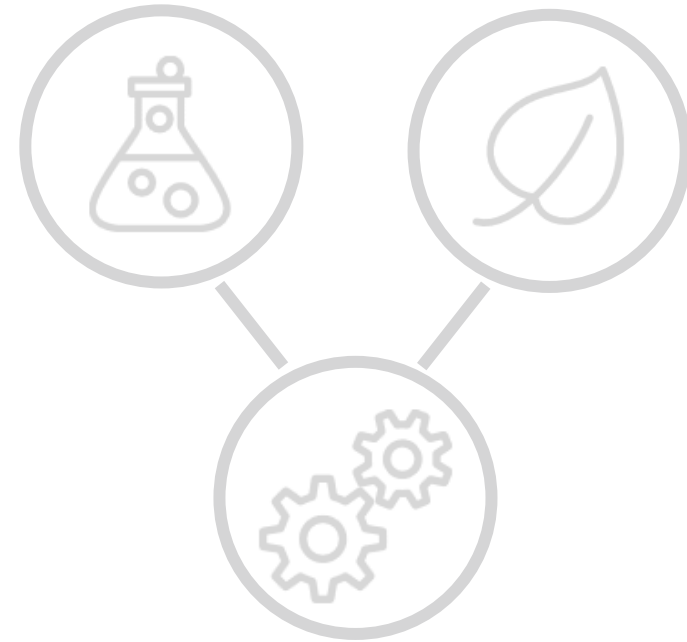**Partner organizations must collectively support the project through cash and/or in-kind contributions**

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

Size of partner organization	Type of partnership	NSERC Contribution to Project costs	Parameters
Large organizations* 500+ employees globally	Sole partner organization or in partnership exclusively with other large organizations	**50%** **(1:1 leverage)**	**Applications per year:** no limits **Grant size:** $20,000 to $1 million per year **Duration:** 1 to 5 years
	As a partner with small and medium-sized enterprises such as in value- or supply-chain relationship, or with other sectors*	**66%** **(2:1 leverage)**	
Small and medium organizations* Less than 500 employees globally	Sole partner organization or in partnership with other sectors*	**66%** **(2:1 leverage)**	

*including private, public and not-for-profit

Cost-sharing options

Option 2

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

Cost-sharing example

OPTION 1

Small / medium-sized organizations*
public, private, or not-for-profit

66% cost-sharing
(2:1 ratio)

Total project cost: $180,000

- **Partner cash contributions recognized for cost-sharing : $60,000**

- **NSERC contribution: $120,000**

Cost-sharing example

OPTION 1

Small / medium-sized organizations*

public, private, or not-for-profit

66% cost-sharing (2:1 ratio)

Total project cost: $200,000

- **Partner cash contributions recognized for cost-sharing : $60,000**

- **Partner cash contributions <u>not</u> recognized for cost-sharing : $20,000**

- **NSERC contribution: $120,000**

Total project cost	$200,000
Partner(s)- contributions not recognized	$20,000
Cost-shared amount	$180,000
Partner(s) - contributions recognized	$60,000
NSERC	$120,000

Partner organizations recognized in cost-sharing calculations

Private Sector

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

*if NSERC cost-sharing requirements are met

Partner organizations recognized in cost-sharing calculations

Canadian Public Sector

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

*if NSERC cost-sharing requirements are met

Partner organizations recognized in cost-sharing calculations

Canadian Not-for-Profit Sector

Cash contributions can be recognized*	Cash contributions *cannot* be recognized
• Producer groups • Industrial associations • Registered charities that have a mandate to carry out and apply research (within natural sciences and engineering) • 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 • Community organizations	• Not-for-profit organizations whose primary mission is to fund R&D and are funded or controlled primarily by government • Post-secondary institutions • Incubators and accelerators • Other registered charities • Hospitals and medical/clinical research institutes • Philanthropic organizations • Consortia with the majority of their funding originating from government sources • Foreign not-for-profit organizations • Individuals

*if NSERC cost-sharing requirements are met

Project Budget

Projects can be supported by additional sources of funding that are not recognized for cost sharing
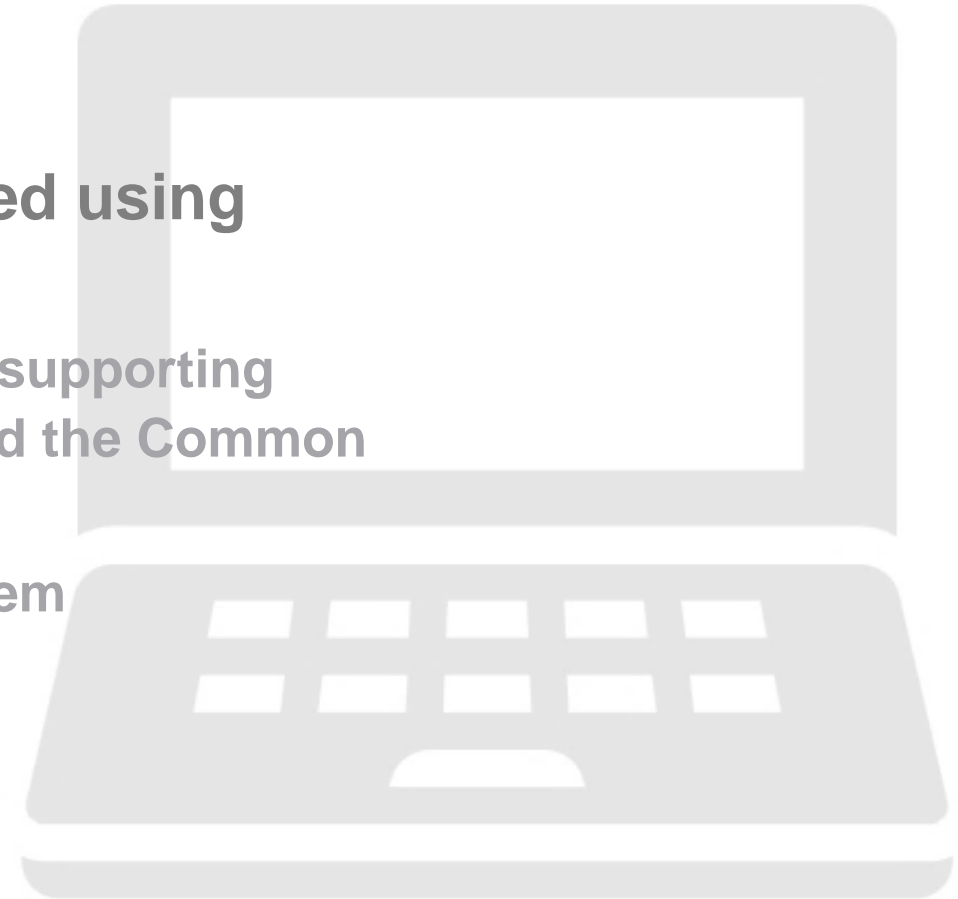
- Such funds can be listed in the project budget, but are not considered as part of the NSERC cost-sharing calculation

- 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

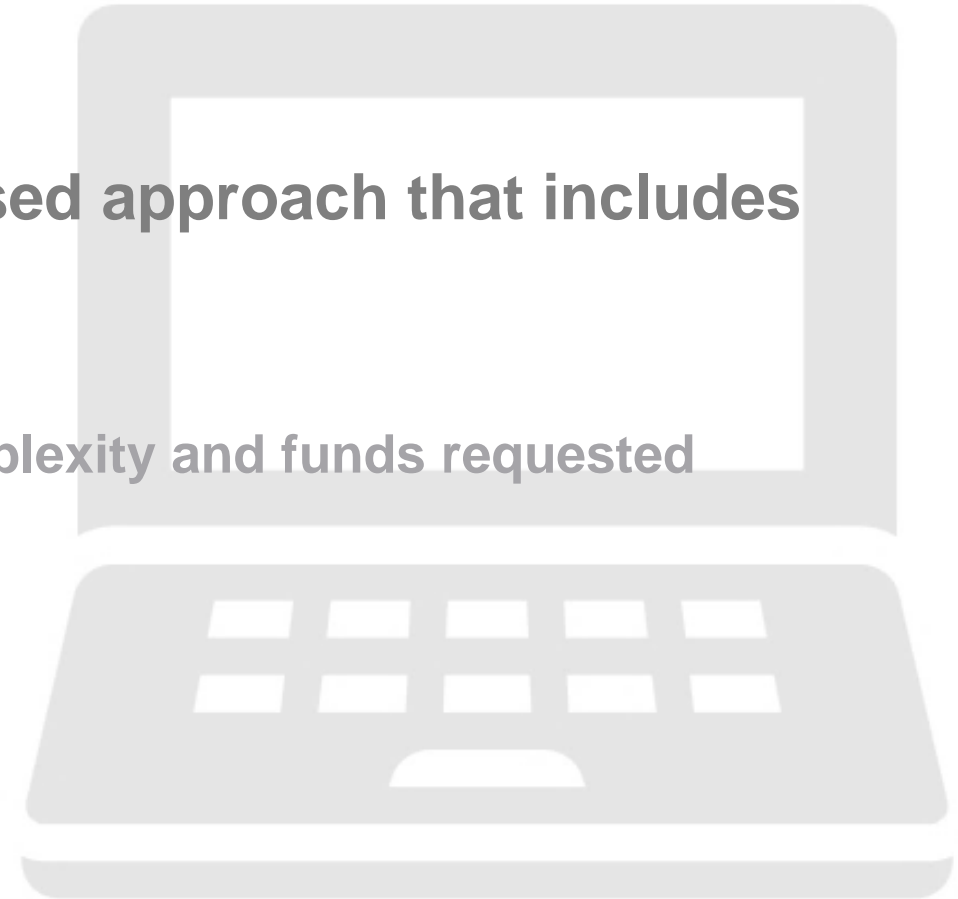**Alliance Grant applications are submitted using NSERC's online system**

- 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
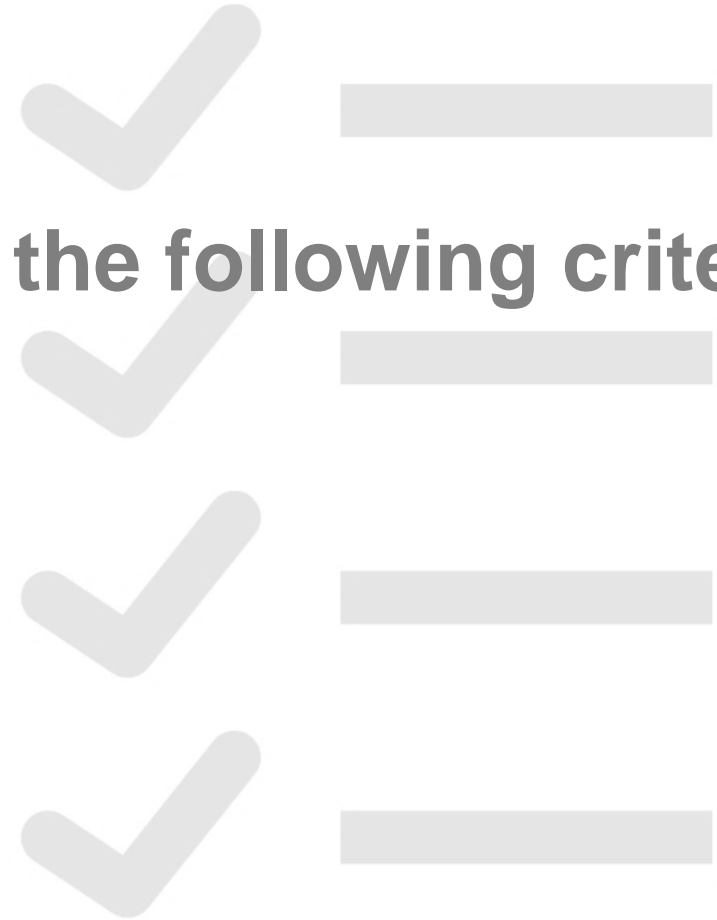
Review of the application

Project Size	Small	Medium	Large
Approximate thresholds	Average annual request of $20,000 to $30,000 for 1-5 years	Average annual request of more than $30,000 up to $300,000 for 1-5 years	Average annual request of more than $300,000 up to $1,000,000 for 1-5 years
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

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.
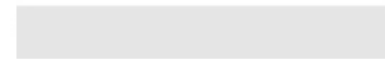
- In large proposals, you must strive for equity, diversity and inclusion when developing your group of co-applicants, partners and trainees
- See Guide for Applicants: *Considering equity, diversity, and inclusion in your application*

Funding Decisions

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
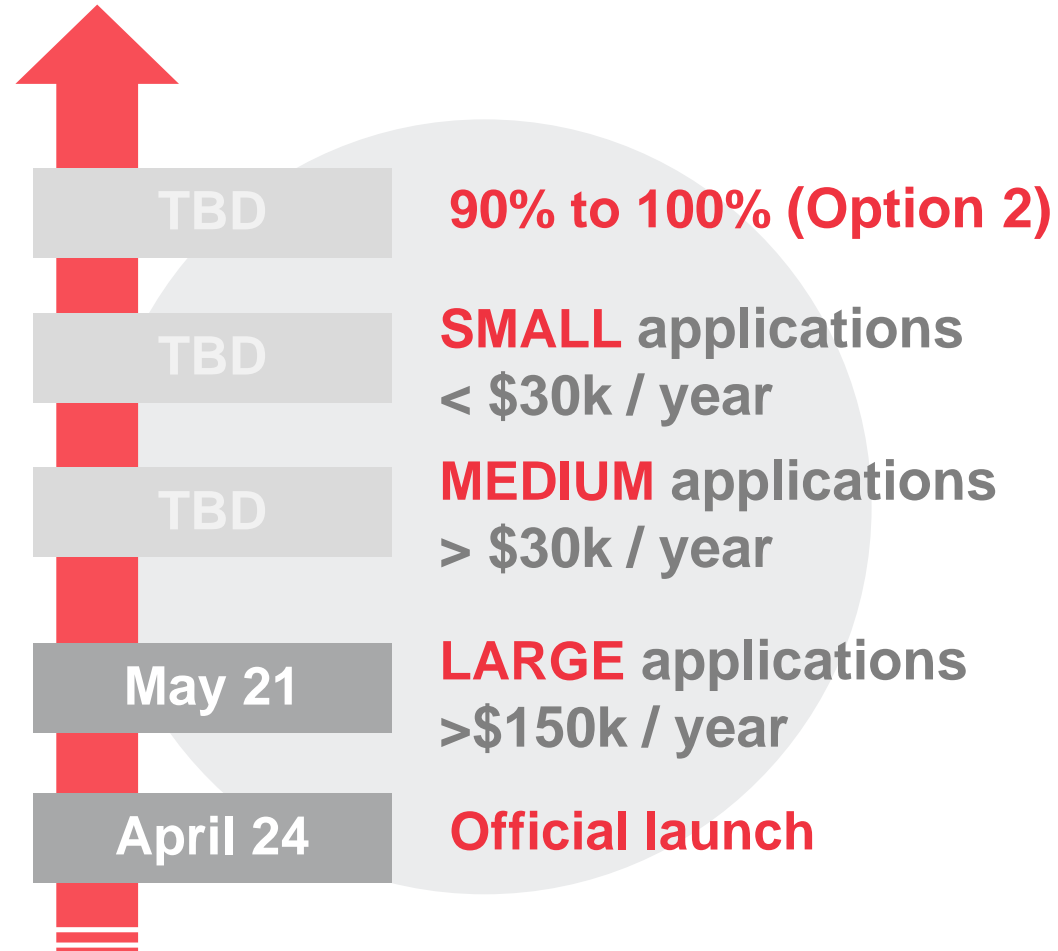
Alliance Grants Timeline

Alliance Grants will be launched in a phased approach

On May 21st, 2019, Option 1 (NSERC cost-sharing of 50% or 66%) opened for applications requesting <u>$150,000 or more</u> 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

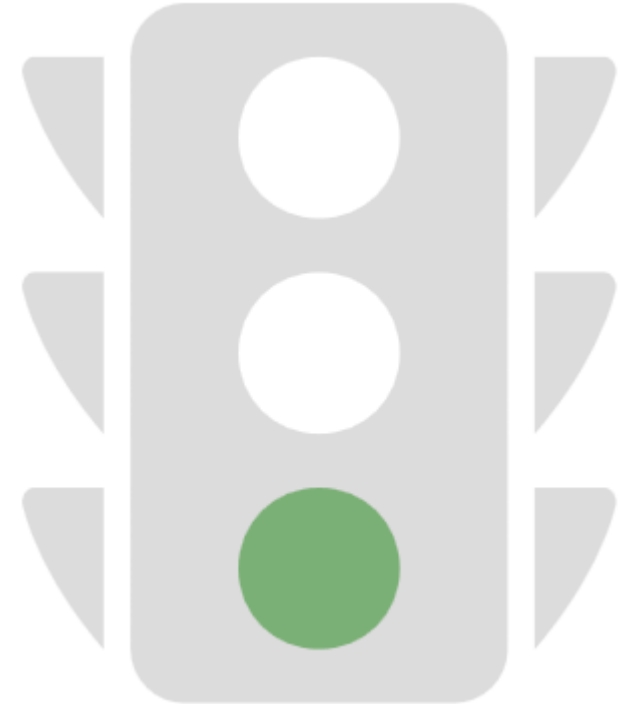- Consult the Alliance Grants Program Description page for updates

Transition

TBD — **90% to 100% (Option 2)**

TBD — **SMALL** applications < $30k / year

TBD — **MEDIUM** applications > $30k / year

May 21 — **LARGE** applications >$150k / year

April 24 — **Official launch**

Alliance Grants

Transition

- All ongoing awards & all new commitments made before the launch of Alliance **will be honored,** as long as they continue to meet the T&C of the award

- All IRC, CRD, Engage applications received before deadline **will be evaluated according to the original rules and evaluation criteria**

Visit **nserc.ca/alliance** to learn more about the new Alliance grants.

Thank you!

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