

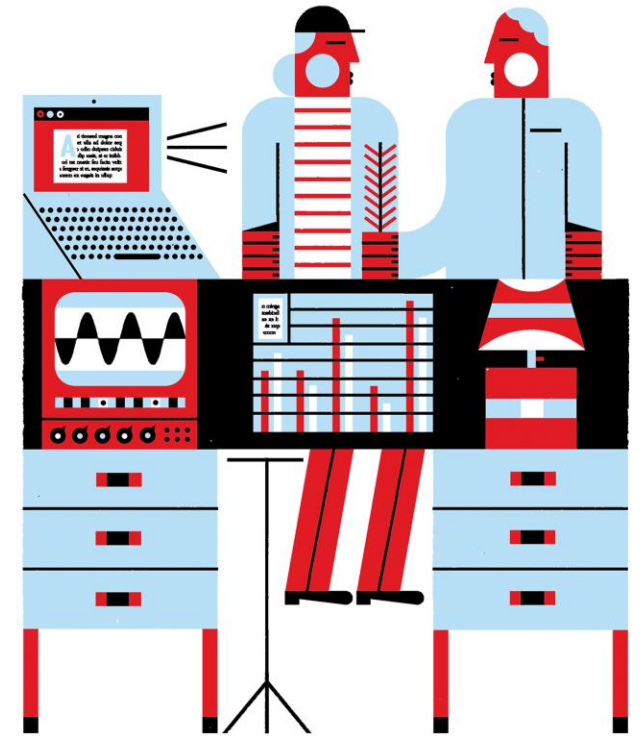


Alliance grants

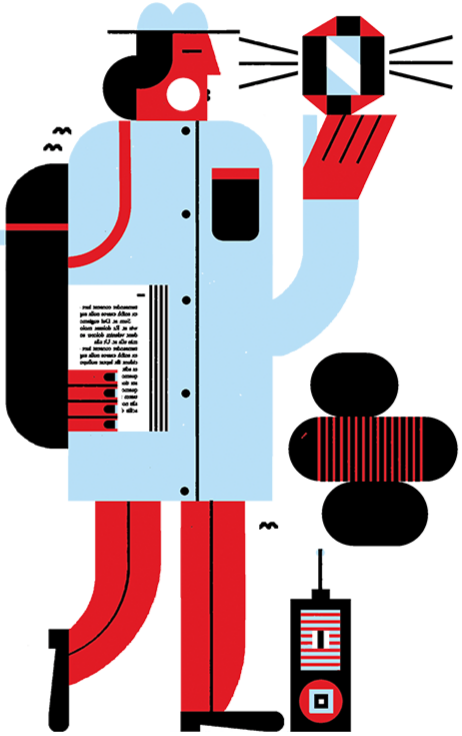
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Research and Technology Partnerships
Natural Sciences and Engineering Council of Canada
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Alliance Grants



Alliance grants

Program objectives

Support

- **Research** in the **natural sciences and engineering (NSE)** led by strong, complementary, collaborative teams
- **Collaborations** with **partner organizations** from multiple sectors (private, public, not-for-profit sectors)
- Projects that will generate new knowledge and accelerate the application of research results **for the benefit of Canadians**

Alliance grants

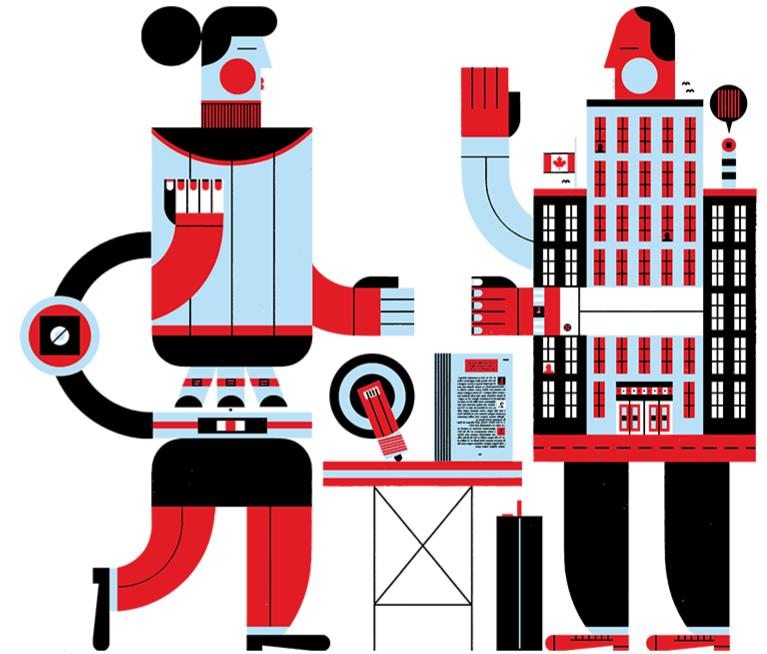
Program objectives



- **Advantage grants:** Support projects focused on the partners' goals, with at least one partner sharing in the costs of research.
- **Society grants:** Support projects with societal impact as the main driver. They draw on the relevant perspectives and skill sets of end-users and implementers to deliver intended outcomes.
- **International grants:** Help researchers establish and grow collaborations with international academic research groups that have a high potential for impact in NSE disciplines.
- **Joint funding opportunities:** Enables researchers to align their efforts with those of unique partners in specific areas and technologies.

Alliance Advantage

Partner-driven projects



Alliance Advantage

Overview

Who?	University researchers working with partner organizations, co-applicants and collaborators
Essential?	Active participation from partner organizations
How much?	\$20,000 to \$1 million per year
Cost-sharing?	66.7% NSERC (2:1 cost sharing)
How long?	1 to 5 years
When?	No deadline. Apply anytime

Alliance Advantage

Role of the partner organizations

The partner organizations involved in your Alliance project can be from the **private, public or not-for-profit sectors**

At least one partner organization must be recognized for cost sharing and make a cash contribution that NSERC will leverage at the cost-sharing ratio of 2:1



Each partner organization must be actively involved in the project and support it through in-kind contributions



At least one partner organization must have the ability to exploit the research results and to achieve the desired outcomes



Alliance Advantage - Best practices

Partner organizations

- Active and engaged in the project
- Contribute to reaching the objectives
- Will exploit the results and generate outcomes

Each partner organization completes a one-page profile addressing these two requirements:

- Description of organization, including the nature of its operations in Canada and how it intends to grow them by mobilizing the research results
- Demonstration that the organization has the capacity to achieve the project's expected results (HR, facilities and financial capabilities)

Are cash contributions recognized for cost sharing?

[Role of partner organizations](#)

[Partner org. self-assessment tool](#)

[Tri-agency guide on fin. admin.](#)

Reference to partner organization's website is not acceptable in lieu of a comprehensible profile

Refer to the [instructions](#)

Alliance Advantage

How to apply

1. Apply at any time by filling out the [proposal template](#).
No limit on the number of applications you can submit
2. Assess and address potential conflicts of interest to discharge professional and institutional obligations, maintain public confidence and ensure accountability
3. Describe specific, concrete practices that you will put in place to ensure that EDI is intentionally and proactively supported in your project's training plan
4. Complete the [National Security Guidelines for Research Partnership's Risk Assessment Form](#), if your application involves private sector partner organizations
5. Submit a complete application through the [NSERC's online system](#)

Proposal:

- Follow the [instructions](#)
- Keep the headings and bullets, the font and font size, as well as the margins
- Keep within page limit (includes the template's heading and bullets)
- Any document that is not requested will be removed

Risk Assessment Form:

- Complete the risk assessment questionnaire and the risk mitigation plan (when applicable)
- Consider the risks associated with each private sector partner organization involved in your project

Alliance Advantage

Evaluation process

- 1 Administrative assessment
- 2 Merit assessment
 - I. Review mechanisms
 - II. Evaluation criteria
 - III. Determining the overall merit
- 3 Risk assessment (when applicable)
- 4 Funding decision

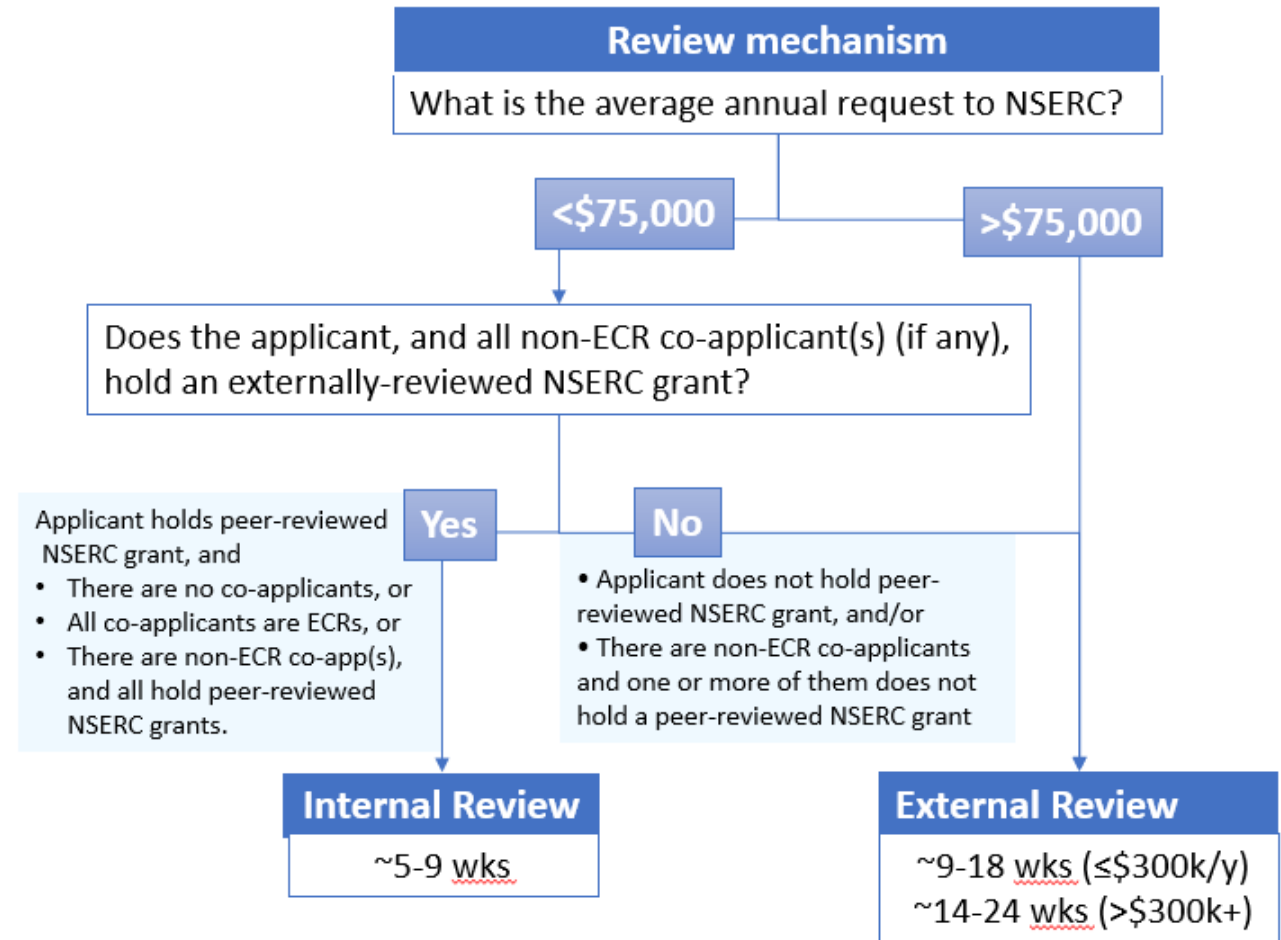
Size of project	Small	Medium	Large
Average annual request	\$20k to \$75k	\$75k to \$300k	\$300k to \$1M
Review mechanism	NSERC File Managers or External reviewers *	External reviewers	
Maximum total number of pages	7	11	27
Expected assessment time	5 to 9 weeks	9 to 18 weeks	14 to 24 weeks

* If there is no existing NSERC peer review for the applicant or one of the co-applicants (except co-applicants who are early career researchers)

Alliance Advantage

Shorter assessment times

- Alliance applications may be reviewed internally or externally. Internal review is faster than external.
- Previously, only applications requesting less than \$30k/yr could be internally reviewed. This threshold is now increased to \$75k/yr.
- Internal review is only used when the applicant and all co-applicants hold a peer-reviewed NSERC grant. *Co-applicants who are early career researchers (ECRs) are now exempt.*



Alliance Advantage

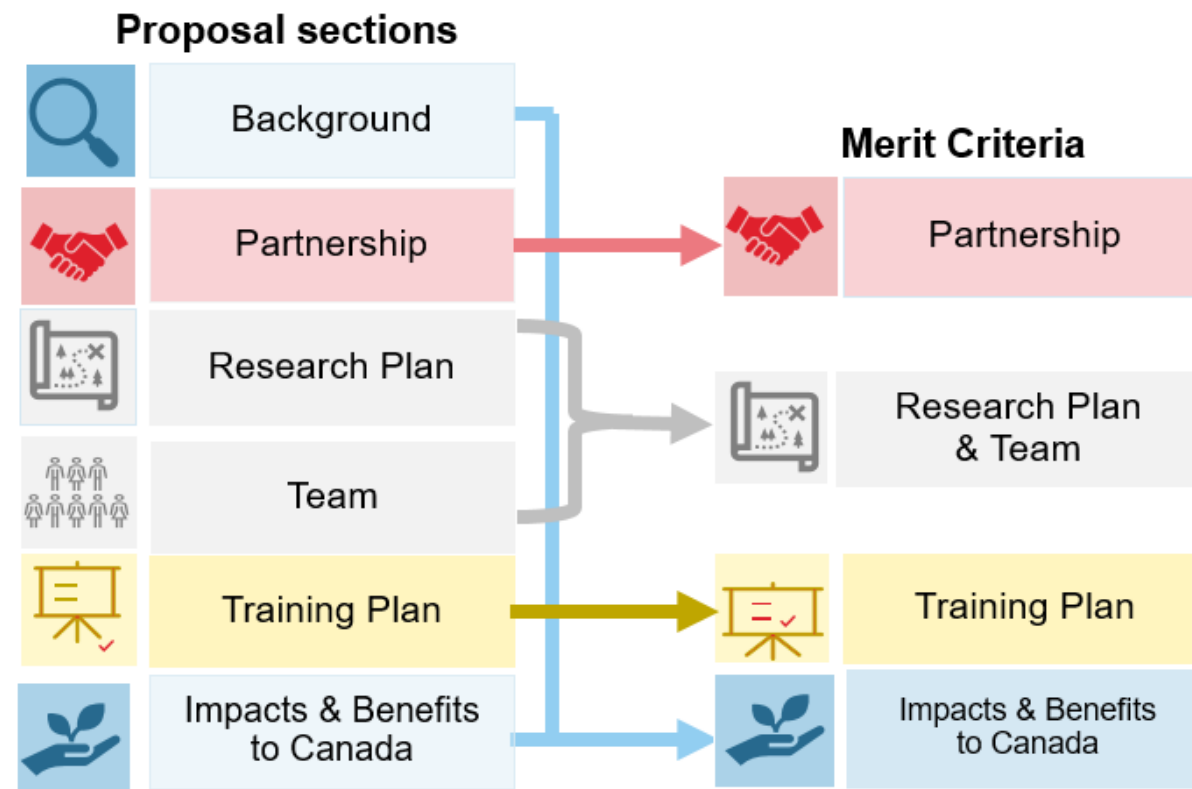
Evaluation process – merit assessment

The proposal template has been revised and reorganized into six distinct sections

- guide and help applicants developing more streamlined research proposal
- easier for reviewers and NSERC staff to find needed information

Merit evaluation is based on four criteria

- two merit indicators per criteria



Alliance grants

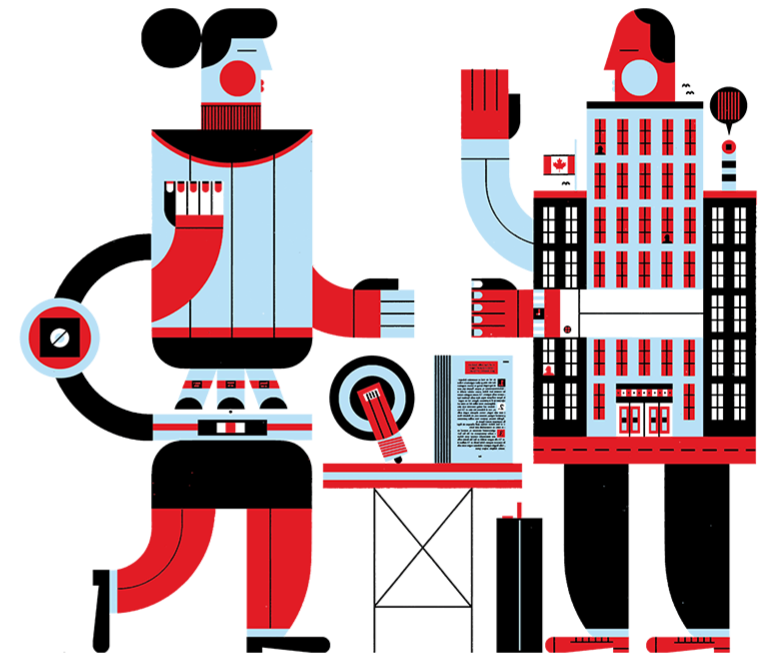
Recent updates to Alliance Grants

- **Interactions between trainees and partner organizations:** The training plan must include interactions between trainees and partner organizations that enrich their training, provide mentoring and experience relevant to both academic and non-academic research environments.
- **Merit indicator for EDI in the training plan:** Applicants are asked to provide context for the concrete practices they are proposing. Applicants who cite evidence supporting the proposed practices and propose methods for monitoring success will receive higher merit scores.
- **Conflict of Interest (COI) guidelines:** Institutions must manage COI and put mitigation plans in place according to their own policies. PI will be required to attest that all members of the team comply.
- **National Security Guidelines for Research Partnerships:** In the Partnership section of the online application system, you must select yes or no to indicate if your application includes a partner organization from the private sector. If you select “yes” in the Partnership section, you will be required to upload the Risk Assessment Form, in its new dedicated section.

Changes to indicators for EDI in training

	Meets	Exceeds	Exceptional
Describes specific and concrete practices	✓	✓	✓
Provides context for the proposed practices		✓	✓
Addresses multiple aspects of the training plan (e.g., training philosophy, recruitment, training environment, development opportunities for and skills gained by trainees)		✓	✓
Bases plan on evidence of effective practices			✓
Presents non-demographic indicators of success and plans to monitor/adapt as required (e.g., retention, advancement, sense of inclusion)			✓

Alliance Advantage joint funding opportunities



Alliance Grants - Special calls and joint funding opportunities

NSERC Alliance-Mitacs Accelerate grants

- Streamlined submission and single review process at NSERC, the lead agency
- Funding for up to five years
- Applicants must meet both NSERC's and Mitacs' eligibility criteria
- Number and role of the Mitacs interns, as well as the supervision and mentorship by the partner organization are described
- NSERC and Mitacs communicate the funding decisions to the applicants under separate cover

How to apply:

- Contact your local Mitacs representative
- Complete an Alliance Advantage application
- Complete the Mitacs Accelerate supplemental application to request Mitacs Accelerate internships as a component of HQP training

Note: *Mitacs internships cannot be the only mechanism for HQP training in the joint proposal; HQP should also be supported by NSERC funds*

Alliance Grants - Special calls and joint funding opportunities

NSERC Alliance grants and Ontario Centre of Innovation Collaborate 2 Commercialize (C2C)

C2C Alliance Advantage grants support university R&D collaborations with the highest potential for Ontario economic development and commercialization.

Streamlined joint application and decision process enables companies to collaborate with Ontario-based researchers and have their cash contribution leveraged by both NSERC and OCI.

- Proposals can request from \$20,000 up to \$30,000 from NSERC Advantage grants and from \$20,000 up to \$30,000 from OCI C2C, with \$20,000 to \$30,000 from the industry partner (50% cash, 50% in-kind).
- Applicant must meet NSERC's eligibility criteria when applying and when funding is released and must be faculty from an eligible Ontario-based university with an active OCI or NSERC peer-reviewed grant.

Alliance Society

Addressing societal challenges



Alliance Society

Overview

Who?	University researchers working with partner organizations, co-applicants and collaborators
Essential?	Societal impact achieved by engagement with end-users and implementers
How much?	\$20,000 to \$1 million per year
Cost-sharing?	100% NSERC
How long?	1 to 5 years
When?	No deadline. Apply anytime

Projects that aim for society-wide impact



Societal Impact

Societal challenges and societal impacts are the main drivers



Making Connections

Teams include societal groups representing the people affected by the issue



Broad Outputs

Project organized for active collaboration, dissemination and translation of results

Alliance Society

Societal impact

- Identify a societal challenge for which a solution requires a novel approach, involving various expertise and points of view, at the regional, national or global level
- Identify and include all relevant and engaged stakeholders, with their respective contributions
- Ensure that the generated knowledge and results are widely disseminated and mobilized, so that they can be accessed, used and advanced by society

*The project must respond to a well-identified societal need and have a **direct and positive impact on society, that goes beyond the direct interests of participating partner organizations***

Alliance Society

Making connections

- Identify the key stakeholders (partner organizations and societal groups affected by the problem), including those outside natural sciences and engineering
- Engage them to bring their knowledge to the project and involve them in integrating the solutions within and across sectors, as these stakeholders:
 - bring relevant societal perspectives/skill sets
 - help merge ideas, overcome barriers
 - find creative solutions
 - ensure the project is need-driven

*Partners organizations must be **strongly committed & active**, and provide valuable opportunity to connect, disseminate knowledge & share results with other organizations*

Alliance Society

Broad outputs

- ***Outputs generate benefits beyond the participating partner organizations and academic world***
- Clearly planned activities to communicate progress and results to the targeted groups:
 - Results in formats that are appropriate and accessible by all stakeholders in society
 - Strategy to raise awareness of the resulting products, services or policies among potential users
 - The management of the intellectual property generated by the project must not be a barrier to the use of the results

*All stakeholders must understand and accept the principle that the management of the **intellectual property** generated through the project cannot become a barrier to the dissemination and use of the results*

Evaluation process

- 1 Administrative assessment
- 2 **PIVP selection committee**
- 3 Merit assessment
 - I. Review mechanisms
 - II. Evaluation criteria
 - III. Determining the overall merit
- 4 Risk assessment (when applicable)
- 5 Funding decision

A committee with broad knowledge and multisectoral expertise **focuses on the 3-pages PIVP section** to determine whether the project meets Alliance Society objectives.

After a positive administrative review, security assessment and PIVP selection, the merit of the application is assessed according to the same criteria and mechanisms used for the Alliance Advantage grant.

The PIVP section will not be shared with peer reviewers.

Alliance Society - Best practices

Funded project #1 - Community-based water monitoring

Societal impact: Safer water supply by providing accurate and relevant data for decision-making, better communication and coordination.

Making connections: A federal dept., a provincial water security agency, local community groups and a nonprofit social enterprise.

Broad outputs: Open data hub and partner outreach platforms connecting over 110,000 people, 130 societal groups and 1,800 online users.

Interactive education tools, online training on water stewardship and dissemination through partners' networks for meaningful community-based water monitoring.

Improved data for academic research and government.

Alliance Society - Best practices

Funded project #2 - Life-cycle analysis of future buildings

Societal impact: Help building sector reduce greenhouse gases and implement green building initiatives and eco-design by improving life-cycle analysis in the construction industry.

Making connections: Expertise and data is shared between a nonprofit housing organization, a team of academics and relevant contacts in the construction industry.

Broad outputs: A simplified life-cycle analysis for the construction industry will be disseminated to the whole industry and public stakeholders (architects, engineers, public administration, etc.) via workshops, conferences, public symposia and the partner's large network, to help the industry adopt green construction and guide new standards and programs for the sector.

The Policy on Sensitive Technology Research and Affiliations of Concern (STRAC)



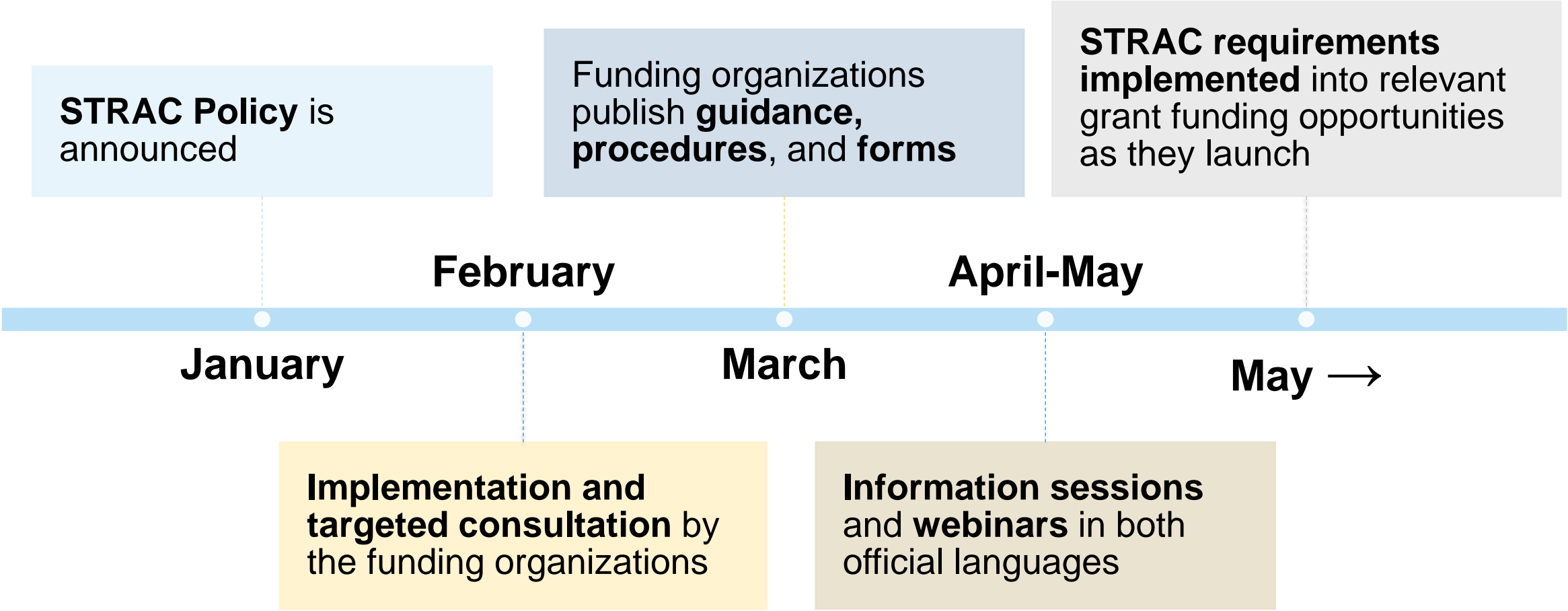
The Policy on Sensitive Technology Research and Affiliations of Concern (STRAC)

Overview of the STRAC Policy

- On January 16, 2023, the Government of Canada announced the Policy on Sensitive Technology Research and Affiliations of Concern (STRAC Policy).
- The policy operates using two lists that **must be used in conjunction** — a list of Sensitive Technology Research Areas (STRA) and a list of Named Research Organizations (NRO).
- The granting agencies and CFI will implement the policy in a harmonized manner, starting with funding opportunities launching as of **May 1st, 2024**.
- At the application stage, applicants will be asked to identify whether the research supported by their grant will **advance a STRA**. If it will not advance a STRA, no action is required.
- If the grant will **advance a STRA**, researchers with named roles in the application (applicant, co-applicant, collaborator) must complete **attestation forms** to certify their compliance. In addition, for the duration of the grant, no researchers involved in activities supported by the grant can be affiliated with, or in receipt of funding or in-kind support, from an **NRO**.

The Policy on Sensitive Technology Research and Affiliations of Concern (STRAC)

Next Steps



Useful resources



Alliance grants - Best practices

Useful links

[Alliance grants website](#)

[Research topics](#)

[Funding and cost-sharing](#)

[Use of grant funds](#)

[Safeguarding your research](#)

[Equity, diversity and inclusion in your training plan](#)

[Role of partner organizations](#)

[Partner organization self-assessment tool](#)

[Proposal template](#)

[Instructions for completing an application](#)

[Application checklist](#)

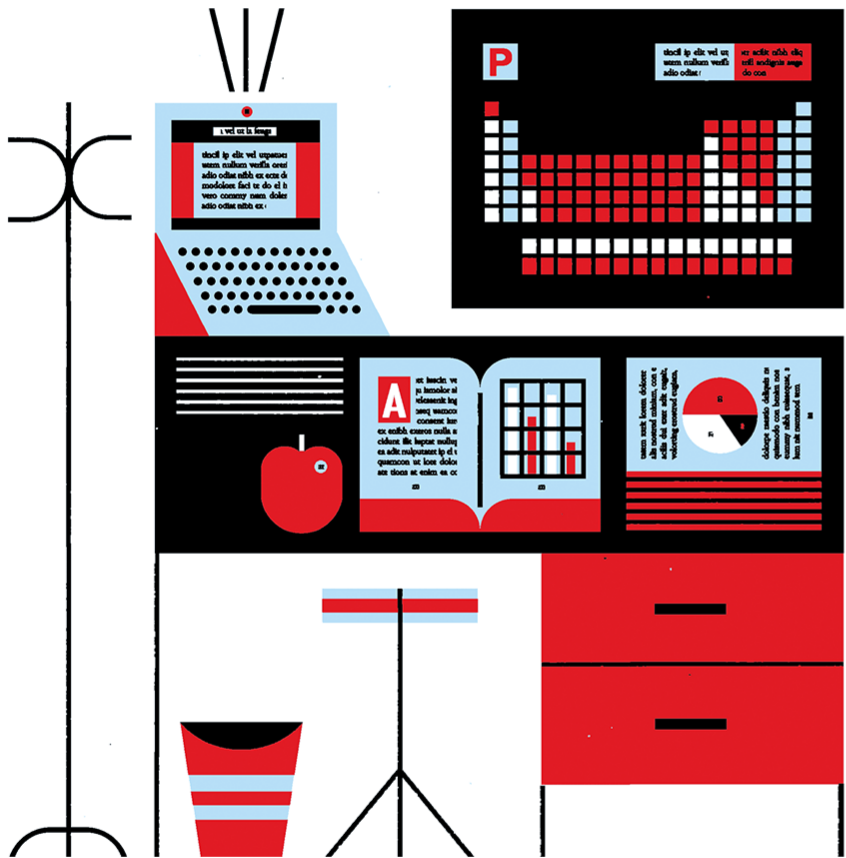
[Review mechanisms and evaluation criteria](#)

[Merit indicators](#)

[PIVP selection committee review instructions](#)

[Alliance Advantage resources, FAQ](#)

[Alliance Society resources, FAQ](#)



Questions?

Alliance grants

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