



Frequently Asked Questions (FAQ):

The First Canada-California Strategic Innovation Partnership (CCSIP) Call for Proposals (CFP) for Collaborative Initiatives between California and Canada

www.ccsip.org

Updated: April 14, 2009

The Application Process (*New*):

1. How should costs be divided among the collaborating partners?
2. In the 'milestones' template (Part C, Section 5), are applicants expected to identify key milestones during the year of CCSIP funding (September 2009-August 2010), or longer-term milestones beyond the funding year (for example, objectives and results of the actual proposed bilateral initiative over the next 2-5 years?)
3. Are applicants required to submit approval letters with their proposal?
4. Are applicants required to submit letters of approval from non-participating universities or other collaborating organizations (such as companies, government labs or innovation agencies) with their proposal?

Applicants:

1. Who is eligible to apply to the CFP and what are the application requirements?
2. What types of proposals are requested under this CFP?
3. How will complete proposals be assessed?
4. How would you describe the adjudication process? (*Updated*)
5. How would you describe the value proposition of this CFP for researchers?
6. What are the key proposal topics or areas of focus that evaluators and the CCSIP Steering Committee will be looking for?
7. What are the relevant deadlines for this CFP? *Updated*
8. How do I know which type of proposal to put forward?
9. How did the CCSIP Steering Committee select the thematic priorities for the partnership?
10. Could I submit a proposal outside of the thematic priorities described in the CFP?

11. Nanotechnology is identified as one of the CCSIP priorities; are nanotechnology proposals encouraged for submission?
12. What are the terms and conditions for each type of proposal (including eligible expenditures)?
13. When a university or other sponsor supports successful projects under this CFP, are funds required in US or Canadian dollars?
14. How will Letters of Intent (LOI) be assessed?
15. Who should I contact if I have a problem using the proposalCENTRAL website to submit my proposal?

Vice-Presidents, Research and University Administrators:

1. What financial commitment is required from Canadian universities to enable their researchers to be a Principal Investigator on a proposal?
2. How would you describe the strategic value of this Call for Proposals?
3. Are Vice Presidents, Research required to provide written approval of LOIs? Will CCSIP confirm all LOIs received?
4. Are Canadian Vice Presidents, Research required to provide written approval of complete proposals as part of the application process? (*New*)

The Application Process:

1. How should costs be divided among the collaborating partners?

A budget template is available in Part C, Section 2 of the proposal. The budget template provides one page for the UC lead collaborator and all UC co-applicants. The subsequent pages of the template are provided for participating Canadian institutions or other collaborators (such as industry partners, government labs, innovation agencies etc.).

While there is no specific funding formula that specifies the required distribution of costs for each individual proposal, CCSIP anticipates:

- Costs will be equally distributed or shared between Canadian and Californian collaborators (to the extent possible)
- Costs to be incurred in California will be identified in the UC budget
- Costs to be incurred in Canada will be identified in the budgets of participating Canadian institutions; each Canadian collaborating investigator should identify the specific costs associated with his/her participation in the proposed initiative. The project team is responsible to determine how the Canadian portion of the budget will be allocated or managed amongst Canadian partners.

CCSIP aims to achieve an overall project portfolio (all collaborative events and R&D business plans selected under this CFP) with equal investment from both jurisdictions (Canada and California).

In Canada, CCSIP does not expect that funds will only be awarded to the lead Canadian PI. For example, teams proposing collaborative events may include travel expenditures for attendees in their budget. These expenditures may be distributed equally among collaborators, with each university charged for the travel costs incurred by researchers from their institution. For those teams developing R&D business plans, travel, labour and consultancy costs may be shared by multiple universities. Applicants are encouraged to engage the Office of Research at all collaborating Canadian universities in the budgeting process.

2. In the ‘milestones’ template (Part C, Section 5), are applicants expected to identify key milestones during the year of CCSIP funding (September 2009-August 2010), or longer-term milestones beyond the funding year (for example, objectives or results of the actual proposed bilateral initiative over the next 2-5 years?)

The ‘milestones’ section of the proposal (Part C, Section 5), applicants should identify the milestones or expected outcomes **during the year of CCSIP funding** (September 2009-August 2010). Applicants are encouraged to review the instructions for each section of the proposal. Detailed application guidelines may be found online at:

http://www.ccsip.org/documents/CCSIP_Application_Instructions_3.19_Final.pdf

3. Are applicants required to submit letters of approval from participating Canadian universities with their proposal?

No. Applicants are not required to submit letters of approval from the Vice Presidents, Research of participating universities with their proposal. Please note: All investigators (including PIs and collaborating investigators) must *obtain* approval from their Vice President, Research before submitting an application to this CFP. The Vice Presidents, Research of all participating universities will confirm all approved projects directly with ISTPCanada by May 15, 2009. As such, investigators are not required to obtain or submit an approval letter from their Office of Research.

4. Are applicants required to submit letters of approval from non-participating universities or other collaborating organizations (such as companies, government labs or innovation agencies) with their proposal?

Yes. Collaborators from *non-participating* universities or institutions (such as companies, government labs or innovation agencies) must obtain a letter of support from a senior official of the organization (such as a Vice President, President or CEO) and provide evidence of approval from their university or alternate investor to cover their expenses in the project. This letter should be submitted with the proposal. As noted in the application instructions, CCSIP has not provided a template for this purpose.

For Applicants:

1. Who is eligible to apply to the CFP and what are the application requirements?

Each proposal must include a Principal Investigator (PI) from a *participating* Canadian university¹, and a PI from the University of California system.

Canadian PIs:

- Canadian PIs must obtain approval from the Vice President, Research of their university before submitting a proposal to the CCSIP CFP. For additional information on this approval, please refer to questions 3 and 4 in the ‘Application Process’ section above. (Note that collaborating investigators from participating Canadian universities must also obtain approval from their respective Vice President, Research.)

Californian PIs:

- Researchers, faculty members and technical staff with Principal Investigator (PI) status with the University of California (any campus) are eligible to apply to this CFP
- For additional information on PI guidelines at the University of California, please visit: <http://www.ucop.edu/raohome/cgmanual/chap01.html#1-500>

¹ A current list of participating universities may be found in Appendix A

Other Co-applicants or Collaborating Investigators:

Proposals may include co-applicants from government institutes and laboratories, crown corporations, affiliated research hospitals, research centers, associations and companies. Please note: these co-applicants are not eligible to be a PI under this CFP, and they must secure appropriate funding to cover their expenses on the proposal.

Proposals may include co-applicants from *non-participating* Canadian universities, however, they must have explicit support from their Vice President, Research to contribute to the proposal, and secure appropriate funding from their university or an alternate sponsor to cover their associated expenses. Please note: these co-applicants are not eligible to be a PI under this CFP.

2. What types of proposals are requested under this CFP?

CCSIP is hosting a university-led *Call for Proposals for Collaborative Initiatives between Canada and California*. The objective of this CFP is to stimulate novel ideas, and catalyze the development of innovative multi-campus and multi-disciplinary research and educational collaborations between the two jurisdictions.

- Proposals must focus on **bilateral partnership development activities or the development of novel models of collaboration such as** R&D consortia, the structuring of Canada-California Centres of Excellence and/or the creation of new working relations between university systems (as opposed to research projects)
- Collaborative initiatives that **engage multiple partners** from academia, industry, research labs or centres and other innovation agencies are particularly encouraged
- ‘Business as usual’, single researcher-to-researcher collaborations are **not** eligible for funding under this CFP

Under this CCSIP CFP, financial support is available for two types of bilateral initiatives, including the:

- **Conduct of focused bilateral round tables, workshops and/or symposia** that lead to novel methods or approaches for collaborative research. These proposals should request \$15,000 to \$50,000 in total funding².
- **Development and delivery of a detailed R&D business plans** for early-stage bilateral initiatives that help to propel the concept to the next stage of development (following the conduct of workshops and associated research). These proposals should request about \$100,000 in total funding.

² Includes funds from both Canadian and Californian sponsors

3. How will complete proposals be assessed?

Complete proposals will be assessed and selected on the basis of **highest quality**, and the degree to which the following criteria are clearly and definitively addressed. All complete proposals should:

- Demonstrate the value of bilateral collaboration over a unilateral approach, including the benefits to both Canada and California
- Describe the novelty and quality of the proposed initiative
- Articulate the downstream potential for technology transfer or delivery to market, for example: yield concrete outcomes such as the development of highly qualified people or other commercially-oriented outputs
- Demonstrate the capacity of the project team to manage and conduct the proposed initiative
- Present a high-level plan that outlines key milestones, financial and human resources

Please note: Applicants are required to meet all institutional, state and federal regulatory requirements for their proposed activity.

4. How would you describe the adjudication process?

To ensure the effective delivery of the Call and reinforce the principles of the partnership, UCOP and ISTPCanada will create a bilateral Canada-California Adjudication Panel that will review and evaluate applications. This Panel will assess all applications and generate a list of bilateral initiatives recommended for funding. The *process* will be reviewed by the CCSIP Steering Committee.

The Canada-California Adjudication Panel will include:

- Faculty members from the University of California and other experts identified by the Vice President, Research & Graduate Studies, at the University of California.
- External experts identified by ISTPCanada; these individuals are recommended to ISTPCanada by leaders from Canada's granting councils, government research institutes and companies across all sectors of the economy.
- In Canada, all proposals recommended for funding will be forwarded to the ISTPCanada Board of Directors. The Board will review the adjudication process and approve those proposals recommended for funding.

5. What are the key proposal topics or areas of focus that the bilateral adjudication panel and the CCSIP Steering Committee will be looking for?

Although the CCSIP Steering Committee has identified broad thematic priorities, applicants are invited to submit proposals that **address any common priority, opportunity or challenge shared by Canada and California**. Building on the key themes of the third CCSIP Summit conducted on October 27, 2008, teams may propose bilateral initiatives in areas that include, **but are not limited to:**

Carbon Capture and Sequestration, Green IT, Infectious Diseases, Next-Generation Digital Media and Sustainable Biofuels. All proposals must address the selection criteria noted in question 3.

6. How would you describe the value proposition of this CFP for researchers?

The CFP will provide university researchers and their collaborators with an opportunity to:

- Directly influence the development of a strategic research agenda between Canada and California
- Capitalize on coordinated access to the 10 campuses of the University of California system and 23 Canadian universities to identify potential collaborators and funding
- Acquire visibility with, and support from, key decisions makers and investors (such as Granting Councils)
- Contribute to a growing community of Canada-California interest with increasing critical mass and visibility
- Demonstrate leadership in the development of new models of bi-lateral R&D collaboration (with the potential to be replicated with other jurisdictions)

7. What are the deadlines for this CFP?

- **Letters of Intent:** Applicants are invited to submit a Letter of Intent by **February 27, 2009, 2PM PST**; UCOP and ISTPCanada will announce all selected Letters on **March 16, 2009**
- **Requested Proposals:** *Please note, CCSIP has extended the deadline for complete proposals by two weeks.* Applicants must submit proposals by **May 15 2009, 12 Noon PDT or 3PM EDT**
- **Funding Decisions:** The CCSIP Steering Committee, together with UCOP and ISTPCanada, expects to announce the one-year awards for successful bilateral initiatives by **August 4, 2009**

8. How do I know what type of proposal to put forward?

Applicants are invited to submit proposals they believe to be best suited to their objective and stage of development. Bilateral teams that aim to:

- **Explore new ideas or concepts** *may* wish to consider a proposal for the conduct of a collaborative event that brings stakeholders together to brainstorm, gather information and/or acquire feedback on potential ideas or concepts
- **Advance an existing or relatively well-developed idea or concept** *may* wish to consider a proposal for the development and delivery of a business plan to help move the team closer to implementation.

9. How did the CCSIP Steering Committee select the thematic priorities for the partnership?

When CCSIP was established in January 2006, the Steering Committee discussed key challenges and opportunities shared by Canada and California. Drawing on the insights, knowledge and experience of those experts around the table and the broader innovation community, committee members identified six broad priorities, helping to bring initial focus to the partnership.

These include: Stem Cells and Regenerative Medicine; Information and Communications Technologies; Advanced Transportation and Energy; Nanotechnology; Infectious Diseases; Venture Capital and Intellectual Property; and the Development of Highly Qualified Personnel. CCSIP thematic priorities are expected to evolve as the needs, opportunities and challenges facing Canada and California change over time.

Please note: these priorities do not prohibit CFP applicants from proposing novel bilateral initiatives outside of these areas.

10. Could I submit a proposal outside of the thematic priorities described in the CFP?

Yes. Applicants are welcome to propose any novel model of bilateral collaboration that leverages the complementarities of Canada and California; addresses a common opportunity, challenge or priority; and aims to deliver benefits to the citizens of both jurisdictions.

11. Nanotechnology is identified as one of the CCSIP thematic priorities; are nanotechnology proposals encouraged for submission under this CFP?

As CCSIP aims to stimulate multi-disciplinary research and educational collaborations, proposals that incorporate nanotechnology are strongly encouraged. Given the breadth and diversity of this field of research, bilateral initiatives may incorporate research at the nanoscale to different degrees, and in different ways. Similarly, these initiatives may engage researchers from a broad array of disciplines such as medicine, chemistry, engineering, biology, informatics and physics.

12. What are the terms and conditions for each type of proposal (including eligible expenditures?)

Conduct of Collaborative Events:

- The collaborative event must take place in Canada or California between September 1, 2009 and August 31, 2010
- CCSIP will not consider support for events that are part of a series of workshops or regularly scheduled events with existing networking groups (*business as usual*); or events that are

incorporated into another larger event (i.e. as one or more sessions) or organized “in parallel” to a large event on a similar topic; the organization of back-to-back events will be accepted

- The meeting should be clearly identified as a CCSIP event in all advertisements, posters, websites, abstracts, proceedings, etc; additional support from other organizations should also be acknowledged
- Participants should not be requested to pay a registration fee
- A concise report of the scientific/strategic output of the workshop, as well as a financial report on workshop expenditure and statistical information on the workshop participants, must be submitted to the CCSIP Steering Committee within three months of the event; the scientific report will be published on the CCSIP website
- CCSIP funds may be applied to travel and accommodation for invited speakers and event participants (including the exchange of students, faculty and other research talent); organization and management of the collaborative event (including the salaries for personnel who will plan and manage the event; logistics and associated event expenditures such as venue, catering, audio-visual equipment etc.); follow-up research, communications and/or other actions emerging from the event

Development and Delivery of Business Plans:

- The business plan must be developed and submitted to the CCSIP Steering Committee by August 31, 2010
- CCSIP will not consider support for the development of business plans that are part of an existing initiative or project (*business as usual*)
- CCSIP funds may be applied to the conduct or purchase of competitive intelligence or market research; the conduct of a feasibility study; reasonable legal fees, for example, to acquire guidance on intellectual property management/sharing issues; salaries or consulting fees for business or management experts who will contribute to the development of the business plan; travel and accommodation for team members (including the exchange of students, faculty and other research talent); the conduct of associated stakeholder outreach or events (leading-up to or following development of the business plan) and publication and/or communication expenditures.

13. When a university or other sponsor supports successful projects under this CFP, are funds required in US or Canadian dollars?

All universities, companies and other investors that finance projects under the CCSIP CFP will allocate funds in their respective national currency.

14. How will Letters of Intent be assessed?

LOIs will be assessed **for eligibility only**. The eligibility criteria may also be found on pages 4 and 6 of the CFP document. As outlined in the CFP document, eligible LOIs must:

- Identify a Principal Investigator (PI) from a participating Canadian university and a PI from the University of California system; as well as co-applicants
 - All university researchers participating in a proposal (whether PI or co-applicant) must acquire approval from their Vice President, Research prior to submitting an LOI
 - Researchers should consult their Office of Research about the internal approval process established by their university for this CFP
 - Written approval from the Vice President, Research, is not required by CCSIP at the LOI stage; it is only required when submitting a complete proposal

- Briefly articulate your idea or the novel bilateral model of collaboration that is proposed
 - Describe the potential benefits to Canada and California
 - How it would leverage the complementary strengths of both jurisdictions

- Specify the type of proposal the team is applying for and the total funding requested
 - The conduct of a collaborative event, such as a workshop or symposium (funded between \$15-50K)
 - The development of an R&D business plan for collaboration (funded at \$100K)
 - Please note: A detailed budget is not required for the LOI

15. Who should I contact if I have a problem using the proposalCENTRAL website to submit my proposal?

Should you have any difficulty with proposalCENTRAL (pC), please contact pC technical support is available Monday – Friday from 8:30am - 5:00pm (EDT) at:

- 1-800-875-2562 (Toll-free U.S. and Canada)
- 1-703-964-5840 (Direct dial international)
- pcsupport@altum.com

For Vice-Presidents, Research and University Administrators:

1. What financial commitment is required from Canadian universities to enable their researchers to be a Principal Investigator on a proposal for this CCSIP CFP?

Principal Investigators (PIs) must come from a *participating* university. To participate in this CFP, Canadian universities are required to commit CDN\$60,000 to support successful proposals from their university. Should researchers from the university be part of an approved proposal under this CFP, the CCSIP program will draw on the CDN\$60,000 set aside by the university to support such initiatives.

Following the CFP evaluation and selection process, ISTPCanada will provide participating universities and other organizations with a list of the academics from their institution on approved applications, and the associated investment for each of the proposed initiatives. This ‘price tag’ will reflect the degree of involvement and the associated costs of their participation in the proposal. These costs will be deduced from the university-approved budget submitted in the application.

Please Note:

- The Vice President, Research of a participating university is required to approve all proposals before they are submitted to this CFP; therefore universities only provide financial support for approved projects from their researchers.
- Should a participating university approve several proposals from their researchers for submission to the CFP, the university may need to increase the funds it allocates to Canada-California projects –depending on how many projects are selected, and the total requested investment required to support these initiatives.
- If all proposals submitted by researchers from a participating university are unsuccessful in this competition, the institution is not required to contribute funding to the CFP.

2. How would you describe the strategic value of this Call for Proposals?

- The CCSIP initiative offers a sound approach for the ‘strategic design’ of new bilateral R&D cooperation programs with between Canada and the United States, beginning with California
- The initiatives that emerge from this CFP will create a substantive strategic research agenda between the two jurisdictions
- A successful roll out of the CCSIP CFP could emerge as a template for defining the overall Canada/U.S. S&T cooperation platform over the coming decade, extending to other regions of the US and/or other parts of the world

3. Are Canadian Vice Presidents, Research required to provide written approval of LOIs as part of the application process? Will CCSIP confirm all LOIs received?

As outlined in the CFP document, a PI must acquire approval from the Vice President, Research at their respective university prior to submitting an LOI. To help simplify this LOI approval process, written approval from the Vice President, Research is not required by CCSIP for LOI submission. This is reiterated in the CFP LOI application instructions available at:
http://www.ccsip.org/documents/CCSIP_CFP_LOI_Instructions_Final.pdf

Confirmation for the Office of Research:

To support the internal review process of participating universities, CCSIP will provide all Vice Presidents, Research with a summary of all LOIs (received by the deadline) that engage Principal Investigators or Co-applicants from their respective university. Dominic Jean, Secretary of the CCSIP Steering Committee, will provide this confirmation to each participating university on Monday, March 9, 2009.

Please note: Should a Vice President, Research wish to provide an email or letter that outlines all LOIs approved by the university, please do not hesitate to send this along to Dominic, at: Dominic.Jean@international.gc.ca. He would be pleased to review this list, and follow-up with the Research Office regarding any potential discrepancies with the LOIs received on proposalCentral.

4. Are Vice Presidents, Research from participating Canadian universities required to provide written approval of complete proposals as part of the application process?

Yes. All Canadian Vice Presidents, Research from participating Canadian universities are required to submit a single list of approved projects that identifies all PIs and co-applicants from their university to Dr. Henri Rothschild, President and CEO, ISTPCanada (HRothschild@istpcanada.ca), and are asked to copy Dominic Jean, Secretary of the CCSIP Steering Committee (Dominic.Jean@international.gc.ca). This email must be received by the proposal submission deadline, Friday, May 15, 2009 by 12 Noon PDT or 3PM EDT.