

Eligibility

Research topics should be Research and Development projects that seeks to respond to a research challenge in the natural sciences or engineering. Developing and implementing policies or directly applying the research results may depend on socio-economic or other requirements, as well as scientific understanding beyond the Natural Sciences and Engineering (NSE) and collaborations with researchers in fields other than NSE is encouraged. NSERC will provide a higher contribution for NSE research that addresses a societal challenge that could result in both new technical knowledge and societal impact with partners that are committed to sharing results beyond their own organizations with broad outcomes.

Alliance grant funding from NSERC is based on cost-sharing and will cover the direct costs of the research, in proportion to the cash contributions provided by the partner organizations for the direct costs of research (not including university indirect costs or overhead). Cost-sharing ratios are determined by the type of research and the type and global size of the partner organizations recognized for cost-sharing. The minimum funding request is \$20,000 per year from NSERC. ([Cost-sharing ratios](#))

You should confirm the applicant and co-applicant(s) can apply for this program. ([NSERC eligibility](#))

University faculty: You must hold or have a firm offer of an academic appointment at an eligible Canadian university at the time of application.

Adjunct professors: Adjunct professors who meet NSERC's eligibility criteria and whose primary place of employment is at an eligible Canadian university can apply. Those whose primary place of employment is outside the university sector (e.g., government, industry or colleges) are eligible to apply as co-applicants.

Equity, Diversity and Inclusion: In large proposals, you must strive for equity, diversity and inclusion when developing your group of co-applicants, partners and trainees.

Use the Partner Organization self-assessment tool to assist in the determination that your industry partner can participate in the project [Eligibility for Partner Organizations](#) and [Alliance Grants – Role of partner organizations](#). Any proposed partner must have a credible plan for exploiting the research results within Canada and must show that it has the necessary expertise and resources to exploit the research results, or the means and intention to develop this capacity within an appropriate time frame.

Considerations related to Industry Agreements for NSERC Alliance funded research

Also consider discussing *Intellectual property* requirements with your partner:

Under the NSERC IP Policy, access to research results developed wholly or in part using NSERC funds, may include the following arrangements: open dissemination with no restrictions; non-exclusive licensing; exclusive licensing; joint ownership; partial assignment of ownership; or full assignment of ownership. The University of Alberta generally uses inventor assigned ownership, including joint ownership and non-exclusive licensing.

IP should conform to the following guiding principles:

1. Encourage the utilization of research results, developed wholly or in part using NSERC funds, in Canada for the benefit of Canadians.
2. Promote the development of fruitful and productive partnerships and recognize the unique contribution each partner brings to the partnership and the need for each partner to benefit from the relationship and have their interests protected.
3. Support the publication of research results in the open literature. NSERC does not support secret or classified research.
4. Ensure that a student's graduation is not impeded by IP issues.
5. Support a researcher's right to use his/her research results for non-commercial purposes in future research and in teaching.

Completing the Application

Attached documents are to be prepared following the [NSERC On-line Presentation and Attachment Standards](#). NSERC's instructions for completion of the NSERC Alliance Grant Form 101 can be found [here](#).

Co-applicants, Collaborators, Industry Partner participation confirmation (signatures)

- By linking their Form 100A to the Form 101, co-applicants are deemed to have provided their electronic signature on the application. U of A co-applicants also need to electronically accept and complete the co-applicant declarations on the Researcher Home Page, request for new research project.
- Ensure that the co-applicants from other institutions obtain the appropriate signature from the authorized officer of their organization prior to submitting the application to NSERC using the [NSERC external co-applicant confirmation form](#).
- By completing the Partner Organization Form, industry partners are deemed to have provided their electronic signature on the application.
- If a principal of a collaborating organization is going to have a role similar to that of a co-applicant, another senior official needs to complete the partner organization form (sign) on behalf of their organization.
- Collaborators (no signatures required). You can include a 2 page CV or biographical sketch for each collaborator. Provide the individual's Name/affiliation, Education/training, Employment/affiliations, Research funding, and up to five significant contributions related to the project.

Note: For upload purposes, all collaborator biographical sketches or CVs must be saved as a single PDF file.

Proposal: [USE THE PROPOSAL TEMPLATE](#). The proposal must include the section headings and the text of the bullets from the proposal template. Do not change font or margin size. In developing the proposal consider the Merit Indicators that will be used in the evaluation ([Alliance Grants – Merit Indicators](#))

The Proposal page limits are based on the funding request amount

Section	Average annual request - The number of suggested, maximum or additional pages always includes the NSERC template text.			
	% of evaluation	Up to \$30,000/ year *	Up to \$300,000/ year	More than \$300,000/ year
Background and expected outcomes	25%	1	2	3
Partnership	25%	1	2	5
Proposal	25%	1.5	4	10
Team		0.75	1	4**
Training Plan	25%	0.75	1	3
<i>Maximum # pages including template text</i>		5	10	25
Option 2 cost-sharing applications only: Public Impact Value Proposition	Three additional pages, to be reviewed by the multidisciplinary and multisectoral selection committee only. If your application is selected for the second step, external reviewers will not have access to this section.			

*Projects requesting up to \$30,000 per year:

At the time of application, if you and your co-applicant(s) **do not** hold an active peer-reviewed grant from NSERC as the primary applicant, you may submit a maximum of 10 pages (as if applying for up to \$300,000). If this applies, the application will be sent to external reviewers.

**** Team section for large multi-party projects with multiple universities and/or multiple partner organizations.** Up to three additional pages can be used to provide additional details associated with managing a large team such as information related to project management, governance structure and university support.

Equity, Diversity and Inclusion (EDI)

Consider sex, gender and diversity in the project's research design and consider how to promote and support a variety of forms of mentoring to ensure trainees' equitable participation and growth. ([Guide for applicants: Considering equity, diversity and inclusion in your application](#))

It is a mandatory requirement to explain how equity, diversity and inclusion are considered in the training plan. You must describe **specific, concrete practices** that you will put in place to ensure that EDI is intentionally and proactively supported in your training plan. Describe, for example, your plans for promoting participation from a diverse group of highly qualified personnel (HQP), equitable recruitment processes, mentorship approaches and other initiatives aimed at fostering an inclusive research and training environment.

Note: Vague or generic statements (e.g., “in future hiring, EDI will be considered” or “the university is committed to EDI”) will not be sufficient and will lead to your application being rejected.

- Instead of simply stating that the team is already complete and/or diverse*, give examples of specific initiatives and measures that you have or will put in place to support EDI in your team.
- Instead of simply stating that your institution’s EDI policy will be followed, describe specific actions that you have or will put in place in the context of your training plan.

Project Funding

Include all of the project direct costs funded by NSERC and other sources. All costs must be explained in the proposal and will be considered in the merit assessment of the proposal. All partner organizations participating in the project must play an active role and make in-kind contributions through such involvement which are also considered in the merit assessment. ([Funding your research project](#))

[Expenditures related to project management](#) are eligible as a direct cost of research up to a maximum of 10% of the total direct costs for projects involving multiple partner organizations and/or universities.

You can include the costs of equipment, provided the equipment is essential to achieving the objectives and is incremental to the equipment already available at the university or at a partner organization. Total expected equipment costs including operation and maintenance cannot exceed \$400,000 over the project duration.

Reviewer Suggestions

For small projects (request of \$20,000 to \$30,000 per year) you do not need to provide reviewer suggestions as these applications are reviewed by NSERC file managers with evaluation supported by existing NSERC Peer review of currently held NSERC projects by the applicant and any co-applicants.

For all other projects, suggest the names of five independent experts competent to assess the technical aspects of the proposal. This list should include experts from the academic community and non-academic community. Also include reviewers competent to assess any research aspects outside the natural sciences and engineering. This list should take into consideration equity, diversity and inclusion (include women, and both early career and established researchers).

Personal Data Form (Form 100A) for the Applicant and each Co-applicant must be completed and linked to the Form 101.

Do not use the Contributions attachment from the old Form 100. This one can only contain 3 sections in a maximum of 5 pages detailing contributions to R & D and HQP training in the past 6 years. 9,000 characters for most significant contributions to research, 3,000 characters for additional information on contributions listed in the CCV, and 6,000 characters to discuss past contributions to HQP training (including Training environment, HQP awards and research contributions, and Outcomes and skills gained by HQP sections).

https://www.nserc-crsng.gc.ca/OnlineServices-ServicesEnLigne/instructions/100/100A_eng.asp#contributions

Common CV Attachment – a final / submitted version must be generated from the Canadian Common CV system and uploaded. Instructions on how to complete an NSERC CCV can be found

https://www.nserc-crsng.gc.ca/ResearchPortal-PortailDeRecherche/Instructions-Instructions/ccv-cvc_eng.asp

Information Required from Supporting Organizations (Partner Organization Form)

https://www.nserc-crsng.gc.ca/OnlineServices-ServicesEnLigne/instructions/Alliance_Partner-Alliance_Partenaire_eng.asp

This form must be completed by each Partner. The invitation is generated by the applicant within the Form 101 application. It must include a one page partner organization profile that would describe the organization, including the nature of its operations in Canada and how it intends to grow in Canada by developing innovative new or improved products, services, processes or policies (if applicable) and demonstrate that the organization has existing or planned capacity to achieve the expected results of the project (human resources, facilities and financial capabilities). This would take the place of a letter of support.

U of A Approval (signature) Requirements (proposal request)

For a successful Alliance grant application, RSO needs to setup two research projects on your Researcher Home Page as we cannot co-mingle NSERC and partner cash. If your Partner cash contribution is already setup at the UofA under an existing project, you only need to create a proposal request for the NSERC Alliance component. If partner cash is not yet setup at the University, create and complete two University of Alberta (U of A) Proposal Requests in your Researcher Home Page ([Create Application/Proposal/Project](#)). One for the NSERC Alliance component, and a second for the partner cash component.

The NSERC component of the Alliance Grant will not incur Indirect Costs of Research (ICR), however the industry funding component must include ICR. You must include ICR at the current rate (ICR rate is 30% effective May 1, 2020). Your faculty may have specific guidelines for treatment of ICR for this matching program.

The Supporting Organization must provide cash toward the project. On your Alliance grant proposal request, select **YES** to the question “Are matching/partner funds in place or intended to be obtained for this project”. Very rarely will an Alliance Grant application not require cash contributions from the partner. Use the comments section to confirm if cash is already here and if so include the Project RES #. If the cash is not already here, provide the industry contact details or refer to the Partner Organization Form for industry contact details and proceed to create a second U of A Proposal Request in your Researcher Home Page (as outlined above).

Add U of Alberta Co Applicants to the NSERC component proposal form.

External co-applicants will require sign-off from their institution on an [NSERC external Co-Applicant confirmation form](#).

Note: RSO must verify that external co-applicants have advised the authorized officer of their organization that the applicant is participating in the application. If you are participating as a co-applicant on an NSERC Alliance Grant lead by another institution, RSO must sign the NSERC Form 101 indicating U of A support for your participation in the proposal.

Attach the full NSERC application including the Form 101, all Form 100A's and institutional approval for any external co applicants as one combined pdf to the NSERC component proposal form.

Indicate in the comments of the partner component proposal form which of the following options you want to initiate with RSO:

1. Move forward with a Contract Specialist to negotiate an agreement (partners are willing to fund the research irrespective of NSERC Support). Or
2. Negotiate during the period of NSERC review to have an agreement ready to execute when we receive NSERC's funding decision.

Submit both forms for online approvals of Applicant, Chair, Dean and all U of A co-applicants (if any).

Merit Assessment

Small projects (request of \$20,000 to \$30,000 per year) are reviewed by NSERC file managers based on the [evaluation criteria](#) with the evaluation supported by existing NSERC Peer review of current NSERC projects held by the applicant and any co-applicants.

Medium sized projects (request over \$30,000 up to \$300,000 per year) will be reviewed by external reviewers with expertise directly related to the proposal and will provide a review based on the [evaluation criteria](#).

Large projects (requests over \$300,000 up to \$1,000,000 per year) will be reviewed by an ad hoc committee of external reviewers with expertise directly related to the proposal and will provide a review based on the [evaluation criteria](#).

For projects that address a societal challenge, an initial assessment will be made by a multidisciplinary and multisectoral selection committee that will assess if it justifies a higher NSERC contribution. If selected in the first step, it will proceed to the second step to be reviewed by external reviewers with expertise directly related to the proposal and will provide a review based on the [evaluation criteria](#).