



Ontario Centres of  
Excellence



## Ontario-China Research and Innovation Fund (OCRIF)

### Application Instructions

#### SUBMISSION INSTRUCTIONS

- The full program guidelines can be found on the [OCE website](#).
- Applications must be received by OCE no later than the application deadline. Late and incomplete applications will not be accepted.
- Applications must be initiated by an OCE Business Development Manager. If you do not have an existing AccessOCE account, please contact your Business Development Manager or [Application-Support@oce.zendesk.com](mailto:Application-Support@oce.zendesk.com).

#### GENERAL INSTRUCTIONS FOR COMPLETING THE ONLINE APPLICATION FORM

1. On receiving access to the application, please ensure that the application status is listed as "Application in Development".
2. Click on each of the tabs, beginning with "Application Information", and complete all of the mandatory fields in each section. Appendix 1 provides a detailed description of the requirements for each section.
3. During the process of completing your application, if you wish to submit the application at a later time, click on the "Save & Finish Later" button.
  - You may log back into AccessOCE with your username and password to continue with your application.
  - To confirm that all mandatory fields are completed, click on the "Validate & Save" button.
  - To preview your entire application, click on the "Preview Application" button on the right side of the screen.
4. Prior to submission, applicants MUST first request their OCE Business Development Manager (BD) to provide an endorsement of the application for eligibility and suitability. Once the endorsement is provided, the applicant or BD will then be able to submit the application. Please allow at least one week for the BD endorsement step to be completed prior to the submission deadline.
5. When you are ready to submit the application, click on the "Validate & Submit" button.
  - Any mandatory fields that are incomplete will be listed. Complete these fields and click on "Validate & Submit" again.
  - Once you have submitted your application please check that the status of your

application has moved to the next stage. The status is visible at the top of your screen below the application title (the current status will be highlighted in green) OR in the Home page of your AccessOCE account.

## **REVIEW AND ASSESSMENT OF APPLICATIONS**

1. Applications are internally reviewed for completeness, eligibility and use of funds prior to external evaluation. As part of the internal review process of your application, OCE may request additional information, clarifications or provision of missing items. You will be notified of any deficiencies via e-mail by AccessOCE. Please correct all deficiencies and resubmit the application within the requested timeframe. Once the application has been deemed complete, it will proceed to external review.

## **PROGRAM CONTACTS**

- For inquiries related to eligibility, contracting and funding disbursements:
  - Angela Fong, Program Manager ([angela.fong@oce-ontario.org](mailto:angela.fong@oce-ontario.org), 416-861-1092 x1071)
- For general inquiries about the online application system and application form:
  - OCE Application Support ([application-support@oce.zendesk.com](mailto:application-support@oce.zendesk.com), 416-861-1092 x2400)

## **APPENDIX 1: DETAILED APPLICATION INSTRUCTIONS**

### **APPLICATION INFORMATION TAB**

1. Application Title
  - Provide a descriptive title outlining the focus of the application/project. Please ensure that the spelling and grammar are correct, since titles of approved projects will be posted on OCE's website.
2. Applicant Type
  - Select the type of your organization from the drop-down list.
3. Academic Institution
  - Select the name of your institution from the drop-down list. In case of a company, please select "Not Applicable".
4. Applicant
  - Provide the name of your organization. In case of an academic institution, enter your name here again.
5. Duration
  - Provide the duration for completion of the proposed activities. Ensure that the duration is realistic and within the program guidelines (minimum 12 months and maximum 36 months).
6. Summary of Proposal for Public Release
  - Provide a short (250-word maximum), plain-language description of the project, which you approve for public release and for posting on OCE's website if the application is funded by OCE. Do not include any contact information. Please ensure that the spelling and grammar are correct, since summaries of approved projects will be posted on OCE's website.
7. Project Category
  - Select the classifications that most accurately reflect your application/project. All fields (main and sub-categories) must be selected.
    - A. CFI Code: Select first the primary code and then the secondary code from the drop-down list (select Other Research if none are applicable).
    - B. CFI Discipline: Select first the primary discipline and then the secondary discipline from the drop-down list.
    - C. Application Stage Gate: Select the most appropriate description based on the stage of your application/project
      - **Discovery (stage 0)** - The first part of any product development. During this basic stage the development team is simply deciding what projects the company wants and is capable to pursue.
      - **Scoping (stage 1)** - The product and its corresponding market are evaluated. The researchers must recognize the strengths and weaknesses of the product and what it is going to offer to the potential consumer.
      - **Building the Business Case and Plan (stage 2)** - The last stage of concept development where it is crucial for companies to perform a solid analysis before they begin developing the product.

- **Development (stage 3)** - Plans from previous steps are actually executed. The product's design and development is carried out, including some early, simple tests of the product and perhaps some early customer testing. The product's marketing and production plans are also developed during this stage.
  - **Testing and Validation (stage 4)** - Validation is provided for the entire project. The areas that will be evaluated include: the product itself, the production/manufacturing process, customer acceptance, and the financial merit of the project.
  - **Product Launch (stage 5)** - The culmination of the product having met the proper requirements of the previous stage-gates. Development teams must come up with a marketing strategy to generate customer demand for the product. The company must also decide how large scale they anticipate the market for a new product to be and thus determine the size of their starting volume production. In addition part of the launch stage is training sales personnel and support personnel who are very familiar with the product and that can assist in market sales of this product.
- D. Ontario Innovation Agenda: Select one of the following sectors which best reflects your project:
- Bio-economy and clean technologies
  - Advanced health technologies
  - Pharmaceutical research and manufacturing
  - Digital media and information & communication technologies
  - Advanced manufacturing

#### 8. Keywords

- Add keywords that describe the technical elements of the application. This will assist OCE in identifying suitable expert reviewers.

### TEAM INFORMATION TAB

#### 1. Applicant Information

- The applicant is typically the recipient of the OCE funding.
  - For all project contacts, provide the full first name (no short versions or nicknames), full institution name and email address.

#### 2. Co-Applicant

- Select the number of co-applicants (if applicable) to add the appropriate number of contact sections. Enter the Chinese applicant here.

#### 3. Project Contributors

- Project Contributors are organizations (applicant and/or industry partners) providing cash and/or in-kind contributions to the project.
  - Select the total number of Project Contributors associated with the project to add the appropriate number of contact sections. For this program, there must be at least one Project Contributor in Ontario (the applicant and/or industry partner(s)). Also include the applicant and/or partners in China providing cash/in-kind contributions to the project.
- For all project contacts, provide the full first name (no short versions or nicknames), full legal company name and email address.

- Each Project Contributor in Ontario must complete a mandatory Company Profile survey. The applicant must click on the button “Click here for Survey URL”, copy the link provided and send it to the contact person at the Project Contributor organization. The contact must complete and submit the survey before the application may be submitted. Completed surveys are visible in the Company Profile-Response Summary section.

#### 4. Project Team Members

- Click on the button “Click here to Enter/Edit Team Member Table” to open the Team Table.
- List all post-secondary and/or industry team members that will be involved in the project, including the applicant(s), Project Contributor (industry partner) team member(s), students/postdocs or other Highly Qualified Personnel (HQP), and any other team members who are contributing to the advancement of this project. If a team member is yet to be identified (e.g. student/postdoc), list their name as “TBD” and include a description of the required expertise. Ensure that the list of team members is in alignment with the activities in the Milestone table.

#### 5. Project Manager

- Provide the following contact information for the project manager associated with the project under Co-Applicant:

Name  
 Title (Enter “Project Manager”)  
 Department  
 Institution  
 Mailing Address  
 City/Town  
 Province  
 Postal Code  
 Telephone  
 Fax  
 E-mail address

This person will be will be OCE’s main point of contact for administrative matters relating to the project.

### **PROPOSAL TAB**

#### 1. Milestone Table

- Click on the button “Add/Edit Milestone” to enter project milestones.
- Add one line for each key project milestone/activity (limit the description to 100 words). Enter the associated team member(s), expected outcomes and time frame. Indicate where each activity is to be performed (applicant or Project Contributor organization).
- For the time frame, enter the estimated start and end month of the activity (e.g. From Month 1 to Month 3).
- Milestones/activities must be specific enough for a reviewer to assess the major activities and decision points within the project. They will also be used in reports by OCE to assess project progress and outcomes.

#### 2. Proposal

- Click on the button “Download Word Template” to open a fillable word document

- containing the Proposal questions.
- Complete all questions in the template, in partnership with the Project Contributor.
- Save the completed file as a pdf document.
- Click on the button "Upload Proposal" to upload the pdf file to the application.
- See Appendix 2 on how to complete the Proposal questions.

## USE OF FUNDS TAB

### 1. Sources of Funds

- Review the list of Funding Contributors to ensure that all sources of cash and/or in-kind contributions are included in the budget. OCE, MOST, Ontario and Chinese applicants (if providing cash/in-kind) and all other Ontario and Chinese Project Contributors (industry partners) must be listed. If you are missing a Project Contributor in the list, add the additional names under the "Team Information" Tab, in the "Project Contributors" section.

### 2. Budget

1. Click on the button "Add/Update Budget Item" to enter the project budget.
2. Click on the + button to enter new budget line items. Ensure that expenses are separated by source of funds (OCE, MOST and Project Contributor(s)).
3. Enter a brief description of the activities related to the budget line
4. Enter who is going to receive the funds (Payee) and where the funds will be spent (Location)
5. Select one of the available expenditure types (Category) from the drop down list
6. Select the appropriate Source of Funds from the drop down list
7. Select the Type of Funds (cash or in-kind) from the drop down list
8. Enter the Quantity, Unit and Rate (see the example calculation below)

Description	Budget Category	Quantity	Unit	Rate	Total	Calculation
Dr. A working 65 hours on Milestone 1 for one month. To be paid \$3,500 for this task.	Salary & Benefits	0.43	Month	\$8,139.50	\$3,500	@150hrs work month (37.5 per week, official work week in Canada), 65 hrs = 65/150 = 0.43 months; Rate = Total/Quantity: 3500/0.43 = 8,139.5

- Please ensure that the totals in the budget table reflect at a minimum the required matching contributions for the program. For this program, the maximum funding request from OCE is \$210,000 (for academic applicants) or \$250,000 (for industry applicant) for the Ontario portion of the project, with a minimum 1:1 match in cash/in-kind from the Ontario applicant and/or Project Contributor(s).. Also enter amount to be requested from MOST and contribution in cash and in-kind by the Chinese Project Contributors.
- Institutional overhead is not an eligible OCRIF project expense and should not be included on either the OCE or industry funded portions of the OCE application budget. For applications from post-secondary institutions only, the overhead that is to be attributed as part of the OCE contribution will be calculated directly by OCE and paid annually to Ontario post-secondary institutions, at a rate of 20 per cent x direct costs of OCE-funded research. Therefore for example, a post-secondary institution should include up to \$210,000CAD direct project costs in the application (excluding the \$40,000

overhead) and an industry applicant should include up to \$250,000CAD direct project costs in the application. For academic applicants if applicable, the overhead on the industry funded portion of the project must be discussed with your institution's research administration office at the time of application to ensure it is correctly accounted for.

- For a list of eligible expenses, please see the following link: <http://www.oce-ontario.org/docs/default-source/eligible-expenses/ocrif-schedule-c-eligible-expenses.pdf>
- Enter any Other Contributions if applicable. "Other Contributions" are cash or in-kind support received from other funding sources currently held by the applicant that is conceptually or financially related to the current application to OCE. These funding sources are not party to the OCE funding agreement.
- Once all items are completed, click the "Save Budget" button and close the budget.

### 3. Budget Justification

- Referring to the Budget Table, provide additional information to justify how OCE, MOST, Project Contributors, Program Partners (as applicable) and Other Contributors (as applicable) will support the successful completion of the project. Outline how the project plan, activities and outcomes are related to the proposed budget.
- Clearly quantify and justify the in-kind contributions. For salary in-kind contributions, indicate the role of company personnel, the number of hours to be devoted to the project, the hourly rate of compensation used to assess the value of the in-kind contribution, and how the total value was calculated. The maximum allowable rate for salary in-kind is \$100/hr.

## SUPPORTING DOCUMENTS TAB

Attach the following documents in the associated upload section:

1. Resume, Curriculum Vitae, NSERC Form 100CV or NSERC Form 103CV and/or LinkedIn Profile(s) of applicant and co-applicant (mandatory), and other key team members associated with the application (recommended).
2. Project Contributor (Industry Partner) Letter of Support (mandatory) for all Ontario partners. The letter should be provided on company letterhead, signed, and include the cash and in-kind contributions specified in the project budget.
3. Application Signature Page (mandatory) containing required signatures from the Applicant and if the Applicant is a post-secondary institution, its Office of Research. Use the "Preview Application" button to generate a pdf of the application, print the signature page (at the end of the preview file), obtain all required signatures and upload as a pdf file. If the signatures are contained in multiple individual pages, please combine and load the pages as one pdf document.
4. All submitted applications must be accompanied by a letter of intent ("LOI") signed by all applicants and partners (Ontario and Chinese) detailing intellectual property rights and commercialization strategy of the product or process. If the project is funded, a fully executed IP Sharing Agreement or Collaborative Research Agreement must be

incorporated as Schedule D (Intellectual Property Term Sheet) in the OCE Funding Agreement to be executed by OCE and the Applicant. Applicants are strongly advised to begin negotiation of the terms of the IP Sharing Agreement or Collaborative Research Agreement immediately after submission of the application.

5. Any additional supporting documents that are relevant to your application (that are not included in the mandatory attachments). This may include additional figures, business plans, publications, patents, or other documents. Please note that reviewers are not obligated to read these additional documents in their assessment of the project.

#### **TERMS AND CONDITIONS TAB**

All terms and conditions must be checked prior to submission.



## **APPENDIX 2: COMPLETING THE PROPOSAL QUESTIONS**

### **SECTION A: COLLABORATION FOUNDATION AND CAPABILITY**

#### **1. Qualifications of Principal Investigators and Co-Investigator(s)**

Briefly describe the relevant qualifications of the Principal Investigators (PIs) and other senior level investigators involved in the project for both Ontario and China. Include a list of five representative achievements within the past five years (e.g., peer-reviewed publications, invention disclosures, patent applications or licenses). Please limit your answer to 500 words in 12 point type for each project lead. Attach detailed CVs of PIs and Co-Investigator(s) with information on key publications and accomplishments in Supporting Documents Tab.

#### **2. Role of Project Partners and Expected Contribution**

Briefly explain the role each project partner will play in the project, including the collaboration capability and expected contribution to the project. Please limit your answer to 500 words in 12 point type for each partner.

#### **3. Role of Private Sector Partner(s) and Expected Contribution**

Describe the role each private sector partner will play in the project, including the collaboration capability, resource commitment and expected contribution to the project. Please limit your answer to 500 words in 12 point type.

#### **4. Collaboration Foundation and Feasibility**

Describe whether the Ontario project team and China project team have established a mutually agreed upon collaboration platform and regular communication channels. In addition, please specify whether both sides are able to commit related project resources, including talent, technology, funding and project management, to ensure both teams can implement the project and achieve project objectives. Please limit your answer to 500 words in 12 point type.

### **SECTION B: RATIONALE FOR COLLABORATING WITH CHINA**

#### **5. Urgency and Necessity of Collaborating with China**

Please define the scientific, economic, or social problem(s) that the research project team aims to address. Specify how the research can address a strategic need for Ontario and China. Describe the urgency and necessity of collaborating with China to provide solutions to the problem(s). Outline how the collaboration will lead to the advancement of scientific research capabilities and generate economic and social benefits for Ontario and China. Please limit your answer to 1,000 words in 12 point type.

#### **6. Complementary Strengths between Ontario and China Teams**

Specify the complementary strengths between Ontario and China teams, including: core technology strength, commercialization capabilities, leading-edge scientific theories, technical support, talent resources and market opportunities, etc. Please limit your answer to 1,000 words in 12 point type.

## **SECTION C: PROJECT PLAN AND SCIENTIFIC EXCELLENCE**

### **7. Project Abstract**

Provide an abstract of the project using no more than 500 words in 12 point type and in non-technical language. Please do not include images and/or charts in the summary description.

### **8. Project Research Plan and Methodology**

Describe the research plan and scientific methodology to be used within the context of current advances in your discipline to achieve the project objectives outlined. Please limit your answer to 10 pages in 12 point type.

### **9. Scientific Excellence and Innovation**

Outline the uniqueness of this research project, highlighting the scientific breakthroughs and innovation involved. Specify your project's competitive advantages over state-of-the-art research in your field or other similar solutions available in Ontario, Canada and/or the rest of the world. Please limit your answer to five pages in 12 point type.

### **10. Commercialization Plan**

Describe the long- and/or short-term commercialization potential of the research and when the commercialization can be achieved. Please provide a brief market analysis (with both qualitative and quantitative information). Indicate who is interested in the outcome of any research and strategic alliances, partnerships, or licensing agreements you have, or plan to have, in place. Outline the key steps that will lead to the potential commercialization of the research outcomes, such as licensing the Intellectual Property (IP) rights, spinning off companies and setting up joint venture companies. Please limit your answer to 5 pages in 12 point type.

### **11. Communications Plan**

Describe how you will communicate the project's scientific accomplishments and activities. Please limit your answer to 500 words in 12 point type.

## **SECTION D: RESULTS SHARING AND INTELLECTUAL PROPERTY PROTECTION.**

### **12. Expected Research Results**

Describe the expected research results from the collaborative project, including publications, new technologies, new products, new devices, new know-how, new materials, and intellectual property rights, etc. Please limit your answer to 1,000 words in 12 point type.

### **13. Research Results and Intellectual Property Sharing**

Describe how project partners will protect and share research results and intellectual property (IP) rights emerging from the collaborative project. Please limit your answer to 1,000 words in 12 point type.

## **SECTION E: POTENTIAL BENEFITS FOR ONTARIO AND CHINA**

### **14. Potential Scientific Benefits**

Outline the potential scientific benefits for Ontario and China and specify whether the project will enhance the profile of Ontario and China within the international research community and generate new intellectual property rights, patents and licenses. Limit your answer to 500 words in 12 point type.

### **15. Potential Economic Development Benefits**

Describe whether the project will generate economic development benefits through the potential commercialization of the research results, investment attraction and new high value job creation in Ontario/China. Please limit your answer to 500 words in 12 point type.

### **16. Potential Talent Attraction and Retention**

Describe whether the project will draw top international research talent to Ontario or attract and retain Highly Qualified Personnel (HQP) in key sectors. Is a researcher (including both graduate and post-graduate) exchange or internship program a component of the project? Please limit your answer to 500 words in 12 point type.

### **17. Potential Social and Other Benefits**

Describe whether the project will have a significant impact on societal needs and sectoral/regional challenges and/or generate other benefits, such as environmental benefits. Please limit your answer to 500 words in 12 point type.

## **SECTION F: PROJECT IMPLEMENTATION FEASIBILITY**

### **18. Project Management**

Applications must clearly outline how the project will be managed.

- Identify the project manager and other key project management staff.
- Provide a resume of the project manager (if known at the time of application).
- Describe the proposed governance structure to manage the project (e.g. Academic Committee, Board of Directors, with a manager or an executive director). The governance structure should not include Ontario government participation.
- Indicate how you plan on forming and maintaining partnerships and coordinating with relevant organizations such as industry, engineering/consulting firms, government ministries or agencies, universities, colleges, and other research institutes) and individuals.

Proposals must also outline how research capacity will be sustained after completion of the project. Please limit your answer to 1,000 words in 12 point type.

**(Important:** Ensure the proposed governance structure is commensurate with the size, scope and complexity of the proposed project.)

## **19. Project Resources**

Provide an overview demonstrating the lead organization's ability to manage and achieve the project's objectives. Include details of the organization's governance, staff resources, financial viability, legal and accounting services, communications infrastructure, and the geographic extent of its activities in Ontario and/or China. Please limit your answer to 1,000 words in 12 point type.

## **SECTION G: PROJECT REVIEW**

### **20. External Expert Reviewers**

Please provide the names and contact information of three experts who could provide scientific review of your application. The suggested experts should not have a conflict of interest (CoI) with the proposal or any of the researchers associated with the proposal. (Please see CoI Agreement for Expert Reviewers). In this section, you may also provide up to two names of experts you do NOT want to provide a scientific review of your application.

**Important:** OCE reserves the right to choose reviewers and may select reviewers other than those suggested by the applicant.