

VOUCHER FOR INNOVATION AND PRODUCTIVITY I (VIPI)

Application Instructions



Ontario Centres of
Excellence
Where Next Happens

APPLICATION INITIATION AND SUBMISSION INSTRUCTIONS

- The full program guidelines can be found on the [OCE website](#).
- Applications must be initiated by submitting a [client intake form](#).
- Applications from college faculty must be submitted by a member of the college applied research office.
- Applications may be submitted at any time, and will proceed directly through internal and external review.

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. 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, 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.
2. Once the application has been deemed complete, OCE will issue the funding agreement to the academic research office and industry partner for electronic signature. Please ensure that the agreement is received and signed by all partners. The application will proceed to external review when all signatures are received.

PROGRAM CONTACTS

- For project-related inquiries, including assistance with application development and partnerships:
 - Contact your local OCE Business Development Manager (<http://www.ontario.org/contact-us/business-development-contacts>) or OCE Application Support (application-support@oce.zendesk.com) to direct your inquiry to the appropriate Business Development team.
- For inquiries related to program eligibility, guidelines, contracting and funding disbursements:
 - Angela Fong, Program Manager (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, 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. Academic Institution
 - Select the applicant institution from the drop-down list. For this program, the applicant must be from an Ontario academic institution (university, college or research hospital).
3. Duration
 - Provide the duration for completion of the proposed activities. Ensure that the duration is realistic and in keeping with the program guidelines (maximum 12 months).
 - If the project is approved, the start date will be set once all requirements for activation of the project are met, and the end date will be automatically calculated based on the project duration.
4. 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.
5. 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 of pursuing.
 - **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 will offer to the potential consumer.
 - **Building the Business Case and Plan (stage 2)** - The last stage of concept development when it is crucial for companies to perform a solid analysis before beginning to develop 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 all requirements of the previous stage-gates. Development teams must devise a marketing strategy to generate customer demand for the product. The company must also estimate market size for a new product so as to be able to determine their starting volume production. The launch stage must also cover the training of both sales and support personnel who are highly familiar with the product and able to promote market sales.
- D. Ontario Innovation Agenda: Select one of the following sectors that best reflects your project:
- Bio-economy and clean technologies
 - Advanced health technologies
 - Pharmaceutical research and manufacturing
 - Digital media and information & communication technologies
 - Advanced manufacturing
6. Keywords
- Add keywords that describe the technical elements of the application. This will assist OCE in identifying suitable expert reviewers.
7. Program Partners
- The OCE Business Development manager will determine eligibility and suitability of the project for funding by any of the following Program Partners, and will select the corresponding checkbox within the application. The selected Partner(s), if applicable, will appear in this section.
 - NSERC Engage
 - NSERC Engage for Colleges
 - NRC-IRAP
 - CARIC

TEAM INFORMATION TAB

1. Applicant Information

- The applicant is typically the recipient of the OCE funding. For this program, the applicant (and co-applicant, if applicable) must be a principal investigator at an Ontario university or research hospital, or an applied research officer at an Ontario college.
- Select the number of co-applicants (if applicable) to add the appropriate number of contact sections.
- For all project contacts, provide the full first name (no short versions or nicknames), full institution name and email address.

2. Project Contributors

- Project Contributors are companies (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.
- For all project contacts, provide the full first name (no short versions or nicknames), full legal company name and email address. The company name will be included in the OCE Funding Agreement; do not include multiple names from the same company in this section.
- Each Project Contributor 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.

- NSERC section:
 - For projects with NSERC Engage or NSERC Engage for Colleges as a Program Partner, the Project Contributor must also complete the additional NSERC Section within the Company Profile.
- Business Development Bank of Canada section:
 - Companies that require a loan to support their contribution towards a VIPI project, or who have other business projects that need financing, can apply for a loan of up to \$50,000 with zero fees and flexible, convenient terms. Additionally, BDC offers a range of advisory services to assist SMEs in accelerating growth, improving productivity and building organizational capabilities.
 - Industry partners on VIP projects have simplified access to BDC financing through a dedicated, online portal for OCE client companies. Loans are generally available within two to five business days.
 - If the industry partner would like access to the BDC portal, they should select “Yes” in the checkbox. For more information about BDC and its programs to support SMEs, contact Catherine Vanderzwan at Catherine.VANDERZWAN@bdc.ca.

3. Project Team Members

- Click on the button “Click here to Enter/Edit Team Member Table” to open the Team Table.
- List all academic 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 aligns with the activities in the Milestone table.

PARTNERSHIP TAB

This tab will appear for projects with a Program Partner (NSERC Engage, NSERC Engage for Colleges, NRC-IRAP or CARIC) selected. Click the link at the top of the tab for a summary of the program guidelines and specific eligibility criteria for that Program Partner.

1. Complete the data fields required by the Program Partner:

NSERC Engage or Engage for Colleges:

- NSERC PIN
- NSERC Research Subject codes (Primary and Secondary)
- NSERC Area of Application codes (Primary and Secondary)
- Environmental Assessment Pre-Screening questions

NRC-IRAP:

- 2-digit and 6-digit NAICS Codes

2. Attach the following program-specific documents in the Attachment section at the bottom of the tab. All forms and templates are available for download in the NSERC Attachment section:

NSERC Engage:

- NSERC Engage Terms and Conditions of Applying Form (signed and dated). The 2015 version of the form must be used.



- NSERC Environmental Information Form (Appendix 1) – only required if any answer to an the Environmental Pre-Screening question is Yes
- Support letter from the Project Contributor (industry partner) including the following:
 - evidence of a corporate objective to grow through the development, in Ontario, of innovative, technology-driven new or improved products, services or processes;
 - the nature of the company-specific problem;
 - the efforts to date that the company has invested in addressing this problem;
 - the reasons for being involved in the proposed collaboration;
 - how the company expects to integrate the research results into its operations;
 - the further effort the company will invest to advance the results in Ontario;
 - what benefits the anticipated outcomes will bring to the company and to the Ontario economy, as well as the relevant timeframe for achieving those benefits;
 - the anticipated interaction of the company’s personnel with the applicant during the project; and
 - the company's support for, contribution to, and agreement with the proposal submitted to NSERC

NSERC Engage for Colleges:

- NSERC Environmental Information Form (Appendix 1) – only required if any answer to an the Environmental Pre-Screening question is Yes
- Support letter from the Project Contributor (industry partner) including the following:
 - evidence of a corporate objective to grow through the development, in Ontario, of innovative, technology-driven new or improved products, services or processes;
 - the nature of the company-specific problem;
 - the efforts to date that the company has invested in addressing this problem;
 - the reasons for being involved in the proposed collaboration;
 - how the company expects to integrate the research results into its operations;
 - the further effort the company will invest to advance the results in Ontario;
 - what benefits the anticipated outcomes will bring to the company and to the Ontario economy, as well as the relevant timeframe for achieving those benefits;
 - the anticipated interaction of the company’s personnel with the applicant during the project; and
 - the company's support for, contribution to, and agreement with the proposal submitted to NSERC

NRC-IRAP:

- Document (email or letter) from the company’s IRAP Industrial Technology Advisor (ITA) confirming IRAP approval of the project (if IRAP has provided a decision on the project)

3. For projects partnered with NSERC Engage or NSERC Engage for Colleges, click the Acknowledgement to confirm the first-time interaction between the applicant/college and company.

PROPOSAL TAB

1. Milestone Table
 1. Click on the button “Add/Edit Milestone” to enter project milestones.
 2. 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 (academic institution or Project Contributor).
 3. For the time frame, enter the estimated start and end month of the activity (e.g. From Month 1 to Month 3).
 4. Milestones/activities must 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 and Program Partners (if applicable) to assess project progress and outcomes.



2. Proposal

1. Click on the button "Download Word Template" to open a fillable word document containing the EOI questions.
2. Complete all questions in the template, in partnership with the Project Contributor.
3. If the project includes NSERC Engage, NSERC Engage for Colleges or NRC-IRAP as a Program Partner, complete the additional questions pertaining to that partner.
4. Save the completed file as a pdf document.
5. Click on the button "Upload Proposal" to upload the pdf file to the application.

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, all Project Contributors (industry partners) and Program Partners (if applicable) 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, Project Contributor, and Program Partner (if applicable)).
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 \$20,000, with a minimum 1:1 match from the Project Contributor of which at least 25 per cent must be in cash.
- For a list of eligible OCE-funded expenses, please see the following link: <http://www.oce-ontario.org/docs/default-source/default-document-library/vip-schedule-c-eligible-expenses.pdf?sfvrsn=2>.
- For projects with NSERC Engage, NSERC Engage for Colleges, NRC-IRAP or CARIC selected as a Program Partner, the items funded by the partner must be included as line items within the project budget (do not use the Other Contributions section).
- For NSERC-partnered projects please consult the Engage website to confirm eligibility of NSERC-funded expenses: http://www.nserc-crsng.gc.ca/Professors-Professeurs/RPP-PP/Engage-Engagement_eng.asp. In particular please note the following:
 - Expenses related to publications and conferences are not eligible for NSERC funding
 - For Engage for Colleges only: The following expenses are eligible for NSERC funding: equipment/material/operating costs (up to 20 per cent of NSERC budget), overhead/administration (up to 20 per cent of NSERC budget), project management



(up to 10 per cent of direct NSERC project costs), faculty release costs (up to \$9K/course/semester)

- Institutional overhead is an ineligible project expense and must not be included in the budget (with exception to Engage for Colleges as described above).
- 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, 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 roles 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).

For NSERC-Engage partnered projects, the following format is mandatory:

- NSERC Form 100 - Personal Data Form (including the free-form attachment) of the applicant. CCV format is not permitted for this program.

For NSERC-Engage for Colleges partnered projects, the following format is mandatory:

- NSERC Form 103CV – College and Community Innovation Personal Data Form. The 2015 version of the form must be used (pages 1 to 4, plus the free-form attachment). This form must be provided for the applicant and all college faculty members who are participating in the project.
- Free-form CVs for all Project Contributor (industry partner) team members who are participating in the project

2. Schedule D – Intellectual Property Term Sheet (mandatory). This Schedule D will be incorporated into the OCE funding agreement and must be agreed upon by all parties (applicant, institution and Project Contributor(s) (industry partner(s)), as applicable.

For NSERC Engage partnered projects, please ensure that the Schedule D is in compliance with NSERC Engage IP policy (all IP is owned by the Project Contributor).

3. 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.