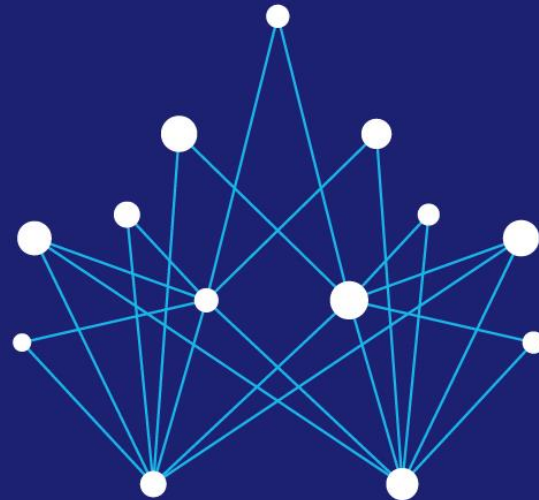


CARIC Program Framework



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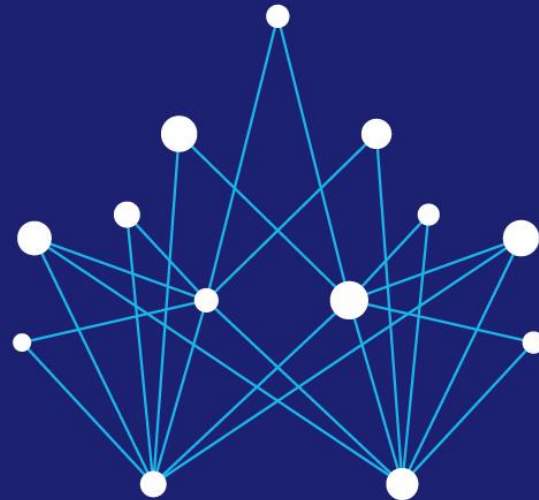
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CARIC Program Framework

- ▶ Section 1: Basic Project Guidelines
- ▶ Section 2: Evaluation Criteria
- ▶ Section 3: Funding guidelines



Section 1: Basic project guidelines



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CARIC Basic Project Guidelines : **Understanding-technology Projects (LOW-TRLs)**

Partnership	<ul style="list-style-type: none">• Industry-led projects• Universities, colleges and research centers delivered• A minimum of 2 industrial partners + 2 academic partners• Typical duration: 3-4 years
Funding (including indirect costs)	<ul style="list-style-type: none">• Maximum public funding: 75% of eligible project expenditures• Maximum NSERC leverage applied on Industry cash and in-kind contribution• CARIC contribution (non-refundable): 10% of eligible project expenditures<ul style="list-style-type: none">➤ Funding from other programs used when available• Funding recipients: universities or colleges
Approval Process	<ul style="list-style-type: none">• CARIC:<ul style="list-style-type: none">○ Scientific Committee<ul style="list-style-type: none">➤ Approves Project statement (5 pages) and budget<ul style="list-style-type: none">▪ Approval based on CARIC's program requirements<i>* See evaluation criteria section</i>○ Board approval (if outside of framework)<i>Note 1 : Selection appeal process based on NSERC approach</i>• NSERC:<ul style="list-style-type: none">➤ Approves full research proposal<ul style="list-style-type: none">▪ Approval based on NSERC's CRD program criteria<i>Note 2 - Project Agreement must be signed within 2 months from NSERC's approval</i> <i>Note 3 – If NSERC's funding is not awarded, Scientific Committee could make funding recommendation to the EC or the Board</i>• Other funding programs approval whenever applicable
Intellectual Property	<ul style="list-style-type: none">• CARIC generic Project Agreement (mandatory)

CARIC Basic Project Guidelines : **Maturing-technology Projects (MID-TRLs)**

Partnership

- Industry-led projects
- Industry delivered
- A minimum of 2 industrial partners + 2 academic partners
- Strongly recommended to include an SME (evaluation criteria)
- Typical duration: 2-3 years

Funding (Including indirect costs)

- Industry contribution: 50% of eligible project expenditures
- CARIC contribution (non-refundable): 50% of eligible project expenditures
 - Funding from other programs used when available
- Funding recipients: industries

Approval Process

- CARIC
 - Scientific Committee
 - Approves research proposal (10 -15 pages)
 - Selection based on technical excellence and program requirements
 - Board approval (if outside of framework)

Note 1 : Selection appeal process based on NSERC approach

Note 2 - Project Agreement must be signed within 4 months from CARIC's Scientific Committee approval
- Other funding programs approval whenever applicable

Intellectual Property

- High level IP guidelines provided
- A specific project Agreement (generic template provided by CARIC)

CARIC Basic Project Guidelines: **CANNAPE Projects (LOW-TRLs)**

Partnership

- Industry-led projects
- Universities, colleges and industry delivered
- A minimum of 2 industrial partners + 2 academic partners in Canada
- A minimum of 3 independent organizations from 3 different EU member state
- Joint proposal among Canadian and European partners
- Typical duration: 3-4 years

Funding (including indirect costs) Separate budget for Canadian side

- Industry contribution of 25% of eligible project expenditures
- NSERC contribution of 25% of eligible project expenditures
- CARIC contribution of 50% (non-refundable) of eligible project expenditures
- Funding recipients: universities ,colleges and industries

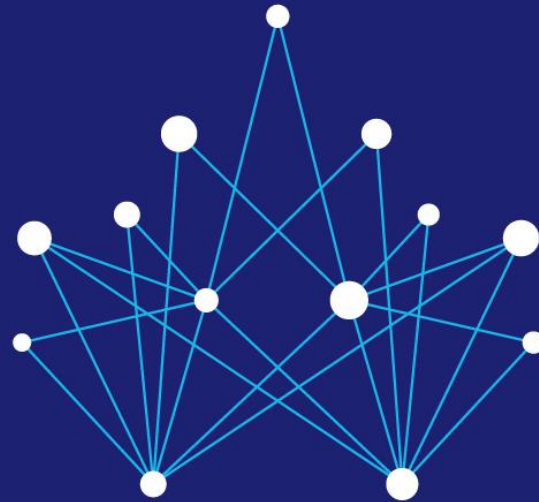
Approval Process (CARIC manages the evaluation process on the Canadian side. Separate approval process; coordinated decision)

- Formal submission of proposals by April 23rd, 2015 (coordinated call deadline)
- CARIC
 - Scientific Committee
 - Approves relevance of project and budget summary according to call topics, objectives and partnership balance
 - Board approval (if outside of framework)
 - Note 1 : Selection appeal process based on NSERC approach*
 - NSERC:
 - Approves research proposal
 - Approval based on scientific merit
 - * See evaluation criteria section*
 - Evaluation by expert committees in Canada and in Europe; ranking on both sides
 - Coordination for final ranking and decision
- Note: Project Agreement must be signed within 3 months from NSERC's approval

Intellectual Property

- A negotiated international project Agreement

Section 2: Evaluation criteria



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Evaluation Criteria

LOW TRL Projects <i>As used by CRIAQ's Scientific Committee and proposed to CARIC</i>	Mid TRL Projects <i>Proposed to CARIC</i>
<p><u>Quality of project</u></p> <ul style="list-style-type: none">• Scientific and technical challenge• Project plan and Statement of work definition• Breadth of capabilities of research team• Compliance with funding program policies and project guidelines <p><u>Impact</u></p> <ul style="list-style-type: none">• Envisioned maturation path at the end of project• Potential alignment with CAETRM technology roadmap• Training of HQP• Potential for medium-long-term partnerships among partners <p><u>Project management</u></p> <ul style="list-style-type: none">• Track record of academic lead• Project management plan• Technological , managerial and financial resources to deliver the project	<p><u>Feasibility and technical excellence</u></p> <ul style="list-style-type: none">• Project relevance• Innovating technological content• Positioning of the research vs state-of-the-art• Maturity and gap assesment of technological domain <p><u>Impact</u></p> <ul style="list-style-type: none">• Envisioned maturation path at the end of project• Involvement of SMEs• TRL progression• Alignment with CAETRM technology roadmap <p><u>Project management</u></p> <ul style="list-style-type: none">• Coherence and effectiveness of the work plan, Technological , managerial and financial resources to deliver the project• Clear well-defined deliverables and milestones

Evaluation criteria

CANNAPE Projects

Harmonized set of criteria between EU and Canada for the coordinated call

Project Excellence

- Credibility of the proposed approach.
- Soundness of the concept, including trans-disciplinary considerations, where relevant
- Extent to which proposed work is ambitious, has innovation potential, and is beyond the state of the art

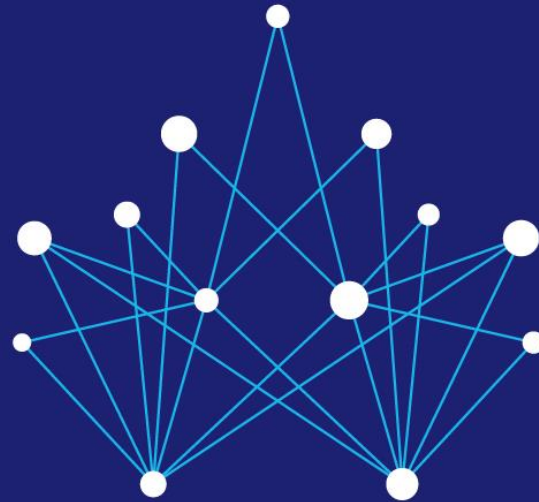
Impact

- To the competitiveness of Canadian and European companies
- To Canadian and European economies
- To enhancing innovation capacity and integration of new knowledge;
- To strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets;
- To tackle any other environmental and socially important challenge (not already covered above); such as : the reduction of emissions or training of highly qualified personnel
- Effectiveness of the proposed measures to exploit and disseminate the project results

Quality and efficiency of the implementation.

- The ability and capacity of the project team: both Canadian and European applicants have technological and managerial capabilities and financial resources to deliver the project
- Complementarity of the participants within the consortium
- Balanced effort between Europe and Canada
- Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources

Section 3: Funding guidelines



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Optimized Funding scenarios

Type of collaboration	Description	Funding(example)	
		Cash	In-kind
National or international	Low TRL with provincial funding Total project value (\$125K)	\$25K IND \$50K NSERC \$15K PROV \$10K CARIC	\$25K IND
	Low TRL without provincial funding Total project value (\$130K)	\$30K IND \$60K NSERC \$10K CARIC	\$30K IND
	Mid TRL with federal funding Total project value (\$100K)	\$25K IND \$50K CARIC	\$25K IND*
Canada-Europe coordinated call "CANNAPE"	Canada-Europe joint projects with specific set or rules Low TRL projects Total project value (\$100K)	\$12,5K IND \$50K CARIC \$25K NSERC	\$12,5K IND

* In-kind as defined in Contribution Agreement with Industry Canada

