



Michael Smith Foundation for  
**Health Research**

**2006**

**Infrastructure Program**

**Technology/Methodology Platforms**

**Award Program**

**Master Package**

## **MASTER PACKAGE OUTLINE**

### **PART 1                    Application Cover and Signatory Form**

- 1.1    Implications of Signatures
- 1.2    Use and Disclosure of Personal Information

### **PART 2                    Business and Strategic Plan Template**

- 2.1    Purpose of Technology/Methodology Award Program
- 2.2    Key Competition Dates
- 2.3    Submission Deadline and Details
- 2.4    Award Term and Amount
- 2.5    Definitions and Abbreviations
- 2.6    Application Format
- 2.7    Business and Strategic Plan Content
  - Section A: General Information
  - Section B: Proposed Platform
  - Section C: Proposed Platform Team
  - Section D: Environmental Scan
  - Section E: Proposed Platform Access
  - Section F: Platform ROI/Value Add
  - Section G: Marketing and Training Plan
  - Section H: Financial Planning
  - Section I: Budget Documentation
  - Section J: Risk Analysis
  - Section K: Progress Evaluation Measures
  - Appendix A: CVs/Résumés of Co-leaders
  - Appendix B: CVs/Résumés of Team Members
  - Appendix C: Sources of Cash
  - Appendix D: Uses of Cash
  - Appendix E: Incremental In-Kind Contributions

### **PART 3                    Supplementary Guidelines**

- 3.1    MSFHR Eligible and Ineligible Expenses
- 3.2    Business and Strategic Plans Evaluation Criteria
- 3.3    Business and Strategic Plans External Review Process
- 3.4    Reporting and Accountability
- 3.5    Notification of Changes



Michael Smith Foundation for  
**Health Research**

## Part 1

### Application Cover and Signatory Form

Name of Platform	For MSFHR Use Only
Focus of Platform (maximum 20 words)	
Name of Platform Co-Leaders (Last Name, First Name) – maximum of four (4) 1. 2. 3. 4.	
Address for Correspondence including contact information (Telephone #, Fax #, email address). Note: list addresses in the order of the Co-Leaders above. 1. 2. 3. 4.	
Name of Primary Administrative Contact	
Address for Correspondence	Telephone:  Fax:  Email:

Name of Financial Administrator				
Address for Correspondence			Telephone:	
			Fax:	
			Email:	
Amount of Funding Requested				
Year 1 \$	Year 2 \$	Year 3 \$	Year 4 \$	Year 5 \$

**Signatures: This form must be signed by each of the Co-leaders, the host institution and all Team Members as defined in Section #2.5 of the Business and Strategic Plan Template. Add additional pages as needed. (Please refer to Section 1.1 below for "Implications of Signatures" and Section 1.2 for "Use and Disclosure of Personal Information").**

**We the undersigned have read Sections 1.1 and 1.2 below and agree to the terms outlined.**

1. Platform Co-Leader		
_____	_____	_____
Print Name	Signature	Date
2. Platform Co-Leader		
_____	_____	_____
Print Name	Signature	Date
3. Platform Co-Leader		
_____	_____	_____
Print Name	Signature	Date
4. Platform Co-Leader		
_____	_____	_____
Print Name	Signature	Date

VP, Research or Designate, Host Institution	
_____	_____
Print Name	Date
VP, Research or Designate, Host Institution	
_____	_____
Signature	Name of Host Institution

1. Platform Team Members		
_____	_____	_____
Print Name	Signature	Date
2. Platform Team Members		
_____	_____	_____
Print Name	Signature	Date

**1.1 Implications of Signatures**

**A. Applicant’s signature**

The signature on the application form means that the applicant agrees:

1. the information on the application is complete, accurate and consistent with his/her institution’s policies, to the best of the applicant’s knowledge. The provision of false or inaccurate information may result in sanctions, including the termination of funding and disentitlement from eligibility for future funding;
2. to inform MSFHR of any changes in the applicant’s eligibility status;
3. if awarded, to use the grant only for the purpose for which it was awarded;
4. to meet all the reporting requirements of MSFHR;
5. to meet all ethical and research policies of his/her institution(s) on animal care, biohazards, and research activities having potential effects on the environment, where applicable, and those outlined in the Tri-Council Policy statements: “Ethical Conduct for Research Involving Humans”;
6. to acknowledge MSFHR’s support in all publications and presentations associated with the Platform;
7. the information contained in the present document may be given by MSFHR to others for the purposes of evaluation on condition that such persons agree to respect the confidential nature of the information;
8. to the public release of summary information about the Technology/Methodology Platform, its plan and the award by MSFHR; and
9. to the terms and conditions of MSFHR, as set out in the guidelines.

**B. Host institution(s)’ signature(s)**

The signature of the VP, Research or his/her designate, of the institution of the applicant means that the host institution agrees:

1. the applicant is eligible to apply;
2. the institution is able and willing to administer the funds on behalf of and in accordance with the guidelines of MSFHR;
3. the applicant has, or will have, appropriate space available to do the proposed research;
4. to notify MSFHR when there is a change in status of the applicant(s); and
5. if an award is made, to withhold funding to the awardee until all award conditions of MSFHR and the host institution have been met, including the regulatory and ethical requirements on the use of animal subjects, human subjects and biohazardous materials.

### **C. Team Member's signature**

The signature on the application form means that the Team Member agrees:

1. that the information on the application is complete and accurate, to the best of the Team Member's knowledge. The provision of false or inaccurate information may result in sanctions, including the termination of funding and disqualification from eligibility for future funding;
2. to inform MSFHR of any changes in the Team Member's eligibility status;
3. to meet all ethical and research policies of his/her institution(s) on animal care, biohazards, and research activities having potential effects on the environment, where applicable, and those outlined in the Tri-Council Policy statements: "Ethical Conduct for Research Involving Humans";
4. to acknowledge MSFHR's support in all publications and presentations associated with the Platform;
5. the information contained in the present document may be given by MSFHR to others for the purposes of evaluation on condition that such persons agree to respect the confidential nature of the information;
6. to the public release of summary information about the Technology/Methodology Platform, its plan and the award by MSFHR; and
7. to the terms and conditions of MSFHR, as set out in the guidelines.

## **1.2 Use and Disclosure of Personal Information**

All information submitted by applicants to the MSFHR 2006 Technology/Methodology Platforms Award Program is used for the following purposes: to review applications, to administer and monitor awards, to compile statistics, and to promote and support health research in British Columbia. Consistent with these purposes, applicants should also expect that this information may be used in the following cases:

1. For peer-review purposes: applications are disclosed to peer review committees composed of experts recruited from the research community. Applications may also be sent to external expert reviewers for review. MSFHR informs all reviewers of their obligations to maintain confidentiality and to observe the MSFHR Conflict of Interest Policy regarding the information entrusted to them.

For the purposes of the Technology/Methodology Platforms Award Program, the comments of the External Expert Reviewers will be provided to the External Oversight Review Panel only. **All external participants in the peer review process will be required as a condition of participation to sign a standard confidentiality agreement with MSFHR**

**which will provide appropriate restrictions on the use, retention, and disclosure of information contained in the proposals.** A summary of the deliberations of the External Oversight Review Panel will be provided only to the applicant.

Information supplied in the application will be made available to:

- a) funding partners and/or potential funding partners who may increase the total numbers of applications funded,
  - b) Foundation advisory bodies and staff who are not in conflict of interest and who may or may not be directly involved in the peer-review and award administration process.
2. For the purposes of public information: MSFHR routinely publishes and disseminates certain details about successful applicants, including the name of the applicant, the institution, the research location, the title of the funding proposal, and a summary of the proposal. This information is normally posted to the MSFHR website, upon award approval by the MSFHR Board of Directors.
  3. For administrative and planning purposes: MSFHR uses all information submitted by applicants for program planning, evaluation, review and audits, and for generating statistics for these activities. This information is also used to generate mailing lists for dissemination of MSFHR publications and other information to the research community.



## Part 2

# Business and Strategic Plan Template

### 2.1 Purpose of Technology/Methodology Platforms Award Program

The purpose of the Technology/Methodology Platforms Award Program (the “Program”) is to develop and implement essential cross-cutting technology and methodology platforms (the “Platforms”) as provincial resources that will support a broad range of health research applications across BC. A key goal of the Program is to establish a level of shared research infrastructure that will significantly advance the national and international competitiveness of BC’s health research community and strengthen the application of research (knowledge translation) in the advancement of health, health policy, health system innovation, and economic opportunity.

### 2.2 Key Competition Dates

Submission of Full Business and Strategic Plans	Dec 1, 2006
External Oversight Review Panel/Reverse Site Visits	Feb 2007
Funding level to be recommended by the External Oversight Review Panel	Feb 2007
Approval of Awards and Funding Levels by MSFHR Board of Directors	Mar 2007
Announcement of Funding Decisions	Mar 2007
Commencement of Funding	April 1, 2007 onwards

### 2.3 Submission Deadline and Details

All submissions must be received by 4:00 pm, December 1, 2006 to the following:

Dr. Angela Todd  
Michael Smith Foundation for Health Research  
Suite 200, 1285 West Broadway  
Vancouver, BC V6H 3K8

All submissions must be clearly marked, “Business and Strategic Plan Submission for Technology/Methodology Platforms Award Program”. One original unbound copy, ten (10) bound copies, and one CD copy shall be provided. Faxed or email submissions will not be accepted.

MSFHR will **not** accept any late submissions.

## 2.4 Award Term and Amount

The full term of the award is April 1, 2007 to March 31, 2012 (five years). The current approved budget for the Program provides for funding for three Platforms of up to \$500,000 per year per Platform for the period April 1, 2007 to March 31, 2009. MSFHR is seeking additional funding in order to support more Platforms than the initial three with start dates for them planned sometime after April 2007. As well, MSFHR is seeking additional funding to support full five year awards but, at this point, cannot guarantee funding for more than three initial Platforms nor funding beyond March 31, 2009. Funding beyond March 31, 2009 will be contingent upon a successful review of the Platform's interim progress towards the Program goals (to be undertaken during the second year of funding) and upon the Foundation's annual budgetary approval.

Recognizing that Platforms will vary in their scope of activities and funding requirements as they move from start-up to being financially and operationally viable, MSFHR will entertain requests for higher levels of funding in years three to five up to a maximum of \$1.5 million per year. This additional funding will be subject to availability of Foundation funds for the Program, review of the Platform's progress in the first 2 years, and demonstrated need and justification for additional funding. As part of reviewing the Business and Strategic Plan of each Platform, the External Oversight Review Panel will carefully scrutinize the five-year budget request and justification for the purpose of recommending an appropriate award amount over the full five-year award term. However, again, at this stage MSFHR can only guarantee funding up to \$500,000 per year to March 31, 2009.

## 2.5 Definitions and Abbreviations

### **Business and Strategic Plan**

The overall proposal for a Platform submitted by the Stage 2 Applicant, which is comprised of all required sections and detailed plans including a financial analysis and budget justification.

### **Co-leaders**

A minimum of two individuals and no more than four individuals who are identified by the Stage 2 Applicant as the Co-leaders of the Platform.

### **Contact Person**

An individual who is a Co-leader and is identified by the Stage 2 Applicant as the individual with whom MSFHR conducts all correspondence regarding the Stage 2 Applicant's Business and Strategic Plan.

### **Governance Oversight Committee**

An independent committee which is representative of the stakeholders and has the appropriate expertise to oversee, advise, and provide final approval on all major strategic and financial management decisions of the Management Team. Committee members may include representatives from the health research community, health authorities, the Ministries of Advanced Education, Economic Development and Health, private industry, the business and finance sectors, patient groups, and/or the general public. The Management Team and Team Members cannot be voting members of the Governance Oversight Committee, but can attend meetings as observers or presenters.

### **Host Institution**

A not-for-profit organization, academic institution or Health Authority funded by the BC government, which is the nominated employer of one or more of the Co-leaders of the Stage 2 proposal. One host institution per Platform must be identified as the administrator of MSFHR award funds.

### **Management Team**

The Management Team is comprised of Co-leaders, selected Team Members and staff who, as a group, manage the overall development, implementation and operation of the Platform. The Management Team should include at least one individual who has the necessary credentials to provide financial management for the Platform.

### **MSFHR**

Michael Smith Foundation for Health Research

### **Platform**

An essential cross-cutting technology or methodology that is provincial in scope and supports a broad range of health research applications across BC institutions, research teams and research applications. It aims to:

- increase access to the research technology or methodology beyond current users and beyond what is currently available;
- enhance BC's competitive advantage for national and/or international research funding, accomplishment and innovation; and
- add value to BC's academic performance, health system outcomes and/or economic development.

### **Platform Users**

The ultimate users of the services offered by the Platform.

### **Return on Investment (ROI)/Value Add**

Quantifiable measures or qualitative factors that enhance the BC research community (who include, but are not limited to, academia, health, health system, and industry/economic development) through the creation of something that is different from and/or additional to what is currently available.

### **Stage 1 Applicants**

A group of Co-leaders and Team Members who have come together to submit a single Expression of Interest for Stage 1 of the Technology/Methodology Platforms Award Program.

### **Stage 2 Applicants**

Stage 1 Applicants who have been short-listed and invited (singly or as one of several Stage 1 Applicants) to develop a Business and Strategic Plan for a Platform.

### **Stakeholders**

All Co-leaders, Team Members and other parties that have a vested interest in and are required for a Platform to be planned, developed and to achieve operational and financial viability.

### **Team Members**

Individuals identified by the Stage 2 Applicants who will **significantly** contribute to the start-up/development, implementation and/or financial or operational viability of a Platform but who are not taking a Co-leader role.

## 2.6 Application Format

The following table lists the required sections of a full application.

Section	
	Cover Letter
	Application Cover and Signatory Form
	Executive Summary
	Table of Contents
	Sections A through K
App A	CVs/Résumés Co-leader
App B	CVs/Résumés of Team Members
App C	Sources of Cash
App D	Uses of Cash
App E	Incremental In-Kind Contributions

To be eligible for review, all proposals **must** adhere to the instructions for presentation and content, and use the numbering system provided (e.g. Sections A - K). Stage 2 Applicants are permitted to use sub-sections as appropriate. Except for the appendices, all materials must be presented as follows.

- Arial font (regular), minimum 11-point
- Text printed single-spaced
- Each page printed single-sided
- One-inch margin on all sides of each page
- A header on each page with the Platform Team's name in the top left-hand corner, and the section number and page number in the top right-hand corner
- The maximum page count for the full proposal must not exceed 25 pages including the executive summary and content pages but not including the appendices, cover letter, application cover and signatory form, or table of contents. Additional pages beyond the maximum will be removed and shredded by MSFHR prior to further processing

## 2.7 Business and Strategic Plan Content

The objective of the Business and Strategic Plan is to demonstrate that the Platform meets the objectives of the Program as articulated in the evaluation criteria (see Part 3 – 3.2). This plan should address the Platform life over a five (5) year time frame. The required contents of the Business and Strategic Plan are described below, structured under 11 sections (Sections A-K), plus five appendices (Appendices A-E).

### Section A: General Information

#### A.1 Contact Information

Include all information necessary to contact the designated Contact Person and a back-up person in case MSFHR cannot reach the designate. The back-up person need not be a Co-leader. Either contact must be available during business hours throughout the period of review (December 2006 to March 2007). Contact information at minimum must include the following.

- Name
- Title
- Organization

- Street address
- Postal address
- Phone number (Office)
- Phone number (Cell), if available
- Fax number
- Email address

### **A.2 Details of Co-leaders**

Identify the Co-leaders of the Platform and include at minimum their name, title and organization. In addition, provide the CVs/Résumés of each Co-leader in Appendix A. CVs must be in the format of the Canadian Common CV – MSFHR Abbreviated Version ([www.commoncv.net](http://www.commoncv.net)). Résumés for non-academic Co-leaders or Team Members should be a maximum of two pages in length and demonstrate that they have the educational, professional or other requirements necessary to fulfill their roles as Co-Leaders or Team Members.

### **A.3 Identification of all Team Members**

Identify all Team Members other than the Co-leaders and include at minimum their name, title and organization. In addition, provide CVs/Résumés of the **key** Team Members in Appendix B. The maximum number of CVs/Résumés to be provided, including the Co-leaders, is ten (10). CVs must be in the format of the Canadian Common CV – MSFHR Abbreviated Version ([www.commoncv.net](http://www.commoncv.net)). Résumés for non-academic Co-leaders/Team Members should conform with the requirements described in Section A.2.

## **Section B – Proposed Platform**

Provide a description of the Platform and how it will integrate and provide access to technologies and methodologies beyond what is currently available today.

## **Section C – Proposed Platform Team**

Provide a description of how the leadership team put forward will be able to successfully develop, implement, and operate the proposed Platform. In particular, Stage 2 Applicants should demonstrate that the Co-leaders and Team Members:

- have demonstrated leadership experience, particularly in large scale and/or innovative initiatives;
- as a group, are well integrated into the operation of the Platform;
- have demonstrated skills in successful collaboration;
- have credibility and experience relevant to their roles in the Platform; and
- represent the appropriate stakeholder groups.

### **C.1 Organization Chart**

Provide an organization chart that clearly shows the reporting relationships and lines of authority for the development and operation of the Platform. At minimum include a Governance Oversight Committee and Management Team.

## **C.2 Description of Key Roles**

Provide a description of key responsibilities and authorities of the major groups within the organization chart and for each individual on the Management Team.

## **C.3 Governance and Accountability Structures and Processes**

Provide a description of the governance and accountability structures and processes of the Platform and demonstrate that it is appropriately efficient and effective. For example, this section may include a description of approval processes for strategic, scientific, financial, and operational decisions. The Host Institution should be identified here, and the process for approving expenditures should be described.

## **Section D – Environmental Scan**

The purpose of the environmental scan is to provide context for the evaluation of the Platform. Provide references (e.g. website addresses, journal citations, etc) for all information and resources included in this section.

### **D.1 Current Resources**

Describe the current resources that are available in BC, nationally, and internationally that are relevant to the Platform area.

### **D.2 Gaps and Opportunities**

Identify the gaps in BC, nationally, and/or internationally, the associated problems health researchers, educators, and/or health system personnel are facing as a result, and how the Platform will contribute to addressing one or more of the gaps. In addition, address what opportunities may be created or pursued in BC with the establishment of this Platform.

### **D.3 Current and Projected (5-10 years) Needs and Trends**

Discuss the emerging and projected trends in the Platform area and how these will affect the needs and likely future directions and uses of the Platform.

## **Section E – Proposed Platform Access**

The purpose of this section is to describe the current users of the Platform's technology/methodology, if they exist, and to demonstrate how the proposed Platform will extend access to new users in the health research community, the health system and/or other sectors.

### **E.1 Description of Current Users of the Platform's Technology/Methodology –**

Identify and describe the current users of the Platform's technology/methodology, if they exist, including area of research focus, affiliation (e.g. geographic region, agency, institution, etc.), and how they use the technology/methodology. If the technology/methodology does not have any current users, indicate that this section is not applicable to the Platform application.

### **E.2 New Users and Increased Access to the Platform**

Describe the process by which Platform Users will gain access to the Platform. This process should be transparent, objective, reasonable, and fair. Also, describe how the Platform will increase access beyond the current users and team, such as:

- across health research applications;
- beyond established health researchers to include trainees and young investigators;
- across health authorities and/or the health system;
- across academic institutions; and
- new or enhanced interactions with health industries.

### **E.3 Supply and Demand**

Describe the anticipated supply and demand, providing numbers as appropriate and available including expected changes over time.

## **Section F – Platform ROI/Value Add**

The purpose of this section is to demonstrate how the proposed Platform will provide return on investment (ROI), value add and competitive advantage for the BC research community including, but not limited to, academia, health, health system, and industry/economic development. The ROI, value add and competitive advantage can be quantifiable or qualitative in nature. The Platform must create something that is different from and/or additional to what is currently available provincially, nationally and/or internationally. In addition, MSFHR may require, in its discretion, as a condition of funding, that it receive a return on its investment and this section should also address whether there is any scope for recovery of, or a return on MSFHR's funding through equity participation or participation in revenues received from user fees or commercial opportunities or other form of revenue sharing. Areas that may be addressed include:

- uniqueness of proposed Platform;
- ability of the Platform to support a broad range of health research applications;
- contribution to academia, health/health system outcomes, and/or economic development;
- contribution to likely/foreseeable future needs;
- contribution to economies of scale, increased efficiency, and user productivity;
- role of the Platform in helping trainees, young investigators, and other users to develop technical/methodological skills and/or expand their research;
- advancement of innovation in the health system;
- contribution to knowledge translation activities;
- process/product development or commercialization;
- enhanced competitive advantage for external funding;
- enhanced expansion of user base beyond members of the current Stage 2 applicant team and beyond BC;
- enhance BC's ability to participate and lead in national and international research agendas (academic, health and/or industry sectors) of both the current applicant team and future Platform Users; and
- potential for a return on funding provided by MSFHR.

## **Section G – Marketing and Training Plan**

The purpose of this section is to describe how awareness of the Platform will be achieved and ways that Platform users will be attracted and supported including the role of the Platform in helping trainees, young investigators, and other users to develop technical/methodological skills and/or expand their research.

### ***G.1 Platform Usage Development Plan***

Describe the marketing and training activities that will be developed and implemented for new Platform User groups across the span of the Platform's development and operational viability. Stage 2 Applicants should demonstrate that the marketing and training plan is extensive and effective in attracting new Platform users and supporting existing ones. In addition, describe how Platform users will be tracked and engaged in feedback loops for continuous improvement.

### ***G.2 Barriers to Access***

Discuss barriers that new and/or existing Platform users may face in accessing the Platform and identify the strategies to address these barriers.

## **Section H – Financial Planning**

The purpose of this section is to provide a high-level description of the major activities, processes, work products, and milestones associated with a phased implementation approach across the Platform's life from startup/development and implementation to financial and operational viability. Recognizing that Platforms may be at different phases at the time of initial MSFHR funding, this Financial Plan should reflect the Platform's degree of development at the time of initial funding. See Part 2 – 2.4, 'Award Term and Amounts', for additional information.

### ***H.1 Activities and Status of Development To Date***

Describe the activities of the Platform's development to date, if any. Specifically, describe the activities currently in progress, the activities already complete, and the major issues addressed by these activities. If no part of the Platform has yet been developed and implemented, please state that this section is not applicable to the Business and Strategic Plan.

### ***H.2 Platform Plan***

Describe the major activities, processes and work products that will be undertaken to fully develop, implement, and operate the Platform.

### ***H.3 Platform Schedule and Milestones***

Provide a timeline/timetable of the major activities and indicate the key milestones.

#### **H.4 Space**

Identify the space requirements of the Platform if applicable, and provide a letter of confirmation from the Host Institution(s) and/or other relevant organizations that the necessary space has been secured to support the Platform.

#### **H.5 Human Resources Plan**

Describe the human resource requirements of the Platform and address issues such as recruiting and hiring, compensation levels, and terms of employment. Consideration should be given to changing staffing requirements over the phased implementation of the Platform.

#### **H.6 Training and Mentoring Plan**

Describe the training and mentoring plan. This should:

- a. include a plan for staff, which may involve a mixture of formal or on-the-job training and external or in-house training courses. In addition, succession planning should be considered for any key personnel critical to the Platform's success.
- b. describe training, mentoring and/or other support activities designed to assist trainees, young investigators and other users to develop their technical/methodological skills and/or to expand their research.

#### **H.7 Agreements with Stakeholders**

Provide a description of the agreements that are in place or will need to be negotiated for the development, implementation, and financial and operational viability of the Platform. Describe the status of negotiations currently underway and the nature of the issues under negotiation.

Issues that may be addressed in these agreements include:

- a space plan;
- intellectual property;
- financial transfer agreements;
- publications/authorship rights;
- consenting processes;
- ethical considerations and confidentiality requirements;
- commercial opportunities; and
- sharing of risks and rewards.

*If appropriate, Applicants can include letters of support from key stakeholders who are critical to the development, implementation, and/or financial and operational viability of the Platform (in an appendix to the proposal). Such letters of support will strengthen the applicant's proposal.*

#### **H.8 Key Success Factors**

Describe the key success factors required to achieve financial and operational viability. These factors may include obtaining necessary alternative sources of funding, recruiting other specialist staff, governmental/legislative approvals/amendments, and other approvals.

### **H.9 Upgrade Plan**

At a high level, describe long-range plans to upgrade the Platform, which may include technology, people and/or processes.

## **Section I - Budget Documentation**

The purpose of this section is to demonstrate that the annual costs and resources required for the Platform have been identified and budgeted, and sufficient funds have and/or will be obtained beyond initial phased MSFHR funding. Provide a clear justification for any expenditure that is allocated to MSFHR funding. The budget documentation should reflect the financial plan narrative as described in the previous Section.

### **I.1 “Sources of Cash Statement” template in Appendix C**

Detail the Platform’s sources of cash by year. This statement should not be restricted to MSFHR funds. Stage 2 Applicants should plan for and to the extent possible demonstrate their ability to be self-sustaining beyond the initial award provided by MSFHR.

If the Platform relies on user fees or some type of variable revenue, Stage 2 Applicants should also calculate a break-even point beyond which revenues represent net profit. This calculation may not apply to all Platform proposals.

**Note:** Particular attention will be paid to the Explanatory Notes column by the External Oversight Review Panel.

### **I.2 “Uses of Cash Statement” template in Appendix D**

Note the total expenditures for the Platform per category per year. Demonstrate that the Platform has sufficient cash to meet the planned expenditures. Only expenditures allocated to MSFHR funding need be noted in detail. Please refer to the eligible and ineligible expenditures of the Program in Part 3.1 – Supplementary Guidelines.

**Note:** Particular attention will be paid to the Budget Justification column by the External Oversight Review Panel.

### **I.3 “Incremental In-Kind Contributions Statement” template in Appendix E**

Detail the approximate value of all in-kind contributions that will be used towards the Platform. In-kind contributions **must** be new (over and above that which is currently in place to support applicant teams and their activities) and evidence of level of commitment in the form of a letter from a funding source must be included MSFHR reserves the right to withhold award funds until such letters of confirmation are provided.

**Note:** Particular attention will be paid to the Explanatory Notes column by the External Oversight Review Panel.

## Section J – Risk Analysis

The purpose of this section is to provide an analysis of significant risks to the Platform’s development, implementation, and financial and operational viability. Risks that may be identified include:

- changes in leadership;
- limited options for succession planning;
- insufficient demand for the use of the Platform to justify the supply it provides;
- insufficient supply to meet the projected demand;
- funding shortfalls;
- schedule overruns;
- inability to secure cross-boundary agreements (Intellectual Property rights, ethics); and
- obsolescence of technology or inability to remain on cutting edge of technology.

### J.1 Risk Identification

List the risks specific to the Platform and rate each for the likelihood of occurrence and the severity of damage should it occur (high, medium or low). Add additional rows as needed.

Specific Risk	Probability of Occurrence (H/M/L)	Severity of Damage (H/M/L)

### J.2 Risk Mitigation Strategies

For each risk identified in J.1, describe the risk mitigation strategies that will minimize its impact.

## Section K – Progress Evaluation Measures

The purpose of this section is to specify measures against which the Platform will be evaluated at set time periods. Indicators of progress should be measurable, reasonable and address the objectives of the Program as articulated in the evaluation criteria. Recognizing that Platforms may be at different phases at the time of initial MSFHR funding, the evaluations will be compared to the Platform’s degree of development at the time of initial funding.

### K.1 12 months after funding award

Describe performance milestones that will allow MSFHR to assess progress of the Platform within 12 months after funding has been awarded.

### K.2 24 months after funding award

Describe performance milestones that will allow MSFHR to assess progress of the Platform within 24 months after funding has been awarded.

**K.3 Performance outcomes after 4 years of funding**

Describe high level outcomes of the Platform that will allow MSFHR to assess the extent to which the Platform is achieving the objectives of the Program after 4 years of funding.

## Appendix A – CVs/Résumés of Co-leaders

## Appendix B – CVs/ Résumés of Team Members

## **Appendix C – Sources of Cash**

Please refer to Financial Templates in Microsoft Excel spreadsheet.

## Appendix D – Uses of Cash

Please refer to Financial Templates in Microsoft Excel spreadsheet.

## **Appendix E – Incremental In-Kind Contributions**

Please refer to Financial Templates in Microsoft Excel spreadsheet.



### **3.1 MSFHR Eligible and Ineligible Expenses**

The following are examples of eligible and ineligible items. These lists are not meant to be all-inclusive, and MSFHR will determine eligibility on an individual basis for any items requested that do not appear.

#### **Eligible Expenses**

- Salaries of staff supporting the operations of the Platform including managers, coordinators, administrators and other support staff.
- Salaries of skilled technical staff required to operate and maintain the Platform equipment and/or the computers and IT networks that support them.
- Costs of computers for Platform staff paid exclusively by MSFHR Platform funds.
- Costs relating to staff training.
- Recruitment/advertising costs relating to the hiring of Platform Leaders/Co-leaders and/or staff.
- Platform support office costs, including supplies, communications, stationery, photocopying, and network or internet access.
- Costs relating to the development and maintenance of a Platform web site.
- Release time for Leaders/Co-leaders from clinical, teaching, or administrative duties so that they may commit time to leadership of the Platform (capped to a maximum of \$25,000 per year)
- Costs for specialist consultant services not otherwise available within the Platform area.
- Costs relating to activities that bring people together, including workshops and similar meetings; video- and tele-conferencing; planning, co-ordination and outreach activities; and travel and accommodation.
- Costs relating to the transfer of knowledge to the research community, clinical practice and other stakeholders.
- Support for training in a defined training program developed by the Platform or for training that is essential/ important for increasing participation in the Platform.
- Support for mentoring and professional development activities for students and new investigators, including conference registration and related travel.
- Costs related to the development or purchase of shared research resources including surveys, software tools, databases, and specialized facilities.

#### **Ineligible Expenses**

- Stipends for students and trainees.
- General administrative costs inherent in managing human resources, finances, supplies, laundry, etc. (normally funded by the host institution).
- Capital costs (including furniture and equipment other than computers for staff supported exclusively by MSFHR infrastructure funds).

- Renting/leasing costs for space and/or furniture for Platform support office(s).
- Maintenance and repairs to facilities (including buildings, laboratories, other rooms, furniture and equipment allocated to research activities).
- Renovations to facilities including buildings, laboratories and other rooms.
- Costs of operating the facilities: heating, ventilation, air conditioning, water, electricity, etc.
- Liability, fire and other insurances.
- Maintenance and security costs.
- Cleaning.
- Grants and/or awards issued by the Platform

## **3.2 Business and Strategic Plans Evaluation Criteria**

### **a. Mandatory Submission Requirements**

Part 2 Associated Sections \*: N/A

- MSFHR will undertake a completeness review to determine if business and strategic plan requirements, as outlined in the Instruction Guidelines are met.

### **b. Access**

Part 2 Associated Sections: D, E, F, H, I, K

- The extent to which the Business and Strategic Plan demonstrates that the proposed platform promotes and implements processes to provide meaningful new or increased Provincial access across different research groups and fields and, as appropriate, the health industry and health service sectors, including:
  - the extent to which the tracking mechanism included in the Platform gathers and analyzes relevant data on users and the impact that access to the platform has on the scope of their activities; and
  - the extensiveness and effectiveness of the proposed education/ marketing plan for attracting and supporting targeted Platform Users.

### **c. ROI/Value Add**

Part 2 Associated Sections: D, E, F, G, H

- The extent to which the successful implementation or expansion of this platform will add ROI, value and competitive advantage to the BC research community beyond that which is currently available to individual institutions or teams, and from a provincial, national and/or international perspective as outlined in your environmental scan, including:
  - the extent to which the successful implementation or expansion of this platform will advance business opportunities and/or innovation in the health system; and
  - the extent to which the platform helps trainees, junior investigators and other users develop technical/methodological skills and/or expand their research.
  - the extent to which MSFHR may reasonably expect to receive a return on its investment including details of any proposed equity or other form of participation in revenues received from user fees or commercial opportunities or other form of revenue sharing.

**d. Governance/Leadership and Management Accountability**

Part 2: Associated Sections: A, C, J

- The extent to which the Governance is representative of the stakeholders and provides appropriate oversight and accountability mechanisms for the platform scientifically, operationally and financially.
- The extent to which the team is well integrated, has membership that is appropriately representative of the key stakeholders (i.e. research, industry and health sectors) and has strong potential to successfully steer implementation of the platform.

**e. Cross-Boundary Collaborations/Partnerships**

Part 2 Associated Sections: A, C, E, I

- The extent to which strategies and processes are in place to address the relevant cross-boundary and cross-sectoral Collaborations/Partnerships affecting the Platform.
- The extent to which the Stage 2 Applicants include appropriate and meaningful collaboration between co-leads, co-applicants and team members from different Stakeholder groups

**f. Financial and Operations Plan**

Part 2 Associated Sections: H I J

- The extent to which the Financial Plan and Budget Documentation are reasonable, efficient and effective.
- The extent to which the platform has strategies in place for sustainability beyond initial implementation.
- The extent to which MSFHR's funding and involvement will meaningfully contribute to the successful development and implementation of the Platform.

**g. Risk Analysis**

Part 2 Associated Sections: J

- The extent to which the Business and Strategic Plan identifies the major risk factors associated with the success of the Platform and provides reasonable mitigation strategies.

**h. Progress Evaluation Measures**

Part 2 Associated Sections: K

- The extent to which the Business and Strategic Plan contains measurable and reasonable performance milestones at
  - 12 months of grant being provided
  - 24 months of grant being provided
  - 4 years of the grant being provided

***i. Reverse Site Visits/Interviews***

Part 2 Associated Sections: N/A

- The extent to which the development, operation, and financial plans are reasonable, efficient and sound.

\* Note: You may see additional overlap between 'Evaluation Criteria' and 'Part 2 – Associated Sections' then is outlined above.

### **3.3 Business and Strategic Plans External Review Process**

In order to thoroughly evaluate the detailed platform proposals with all due diligence, a five-step review process will be implemented.

***Step 1: Two-Stage Review***

Stage 1: Week of December 11, 2006 (approx)

- Each Stage 2 proposal will be reviewed and written comments provided to MSFHR by four External Expert Reviewers: 3 scientific experts with specific expertise in the platform area, where appropriate, plus 1 business planning expert.

Stage 2: Week of February 12, 2007 (approx)

- All proposals and written reviews will be forwarded to an External Oversight Review Panel for consideration.
- The External Oversight Review Panel will be convened to review and discuss all proposals and External Expert Reviewers' comments to evaluate and rank each proposal against the pre-set criteria.

***Step 2: Reverse Site Visit***

Two applicant teams will be invited to give a 20-minute presentation to the External Oversight Review Panel on their proposed platform program followed by a 10-minute Q & A period. At this time, Stage 2 applicants will be able to address any concerns and/or questions raised by the External Oversight Review Panel.

- The External Oversight Review Panel will be asked to identify platform proposals that are ready to proceed; proposals that require major changes; and proposals that should be rejected.
- Based on their assessment of budgets and budget justifications, the External Oversight Review Panel will recommend award amounts for each Platform for approval by the MSFHR Board of Directors.

***Step 3: Approval by MSFHR Board of Directors***

***Step 4: Funded Applicant Announcement (March 2007 approx)***

***Step 5: Funding Commences (April 2007 approx)***

### **3.4 Reporting and Accountability**

All funded Platforms are required to submit a written progress report at the end of each funding year. The written report includes progress measures as specified in Section K of the Business and Strategic Plan template, a financial statement issued by the Platform's host institution for the previous 12 month funding period that details utilization of expended funds, and any other requirements as specified by MSFHR.

### **3.5 Notification of Changes**

The Co-leader(s) is/are required to notify MSFHR in writing of changes of a material nature, as soon as practical. Changes of a material nature will trigger a review by MSFHR that may include external peers, such as changes to the contributions of the Co-leaders to the Platform, major changes or deviations from the proposed activities, and significant variations in the budget.