

(The Alberta Small Business Innovation and Research Initiative)

Note: This is a copy of the online application form and is provided as an aid to writing your application. This is NOT the application form and will not be accepted for review.

Part 1 Application Instructions

Alberta Innovates manages a number of high-demand technology commercialization programs for the Province of Alberta with a continuously increasing number of subscribers to such programs. These programs are competitive and Alberta Innovates searches for high value Investments with a strong focus on commercialization that will provide economic and social benefits for Alberta.

Alberta Innovates takes a holistic view of each Application. The decision to invest is based on the evaluation of the Applicant, the Project, the technology, the market, the impact of the Project to the Province of Alberta, the clarity, structure and compliance with Program requirements, and the funding history between Alberta Innovates and the Applicant.

The Alberta Small Business Innovation and Research Initiative (ASBIRI) Application process has a three Stage format. Applicants may apply to a Challenge by submitting an Expression of Interest (EOI), accessed through the [Alberta Innovates Applicant Portal](#). If your EOI is approved, you will be invited to complete an Application, and if that is approved, you will work with the Industry Partner to complete a Project Plan. Applicants and Industry Partners will be expected to execute an Investment Agreement with Alberta Innovates. You can see a pdf of the agreement (with and without a Challenge Sponsor) on our [Forms & Guidelines](#) webpage.

We advise that you write your answers in a Word document first so that you have an editable copy of your application responses which you can then paste into this form. A PDF of your application can be printed by clicking the “Create PDF” button on the “Summary” page (Step 5) at any time during the creation of the Application. It will be emailed to the email address that you provided during registration.

It is essential the Applicant Representative reads and understands the Alberta Small Business Innovation and Research Initiative Program Guide (the [“Guide”](#)) before completing this Application.

Alberta Innovates will only provide copies of the EOI, the Application, and Project Plan, including any attachments, to the Applicant Representative.

All capitalized words or terms which are not defined within this Application have the respective meaning as set out in the Agreement. In this Application, the terms **“you”** and **“Applicant”** are used interchangeably. You can view a copy of our Agreement template on our website.

Text boxes within this form are simple text only and cannot accommodate images, graphs or tables. Such additional information can be attached in Step 4 with the Attachment type ‘Other’. All questions must be answered within the text boxes provided. *Text boxes with only “see attached” will not be accepted.*

All Investment determinations made by Alberta Innovates (including declining an Investment) are final, non-appealable and binding on the Applicant and Industry Partner. Pursuant to executing a Letter of Interest, Alberta Innovates may provide certain information relating to the Challenge or the Industry Partner to the Challenge Sponsor, where applicable, for the purposes of the Challenge Sponsor determining whether they wish to fund the Challenge with Alberta Innovates. Any investment determination by the Challenge Sponsor is wholly within its sole discretion and Alberta Innovates assumes no liability for any determinations made, including the Challenge Sponsor declining to invest in the Challenge.

(The Alberta Small Business Innovation and Research Initiative)

This EOI will be reviewed by experts from any or all of Alberta Innovates, the Challenge Sponsor, where applicable, the Industry Partner, and/or experts who are Arm's Length from those organizations. The review process will begin only after the complete EOI, and all required supplemental information is received by Alberta Innovates. Incomplete Applications will not be considered or reviewed.

These experts will provide their recommendations to Alberta Innovates, and may also voluntarily provide constructive feedback meant for the Applicant. In the case of this EOI, the recommendation will be to either invite the Applicant to submit an Application, or to decline the EOI. Alberta Innovates will make the final determination regarding approval of the EOI, and may at any time request an interview with the Applicant.

Alberta Innovates will use its reasonable commercial efforts to inform the Applicant of the determination made in respect of an EOI within four (4) weeks after it is received. The full application process may take approximately sixteen (16) weeks. Any failure to inform the Applicant of the determination regarding the EOI, Application or Project Plan will not result in any obligation or liability of Alberta Innovates to the Applicant or any other interested party.

Alberta Innovates may also, in its sole and absolute discretion, forward to the Applicant the constructive feedback, but will not provide any information regarding an expert's personal information. Applicants are not entitled to access any information regarding the experts, including personal information, nor are they entitled to access or review the expert's recommendation.

Alberta Innovates has the right, as determined in its sole and absolute discretion, to impose a life-time limit on the number of Applications an Applicant may submit.

If you require assistance in completing your Application, please email inbox_grants@albertainnovates.ca

The response time for section navigation will vary based on each user's bandwidth and network connection type (e.g. WiFi vs. "hard wire"). The site has been optimized for Microsoft Internet Explorer® (v9), Mozilla Firefox® (v30.0), Apple Safari® (v6), and Google Chrome® (v35).

Part 2 Freedom of Information and Protection of Privacy Act (Alberta) ("FOIP")

Alberta Innovates is governed by FOIP. This means Alberta Innovates can be compelled to disclose the information received under this Application, or other information delivered to Alberta Innovates in relation to a Project, when an access request is made by anyone in the general public.

In the event an access request is received by Alberta Innovates, exceptions to disclosure within FOIP may apply. If an exception to disclosure applies, certain information may be withheld from disclosure. Applicants are encouraged to familiarize themselves with FOIP. Information regarding FOIP can be found at <http://www.servicealberta.ca/foip/>.

EXPRESSION OF INTEREST

STEP 1 – PROJECT TITLE

STEP 2 – NON-CONFIDENTIAL ABSTRACT (limited to 1000 characters)

Step 2 is a brief non-confidential summary of the business opportunity including the Applicant's current business, the new product, the benefit to the future Industry Partner, the expected return when the technology or innovation solution is successful, how Alberta Innovates' Investment will be utilized, and how this Investment will bring the product closer to market.

STEP 3 – APPLICANT AND PROJECT INFORMATION (STAGE I)

Applicant Contact Information

Identify the Challenge as named on the Alberta Innovates website, to which you are responding.

Proposed Project Start Date (dd/mm/yy):

[Help Text](#)

The Proposed Project Start Date may differ from the actual Project Start Date depending on the time required to process and execute an Agreement. To avoid this, we recommend that the Project should start at least 6 months from the Application submission date if approved.

TDA Contact. Did you work with a Technology Development Advisor (TDA) or any other Alberta Innovates representative prior to completing this application?

If you answered YES to the above question, please select the name of the individual.

Bob Hall	Mike Hrabowiecky
John Stroh	Mike Riou
Kara Johnston	Rick Davidson
Lindsay Spadavecchia	Robert Landers
Matt Cornall	Stephan Zubrec
Michael Kerr	

If you selected 'Other', provide the name of the individual and her/his position within Alberta Innovates.

Legal Name of Applicant
Trade Name of Applicant (if applicable)
Division involved with the Project (if applicable)
Department involved with the Project (if applicable)
Civic Address line 1
Civic Address line 2 (if applicable)
City
Province/State
Country
Postal Code/Zipcode

If the address above is not in the Province of Alberta, insert the address of the Applicant's physical presence in Alberta and identify the nature of its physical presence in Alberta

Applicant's Office Phone Number

Applicant's Website (if applicable)

Authorized Applicant Representative

First Name

Middle Name (if applicable)

Last Name

Position within the Applicant's Organization

If the Representative's mailing address is different from the Applicant's civic address, provide that address.

Direct Business Telephone Number

Cell Number (if applicable)

Business Email Address

Applicant Funding History

Has the Applicant previously applied to any Alberta Innovates funding program, including the former *Alberta Innovates – Technology Futures (AITF)*, *Alberta Innovates – Health Solutions (AIHS)*, *Alberta Innovates – Bio Solutions (AI-Bio)*, or *Alberta Innovates – Energy and Environment (AI-EES)*?

If you answered YES to the above question, explain which funding program(s) you applied into, which were approved, and when and how much was received.

Has the Applicant received funding or other support from the Industry Partner or the Challenge Sponsor (if applicable).

If you answered YES to the above question, explain the manner and timing of this support.

If you have worked with Alberta Innovates, (including the former AITF, AIHS, AI-Bio, AI-EES), the Industry Partner, or the Challenge Sponsor (where applicable) under a different name, please provide information regarding this activity.

Applicant Information

Jurisdiction of Incorporation of the Applicant

Incorporated and existing in Alberta

Extra-provincially incorporated company which is registered in and has legal status to operate in Alberta

Federally incorporated company which is registered in and has legal status to operate in Alberta

General Partnership registered in Alberta

Limited Partnership registered in Alberta

Limited Liability Partnership registered in Alberta

If "Extra-provincially incorporated company which has legal status to operate in Alberta" was selected in the above list, state provincial jurisdiction of incorporation.

Business Number (B/N): *The Nine digit number provided by the Canadian Revenue Agency (CRA)*

Percentage (%) of Alberta ownership

Incorporation Date (dd/mm/yy)

Is the Applicant a publically traded company?

Do you self-identify as a start-up?

Provide your Annual Gross Revenue for the year preceding the current calendar year.

Indicate your gross sales revenue for the last 3 fiscal years. For each year, specify the percentage(%) of exports outside of Alberta and outside of Canada.

Number of T4 Salaried Employees residing in Alberta

Number of T4 Salaried Employees residing outside of the Province of Alberta

Sector & Funding Information

Project Sector:

- Aerospace & Defense
- Agriculture
- Banking & Insurance
- Biotechnology
- Construction
- Education, Research & Training
- Engineering
- Environmental Products & Services
- Food
- Geomatics
- Health
- Information & Communications Technologies (ICT)
- Manufacturing
- Mining
- Oil & Gas
- Petrochemicals & Biochemicals
- Pipelines
- Real Estate
- Retail & Consumer Products
- Tourism, Recreation & Leisure
- Transportation Logistics
- Utilities
- Other

If you selected OTHER to the above question, specify Sector:

Project Platform Area:

(Omics is the term used to describe a range of disciplines in the field of biology including genomics, metagenomics, metabolomics, glycomics and proteomics)

- Information and Communication Technology
- Nanotechnology
- Omics
- Other

If you selected OTHER to the above question, specify Platform Area:

Keywords - Provide 1 to 3 other identifying keywords describing the technology or innovation sector for the Project:

Is the foundational technology for your product or service based on Artificial Intelligence and/or Big Data?
(Theory and development of computer systems able to perform tasks, reveal patterns, trends and associations that normally require human intelligence) Yes/No

Is the foundational technology for your product or service based on Additive Manufacturing?
(Manufacturing process through which three dimensional (3-D) solid objects are created. It enables the creation of physical 3-D models of objects using a series of additive or layered development framework, where layers are laid down in succession to create a complete 3-D object) Yes/No

Is the foundational technology for your product or service based on Augmented, Virtual, and/or Mixed Reality ?
(Augmented reality – enhanced version of reality created by the use of technology to overlay digital information on an image of something being viewed through a device. Mixed reality – merging of real and virtual worlds to produce new environments and visualizations where physical and digital objects co-exist and interact in real time. Mixed reality takes place not only in the physical world or the virtual world, but is a mix of reality and virtual reality, encompassing both augmented reality and augmented virtuality. Virtual reality – artificial environment which is experienced through sensory stimuli (as sights and sounds) provided by a computer and in which one’s actions partially determine what happens in the environment) Yes/No

Is the foundational technology for your product or service based on Financial Technology?
(Inclusive of Block Chain. Assists financial institutions excel in the face of disruptive technological changes) Yes/No

Is the foundational technology for your product or service based on Internet of Things?
(The interconnection via the Internet of computing devices and/or sensors embedded in everyday objects, enabling them to send and receive data) Yes/No

Is the foundational technology for your product or service based on Digital Security and Identity?
(Protect users’ digital identity, while enabling mobile and online financial transactions) Yes/No

Is the foundational technology for your product or service based on Web Applications?
(i.e. web tools, e-commerce enabled, software as a service, product as a service) Yes/No

If none of the above describes your foundational technology, please explain.

Technology Readiness Level (TRL) You can find information regarding the Technology Readiness Levels on our website.

Level 3
Level 4
Level 5
Level 6

Level 7
Level 8
Level 9

Business Readiness Level

Low
Medium
High

Challenge / Solution Relationship

The objective of this section is to identify and characterize the relationship between the Challenge identified and the solution being proposed.

Problem Statement: Define the Challenge Stream (1 and/or 2) and sub-categories you are addressing and explain how you know this to be a significant problem.

Innovation Overview: Describe your innovation solution in its market-ready state. Indicate how it addresses the Challenge and provide supporting evidence that its development as a viable solution is feasible.

Technology Gap: Describe the critical development hurdles and provide a brief overview of your approach to closing the gap between where your technology is today and getting the technology market-ready?

Project Term in months

Help Text: Estimated timeline to market-ready

Total Investment all sources

Help text: All Sources to reach market-ready

Investment Request through this Challenge

Help text: This is the Alberta Innovates investment amount being requested

Technology Ownership and Intellectual Property (IP) Strategy: Identify the owner of this innovative solution, and if you're not the owner do you have the right to use innovative solution? Please provide any agreements associated with this innovative solution (ie: license agreements) Also, clearly articulate your IP strategy and reference any relevant patents awarded or pending (i.e. application and/or patent numbers).

The Market

The objective of this section is to ensure that the innovative solution has been adequately identified, characterized, and quantified against existing solutions and those that are in development.

Market Potential: What is the global market potential for your innovative solution? What is your realistic market penetration within the next 5 years? Be sure to highlight your underlying assumptions and cite any relevant sources of information.

Competitive Landscape: Describe the competitive landscape including direct competitors and substitutes, as well as their estimated developmental stage (refer to TRL Levels as referenced in the Guide). Include information on barriers to entry and how you would overcome them.

Competitive Advantage: What is the competitive advantage over direct competitors and substitutes?

Alberta Impact

The objective of this section is to understand the potential impact upon the successful commercialization of this innovative solution.

Economic Impact for Alberta: Describe the economic impacts to Alberta should this innovative solution be commercialized. Be sure to forecast and describe assumptions on the potential for revenue generation, diversification/strengthening of the Alberta economy, job growth, and follow-on investment. *Information provided should be specific, quantitative, and attached to expected timelines.*

Societal Impact in Alberta. If applicable, describe the societal impacts to Alberta should this innovative solution be commercialized. *Information provided should be specific, quantitative, and attached to expected timelines.*

STEP 4 – ATTACHMENTS

You have the option to attach any relevant supporting documentation/evidence you wish, to substantiate your innovation solution and business operations; examples may include:

- Business Plan
- Investment Pitch Deck (A presentation used for the purpose of attracting investment)
- Graphs or Images
- White Papers (A non-peer reviewed publication that states a technical explanation of facts and logic to promote a product or technology)
- Independent Market Assessments
- Quantitative test results – bench scale or previous field trials
- Letters of Reference/Support – E.g. Memorandum of Understanding (MOU), Letter of Intent (LOI)
- Partnerships, joint ventures, research collaborations
- Any revenue generated agreements such as, sales and/or distribution agreements

Part 3 Publication of Non-Confidential and Aggregate Information by Alberta Innovates.

Alberta Innovates may (1) publish and/or disseminate in the public domain certain information contained within this Application as a way to promote success stories about innovation in the Province of Alberta and/or (2) use certain information contained within this Application as a way to verify information contained herein. On these bases, Alberta Innovates deems the following information in this Application to be non-confidential and subject to disclosure by Alberta Innovates in its sole discretion at any time:

STEP 1 – Project Title

STEP 2 – Non-confidential Abstract

STEP 3 – **Applicant Contact Information**

Identify the Challenge as named on the Alberta Innovates website, to which you are responding.

TDA or Alberta Innovates Contact Name

Legal Name

Trade Name

Incorporation Date

Is the Applicant a publically traded company?

Applicant Representative

First & Last Name

Baseline Business Metrics

Project Sector

Technology Platform

Keywords Investment Request through this Challenge

Challenge / Solution Relationship

Project Term in months

Investment Request through this Challenge

Alberta Innovates will aggregate the following information contained within this Application for the purposes of reporting or dissemination in the public domain. For clarity, 'aggregate' means removal of personal identifiers such as names, locations and addresses of the Applicant and employees, and combining such information with that of other Application submitted by Applicants. Alberta Innovates deems the following aggregate information in this Application to be non-confidential and subject to disclosure in its aggregate form by Alberta Innovates in its sole discretion at any time:

STEP 3 Applicant Contact Information

Did You Work with a TDA?

City, Province, Country

Applicant Funding History**Applicant Information**

Percentage (%) of Alberta Ownership

Do you self-identify as a Start-Up?

Number of T4 Salaried Employees residing in Alberta

Number of T4 Salaried Employees residing outside the Province of Alberta

Provide your Annual Gross Revenue for the year preceding the current calendar year.

Sector and Funding Information

Technology Readiness Level (TRL)

Business Readiness Level

Challenges to Commercialization

Alberta Impact

Economic Impact for Alberta

Environmental Impact in Alberta

Health Impact in Alberta: (For Health related Challenges only)

Consent and Declaration of Applicant

By submitting this EOI, including any supporting documentation, I, in my capacity as the authorized representative of the Applicant, legally represent for and on behalf of the Applicant that:

1. the Applicant acknowledges, understands and agrees to the disclosure of non-confidential information and aggregate information as identified in Part 3, by Alberta Innovates in its sole discretion;
2. the Applicant Representative is legally authorized to submit this EOI for and on behalf of the Applicant and has the requisite power to legally bind the Applicant;
3. the Applicant Representative has read and understands the Guide, which can be found on our website;
4. the Applicant understands the Guide and the instructions and information provided at the beginning of this application;
5. the Applicant meets all the eligibility requirements for an Investment under the Alberta Small Business and Innovation Research Initiative Program as set out in the Guide;
6. all information contained in this EOI including but not limited to the Project and supporting documentation, is true and accurate;
7. the Applicant acknowledges that failure to provide true and accurate information in this EOI will result in automatic rejection of the EOI; and
8. submission of this EOI does not obligate Alberta Innovates to make an Investment in the Project and Alberta Innovates has sole and absolute discretion in making its Investment determination.