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## Advancing Water Technologies (AWT) Program Guidelines – Addendum Projects seeking over \$100,000 in funding

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The AWT Program will consider applications for large projects seeking over \$100,000 in funding. The AWT Program eligibility criteria and requirements will apply; please refer to the AWT Program Guidelines. In addition, the following guidelines will apply to projects seeking over \$100,000 in funding:

### Funding

The AWT Program will consider applications for larger projects seeking up to a \$500,000 CAD contribution from AWT towards eligible project costs. The increased amount of funds should be reflected in the project scope and timeline. Project funds are awarded on a reimbursement basis only, to the academic partner institution where the project's eligible academic researcher is employed. Under no circumstances will funding be directed to a company partner.

Company partners are required to provide at least a 1:1 matching contribution to the AWT Program funding to the project. Cash or cash-equivalent, or a combination of both, will be accepted. Please refer to the AWT Program Guidelines and AWT Company Matching Contribution Guidelines for further details on eligible matching contributions.

### Applicants

While a single company must be the applicant for larger projects requiring over \$100,000 in funding, projects may engage multiple companies as partners or collaborators and/or collaborate with multiple academic institutions.

### Project Term

All AWT projects must be completed by 31 December, 2018. All eligible project expenses must be incurred by 31 December, 2018.

### Deadlines for Applications

AWT is a three-year program ending on 31 December, 2018. The following deadlines will apply; however, please note that intake and consideration of applications **may be terminated at any time** if funding is fully allocated.

| Project Duration | Intake Form Deadline | Full Application Deadline |
|------------------|----------------------|---------------------------|
| Up to 18 months  | 1 March, 2017        | 1 June, 2017              |
| Up to 12 months  | 1 September, 2017    | 15 November, 2017         |

### Intellectual Property

Foreground Intellectual Property (FIP) includes, without limitation, all technical data, designs, specifications, software, data, drawings, plans, reports, patterns, models, prototypes, demonstration units, practices, inventions, methods and related technology, processes or other information conceived, produced, developed or reduced to practice in carrying out a Project, and all rights therein, including, without limitation, patents, copyrights, industrial designs, trade-marks and any



registrations or applications for the same and all other rights of intellectual property therein, including any rights which arise from the above items being treated by the Academic Partner Institution as trade secrets or confidential information.

For projects seeking over \$100,000 in funding, title to any FIP that is developed as the result of an industry-led project and that is commercially relevant must be owned by the academic institution or co-owned by the company partner and the academic institution; to be negotiated between the academic institution and the company partner, and subject to AWT Program requirements, including but not limited to the Conflict of Interest requirement, and the policy of the academic institution. Where there are multiple distinct elements of FIP that will be developed, title to one or more elements of FIP may vest exclusively in the company partner on the condition that the AWT contribution has not supported the creation of that FIP (Option B below). The IP policy of the academic institution may also apply.

Projects seeking over \$100,000 in funding are required to follow the Intellectual Property policy of either option A or B below; AND that of the academic institution. Multiple possibilities for FIP ownership exist within these options.

#### Option A:

Title to FIP, shall vest either:

- (i) Exclusively in one or more academic institutions; or
- (ii) In the academic institution and one or more company partner(s) jointly.

The academic institution(s) must ensure that appropriate steps are taken to protect the FIP vested in the academic institution(s) and shall, upon request, provide information to its funder in this regard.

#### Option B:

Where there are multiple distinct elements of FIP that will be developed, title to FIP shall vest either:

- (i) Exclusively in one or more academic institution(s);
- (ii) In the academic institution and one or more company partners jointly, on the condition that if the AWT contribution has supported the creation of FIP, a company partner has contributed financially to the creation of that same FIP; or
- (iii) Exclusively in the company partner, on the condition that the AWT contribution has not supported the creation of that FIP.

The academic institution(s) must ensure that appropriate steps are taken to protect the FIP vested in the academic partner(s) and shall, upon request, provide information to its funder in this regard.

#### **Conflict of Interest**

Employees, faculty, or anyone associated with employees or faculty (e.g. family members) of an academic partner institution who is involved in a project on behalf of an academic partner institution may not receive project support through the AWT program if they own any share of the product being developed or of the company involved. Academic researchers on a project (faculty of the academic institution) cannot own any of the foreground intellectual property (FIP) that is generated during a project, nor personally benefit as a result of that FIP. Any potential royalty, revenues, or other financial benefit deriving from the FIP owned by the academic institution may be held in an account by that faculty member's institution to be directed towards other research.

Companies and academic researchers applying to receive project support from the AWT Program are required to disclose any real or potential conflict of interest according to the AWT Program policy. Applicants will be required to complete and submit a Conflict of Interest Disclosure Form as soon as any real or potential conflict of interest has been identified, including outlining proposed mitigation measures as discussed with SOWC.



## Contact

For companies wishing to initiate a discussion on a larger project with over \$100,000 in funding, please contact:

Rahim Kanji  
Manager, Industry Partnerships  
Email: [rahim@sowc.ca](mailto:rahim@sowc.ca); Tel: 226-808-2714

Please direct all questions and inquiries about the AWT Program to:

Anna Ziolecki  
Manager, Research Partnerships  
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