



**OFFICE of RESEARCH**  
AGRI-FOOD PARTNERSHIP

# Ontario Agri-Food Innovation Alliance

*Knowledge Translation and Transfer (KTT) Program Guide—  
Mobilization Stream*

*November 2023*

## TABLE OF CONTENTS

Ontario Agri-Food Innovation Alliance KTT Funding Program Overview .....	4
Timeline for 2024/25 Funding Year (2023/2024 Call) .....	4
Contact Information .....	4
What is Knowledge Translation and Transfer (KTT)?.....	5
KTT Mobilization Stream Overview .....	5
Objectives .....	5
Research Priorities .....	5
Available Funding .....	6
Project Specifications:.....	6
Proposal Review Process .....	7
Recommendations.....	7
Indigenization, Equity, Diversity and Inclusion.....	7
How to Apply.....	7
Single Stage Call Process .....	7
Online Application System – Research Management System (RMS).....	7
Lead Applicants and Co-Applicants .....	8
Full Proposal Application .....	9
Support for Applicants .....	9
Full Proposal Template .....	9
Research Team and Invitation Process .....	9
Highly Qualified Personnel (HQP) .....	11
Supporting Documentation.....	11
OR-5.....	12
The RMS Budget and Leverage Guidelines .....	12
Budget Limits.....	12
Eligible and Ineligible Expenses .....	12
Ontario Agri-Food Research Centre Use and Access Fees.....	13
Leverage / Partner Funding .....	13
Overhead/Indirect Costs.....	15
Building a Project Budget.....	15
Budget for Collaborating Researchers .....	16

---

Sub-Awards (for U of G Collaborating Researchers) .....	16
Collaborative Research Agreements (for non-U of G Collaborating Researchers) .....	17
Data .....	17
Safeguarding Research .....	17
Intellectual Property (IP) and Non-Disclosure Agreements (NDA) .....	18
Application Checklist and Post Award Processes .....	18
Full Proposal Checklist .....	18
Full Proposal Decision Notification and Award Phase .....	19
Post Award-Reporting .....	19
Non-Compliance with the Terms of the Award Agreement .....	20
Acknowledging Alliance Research Funding .....	20
Appeal Process .....	20
Panel Review Scorecard: KTT Mobilization Projects .....	21

## ONTARIO AGRIFOOD INNOVATION ALLIANCE KTT FUNDING PROGRAM OVERVIEW

The priority-driven Ontario Agri-Food Innovation Alliance Knowledge Translation and Transfer (KTT) Funding Program is designed to enhance the impact of research. We do this by providing funding for three distinct kinds of KTT projects:

1. KTT Research (KTT-R) Funding supports research projects that **advance the science of knowledge translation and transfer (KTT)** in agri-food and rural sectors. KTT-R projects must contribute to scholarly literature by developing or assessing KTT activities and/or approaches that support future evidence-informed KTT practice. Research projects advance the science of KTT by identifying and evaluating methods designed to enhance and accelerate the impact of research.
2. KTT Mobilization (KTT-M) Funding supports activities that disseminate research findings or engage audiences in research. These activities are designed to **drive the transformation of research knowledge into use, including synthesis, exchange, engagement, dissemination, dialogue, collaboration and brokering between researchers and research users**. KTT-M funding may also be used to support projects that are targeted towards capacity building or enhancing partnerships/networks for supporting effective KTT in Ontario's agri-food sector and/or rural communities.
3. KTT Initiatives (KTT-I) funding is a smaller funding stream that provides up to \$5,000 for a product or strategy that translates and transfers research that benefits Ontario's agri-food sector or rural communities, including pre-research engagement and partnership activities. Applications for KTT-I are accepted on an on-going basis.

*A project may only be submitted to ONE funding stream; applicants may not seek funding from multiple funding streams for the same project.*

For more information on each funding stream, please review the stream specific program guide which can be found on the Alliance website ([Uoguelph.ca/alliance](http://Uoguelph.ca/alliance)). This program guide will provide information for the KTT Mobilization Funding Stream only.

### Timeline for 2024/25 Funding Year (2023/2024 Call)

- KTT Funding Program – Mobilization Stream Launch: October 26, 2023
- KTT Funding Program – Mobilization Stream - Town Hall Information Session:
  - November 8, 2023 11:00 a.m. – 12:00 p.m.
- Full Proposal Submission Deadline: February 15, 2024 at 1:00 pm
- Anticipated Award Notification: April 2024 (may be subject to change)

This guidance document is focused on program details and the application process for the KTT Funding Program – Mobilization Stream. Details about the other Alliance programs will be available when their respective program launches.

### Contact Information

The following Alliance contacts can assist you with inquiries related to your KTT Mobilization Project:

- KTT Research Program Director: Dr. Alison Duncan ([amduncan@uoguelph.ca](mailto:amduncan@uoguelph.ca)).
- Knowledge Mobilization Manager: Victoria Holla ([holla@uoguelph.ca](mailto:holla@uoguelph.ca))
- If you experience technical difficulties or need support with the RMS application template, please contact our Research Program Coordinators at [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca).

## WHAT IS KNOWLEDGE TRANSLATION AND TRANSFER (KTT)?

The Ontario Agri-Food Innovation Alliance has supported knowledge translation and transfer (KTT) in agri-food and rural sectors since 2010 with the goal of enhancing the impact of publicly funded research.

The Alliance defines KTT as the transformation of knowledge into use through synthesis, exchange, engagement, dissemination, dialogue, collaboration and brokering among researchers and research users. KTT refers to the many activities and strategies aimed at building awareness of research findings into active use, or enhancing research impact through collaboration and engagement. The goal of KTT work is to create a two-way connection between researchers and research users to increase and enable co-production, dissemination, uptake and application of research.

## KTT MOBILIZATION STREAM OVERVIEW

### Objectives

The objectives of the KTT Funding Program – Mobilization Stream are to:

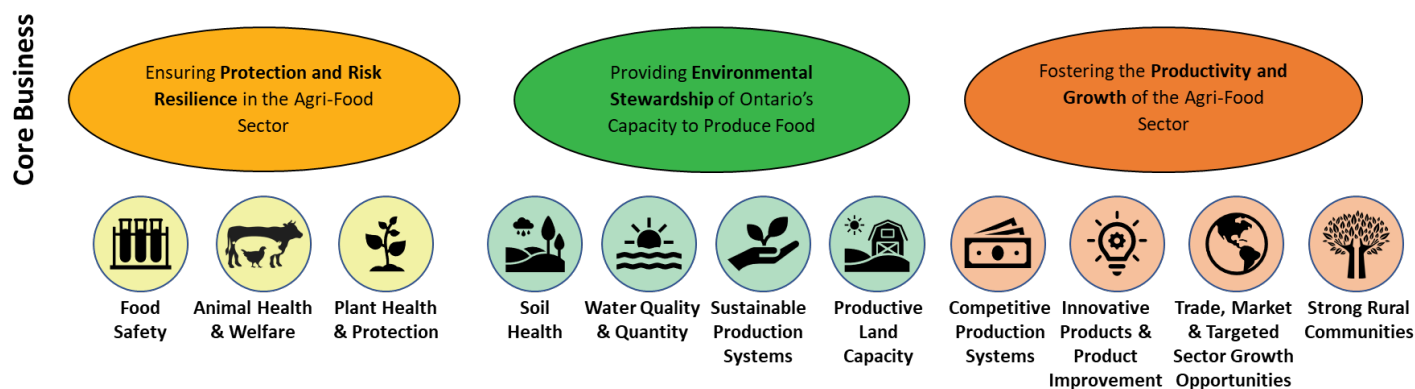
- Drive knowledge into action by advancing the synthesis, exchange, engagement, application and dissemination of knowledge resulting from Alliance-funded research and other agri-food and rural research beneficial to Ontario and Ontarians.
- Contribute to the discourse/scholarly literature on KTT by evaluating the application of KTT methods and best practices to support awareness and impact of research among users.

### Research Priorities

Each year OMAFRA undertakes a research priority setting process. Research priorities for the Alliance Research Program are aligned within the Ministry's core businesses and objectives: Protection and Risk Resilience, Environmental Stewardship, and Productivity and Growth as illustrated in the following image. All KTT projects must relate to an established OMAFRA research priority and support Ontario's agri-food and/or rural sectors.

***KTT projects must relate to an OMAFRA research priority but do not need to address a specific research question.***

## OMAFRA Research Priorities by Core Business



Each of these research priorities has a set of goals and research focus areas, in addition to five cross-cutting focus areas.

KTT projects supported by the Funding Program **DO NOT need to address a specific research question but must relate to one of the eleven identified priorities** and must demonstrate a high likelihood of contributing to the health, sustainability, and/or competitiveness of Ontario's agri-food sectors and/or rural communities.

Further information about OMAFRA's research priorities are available in the [OMAFRA Research Priorities document](#) and on the [Alliance website](#).

## Available Funding

### Project Specifications:

- **Maximum project duration:** 2 years (24 months)
- **Budget Limit:** \$25,000 annually (\$50,000 total)
- **Project Start Date:** on or after May 1, 2024

KTT Mobilization Funding supports activities that disseminate research findings or engage audiences in research. For example, funding can support activities designed to **drive the transformation of knowledge into use, including activities related to synthesis, exchange, engagement, dissemination, dialogue, collaboration and brokering between researchers and research users**. KTT-M funding may also be used to support projects that are targeted towards capacity building or enhancing partnerships/networks for supporting effective KTT in Ontario's agri-food sector and/or rural communities.

KTT Mobilization projects may last up to 24 months; however, we welcome projects between 6 and 24 months in duration.

## Proposal Review Process

An expert panel of researchers, government analysts and industry partners reviews applications based on project merit, quality, value for money, and contribution to Ontario's agri-food and/or rural sector (details below).

KTT-M Proposals will be reviewed against established criteria including:

- Fit with priorities. Projects must demonstrate how they are likely to benefit Ontario's agri-food and/or rural sectors;
- Strength of the project lead(s) and research team;
- Benefits to client groups and contribution to Ontario's agri-food sector and rural communities.
- End users should be engaged early in the project and wherever possible;
- Quality and clarity of project design;
- Deliverables that are clear, tangible, measurable and achievable;
- Value for money; and
- Evidence of involvement of relevant partners through [leverage and partnerships](#).

The [scorecard](#) used by the review committee is provided at the end of this program guide.

### Recommendations

Review committees will make funding recommendations to the Ontario Agri-Food Innovation Alliance Research Program Management Committee. Final funding decisions are at the discretion of OMAFRA.

### Indigenization, Equity, Diversity and Inclusion

The University of Guelph is committed to the principles of equity, diversity and inclusion (EDI). All applicants to Alliance funding programs are encouraged to review the [EDI Resource Document for Researchers](#) developed by the U of G Office of Research Services.

A general question about EDI is included in the proposal. While this question is not part of the proposal evaluation, applicants are encouraged to consider involving Indigenous and other underrepresented communities as participants and/or audience members in their KTT mobilization projects to support project outcomes.

## HOW TO APPLY

### Single Stage Call Process

The Ontario Agri-Food Innovation Alliance awards KTT funding via a competitive, single-stage application process.

### Online Application System – Research Management System (RMS)

All Alliance programming is administered in the RMS. Log in to the RMS through the OMAFRA RMS Log In webpage. Please contact [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca) if you experience any difficulties logging in.

To open an application, select the 'Alliance - KTT Mobilization' under 'Invited Calls' and click on 'Determine Eligibility'. Confirm your eligibility to apply for funding to access an application.

***For the best experience we suggest using the latest version of Chrome, Firefox or Safari. Internet Explorer is not supported by the RMS platform provider.***

## Lead Applicants and Co-Applicants

The **Lead Applicant** is the primary award holder and is accountable for project management and compliance with any reporting requirements, including management of project funding and financial reporting.

A **Co-Applicant** (optional) is a researcher that plays an important and ongoing role in the development and implementation of the project. Co-applicants are identified and invited from the Invitations tab in RMS. There can only be one Co-applicant. Co-Applicants have the same editing capabilities on applications and reports as the Lead Applicant.

Current University of Guelph faculty members (UFGA Unit 1 or 2) are eligible to be the Lead Applicant and/or a Co-applicant on any Ontario Agri-Food Innovation Alliance Research Program project. Retired faculty members holding Professor Emeritus status are eligible to be the Lead Applicant or a Co-Applicant, as long as they are eligible to hold research funding at the University of Guelph. Adjunct faculty members may also apply as a Lead Applicant or Co-Applicant if all of the following conditions are met:

- They are eligible to hold research funding at the University of Guelph. This status is verified by the Chair/Director and Dean through the approval of the OR-5 form;
- They are not employed by or have a financial interest in any of the collaborating organizations or co-funders; and
- Their adjunct position permits them to engage in research-related activities that are not under the direction of another individual.

Non-faculty team members are not eligible to be either a Lead or Co-applicant.


Prior to a new proposal being reviewed in any Alliance program, the Lead Applicant and Co-Applicant (if applicable) must be in 'good standing' for all existing Alliance projects – including up-to-date reporting, Data Management Plan submissions, current with recovery of all outstanding Research Centre fees, and other financial obligations. The Lead Applicant and the Co-Applicant will have 30 days from the submission deadline to complete any outstanding compliance requirements, including reporting. If the Lead Applicant or Co-Applicant remain non-compliant 30 days past the submission deadline, the submitted proposal will be withdrawn from the review process and declined. Likewise, prior to being awarded any new project(s) under the Alliance, Lead Applicants and Co-Applicants must be fully compliant with all reporting requirements for existing Alliance projects at the time of award.



## FULL PROPOSAL APPLICATION

### Support for Applicants

The following supports are available to assist researchers in the application process:

- This program guide;
- Instructions and tool tips (denoted by the small white question mark  ) in the RMS application template;
- KTT RMS Application Tip sheets available on the RMS Researcher Workbench Home page ('Help' icon);
- Request a consultation on your proposal with the Knowledge Mobilization Manager by sending an email to [kttadmin@uoguelph.ca](mailto:kttadmin@uoguelph.ca) ;
- If you experience technical difficulties or need support with the RMS application template please contact our Research Program Coordinators at [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca).

**Optional Compliance Check.** Office of Research, Agri-Food Partnership staff are offering to complete a compliance check of proposals in advance of the submission deadline. The compliance check does not assess overall quality or research merit, but will review the proposal for issues that are not caught during the system validation checks in the RMS, including issues identified by reviewers (e.g., congruence between team/HQP tables and the budget, eligibility of budget items etc.). Please email [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca) before January 31<sup>st</sup>, 2024 if you want program staff to complete a compliance check of your proposal. The proposal should be at or near completion.

If you experience technical difficulties or need support with the RMS application template, please contact our Research Programs Coordinators at [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca).

### Full Proposal Template

KTT-M applications consists of several sections that are navigated via tabs across the top of the on-line application in the RMS. All tabs must be completed. The majority of the application instructions are provided in the RMS, but some additional guidance is provided below.

A validation process will take place upon submission to ensure all mandatory fields are complete and the budget balances.

### Research Team and Invitation Process

Team members and Highly Qualified Personnel are identified in their respective tables in the Team tab in the RMS. The **research team member invitation process** is described in the application template and in the tip sheets (accessible under the 'Help' icon on the RMS home page). Co-applicants, Delegates (described below), and all Collaborators should confirm their participation in the project and be registered in the RMS by the Full Proposal submission date. Confirmed Collaborators will have read-only access to the proposal; Co-Applicants and Delegates (both optional) will have ability to edit the proposal.

A **Delegate** (optional – limit of one) is an individual whose only role is to assist the Lead Applicant in the creation and editing of the application and progress reports (for awarded projects). A Delegate must be from U of G. A Delegate, while not formally a team member, is identified and invited from the team member tab in the RMS. Delegates that play an active role in the research project must **also** be identified and invited as a Collaborator or identified in the HQP table in the RMS (this is important for Alliance programs performance indicator reporting).

Collaborative and multi-disciplinary projects are encouraged. There is no limitation placed on the balance of the team composition, but all team members should play an active role as collaborators in the implementation of the project (advisory, researcher or knowledge broker). The team may include individuals from:

- U of G (researchers and other support staff e.g., technicians);
- Other University or research institutions in Canada or globally;
- Private businesses;
- Industry / commodity organizations;
- Non-governmental organizations; and
- Provincial, federal or municipal government departments (e.g., OMAFRA staff).

Students and Post-Docs should not be included as members of the Research Team. Please see the Highly Qualified Personnel section below.

The project team composition should ensure that research expertise from all relevant disciplines and broad perspectives are brought to bear on the research objective(s) to be addressed. Where applicable, team members responsible for KTT should be identified in the team table.

A **Funding Source** field captures the funding source for team members to help support the evaluation of the budget. This field applies primarily for team members working at U of G who are funded as part of the project, other Alliance/OMAFRA funding, or from partner funds (e.g., Research Technicians, Research Associates, etc.). Select one of the following for each team member as appropriate:

- **This project (in whole/in part)** – for team members who will be supported directly with project funds. At least a portion of their salaries need to be **identified in the “Request From Program” table in the budget.**
- **Another OMAFRA program** – for Research Technicians etc. who are supported through other funding from the Alliance (e.g., base funded Technician) or OMAFRA programs. This is not to be used for OMAFRA staff whose salaries **should not** appear in the budget, as they are paid regardless of project funding.
- **Other funding source** – for team members supported under this project through partner funds. These expenses, and the relevant co-funder(s), need to be **identified in either the “Cash from Partners”** (if funds are coming into the University) **or “In-kind Support from Partners” tables in the budget.**
- **N/A** - for all other team members (U of G faculty, OMAFRA staff, collaborating researchers etc.). Their salaries **should not** appear in the budget, as they are paid regardless of project funding.

The **FTE** (full-time equivalent) you report in the team member table should reflect the total average annual time that each individual will contribute to the project. An FTE of 1.0 is a full-time commitment to the project (e.g., 35 hours per week) and an FTE of 0.1 is equivalent to 3.5 hours per week (for a 35-hour week). Documenting FTE contributions are important to support Alliance programs performance indicator reporting.

The involvement of all team members (including their estimated actual FTE contributions to the project) will be reported on in annual and final reports.

## Highly Qualified Personnel (HQP)

***The training and development of Highly Qualified Personnel (HQP) is an important objective of the Alliance and an Agreement performance indicator. Effort should be made wherever possible to engage HQP in Alliance-funded projects.***

HQP are students (typically either undergraduate, graduate, or diploma) or post-doctoral fellows receiving training through the proposed research, regardless of funding source. These HQP are captured separately from team members in the RMS. Please provide details on **all** HQP that will be involved in the project, regardless of their stipend funding source. Highly Qualified Personnel do not need to be invited. Proposals can move forward without specific persons identified as HQP if the positions are not yet filled. If specific people are not identified, use "TBD" as a placeholder for the first and last name within the HQP table and complete all other fields except for e-mail address. An individual record is needed for each individual undergraduate student to be hired. Similar to the Team Member table, identify the HQP Funding Source as either 'This project (in whole/in part)', , or 'Another funding source'.

***Ensure that all personnel that will be supported through the project, either through program or partner funds, are reflected in the Team Member and HQP Tables and clearly identified in the budget.***

## Supporting Documentation

Supporting documentation should be in PDF format in order to be appended to the proposal and may include:

- Team Member Supporting Documentation
  - CVs of the Lead Applicant and Co-Applicant (mandatory)
- Proposal Details Supporting Documentation
  - References for your Literature Review (mandatory)
  - Relevant articles demonstrating industry needs
  - One-page diagram which illustrates the methods described in the proposal
- Other Supporting Documentation
  - Letters of support. **Note: Letters of support from OMAFRA are not admissible**

- Confirmation of leveraged funding (if additional funding is listed as confirmed, a letter of confirmation is required before the project can be awarded)

Additional information, included in the supporting documentation fields, beyond what is listed here, will NOT be assessed as part of your proposal.

## OR-5

OR-5 fields are completed on-line by the applicant on the OR-5 tab of the application within the RMS. Department and College approval will be obtained electronically following proposal submission. No further action, beyond completing the OR-5 fields, is required from the applicants.

***Be sure to identify if there are external sources of cash funding, use of ARIO research centres, and declare any financial interest in any project partners on the OR-5 Form.***

## THE RMS BUDGET AND LEVERAGE GUIDELINES

### Budget Limits

Proposals for projects up to 24 months (2 years) duration are eligible for funding in the KTT-M stream.

Applicants to the KTT-M funding stream may request up to \$25,000 annually (\$50,000 total) for direct project operating costs.

The duration of the proposed projects and the size of the budget request must be commensurate with the nature of the research proposed.

### Eligible and Ineligible Expenses

The following provides a guideline of direct project expenses that are eligible under the Alliance Funding Programs. It is not an exhaustive list. Please contact [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca) with any questions regarding eligibility of budget items (either as direct project expenses or as matching contributions).

Eligible project expenses (can also be provided by funding partners):

- Salaries of scientific or technical staff employed on a contract basis or hired specifically for the purposes of this project (including those at U of G if **not** funded by the Alliance). Value should be based on their FTE contribution to the project;
- Graduate student stipends;
- Goods and services necessary for the project (e.g., supplies, disposables, sampling, lab testing, etc.);
- Equipment purchases (generally not exceeding \$10,000 per item). Alliance funding is limited and not intended for significant equipment purchases with a useful lifespan beyond the duration of the project. However, a larger equipment purchase (exceeding \$10,000) that is

fundamental to the research project may be eligible with a strong rationale. The review committees will consider these purchases on a case by case basis. Please contact [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca) if you have any questions about equipment purchases.

- Equipment leases/rentals (should be identified as 'Operating – Other' in the budget);
- KTT and technology transfer related costs such as the organization of workshops (venue, meals etc.) and communication materials;
- Publication costs (e.g., page charges for academic journals);
- Travel necessary to carry out the project (e.g., to research stations and field plots); and
- Travel to conferences where project information is being presented.

Ineligible project expenses:

- The salary of the Lead Applicant or Co-Applicant;
- OMAFRA staff time or resources;
- Salaries of permanent staff whose compensation is not specifically dependent on on-going research project funding.

## Ontario Agri-Food Research Centre Use and Access Fees

U of G faculty have access to Ontario Agri-Food Research Centres at highly subsidized (89%) rate. If you intend to use a research centre(s), please ensure this is identified in the 'General' Tab and the 'OR-5' tab under the Resource Use section in the RMS. This will create a section on the Budget tab where you identify the specific research centre services you require. Full instructions are available in the RMS application.

Visit the [Program website](#) for a complete list of Research Stations and Research Station Access Fees.

Third party (non-OMAFRA) funding is required to cover the non-subsidized portion (11%) of the fee.

## Leverage / Partner Funding

Funding partners are individuals or organizations that contribute cash and/or in-kind support to the project. These partners are captured under the 'Other Sources of Project Funding' section within the Budget tab in RMS.

***All cash leverage from partners must come through the Office of Research Services and have a separate OR-5 associated with it.***

In-kind contributions are non-cash contributions providing a direct, tangible benefit to the project. The donated asset or contribution must be essential to the project's success and if not donated, would need to be purchased and paid for from approved project funds. In-kind contributions must be in lieu of eligible project expenses only.

All cash and in-kind contributions must be fully explained in the RMS budget Justification text boxes. The value of the in-kind assets or services donated must reflect fair market value for the time period

it is donated. The eligibility and value of in-kind contributions will be assessed by the review committee.

The Alliance KTT-Research and KTT-Mobilization Funding Programs do not have prescribed matching or partner funding requirements. This approach recognizes that this program funds a broad diversity of research that spans the continuum from discovery research through to applied and pre-commercialization research, as well as policy and 'public good' research that is less likely to attract third party investment. Furthermore, there are significant differences in the ability of different end users to financially support research projects (e.g., smaller vs. larger industry groups).

OMAFRA wants to understand how their investment is used to leverage research capacity and other supports, as leverage is a key performance indicator for Alliance Programs. So, while Alliance projects do not *require* matching funding, funding partners show industry and end user pull/support for a project, which helps build a strong rationale for the research. **Effort should be made to secure partner support wherever possible.**

*When documenting your leveraged funding in the RMS, funding partners may have both an Organization and Funding Program (for example NSERC Discovery has the Organization 'NSERC' and Funding Program 'Discovery'). Please ensure you correctly identify these as independent entries (for example, do not input the Organization as 'NSERC Discovery').*

Review committees will take into account the level and nature of partner support that could reasonably be expected for particular types of projects. All partner support, whether cash or in-kind, needs to be fully documented/justified and considered essential to directly carry out the work of the project.

Funding partners can include:

- U of G (Lead Applicant organization) cash support only (e.g., scholarships, start-up funds etc.)
- Federal (including tri-council), provincial (including non-Alliance OMAFRA funding), or municipal governments;
- Other universities/ research institutions;
- Business and industry;
- Non-governmental organizations; and
- Individual donors, private foundations

Ineligible partner cash and in-kind:

- In-kind support from OMAFRA (time, resources, supplies, materials, etc.);
- In-kind support from U of G including use or provision of existing supplies, materials, and equipment belonging to the Lead Applicant, Co-Applicant, or U of G collaborators;
- Salaries for individuals that are 'regular, base-funded' positions within the applying or donating organization (e.g., government scientists). These individuals, if involved in the project, should be identified on the 'Project Team Members' table and invited to participate in the project.

Their Funding Source in the Team Members' table should be identified as "N/A". Time of staff at partnering organizations who are not part of the project team can be considered in-kind support when it is non-advisory service type work (e.g., data/sample collection or provision of analytical services);

- Teaching assistantships, unless they are part of the base stipend of the student and are identified in their offer letter;
- Other Alliance funding, including graduate student stipends awarded under the HQP Scholarship Program (however these HQP must still be identified the HQP table); and
- Alliance-funded Technician time (however Alliance-funded Technicians must be identified on the team member table to support performance indicator reporting – and their funding source should be identified as "Another OMAFRA Program").

***If your project is dependent on leveraged cash from external sources (any non-U of G, non-Alliance cash support), please ensure you select "Yes" on this field in the OR-5 tab in the RMS.***

## Overhead/Indirect Costs

**Request from Program:** Indirect Costs for Alliance-funded research are integrated into the overall OMAFRA-U of G Agreement. No indirect costs are identified at the project level. The overhead percentage identified in the budget tab should remain at 0%.

**Cash from Partners:** Indirect costs must be included at the applicable rate on partner cash contributions from government and industry sponsors when those contributions leverage OMAFRA funding. **Identify these costs in the 'Operating-Other' category in the 'Cash from Partners' expenditure table and describe them in the budget justification text box.** More information is available through the [Office of Research webpage about Indirect Costs of Research at the University of Guelph](#).

Ensure indirect costs on partner funds are captured in the budget in the Operating - Other category in the Cash from Partners budget table.

**Indirect costs levied by a collaborating institution** receiving transfers of Alliance project funds are eligible up to 25% and must be included in the budget under 'Operating-Other' in the 'Funds Requested from Program' expenditure table and described in the budget justification text box (see Collaborative Research Agreement section below).

## Building a Project Budget

An Excel version of the budget template is available on the [Alliance KTT program webpage](#) as an OPTIONAL tool to draft and plan your budget. This is for planning purposes only. **DO NOT** upload this Excel budget to your application. You are required to complete and submit the budget outline provided in the application in the RMS.

1. **Amount Requested from the Program** – identify the funding requested from the Alliance KTT Program for this proposal does not exceed the maximum amount available for the funding stream.
2. **Other Sources of Project Funding** – identifies the cash and in-kind support from partners. This table will appear after indicating ‘Yes’ for ‘Are there any other sources of project funds?’ Click ‘ADD Funding Source’ and provide the details requested for each funding partner supporting the project.
3. **Expenditures of Project Funds** - There are three tables to be completed in the Budget tab (will appear in a pop-up window):
  - Request from Program;
  - Cash from Partners (appears if you have indicated there are other sources of funding for the project); and
  - In-kind Support from Partners (appears if you have indicated there are other sources of funding for the project).

The use of research centres requires cash support from partners to cover the portion of centre access fees that is not subsidized by OMAFRA.

Use of program and partner funds should be allocated across budget categories and fiscal years. Each row in the budget corresponds to a U of G fiscal year (May 1 – April 30) that the project will take place. E.g., A 2-year project beginning October 1<sup>st</sup> would require 3 budget periods (fiscal years) – the first and last periods covering 6 months only.

***Use of projects funds must be fully explained/justified in the text boxes provided. Your justifications are critical for reviewers to determine whether your expenses are eligible, commensurate with the nature of your proposed research, and are valued appropriately. Insufficient justification can create uncertainty in the likelihood of project success during panel review; as such, researchers are highly encouraged to fully explain proposed expenditures.***

## Budget for Collaborating Researchers

### Sub-Awards (for U of G Collaborating Researchers)

If required for the project, a sub-award, with a separate FRS account number, can be set up upon request to allow for a collaborating U of G faculty member to manage a distinct portion of the project budget. Otherwise, U of G researchers are expected to manage their project spending collaboratively within a single FRS account.

- A separate budget worksheet which provides the details of the sub-award must be uploaded with the proposal. The budget worksheet is available on the Alliance Tier 1 [program website](#).
- In addition, a *Letter of Agreement for Internal Transfer of Funds* will be required at the time of award.



- It is the Lead Applicant's responsibility to report on all project activities, including the work of collaborating team members, regardless of the presence of a sub-award or a Collaborating Research Agreement.

### **Collaborative Research Agreements (for non-U of G Collaborating Researchers)**

Alliance project funding awarded for an approved project can be transferred to another organization for use by a team member via a Collaborative Research Agreement (CRA). Typically, CRAs are greater than \$10,000 per year and require the completion of a legal agreement between the University of Guelph and the collaborating institution. It is expected that CRAs will not encompass more than 50% of the Amount Requested from the Program. Although CRAs are created post-award, they must be identified at the proposal stage with the following budgetary information:

- If a CRA is required, a separate budget worksheet which provides the details of the budget for the CRA must be uploaded with the proposal. The budget worksheet is available on the [Alliance Tier 1 program website](#).
- Any **overhead/indirect costs** levied by the receiving institution on such fund transfers of OMAFRA-U of G project support must be included in the amount identified and budgeted for transfer, as there is no other mechanism by which such indirect expenses can be paid. The maximum overhead rate allowed will be 25%.

***It is the Lead Applicant's responsibility to report on all project activities, including the work of collaborating team members.***

## **Data**

A Data Management Plan (DMP) is not required for projects funded through the KTT Mobilization funding stream.

Please be aware that OMAFRA may require access to records, data, or agreements that the University has entered into with third parties which relate to your project. If you have any concerns about sharing data, records or the third-party information related to this project, please contact a Research Program Coordinator by email at [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca).

A few key questions regarding data sharing and access are included in the proposal under a new Data tab. Please consider your responses to these data sharing questions as you complete the [intellectual property](#) section of the proposal.

## **Safeguarding Research**

It is important that researchers assess and mitigate the risks to their research, development, and intellectual property. Information is available on the [Safeguarding Research webpage](#). Researchers are asked in the proposal template if their project requires any risk mitigation strategies based on the [Risk Assessment Checklist](#).

Please note that the Government of Ontario has the right to decline participation of any person, organization, company, or entity in the research project, prior to or after the commencement of research, on the basis of research security concerns, issues related to the privacy of personal information, confidentiality of confidential information, conflict of interest or a requirement of law.

## Intellectual Property (IP) and Non-Disclosure Agreements (NDA)

Under the Intellectual Property tab identify if any background (pre-existing) IP will be used in the project, particularly if it requires a confidentiality or material transfer agreement. Also indicate whether any foreground (new/arising) IP is expected or anticipated to be developed from the project and identify how it will be managed. Please reach out to the Research Innovation Office if you have any questions about IP ownership or management for Alliance funded projects.

If there is any data or other information that is coming into the project or will be generated during the project that will or may be confidential and require an NDA please clearly describe it, including implications for data sharing and dissemination of results.

## APPLICATION CHECKLIST AND POST AWARD PROCESSES

### Full Proposal Checklist

- Read the current OMAFRA Research Priorities document. Please be sure to **read the entire Appendix** as some topic areas are not intuitively located within the document.
- Attend the U of G KTT Program Virtual Town Hall on November 8, 2023 (program information session).
- Develop project concept.
- Assemble project team that includes your research capacity, advisors, stakeholders (including OMAFRA staff if applicable), and technicians. Team members must be confirmed through an invitation process. HQP are identified in a separate table.
- Connect with your Research Program Director (RPD), College Research Manager, Alliance Research Program Coordinators and Alliance Knowledge Mobilization staff ([kttadmin@uoguelph.ca](mailto:kttadmin@uoguelph.ca)) for support in preparing a strong proposal.
  - The Research Program Director for the Alliance KTT Program is Dr. Alison Duncan ([amduncan@uoguelph.ca](mailto:amduncan@uoguelph.ca)).
- Develop the proposal by completing all tabs in the RMS. Ensure the proposal is complete, well-written and clearly demonstrates how it addresses an OMAFRA research priority.
- Append all required documents (e.g., Lead Applicant and Co-Applicant CVs, Value Assessment Plan if applicable) and other supporting documentation as described above.
- You can access a **PDF version of your proposal** any time using the View Application button within the project record. Note, if your proposal is under review, the project record is not editable, but the View Application button is present on the dashboard under the Current Applications>Under Review table.

- Submit your Full Proposal in the RMS by the **submission deadline (February 15, 2024 at 1:00pm)**

## Full Proposal Decision Notification and Award Phase

- Researchers will be notified of the outcome of the review and approval process via the RMS.
- Conditionally approved applications must address any conditions in the offer described in the notification email through the RMS. All leveraged funding must be confirmed with a letter of support prior to final approval.
- Award Agreements are issued for projects once the response to conditions of funding have been addressed and approved by the Research Program Director and Alliance staff. Execution of Award Agreements will occur by an online 'DocuSign' process. The Lead Applicant and the Department Chair will receive notification via email that there is an Agreement to sign.
- **FRS account numbers** are accessible on the Award Agreement and on the General tab in the RMS.

## Post Award-Reporting

- Annual Progress reports are due 30 days after the anniversary of the project start date (with budget reporting for each fiscal period) and must include reporting on all KTT activities related to the project and a financial update on any sub-award and/or CRA agreements.
- Annual reports will be reviewed and approved if acceptable or revisions may be requested. Funding for the following year of the project will only be released once the report has been approved.
- Final reports are due 60 days following the conclusion of the project. They are critical to the success of the Alliance. Some of the summary fields will be published publicly.
- Reports are reviewed and approved on completeness and merit by Alliance staff and OMAFRA Research Analysts.
- Any changes to the start and end dates, objectives, deliverables or budget in an awarded project, must be requested and approved by OMAFRA through the amendment request process.
- If you have questions about the amendment or reporting process, please contact [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca)

***Alliance program staff should be notified of any issues affecting project progress as soon as they are identified. Project extensions should be requested at least three months prior to the project end date.***

## Non-Compliance with the Terms of the Award Agreement

If there is a failure to comply with the terms of the Award Agreement, including reporting requirements, or if there are substantial unresolved issues related to project progress, the Alliance has the right to withhold funds and/or the right to terminate the project.

### ACKNOWLEDGING ALLIANCE RESEARCH FUNDING

Recipients of funding must acknowledge Ontario Ministry of Agriculture, Food and Rural Affairs (OMAFRA) support in all public communications products, including news releases, web copy, magazine stories, public-facing reports, interviews, journal articles, conference posters and oral presentations. Visit the Alliance website for more details on [acknowledging OMAFRA Funding](#).

### APPEAL PROCESS

To ensure the transparency and rigour of the processes involved in the review and selection of Full Proposals, the Ontario Agri-Food Innovation Alliance Research Program has established a policy to guide the appeals process.

The primary purpose of the appeal is to correct errors, omissions or mistakes made by the review committees during the review of the Full Proposal. These errors are rare, however, in order to maintain fairness and equity to all applicants, the Program does permit appeals under the specific circumstances outlined below.

Appeals are heard only where the researcher demonstrates that an error of fact or process, or inadvertent omission of information has been made by the review committees. A researcher who has had a Full Proposal rejected, or an active project terminated prior to its normal end date, may request a review or appeal of the specific process used in the evaluation or assessment of the proposal or project. All researchers are entitled to receive a written communication indicating the decision regarding the approval or decline of the funding for their Full Proposal or active project, which will include the rationale behind that decision.

A written request for a review/appeal must be submitted within 30 calendar days from the date of the documented notification of decision and must include written evidence of error in the evaluation or assessment process. The request for appeal should be addressed to the Associate Vice-President, Research (Agri-Food Partnership) (AVPR).

The AVPR will determine if sufficient evidence exists for a formal appeal. Once a determination has been made to proceed with an appeal hearing, the AVPR will, in collaboration with the other co-chair of the Research Program Management Committee, convene a meeting of an appropriate Appeal Committee as per the following:

1. The AVPR will Chair the Appeal Committee.

2. The Appeal Committee may consist of one or more of the Research Program Directors (RPDs) and up to two (2) OMAFRA representatives as appropriate. This committee will not include the Research Program Director(s) of the priority area(s) where the project fits.
3. All relevant written materials generated concerning the project in question, prior to the date of the request for review, will be supplied to the Appeal Committee at least five (5) business days in advance of the meeting.
4. The RPD of the relevant priority area will present an oral report to the Appeal Committee summarizing the process followed and actions taken pertaining to the decision in question. The RPD will then be excused from the balance of the appeal proceedings.
5. The Appeal Committee will then receive evidence from the researcher concerning the project in question, specifically addressing the errors or omissions which have been alleged to have occurred.

The Appeal Committee will then determine, by consensus, a recommendation on the Appeal which will be presented to the Executive Committee for a final, binding decision on the matter. A written decision communicating the Executive Committee's decision will be presented to both the researcher and the Research Program Director. No further appeals will be permitted within either the University or OMAFRA systems.

## PANEL REVIEW SCORECARD: KTT MOBILIZATION PROJECTS

### 1. TEAM

Is the Principal Investigator suited to lead the project? Does the team have the appropriate expertise and experience to meet project objectives? Are roles and responsibilities articulated clearly? Are HQP engaged in the project?

The team is:

- **Outstanding:** PI is a leader in the field. Exceptional expertise from all necessary disciplines represented on the team and the contribution of each member is fully defined and appropriate. Excellent HQP participation.
- **Very Good:** PI is highly regarded in the field or has the potential to be a leader in the field. The team has a proven track record in the proposed subject area and the expertise to successfully complete the mobilization project. Roles and responsibilities are clearly articulated. Very good HQP participation.
- **Good:** PI is appropriate to lead the project. The team has experience in the proposed subject area and mobilization activities. Some revision required, such as additional expertise or better description of team member roles and responsibilities. Good HQP participation.
- **Sufficient:** The PI and team have some experience in the proposed subject area and mobilization activities. Key areas of technical expertise or industry collaboration are deficient. Roles and responsibilities are not well defined. Sufficient HQP participation.

- **Marginal:** The team lacks the breadth of experience in the field(s) outlined in the proposal. Project outcomes may be compromised. Marginal HQP participation.
- **Unsatisfactory:** Significant weakness in team composition. Project outcomes will be compromised as a result. Unsatisfactory HQP participation.

## 2. OBJECTIVES

Are the objectives clear and well developed? Does the project fit within the identified priority area? Are the intended benefits likely to be achieved?

The project objectives are:

- **Outstanding:** Objectives are detailed, realistic and very well developed. All project elements fall within the identified research priority. Anticipated project outcomes and benefits are very likely to be achieved.
- **Very Good:** Clear and detailed description of objectives. All project elements fall within the identified research priority or priorities. Anticipated project outcomes are likely to be achieved.
- **Good:** Objectives are appropriate and fall within the identified research priority but minor deficiencies are observed (e.g., lack of clarity or 1 or 2 project elements out of scope and/or are not in full alignment with the theme identified)
- **Sufficient:** Objectives are reasonable but lack detail, requiring moderate revisions. Project is limited in scope and/or has some elements that do not fall within the identified research priority. Anticipated benefits of the project may not be fully realized.
- **Marginal:** Objectives are vague or not well developed. Many project elements are out of scope and/or marginally fall within the established research priority.
- **Unsatisfactory:** Objectives are vague and poorly developed. Objectives do not fall within the established research theme and the intended benefits of the project are unclear.

## 3. AUDIENCE

Is the identified audience the appropriate target for the research knowledge? Will the identified audience benefit from the research knowledge? To what extent will this benefit extend to the wider agri-food sector and/or rural communities?

The identified project audience is:

- **Outstanding:** Audience is the clear primary beneficiary of the research knowledge. The audience will benefit from the knowledge and this benefit will likely extend to the wider agri-food sector/rural community.
- **Very Good:** Audience is an appropriate target for the activity. The audience will benefit from the knowledge.

- **Good:** Audience is an adequate fit for the identified research knowledge and should benefit from the information but may not be the ideal target audience. Some revision to include additional or slightly modified/targeted audience may be required.
- **Sufficient:** Audience may benefit from the research knowledge, but key audiences are missing. Moderate revisions required for project benefits to be fully realized.
- **Marginal:** Audience is vague or not a good target for the research knowledge. As a result, it is unlikely that the full benefits of the knowledge will be realized in this project.
- **Unsatisfactory:** Audience is not a fit for the research knowledge or proposed activity. Significant revisions are required for the project to be effective.

#### 4. RESEARCH IMPACT/BENEFIT (see project description, alignment with OMAFRA priorities, benefits & rationale) (2x weight)

Evaluate the likelihood of this proposal generating a positive impact on the Ontario agri-food sector or rural communities. Is the rationale for the project clearly articulated and is sufficient justification for the project provided (i.e., is the research knowledge being translated and transferred in this project required by the target audience(s))?

The benefits as presented are:

- **Outstanding:** Project will provide critical new knowledge to the identified audiences. Mobilization of this knowledge is likely to yield significant benefits for the identified user audience(s) and, by extension, Ontario's agri-food sector/rural community; there is a clear need for the identified research knowledge. Clear, compelling, and realistic descriptions of expected benefits. Applicant provides very strong justification for the project.
- **Very Good:** Project will provide significant, beneficial new knowledge to the identified audience(s), which will contribute to Ontario's agri-food sector/rural communities. Benefits for the project are realistic and clearly described. Applicant provides strong justification for the project.
- **Good:** Project will provide beneficial new knowledge to the identified audience(s), but other information is more urgently required. The likely benefits are reasonable and the applicant provides good justification for the project.
- **Sufficient:** Project will provide new research knowledge to the identified audience(s), but the need and/or benefit of the identified knowledge is vague or poorly described. The benefits are unclear and require more detail. Applicant provides limited justification for the project.
- **Marginal:** Project will provide little new research knowledge to the identified audience(s) and the need and/or benefit of the identified knowledge is unclear. The benefits are not fully described and project justification is understated or overstated.
- **Unsatisfactory:** Project will not provide any new or useful knowledge to the identified audience(s). Proposed project duplicates existing outreach and/or engagement activities or the identified audiences do not require/already have the identified information.

## 5. METHODS (milestones, methods and evaluation)

Quality and clarity of activity design and planning: Are the methods clear and described with sufficient detail to determine the course of the project? Do the methods support the project plan (objectives) and are well suited to the identified audience(s)? Are the methods identified likely to lead to the successful completion of project objectives? Can the methods be evaluated within the stated timeframes?

The methods as described are:

- **Outstanding:** Approach is well developed, highly original and/or innovative, and informed by existing KTT scholarship. The methods are suited to the target audience. The evaluation plan is appropriate, realistic and likely to be completed within the project timeframe. Probability of success is very high.
- **Very Good:** Approach is clear, logical, and can be completed within the stated timelines. High probability of success. The intended audience is likely to be reached and evaluation is likely to be achieved within the established timeframes.
- **Good:** Approach is feasible and based on proven methodologies. Some revision and/or additional detail or clarity may be required to reach the intended audience and complete an appropriate evaluation within the established timeframes.
- **Sufficient:** Project may be completed successfully, but there are moderate deficiencies in the description of the proposed methods or likelihood of success is not certain. Moderate revisions are required to reach the intended audience and conduct appropriate evaluation.
- **Marginal:** Approach is not well developed or vague and is unlikely to lead to the planned results or reach the intended audience(s). Evaluation plan is vague or not well developed.
- **Unsatisfactory:** There is insufficient detail to assess the effectiveness of the proposed approach. Approach not well aligned with outcomes and deliverables. Unlikely to reach the intended audience(s). Evaluation plan is not appropriate for the stated activity or cannot be completed within the stated timelines. Unlikely that the project can be completed successfully.

## 6. DELIVERABLES

Are the deliverables clear, tangible, measurable and achievable within the project timeframe? If fully achieved, will the deliverables result in the outcomes and impact described in the proposal?

The deliverables are:

- **Outstanding:** Deliverables are comprehensive, fully detailed, measurable and clearly achievable. Anticipated outcomes and impact very likely to be achieved.
- **Very Good:** Clear and concise description of project deliverables resulting in tangible outcomes. Anticipated outcomes and impact likely to be achieved.
- **Good:** Deliverables are clear and appropriate but weaknesses observed. Minor revision required to improve clarity and detail or ensure deliverables are tangible.



- **Sufficient:** Deliverables are reasonable but not clearly defined. Moderate revision required to ensure project deliverables are tangible and linked to desired outcomes.
- **Marginal:** Deliverables are not well described or vague and are unlikely to produce the planned results. Major revision required.
- **Unsatisfactory:** Deliverables poorly developed or unrealistic. Project will not result in tangible outcomes.

## 7. BUDGET

Is the budget appropriate for the work proposed? Does the amount of funding requested seem appropriate and expenditures linked to the outcomes described? Are all budget items sufficiently described/justified and valued appropriately?

The budget as presented is:

- **Outstanding:** Budget is clear, very well developed and represents great value for money. All items are fully described and justified in the budget notes and valued correctly.
- **Very Good:** Budget is clear, appropriate for the scale of the proposed project and represents good value for money. All items are sufficiently described and justified and valued correctly but may require minor revisions.
- **Good:** Budget is reasonable for the scale of the proposed project but requires moderate revisions (such as additional clarity and justification for items or more appropriate valuation of some budget items).
- **Sufficient:** Budget is acceptable for the scale of the proposed project but requires moderate revisions (such as additional clarity and justification for items or more appropriate valuation of some budget items). Alignment of expenditures with project outcomes not fully clear.
- **Marginal:** Budget is somewhat appropriate but requires major revisions. Budget items are not sufficiently described or justified or are valued improperly. Alignment of expenditures with project outcomes not fully clear.
- **Unsatisfactory:** Budget is disproportionate to the work proposed or insufficiently described to assess. Budget items not valued appropriately (clearly unrealistic or over- or underestimated) and/or inadequately justified (poorly explained). Budget does not represent good value for money.

## 8. LEVERAGE AND PARTNERSHIPS

Is the level of partnerships and external support (letters of support, expertise, facilities, equipment, cash, in-kind) adequate? Where appropriate, is there evidence that relevant partners are contributing to the project or will be contacted?

Note: The appropriate level of leverage funds and partnerships will vary by project depending on the nature of the mobilization project. **Please focus on the appropriateness of both cash and in-kind**

**leverage, as well as letters of support when answering this question.** Are the noted contributions and/or partnerships reasonable for a project of this type?

The leverage and partnerships are:

- **Outstanding:** Project significantly exceeds the leveraged funds/partnerships/endorsements expected given the type of mobilization project. The funds/partnerships/endorsements are confirmed by documentation.
- **Very Good:** Project has a high level of leveraged funds/partnerships/endorsements given the type of mobilization project. Most support is confirmed (letters of support, in-kind and cash contributions) or plans for gaining such support are provided.
- **Good:** Project has the adequate level of leveraged funds/partnerships/endorsements given the type of mobilization project. Some support is confirmed (letters of support, in-kind and cash contributions).
- **Sufficient:** Project has nearly adequate level of leveraged funds/partnerships/endorsements. It has limited stakeholder support confirmed (letters of support, in-kind and cash contributions) or plans for gaining such support.
- **Marginal:** Project has limited leveraged funds/partnerships/endorsements and there are obvious gaps indicating poor industry/sector interest. There are no letters of support and/or in-kind contributions.
- **Unsatisfactory:** Project demonstrates no leveraged funds/partnerships/endorsements indicating poor industry/sector interest. There are no letters of support and/or in-kind contributions.

#### \* Feedback and Comments

Please provide overall comments on the proposal and any feedback you have for the researcher.

#### \* Conditions

If you recommend this project for funding, do you recommend any conditions of award? (Please note: if you do not recommend this project for funding, please write 'do not recommend').

#### OVERALL COMMENTS (not scored)

Please summarize your overall assessment of the project and any comments you feel will support decision-making. Please provide any feedback you would recommend for the researchers (e.g., conditions of funding if the proposal is funded).