

**Program Guide 2019-2020**  
**Knowledge Translation and Transfer (KTT) Funding Program**  
A program of the Ontario Agri-Food Innovation Alliance (previously OMAFRA-U of G Partnership)

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## Ontario Agri-Food 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 two distinct kinds of KTT projects:

1. KTT Research Funding supports research projects that **advance the science of knowledge translation and transfer (KTT)** in agri-food and rural sectors. Research projects advance the science of KTT by identifying and evaluating methods designed to enhance and accelerate the impact of research.
2. KTT Mobilization Funding supports outreach and/or engagement activities **that support the dissemination, uptake and/or use of existing research** to support Ontario's agri-food sector and/or rural communities.

### What's New for 2019

There are significant changes in the focus and administration of Ontario Agri-Food Innovation Alliance funding programs for 2019. These include:

- New OMAFRA research priorities
- Development and submission of applications in the 'Next Generation' Research Management System (NG-RMS)
- Research team member invitation process
- New [KTT resources](#), including a Best Practices Manual, Evaluation Tip Sheet, KTT Check list and KTT Sample Plans.
- No paper OR-5 form. Fields filled in on-line by researcher. Approvals electronically in NG-RMS post submission.

### What is Knowledge Translation and Transfer (KTT)?

The Ontario Agri-Food Innovation Alliance (previously the OMAFRA-U of G Partnership) has supported knowledge translation and transfer (KTT) in agri-food and rural sectors since 2010.

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

### KTT Funding Program Objectives

The objectives of the KTT Funding Program are to:

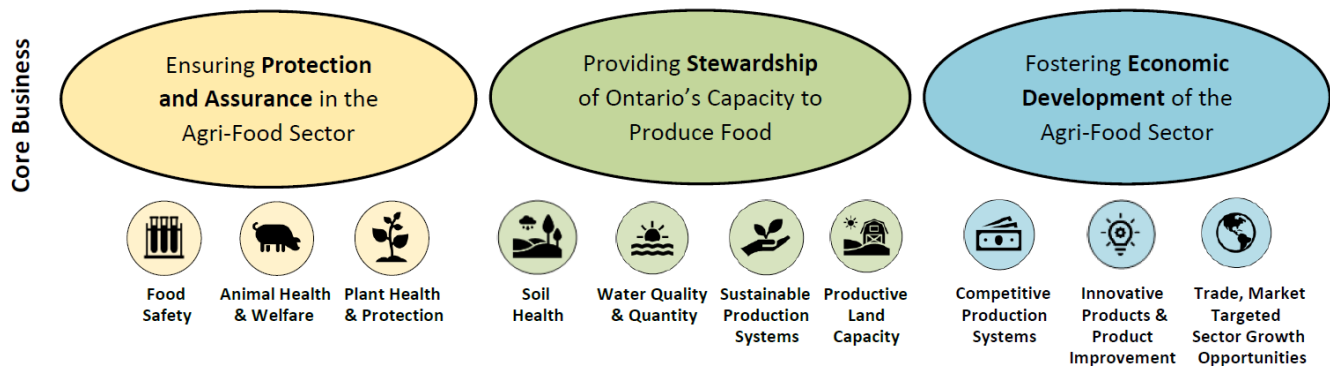
- Explore the science of KTT to identify and evaluate best practices to enhance the positive impact of research and innovation.
- Drive knowledge into action by advancing the synthesis, exchange, application and dissemination of knowledge resulting from Alliance-funded research and other agri-food and rural research beneficial to Ontario and Ontarians.
- Evaluate and utilize KTT methods and best practices to support awareness and impact of research among users.

### Program Scope: What we Fund

All KTT projects must relate to an established OMAFRA research priority and support Ontario's agri-food and/or rural sectors.

There are ten priority areas that map onto OMAFRA's three core business areas:

### OMAFRA Research Priorities by Core Business



Further information about OMAFRA's research priorities are available in the document entitled "["OMAFRA Priorities for the Ontario Agri-Food Innovation Alliance Research Program, 2019-2020"](#)" and on the [Alliance website](#).

KTT projects supported by the Funding Program **DO NOT need to address a specific research question**, but must relate to one of the ten 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.

#### Available Funding

To meet established objectives, the KTT Funding Program invites project applications to one of two funding streams:

##### 1. KTT Research Funding

**Maximum project duration:** 2 years (24 months) | **Budget Limit:** \$35,000 annually (\$70,000 total)

KTT Research Funding supports research projects that **advance the science of knowledge translation and transfer (KTT)** in agri-food and rural sectors. Research projects advance the science of KTT by identifying and evaluating methods designed to enhance and accelerate the impact of research.

Successful KTT Research projects will contribute to evidence-informed KTT practice.

##### 2. KTT Mobilization Funding

**Maximum project duration:** 2 years (24 months) | **Budget Limit:** \$20,000 annually (\$40,000 total)

KTT Mobilization Funding supports outreach and/or engagement activities **that support the dissemination, uptake and/or use of existing research** to support Ontario's agri-food sector and/or rural communities.

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

*Please note: a project may only be submitted to ONE funding stream; applicants may not seek funding from both funding streams for the same project.*

## How to Apply

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

An expert panel of researchers, government analysts and industry partners reviews submitted project proposals based on project merit, quality, value for money, and contribution to Ontario’s agri-food and/or rural sector. A KTT research expert will complete a technical review of each application for consideration by the review panel in advance of scoring.

### Online Application System – Next Generation Research Management System (New!)

Work has been underway for some time to develop and implement the “Next Generation” Research Management System (NG-RMS), which will replace the current RMS system. A phased approach is being used for the implementation of NG-RMS:

- All 2019 fall programming is being administered in the NG-RMS; and
- Active projects will continue to be administered in the current RMS until data migration takes place. More details about this migration process will follow.

While the NG-RMS has a new look and new functionality, the overall approach to applying to Alliance programs will be familiar. It is highly recommended that additional time be allocated for completion of the application in the NG-RMS. Of particular note is the [team member invitation process](#) which requires action from both the researcher and team members in advance of the submission deadline.

### Registering in the NG-RMS

A new login in NG-RMS is required to apply to the KTT Funding Program. Registering and logging into the NG-RMS will bring you to your Researcher Workbench where you can apply to open calls. UofG faculty contact records have been migrated from the current RMS system, but for security reasons passwords have not. Enter your uoguelph.ca email address on the NG-RMS login page (<https://omafra2.smartsimple.ca/>) and select “Forgot Password”. Enter a new password at the prompts. Please contact [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca) if you experience any difficulties logging in.

To open an application, select either the Alliance KTT Research Program or Alliance KTT Mobilization Program and click on “Determine Eligibility”. Confirm your eligibility to apply for funding to access an application.

NG-RMS works in a variety of web browsers, but we **do not recommend using Internet Explorer** as some functionality does not work well.

### Eligibility

#### 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

A Co-Applicant (optional) is a researcher or partner that plays an important and ongoing role in the development and implementation of the project. Co-applicants are identified and invited from the team member tab in NG-RMS. There can be only one Co-applicant.

University of Guelph faculty members are eligible to be the lead applicant and/or a co-applicant on any Ontario Agri-Food Innovation Alliance KTT Program project. Adjunct faculty members may also apply if they are eligible to hold research funding at the University of Guelph.

**Please Note:** 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 projects under any Ontario Agri-Food Innovation Alliance funding program.

## Research Team and Invitation process (New!)

Team members and Highly Qualified Personnel are identified in their respective tables in the Team tab in the NG-RMS. **Inviting Research Team members** is a new process in NG-RMS. This process is described in the application template and in the tip sheets (accessible under the 'Help' icon on the NG-RMS home page). Co-applicants, Delegates (described below) and all Collaborators should confirm their participation in the project and be registered in NG-RMS by the Full Proposal submission date.

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 part of your organization. A Delegate, while not formally a team member, is identified and invited from the team member tab in NG-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 NG-RMS (this is important for performance measure reporting).

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).

The project team composition should ensure that the appropriate expertise is brought to bear on the objective(s) to be addressed. 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. Documenting FTE contributions are important to support 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

Highly qualified personnel (HQP) are undergraduate and graduate students or post-doctoral fellows receiving training through the proposed project. These HQP are captured separately from team members in the NG-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 the first and last name within the HQP table and complete all other fields except for e-mail address.

## Knowledge Translation and Transfer (KTT) – for Research Stream ONLY

The KTT tab in the KTT Research Stream application consists of two tables: KTT User Audiences and the KTT Plan. Instructions for completing these two tables are in NG-RMS.

There are several resources available to assist you in creating your KTT plan. Visit the [KTT Services and Resources page](#) to access these resources.

- [Growing Knowledge Translation and Transfer in Ontario: A Manual of Best Practices](#): This manual outlines a collection of best practices in agri-food and rural KTT that can help guide you through the development of your KTT plan.
- [KTT Plan Checklist](#): A practical tool based on the Alliance KTT plan template. These guidelines, prepared by Alliance funding program reviewers, ensure your proposal covers key aspects of KTT planning.
- [KTT Example Plans](#): Examples of complete KTT plans to help provide ideas of innovative KTT activities as well as questions to consider as you answer each section.

Contact [kttadmin@uoguelph.ca](mailto:kttadmin@uoguelph.ca) if you have any questions about these resources or the KTT section of your proposal.

## Supporting Documentation

Supporting documentation should be in PDF format and may include:

- Team Member Supporting Documentation
  - o CV's of the Lead Applicant and Co-Applicant
- Proposal Details Supporting Documentation
  - o Relevant articles demonstrating industry needs
  - o One-page diagram which illustrates the Methods described in the proposal
  - o References for your Literature Review
- Other Supporting Documentation
  - o Letters of support
  - o Confirmation of leveraged funding
  - o Award letters to be leveraged with this proposal
  - o Sub-Award/Collaborative Research Agreement (CRA) Budget Templates

## OR-5

An OR-5 Form is **no longer required to be uploaded to the application**. OR-5 fields are completed on-line by the applicant on the OR-5 tab within the NG-RMS. Departmental and College approval will be obtained electronically following proposal submission. No further action is needed by the applicants.

## The NG-RMS Budget and Leverage Guidelines

### Budget Limits

Proposals for projects up to 24 months (2 years) duration are eligible for funding.

Applicants to the KTT Research funding stream may request up to \$35,000 annually (\$70,000 total) for direct project operating costs.

Applicants to the KTT Mobilization funding stream may request up to \$20,000 annually (\$40,000 total) for direct project operating costs.

Project duration and budget must be commensurate with the nature of the proposed research/mobilization initiative and show high value for money requested. For all project applications, we welcome projects shorter than the maximum time allowed (24 months). In particular, KTT Mobilization projects may be anywhere from 6 - 24 months in duration.

## 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 UofG 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, equipment up to \$10,000, etc.);
- 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:

- OMAFRA staff time or resources;
- Salaries of permanent staff whose compensation is not specifically dependent on on-going research project funding;
- Support for meetings/events that would occur regardless of project funding; and
- Capital purchases exceeding \$10,000 over the life of a project (i.e., equipment/infrastructure with a useful lifespan beyond the duration of the project).

## Research Station Use and Access Fees

UofG faculty have access to 15 research stations at highly subsidized rates. If you intend to use a research station(s), please ensure this is identified in the 'General' Tab in NG-RMS. This will create a section on the Budget tab where you identify the specific research station services you require. Full instructions are available in the NG-RMS application

Visit the [Research 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 (8%) of the fee.

## Leverage / Partner Funding

Funding partners are individuals or organizations that contribute cash and/or in-kind support to the project.

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 in-kind contributions must be fully explained in the budget notes. The value of the 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.

Alliance Funding Programs do not have prescribed matching or partner funding requirements. This approach recognizes that our programs fund a broad diversity of projects 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 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 an Alliance performance indicator. 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.**

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:

- UofG (applicant organization);
- Federal (including tri-council), provincial (including non-Alliance OMAFRA funding), or municipal government sources;
- Other universities/ research Institutions;
- Business and Industry;
- Non-governmental organizations; and
- Individual donors.

Ineligible partner cash and in-kind:

- In-kind support from OMAFRA (time, resources, supplies, materials, etc.);
- Use or provision of existing supplies, materials, and equipment belonging to the Lead Applicant, Co-Applicant, or UofG collaborators;
- Salaries for individuals that are ‘regular, base-funded’ positions within the applying or donating organization. These individuals, if involved in the project, should be identified on the ‘Project Team Members’ table and invited to participate in the project;
- Other Alliance funding, including graduate student stipends awarded under the HQP Scholarship Program (however these HQP must be identified on the HQP table); and
- Alliance-funded Technician time (however Alliance-funded Technicians must be identified on the team members table to support performance measure reporting).

### Overhead/Indirect Costs

UofG indirect costs are incorporated into the master Alliance Agreement. No additional indirect costs are required and/or eligible on a project-by-project basis on the amount requested from OMAFRA. The overhead percentage identified in the budget tab should remain at 0.

**Partner Cash Contributions:** Indirect costs must be included at the applicable rate (e.g. 25% or 40%) 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 notes.

**Indirect costs levied by a collaborating institution** receiving transfers of Alliance project funds are eligible and must be included in the budget under ‘Operating-Other’ in the ‘Funds Requested from Program’ expenditure table and described in the budget notes (see Collaborative Research Agreement section below).

## Building a Project Budget

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

1. **Sources of Project Funds** includes the funding requested from the program as well as cash and in-kind support from partners. If you have indicated there are other sources of funding for the project, click 'ADD Funding Source' under the 'Other Sources of Project Funding' section within the Budget tab and provide the details requested for each Funding Partner supporting the project.
2. **Uses of Project Funds** - There are three tables to be completed in the Budget tab (will appear in a pop-up window):
  - Funds Requested from the Program;
  - Cash Support from Partners (if applicable); and
    - o The use of **research stations** requires cash support from partners to cover the portion of station access fees that is not subsidized by OMAFRA.
  - In-kind Support from Partners (if applicable).

Use of program and partner funds should be allocated across budget categories and fiscal years. Each row in the budget corresponds to a UofG 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 notes help us determine whether your expenses are a) eligible; b) commensurate with the nature of your proposed research; and c) are valued appropriately.

## Budget for Collaborating Researchers

### Sub-Awards (for UofG Collaborating Researchers)

If a significant part of the project budget will be managed by a collaborating UofG faculty team member(s) in a different department than the Lead Applicant, a sub-award with a separate FRS tracking account number can be set up upon request. UofG Researchers in the same Department are expected to manage their project spending collaboratively.

- 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 [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.

### Collaborative Research Agreements (for non-UofG Collaborating Researchers)

Alliance project operating funding awarded for an approved project can be transferred to another institution for use by a team member via a Collaborative Research Agreement (CRA). CRAs are created post-award and require the same detailed reporting through the Lead Applicant's project.

- Any **overhead/indirect costs** levied by the receiving institution on such fund transfers of OMAFRA-UofG 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%.
- 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 [program website](#).

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

## Successful Proposals

### Reporting Requirements

For all successful projects, the Principle Investigator is required to provide the following reports over the lifecycle of the project:

1. Annual progress report: The team will submit a progress report annually after the project start date.
2. Final report: One month after the project end date, the team will be required to submit a final report detailing project outcomes and applications.

OMAFRA and U of G staff will review project reports. Continued funding will be contingent upon acceptable progress towards identified outcomes.

### Data Management Plans

The Ontario Agri-Food Innovation Alliance is in the process of implementing data management plans (DMPs) as a requirement across its funding programs.

A complete DMP will be required as a condition of award for all successful projects supported through the KTT Research funding stream.

A DMP is not required for projects funded through the KTT Mobilization funding stream.

For more information on data management planning, please see the [University of Guelph Library's data management planning resources](#).

## 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 procedure.

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)

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 5 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.

## Contacts

Please direct any questions about the KTT Funding Program to:

### **Primary contact:**

Rebecca Moore  
 Senior Manager, Communications and Knowledge Mobilization  
 Office of Associate Vice-President, Research (Agri-Food Partnership)  
 Email: [r.moore@uoguelph.ca](mailto:r.moore@uoguelph.ca)  
 Phone: 519.826.5269

### **Secondary contact:**

Stacy Favrin  
 Senior Manager, OMAFRA/U of G Research Programs  
 Office of Associate Vice-President, Research (Agri-Food Partnership)  
 Email: [favrinst@uoguelph.ca](mailto:favrinst@uoguelph.ca)  
 Phone: 519.824.4120 Ext. 56725

Please direct any questions regarding the online application system (RMS) to:

### **Ontario Agri-Food Innovation Alliance Research Program Coordinator:**

Zach Telfer  
 Phone: 519.824.4120 Ext. 56877  
 Email: [rescoord@uoguelph.ca](mailto:rescoord@uoguelph.ca)