



**AllerGen  
Strategic Initiative (SI)  
Funding  
2017-2018**

**SI Application  
Guidelines**

**FINAL**

**Revised:  
20 Dec 2016**

**Canada** 



## Table of Contents

### **A. Instructions**

Responsibilities of Applicants.....	1
-------------------------------------	---

### **B. Application Process and Definitions**

Overview.....	2
Review Process .....	2
Definition of Applicants/Co-applicants .....	3

### **C. SI Application**

PART I: Project Appendices PI-A - PI-C.....	6
Principal Investigator Certification .....	6
Appendix PI-A: Principal Investigator Signature Page .....	7
Appendix PI-B: Co-Principal Investigator(s) and Co-Investigator(s) Signature Page(s) .....	8
Appendix PI-C: Vice-President(s) of Research Signature Page .....	9
PART II: Project Narrative.....	10
PART III: Project Appendices PI-D - PI-M .....	13
Application Checklist: .....	17

## A. INSTRUCTIONS

### Responsibilities of Applicants:

SI applications are accepted on specific dates scheduled throughout the year. These dates are set by the AllerGen Administrative Centre in consultation with the Research Management Committee and are posted on the AllerGen website.

#### Eligibility:

- Step 1. Confirm your eligibility to hold AllerGen NCE funds (Tri-Council) by consulting the [Grants and Awards Guide](#) of the CIHR.
- Step 2. Be a Board-approved Network Investigator with AllerGen.
- Step 3. Identify the appropriate AllerGen [Legacy Project or Enabling Platform](#) or team with which the research project is aligned.
- Step 4. Consult appropriate Research Leaders re: scientific merit of proposal. Provide a completed [Research Leader Confirmation of Consultation](#) (Form A). Research Leaders must each send a completed form to the Managing Director, copying the applicant, in advance of Step 5 below.
- Step 5. Consult the Managing Director re: strategic alignment of proposal with AllerGen strategic priorities and programs. The Managing Director will complete the Form B: [Confirmation of Consultation](#).

#### Please note:

- **Material submitted in previous applications is NOT available to reviewers.**
- **Non-adherence to guidelines and page limitations may result in rejection of the application.**

- Step 6. Please insert the name of the **Principal Investigator** into the application document header.
- Step 7. Use single-spaced type, **Arial 11 point**. Condensed type or spacing is not acceptable. Margins must be **one inch around the page**. Page limitations must be observed and additional pages may NOT be added unless specified.
- Step 8. Electronically submit a complete and signed application package to the Admin Centre, copying AllerGen's Scientific Director, Managing Director, and the appropriate AllerGen **Legacy Project** or **Enabling Platform** Research Leader(s),
  - a. CVs of Principal Investigators, Co-Principal Investigator(s) and Co-Investigator(s) are to be submitted **electronically** to the Admin Centre, listed alphabetically, with a table of contents.
  - b. Scanned signature pages are to be included in the application. Original signatures pages are to be **mailed** directly to the AllerGen Administrative Centre, attention: April O'Connell, Manager, Research Programs.
- Step 9. Mail signature pages to:

**Attention: AllerGen NCE Inc. – RFA 2017-2018  
McMaster University  
Michael G. DeGroote Centre for Learning and Discovery  
1280 Main Street West, Room 3120  
Hamilton, ON L8S 4K1**

Questions may be directed to 905-525-9140, ext. 26553 - [apriloconnell@allergen-nce.ca](mailto:apriloconnell@allergen-nce.ca) or [dianaroyce@sympatico.ca](mailto:dianaroyce@sympatico.ca)

## B. APPLICATION PROCESS AND DEFINITIONS

### **Overview**

The SI program focuses on supporting just-in-time research and development opportunities that arise in-year and/or require a rapid response in order to generate, promote or accelerate the economic and social benefits of previous or new AllerGen research investments. These funds are intended to provide support for post-discovery commercialization, business planning and knowledge dissemination, mobilization, or translation activities. The projects must be scaled so as to be achievable within a one-year/12 month timeframes and be aligned with AllerGen's mission and vision. Ideally, the SI will be undertaken in partnership with AllerGen partners, stakeholders, and/or end user organizations.

Prior to submission of an SI application, consultation must take place with appropriate Legacy Project and Enabling Platform Research Leaders regarding the scientific relevance to AllerGen's research, knowledge mobilization and/or commercialization program and value-added potential of a proposed project. Upon favourable feedback from Research Leaders and the submission of a report (Form A) from the appropriate Research Leaders to the Managing Director, copying the applicant, the applicant may request a consultation with the Managing Director to review the proposed project and ascertain that it is aligned with AllerGen's strategic mission and mandate. The Managing Director will complete Form B and review the results with the Scientific Director.

AllerGen will consider support for proposals for projects that can be completed within a period of one year, that include, but are not limited to, at least one of the following objectives:

1. Develop a business plan to secure a legacy for AllerGen research investments/teams.
2. Contribute to and facilitate the translation, mobilization and application of AllerGen-funded or related research findings to accelerate Canadian innovation, productivity and economic competitiveness and/or improve the quality of life for Canadians living with allergic disease.
3. Develop policy frameworks, national strategies, tools, technologies, products, and/or services arising from AllerGen research and/or aligned with AllerGen's vision and mission.

Budgets may be requested for a maximum of one year for a maximum value of \$50,000.00. All funding commitments are subject to change based on a review of progress towards approved milestones and deliverables.

**There is no appeals process in regard to AllerGen project funding decisions for this application; however, formative feedback will be provided to applicants.**

### **Review Process**

SI applications will be reviewed by AllerGen's Network-Supported Intellectual Property (NSIP) Advisory Committee. NSIP recommendations will be reviewed by the Research Management Committee (RMC) for approval.

A Notification of Award will be sent to successful applicants following RMC approval. Funding will be issued on an annual basis, subject to satisfactory progress and/or compliance with specific conditions communicated to the applicants by the RMC. Successful applicants will be required to confirm their acceptance of the terms and conditions of the award as approved, and agree to make revisions to the proposal, if requested. In addition, successful applicants will be required to sign the AllerGen *Acknowledgement of Acceptance* form. Each university holding AllerGen funding in trust for AllerGen-supported projects is a signatory to AllerGen's [Standard NCE Network Agreement](#).

A Final Report will be required once the project is completed. Ten percent of the approved funding will be retained at the AllerGen Administrative Centre until such time as a Final Report, acceptable to the RMC, has been received and approved. Reports will include major accomplishments, impediments to progress or changes in direction, and a description of work to be completed, including - if fundamentally altered from the original application - new approaches to be taken. It will also include a report on Intellectual Property (IP) (emerging or disclosed), knowledge translation/knowledge mobilization activities, publications, research teams, trainees, partnerships, and progress towards milestones.

**Progress will be assessed against approved milestones and timeframes as well as against anticipated deliverables, outcomes and impacts of each project within the context of AllerGen's mission, vision, goals and objectives. In the event that Principal Investigators have not performed to this standard or delivered on stated goals and objectives of projects within the approved timeframes, funding may be terminated.**

**It is important to note that universities may not pre-flow funds to Investigators prior to receipt of payment from AllerGen.**

### ***Definition of Applicants/Co-applicants***

1. A **Research Leader (RL)** is an AllerGen Network Investigator (full member of AllerGen NCE Inc.), who holds his/her appointment at an AllerGen Network member institution (Canadian university or affiliated institution). A RL provides scientific and operational leadership and guidance to Principal Investigators.
2. A **Principal Investigator (PI)** will be an AllerGen Network Investigator (full member of AllerGen NCE Inc.), who holds her/his appointment at an AllerGen Network member institution (Canadian university or affiliated institution). A PI leads, and is responsible for a given research project, has primary responsibility for the intellectual direction of the research, and is accountable for the reporting and achievement of deliverables for a given programmatic research project. She/he assumes administrative and financial accountability for the project and for the funding and reporting related thereto. She/he may supervise graduate students, ensuring the participation of students in AllerGen NCE research projects, and assumes a leadership role with respect to collaboration and networking internally with other Network Investigators and externally with Network partners/stakeholders and funders.
3. A **Co-Principal Investigator (Co-PI)** is an AllerGen NCE Network Investigator (full member of AllerGen NCE Inc.) who holds her/his appointment at an AllerGen Network member institution (Canadian university or affiliated institution). A Co-PI contributes substantively to aspects of the intellectual direction of an AllerGen NCE funded programmatic research project, and provides a leadership role in aspects of the programmatic research project and in support of a Principal Investigator with respect to collaboration and networking with other Network Investigators and externally with Network partners/stakeholders and funders. She/he may, at the discretion of the PI, have some responsibility for the financial aspects of the research activities, including receipt of allocated AllerGen funding, and for the supervision of graduate students engaged in Network research. Co-PIs do not include trainees, research associates/assistants or foreign citizens.
4. A **Co-Investigator (Co-I)** is an AllerGen NCE Network Investigator (full member of AllerGen NCE Inc.) employed at a Canadian university or at a Canadian not-for-profit institution or public institution which may or may not have a formal affiliation with a Canadian university. A Co-I contributes to aspects of the intellectual direction of an AllerGen NCE funded programmatic research project, and provides a leadership role in aspects of the programmatic research project and in support of a Principal Investigator with respect to collaboration and networking with other Network Investigators and externally with Network partners/stakeholders and funders. She/he may, at the discretion of the Principal Investigator, have some

responsibility for the research activities and for the supervision of graduate students engaged in Network research. Co-Is do not include trainees, research associates/assistants or foreign citizens.

5. A **Collaborator** is an independent researcher associated with the project but not receiving AllerGen support. All participating Investigators from non-Canadian universities are collaborators for the purpose of this application.
6. A **Partner / Stakeholder** is an organization that supports AllerGen project teams with leveraged Non-NCE funding and/or in-kind contributions, such as: expertise, knowledge, and advice on project deliverables; materials, technical support; provisions of service.
7. **Highly Qualified Personnel (HQP):**  
**Research Trainee** team members are undergraduate students, graduate students, medical students, Fellows-in-Training and Postdoctoral Fellows.

A **Research Assistant** provides support to the research project and/or to the implementation strategy and uptake of Network results. She/he is responsible for communication and reporting to an AllerGen Network Investigator.

**Technical Staff** members will be individuals, normally but not necessarily, in the employ of an institution participating in the AllerGen Network, who, at the direction of an AllerGen Network Investigator, provides a specialized technical service to facilitate project research, knowledge mobilization or commercialization. Her/his intellectual contribution to Network projects is limited to technical services and support of such a nature so as to preclude such individuals from being classified in one of the other roles outlined above.

**ALLERGEN TEAM: LEGACY PROJECTS AND ENABLING PLATFORMS**

Role	Accountabilities
Research Leader (RL)	<ul style="list-style-type: none"> <li>• Overall leadership of Allergan Legacy Projects and Enabling Platforms.</li> <li>• Reviews, provides feedback and approval of project milestones and deliverables <i>via</i> Progress Reporting processes.</li> <li>• Reviews, provides feedback and recommendations to RMC of milestones and deliverables <i>via</i> project Final Report processes.</li> <li>• Membership on Allergan’s Research Management Committee (RMC).</li> </ul>
Principal Investigator (PI)	<ul style="list-style-type: none"> <li>• Coordinates the development of a given project proposal with the support of Co-PIs, Co-Investigators, Collaborators, Research and Technical staff and trainees.</li> <li>• Consults Research Leaders for formative feedback.</li> <li>• Responsible for financial accountability for the project and for the funding and reporting related thereto.</li> </ul>
Co-Principal Investigator (Co-PI)	<ul style="list-style-type: none"> <li>• Assists PI with the development of the project proposal by providing scientific expertise and knowledge relevant to the proposed initiative, as well as contributing to the research, commercialization or knowledge mobilization plan, deliverables and milestones.</li> <li>• The PI may instruct Allergan to fund the Co-PI directly for project-related activities.</li> </ul>
Co-Investigator (Co-I)	<ul style="list-style-type: none"> <li>• Assists PI with the development of the project proposal by providing scientific expertise and knowledge relevant to the proposed initiative, as well as contributing to the research, commercialization or knowledge mobilization plan, deliverables and milestones.</li> </ul>
Collaborator	<ul style="list-style-type: none"> <li>• Supports PIs, Co-PIs, Co-Is and other team members on specific projects by providing expertise, knowledge, and advice on project deliverables.</li> </ul>
Partner / Stakeholder	<ul style="list-style-type: none"> <li>• Supports Allergan project teams with leveraged Non-NCE funding and/or in-kind contributions, such as: expertise, knowledge, and advice on project deliverables; materials, technical support; provisions of service.</li> </ul>
Highly Qualified Personnel (HQP): Research Trainee	<ul style="list-style-type: none"> <li>• Students, Fellows-in-Training, and Postdoctoral Fellows assisting and supporting project team members on specific projects within a <i>Legacy Project</i> or <i>Enabling Platform</i>.</li> </ul>
Highly Qualified Personnel (HQP): Research Staff - Research Assistant, Technical Staff	<ul style="list-style-type: none"> <li>• Provides administrative and technical support to project team members in the delivery of project outputs.</li> <li>• Supports and assists project team members in conducting assigned technical, analytical and quality control work related to the proposed project.</li> </ul>

## C. SI APPLICATION

### PART I Signature Pages: APPENDICES PI-A to PI-C

*I certify that as Principal Investigator, the following signature pages have been signed and are appended as follows:*

- APPENDIX PI-A:** *Signature Page for Principal Investigator*
- APPENDIX PI-B:** *Signature Page(s) for Co-Principal Investigator(s) and Co-Investigator(s)*
- APPENDIX PI-C:** *Signature Page(s) for Vice-President(s) of Research at the institutions of each Principal Investigator and Co-Principal Investigator that will be receiving funds from Allergan to be held in trust*

---

Principal Investigator Signature

---

Print Name

---

Principal Investigator Affiliation

---

Affiliation address including postal code



Please review the Standard NCE Network Agreement online [here](#), and sign below

## **STANDARD NCE NETWORK AGREEMENT - APPENDIX A (Part I)**

### **Acknowledgement**

### **PRINCIPAL NETWORK INVESTIGATOR**

I, \_\_\_\_\_, acknowledge that I have read, understood and agree to be bound by the obligations of Network Investigators set out in this [Standard NCE Network Agreement](#).

**Name:**

**Role:** Principal Investigator

**Project Name:**

**Institution:**

**Signature:**

**Date:**

Provide a completed version of Appendix PI-B for each Co-Principal/and Co-investigator participating in the project.

Please review the Standard NCE Network Agreement online [here](#), and sign below

**STANDARD NCE NETWORK AGREEMENT - APPENDIX A (Part II)**

**Acknowledgement**

**CO-PRINCIPAL INVESTIGATOR AND/OR  
CO-INVESTIGATOR  
on the  
PRINCIPAL NETWORK INVESTIGATOR'S TEAM**

I, \_\_\_\_\_, participating in AllerGen NCE Research  
(name of Co-PI and/or Co-Investigator)

Project Name: \_\_\_\_\_

Led by PI \_\_\_\_\_ of \_\_\_\_\_, acknowledge that I  
have read, understood and agree to be bound by the obligations of Network Investigators set out in  
this [Standard NCE Network Agreement](#).

**Details:**

**Name:**

**Role:**  Co-Principal Investigator or  Co-Investigator

**Host Institution:**

**Signature:**

**Date:**

If multiple investigators per institution are involved in the proposed project, send Appendix PI-A and those Appendices PI-B grouped by institution, to the relevant VP Research at each respective participating institution with Appendix PI-C for signature by the VP Research, so that the VP Research at each institution only signs one Appendix PI-C per project.

*This form is to be completed using only one institution per page per project.*

**STANDARD NCE NETWORK AGREEMENT - APPENDIX A (Part III)**

(Standard NCE Network Agreement online [here](#) as reference)

**VP Research Acknowledgement of AllerGen Participation by  
Faculty Member**

**AllerGen Addendum to APPENDIX A to the STANDARD NCE NETWORK  
AGREEMENT**

**PART III:** This is to acknowledge that the host University, where potential AllerGen research project participants reside, is aware of the following individuals' application for funding from AllerGen NCE Inc., a national research and development network funded through the Networks of Centres of Excellence (NCE) program.

**On behalf of my institution, and as Vice-President, Research, I acknowledge that the individuals identified in the attached Appendix PI-A and/or Appendix PI-B, are applying for AllerGen NCE project funding.**

**Signature:**

**Name (Please print):**

**Title:** Vice-President, Research

**Institution:**

**Date:**

## C. SI APPLICATION

### PART II: SI Project Narrative

Use the **Word document template** for your *SI Project Narrative* as outlined in this guide. *PART III* of this guide provides further information for completing the **Excel file Appendices**.

The *SI Project Narrative* is subdivided into 12 sections and must be no longer than **10 pages in length** using minimum **11-point font Arial** and **single-line spacing**.

#### Section 1: EXECUTIVE SUMMARY (1/2 page to 1 page maximum)

**In simple, lay language, describe your initiative/project, including:**

- rationale
- goals/objectives and major activities
- planned outputs (products, tools, services, knowledge)
- partners
- anticipated outcomes/impacts (who benefits and how?)

#### Section 2: RATIONALE

**2.1 Why this initiative/project? Why now?**

**2.2 What evidence supports your claim that there is a need for this initiative/project?**

#### Section 3: GOALS, OBJECTIVES, ACTIVITIES, TIMELINES, MILESTONES

Use APPENDIX PI-H to describe your project's goals, objectives, activities, timelines and milestones. **No narrative description is required here.**

#### Section 4: YOUR TEAM

**4.1 How will the expertise that your team (as named in APPENDICES PI-D, PI-E, PI-F and PI-G) possesses contribute to the successful execution of the proposed initiative/project?**

**4.2 Are additional skills needed to fill expertise gaps on your team? If so, how will you address these gaps?**

#### Section 5: PROJECT PARTNERS / STAKEHOLDERS

**5.1 How will the partners listed in APPENDIX PI-I contribute to this initiative/project? What will be their specific roles/responsibilities? Name the key contact for each partnership.**

Partner/Stakeholder roles may include: product development; product evaluation; testing and evaluation; marketing/distribution; knowledge synthesis; prioritization of messaging; dissemination strategy; dissemination processes.

## **Section 6: TARGET AUDIENCE / MARKET**

**6.1 Who are the target audiences for the outputs (products, tools, services, knowledge) of your initiative/project?**

**6.2 What is the size/scale and geographic scope of your target audience/market?**

**6.4 What mechanisms/approaches will you use to engage and involve your target audiences in the initiative/project?**

## **Section 7: MEANS OF DISSEMINATION / MARKETING**

**7.1 What is the strategy and mechanism for disseminating/marketing project outputs to target audiences? Elaborate on the dissemination phase of your project/initiative (how/where you will share your outputs) outlined in APPENDIX PI-J.**

**7.2 If applicable, how will you use knowledge brokers and/or business experts?**

## **Section 8: KTEE (Knowledge Mobilization and/or Commercialization) OUTCOMES / IMPACT**

**8.1 What are the planned OUTCOMES that this initiative/project will produce?**

An **outcome** refers to a *change that will occur* as a result of your project, including changes in knowledge, awareness, attitudes, skills and behaviour. Outcomes may include a personal behaviour change, implementation of a new policy, launch of an educational program, informing new research, number of clinicians using a new tool, *etc.*

Be specific as to the outcomes that will directly arise as a result of your project, their value, and which stakeholders will be affected.

**8.2 What are the anticipated IMPACTS that this initiative/project will enable?**

An **impact** is a longer-term consequence than an outcome, and refers to a *broader socioeconomic change that will occur*. Impacts may include a reduced rate of allergies/asthma, improved quality of life, fewer anaphylactic deaths, increased sense of wellbeing, *etc.*

Be specific as to the anticipated impacts that will directly arise as a result of your project, their value, and which stakeholders are affected.

## **Section 9: EVALUATION**

**9.1 What are the processes and timeframes for evaluating the outcomes and impacts of this initiative/project?**

**9.2 How will the results of the evaluation process inform future initiatives?**

## **Section 10: BUDGET**

**Provide a brief written justification for the funds requested from AllerGen.** Refer to APPENDIX PI-K (SI Budget) in your response.

**Explain how AllerGen funds will leverage other resources.** Refer to APPENDIX PI-L (Cash and In-kind Contributions from Partners) in your response.

## Section 11: TRI-AGENCY COMPLIANCE REQUIREMENTS

### 11.1 Research Ethics:

Does the proposed research involve biohazards, humans, human embryonic stem cells or animals?

Yes No

*If it does, AllerGen will require approval by your institutional certification committee prior to the release of funds.*

### 11.2 Environmental Assessment:

Does any phase of the research described in this proposal

- take place outside an office or laboratory? Yes No
- involve an undertaking as described in [NSERC Form 101 Appendix B](#)? Yes No

*If you answered yes to either of the above and your project is selected for funding by AllerGen, you will be required to complete an [Environmental Assessment Impact Statement](#) and the Canadian Environmental Assessment Act [Pre-Screening Checklist](#) for internal review and approval prior to the release of funds.*

## Section 12: GRANTS HELD OR APPLIED FOR

Use APPENDIX PI-M to list grants held or applied for. **No narrative description is required here.**

## C. SI APPLICATION

### PART III: APPENDICES PI-D to PI-M (Excel file)

#### **APPENDIX PI-D: PROJECT INVESTIGATORS**

Complete **APPENDIX PI-D** for Principal Investigator, Co-Principal Investigators and Co-Investigators. Projects **must** involve Investigators from **at least one other university or setting in order to be eligible for funding**.

*Provide a 2-3 line description of the role of each project team member listed. Teams should be multidisciplinary and comprise members from academia and the receptor community.*

#### **APPENDIX PI-E: COLLABORATORS**

Complete **APPENDIX PI-E** for project Collaborators (*including international*).

#### **APPENDIX PI-F: HIGHLY QUALIFIED PERSONNEL (HQP) - RESEARCH TRAINEES**

*Trainee development is a fundamental mandate within AllerGen. Trainees at all levels of study should be involved in research projects that promote a multidisciplinary and multisectoral research approach, provide mentorship and networking opportunities, and leverage AllerGen investments in conjunction with research partners and other private, public and not-for-profit stakeholders.*

*Trainees are the primary recipients of AllerGen's salary funding, and both the quality of the learning environment and the leveraging of partnerships for this purpose are critical criteria against which Network research projects will be assessed.*

*Describe the quality of HQP training provided by your research project. Include details about the co-supervision of Trainees, cross-disciplinary mentorship, and leveraging and networking opportunities to be provided.*

*Complete **APPENDIX PI-F** (not included in page limitation) to list potential Trainees and their level of study.*

#### **APPENDIX PI-G: HIGHLY QUALIFIED PERSONNEL (HQP) - RESEARCH STAFF**

*AllerGen funding may also support salaries for Research Staff.*

*Complete **APPENDIX PI-G** (not included in page limitation) by listing actual or potential Research Staff and their roles.*

#### **APPENDIX PI-H: GOALS, OBJECTIVES, ACTIVITIES, TIMELINES, MILESTONES**

*Briefly summarize, in Excel Spreadsheet **APPENDIX PI-H**, the research deliverables (to be realized at the conclusion of the project) and associated milestones/timeframes over the duration of the project. This summary should act as a critical path for the project (not included in page limit).*

#### **APPENDIX PI-I: PARTNERS / STAKEHOLDERS SUMMARY**

#### **APPENDIX PI-L: CASH AND IN-KIND CONTRIBUTIONS:**

*Complete **APPENDIX PI-I** and **APPENDIX PI-L** (not included in page limitations). Identify the partners/stakeholders involved or prospective partners/stakeholders. External partnerships with industry, government and non-government organizations, not-for-profit agencies, patient organizations, allied health professionals and healthcare providers are a central feature of AllerGen-supported projects. Outline*

partner/stakeholder roles, contributions to the research and describe why the proposed partnerships are important and what value these connections add to the project's outcomes and social and economic impacts. Cash and in-kind contributions, held or applied for, relevant to this project from other sources (e.g., Tri-Council and other federal, provincial, municipal, hospital and international peer-reviewed research grants; academic, public and/or private sector partners) for each part of the budget must be specified. AllerGen will pay particularly close attention to the use and leveraging of multiple sources of funding available to the proposed research project in assessing the funding envelope requested from the Network. Thus, for example, research assistants and technical support staff who might already derive partial-to-full-support from existing infrastructure funds available to individual Project Investigators should not be duplicated in the funding requested. Networked, co-supervised traineeships in collaborative projects across disciplines, sectors and/or Institutions will be considered to represent true added-value, and be considered critical to both AllerGen's and the NCE program's missions.

Please provide a signed letter of support on the letterhead of each "eligible" partner/stakeholder detailing the extent of their proposed collaboration and/or their cash and in-kind contribution towards this project. The letter should specifically include reference to AllerGen, the proposed project, and any conditions placed on funding. Greater weight will be given to partnerships that would clearly not have come about in the absence of the proposed AllerGen project. Copies of letters provided for the 2015 NCE Mid-Term Renewal application may be submitted if applicable. These letters can be reviewed here: <http://allergen-nce.ca/wp-content/uploads/LOS.pdf>.

If cash and in-kind support from partners/stakeholders has not been finalized at the time of application, please specify how partners/stakeholders will be confirmed within six months of launching the project. Greater weight will be given to projects that provide letters of support from partners/stakeholders than to projects which do not.

#### **APPENDIX PI-J: KTEE (Knowledge Mobilization and/or Commercialization)**

AllerGen supports high-impact, transformative research and the mobilization of this research into tangible benefits for Canadian families, educators, healthcare providers and policymakers dealing with asthma and allergies. As outlined in AllerGen's updated 2016-2019 Strategic Plan, AllerGen will increase its emphasis on translating and commercializing key findings for the benefit of Canadians with allergic diseases.

From 2016 to 2019, AllerGen research project teams will be required to:





- i) Apply a knowledge mobilization framework, known as the **Co-Produced Pathway to Research Impact (CPPI)**, to accelerate the progression of Network research to measurable social and economic impacts.  
(Figure 1 illustrates the CPPI pathway for research projects to move to dissemination, uptake, implementation, and impact).
- ii) Identify/recruit a KTEE practitioner to their team to facilitate the mobilization and/or commercialization of Network research.

**On Excel Spreadsheet APPENDIX PI-J, indicate how your project is expected to perform in relation to the CPPI pathway and identify the KTEE lead from your project team.**

As an additional resource, refer to the [Knowledge Translation Planning Tools for Allergic Disease Researchers](#) for a comprehensive overview of factors to consider in developing an integrated Knowledge and Technology Exchange and Exploitation (KTEE) strategy.



Figure 1:

Five Phases of Research Impact	 RESEARCH OUTPUT(S)	 DISSEMINATION	 UPTAKE	 IMPLEMENTATION	IMPACT(S) (potential)
	<b>WHAT</b> will your research find/do/produce ?	<b>HOW / WHERE</b> will you share your research outputs?	<b>WHO</b> (partners/end users) will evaluate and use your research outputs?	<b>WHAT</b> will change as a result of your research?	<b>WHAT</b> is the ultimate benefit for Canadians?
Examples of Research Impact	Generate new knowledge (specify)	Publication (e.g. journal publication, clear language summary, editorial)	Patient organizations (specify)	New or modified clinical practice (specify)	Health (e.g. reduced prevalence of x, improved quality of life for y, wait time or hospital visits reduced,
	Identify a new process (specify)	Presentation, public lecture, workshop, report	General public	New patent licensed	Economic
	Create new intellectual property (IP) (specify)	Video, infographic, social media	Clinicians, healthcare professionals, practitioners (specify)	New policies, professional practice, products and services developed by partners	Social
	Inform decision making	Press release, media advisory, opinion editorial, policy brief	Policymakers	New legislation	Cultural
	Create a new guideline (specify)	Evidence (specify) for: policy makers practitioners private and non-profit organizations	Researchers, academics	Program launch	Environmental
		Consultation with industry	Industry	Guideline created	

Adapted from: (source: Phipps, D.J. et al. (2015) *The Co-Produced Pathway to Impact describes Knowledge Mobilization Processes*. *J. Community Engagement and Scholarship*, In press.)

**APPENDIX PI-K: SI BUDGET 1 January 2017 - 31 March 2018**

All budget documents to be completed in **APPENDIX PI-K** and **APPENDIX PI-M** are located in the **Excel file**. Please enter the name of the proposed project in the application header and name of Principal Investigator in the application footer. Figures provided must be in Canadian funds. Budget justifications, and milestones and timeframes for completion of key deliverables are required.

**Do not exceed the maximum budget provided by Allergen with respect to NCE funds available for an SI project. There is no limit on proposed levels of non-NCE funding.**

Use Excel Spreadsheet **APPENDIX PI-K:** Allergen funds requested.

Use Excel Spreadsheet **APPENDIX PI-M:** Existing funds held and/or applied for, and leveraged in support of the Allergen proposal.

*Project Budgets must include all travel expenses related to attendance at Allergen's Network Conference (2019) or Scientific Meeting (2017), as applicable, including attendance by project Investigators, Collaborators, HQP Trainees and Research Staff who submit posters at Allergen Conferences.*

**OTHER GRANTS HELD OR APPLIED FOR 1 April 2016 - 31 March 31 2019** (not included in page limitations). Complete Excel spreadsheet **APPENDIX PI-M** to provide details on other grants currently held that are related to the Allergen project.

## QUALIFYING CHECKLIST:

- Consultation occurred with appropriate Research Leaders (Form A)
- Research Leaders' consultation reports sent to Managing Director
- Consultation with Managing Director regarding strategic alignment (Managing Director will complete Form B)

## SI APPLICATION CHECKLIST:

### Project Narrative

- Part I: Items 1 to 12

### Signature Pages *(not included in page limit)*

- APPENDIX PI-A: Principal Investigator Signature Page
- APPENDIX PI-B: Co-PIs and Co-Investigator Signature Page(s)
- APPENDIX PI-C: Vice-President of Research for host institution of the Principal Investigator. Signatures of Vice-Presidents of Research are required from all institutions where Co-Principal Investigator funding will be held in trust

### Project Appendices *(Appendices not included in page limit)*

- APPENDIX PI-D: Project Investigators
- APPENDIX PI-E: Collaborators
- APPENDIX PI-F: Highly Qualified Personnel (HQP) - Research Trainees
- APPENDIX PI-G: Highly Qualified Personnel (HQP) - Research Staff
- APPENDIX PI-H: Goals, Objectives, Activities, Timelines, Milestones
- APPENDIX PI-I: Project Partners / Stakeholders Summary
- APPENDIX PI-J: KTEE (Knowledge Mobilization and/or Commercialization)
- APPENDIX PI-K: SI Budget: AllerGen funds requested
- APPENDIX PI-L: Cash and in-kind contributions from Partners
- APPENDIX PI-M: Existing funds held and/or applied for, and leveraged in support of the AllerGen project proposal



**McMaster University**  
**Michael DeGroot Centre for Learning & Discovery**  
**1280 Main Street West, Room 3120**  
**Hamilton, ON L8S 4K1**  
**Telephone: (905) 525-9140 x26502**  
**Fax: (905) 524-0611**  
**E-mail: [info@allergen-nce.ca](mailto:info@allergen-nce.ca)**

Innovation from cell to society  
[allergen-nce.ca](http://allergen-nce.ca)