

<b>Subject:</b>	<b>RESEARCH: Grants Policy</b>		
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<b>Contact:</b>	Chair, Research Committee		
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## 1 Purpose

The purpose of this policy is to define the framework for the administration of the UOWD Research Grants Scheme and encourage participation of UOWD staff in the National Research Foundation (NRF). The UOWD Research Committee will align its internal grant procedures with those of the NRF with the aim of improving the quality and success of our research grant applications.

## 2 Scope

Full-time and adjunct faculty members at UOWD are eligible to apply for research funding as per section 4 of this policy.

Staff members who submitted NRF pre-proposals that were not successful (i.e. did not receive an invitation to submit a full proposal to the NRF) are also eligible to submit a UOWD research grant proposal on the same topic, in order to capitalise on the work already put in and to 'continue the momentum' in developing a competitive research project.

## 3 Funding Allocation

The maximum funding available for research proposals will be specified in the call for proposals and advertised on the UOWD Research website and the proposed research must be achievable for this amount and must be able to be completed within one year. Funding will be allocated for a period of one year from the date of grant being awarded. Support for multiple year projects must be requested on a year-by-year basis and should therefore be presented as a phased project.

Applicants who were invited to submit full proposals to the NRF but were unsuccessful will automatically receive 'near miss' funding from the UOWD Research Committee, on receipt of a revised proposal, in the form of the UOWD full proposal, which outlines the reduced scope of the proposed work with a revised budget.

## 4 Eligibility Criteria

In order to be considered for funding, a research proposal must satisfy the following eligibility criteria. Failure to meet the any of these criteria will result in exclusion of the proposal.

- A proposal may have up to three investigators. One of them must be designated as the Principal Investigator (PI), and the remaining, if any, must be designated as Co-Investigators (CIs) or Associate Investigators.

- The PI must be employed as a full-time faculty member at UOWD. CIs can be full-time or adjunct faculty members. Researchers not employed by UOWD can only be listed as Associate Investigators (AIs).
- A staff member can be the PI on only one proposal, but may be a CI on only one additional proposal.
- Each PI and any CI must have a PhD or equivalent doctoral qualification.
- Associate Investigators (AIs) must provide a project with necessary and tangible additional expertise, access to data, or other forms of technical assistance.
- A UOWD instructor who is currently enrolled for a PhD but has not yet graduated can only be an AI on a UOWD grant proposal.

## 5 Assessment Process

### Stage 1:

The Research Pre-proposals will be assessed by the Research Committee based on the criteria listed in section 6. Applicants who are Research Committee members are required to be absent during assessments of their proposals.

### Stage 2:

Full proposals will be reviewed by at least two assessors in the applicant's discipline area, drawn from academic staff at UOWD and UOW, as well as appropriately qualified staff in government and industry. Assessors will be asked to score proposals against the criteria outlined in section 6 below, and the Research Committee will rank all proposals based on the assessors' reports and their own judgement.

## 6 Assessment Criteria

The following merit criteria will be applied in assessing UOWD research grant proposals:

- The originality, significance, and relevance of the proposed research question(s), including the potential to advance knowledge and understanding within its own field or across different fields.
- The appropriateness of the approach to the study and methods to be used, and the likelihood that they will therefore lead to successful research outcomes.
- The quality of the proposal with respect to its presentation, clarity, organization, and completeness.
- The ability of the research team to carry out the proposed work successfully based on past accomplishments and future potential. All investigators (Principal-, Co- and Associate-) will be expected to have a strong track record of research/scholarship relative to opportunity, based on factors such as the stage of their career, time out of academia for child-rearing, periods of time in the workforce with no research opportunities. The PI and any CIs are expected to have the experience and capacity to mentor and supervise less qualified team members.
- The appropriateness of the budget, in relation to the work proposed in the application. Grant funds may be used on any legitimate expenditure necessary for successful completion of the research project, as proposed – including equipment, disposable materials, research assistance, travel (for the purpose of data collection, not for conference attendance). The appropriateness of the budget will be judged only at the full application stage.
- The likelihood that the project, if funded, will lead to successful applications for external support from the NRF or other funding agency.

## 7 Application Process

Pre-proposals must be submitted to the Secretary of the Research Committee.

The Research Committee will decide on the successful pre-proposals, based on their judgement of the likely competitiveness of the application in the full proposal round. The committee will provide feedback to the unsuccessful PIs at this stage. Successful PIs will be invited to submit full proposals.

**7.1 Application Timeline**

The deadlines for applications and timelines for assessment and announcement of outcomes will be published on the Research pages of the University website.

**8 Ethics Clearance**

Successful proposals for projects which involve collecting data or information from humans must obtain the relevant Ethics Clearance prior to the commencement of the project and any expenditure of research grant funds [Available at: <http://www.uow.edu.au/research/rso/ethics/human/index.html>].

**9 Appeal**

Applicants whose Research Grant Proposal was unsuccessful have the right to appeal on procedural grounds only. Appeals should be directed to the Vice President (Academic).

**10 Review**

This policy will be reviewed for currency and appropriateness at least every two years.

**11 Related Documents**

Research Grants Application form – F-RSC-DB-1.1

**Modification History – Research Grants Policy**

Version No. and Date:	Modification Details:
V2 30 May 07	Amended section 7 to include the requirement for grant holders to submit progress report.
V3 11 Aug 09	Revised sections 1 through 7.