

RESEARCH GRANTS POLICY



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Related Documents

Regulation 40: Academic Staff, Honorary Staff, and Academic Titles

The Collegiate Agreements

Conflict of Interest Policy

1. Rationale and Objectives

- 1.1 The Council provides funds for Research Grants to support the production and dissemination of high-quality research by the University. This includes the support of academic staff, honorary researchers, higher degree by research students, and libraries associated with the University to undertake activities that lead to the production and dissemination of research, and to the attraction of external or other funds to support research.

2. Scope

- 2.1 This policy applies to members of the University who meet the eligibility criteria.
- 2.2 Research Grants may be used to support the production or dissemination of research at the University. This may include the expenditure of funds for:
- a) attendance or presentation at a research conference
 - b) the conduct of library or archival research or of fieldwork
 - c) employment of a research assistant
 - d) sponsorship or seed-funding for a conference supported by the University
 - e) bringing a visiting academic to the University
 - f) payment of expenses relating to a peer-reviewed publication, such as copyright permissions, images, or a publisher's fee
 - g) purchase of research items such as books, manuscripts, or digital collections
 - h) teaching relief that leads to the production or dissemination of research
 - i) undertaking any other activities that lead to the production or dissemination of research.

3. Definitions

- 3.1 A Small Research Grant is a grant of up to \$5,000, which normally includes only one project.

- 3.2 A Large Research Grant is a grant of no less than \$5,000 and up to \$10,000. A Large Research Grant may include more than one project.
- 3.3 A Large Research Grant (Collaborative) is a grant of no less than \$10,000 and up to such amount as Council decides in its annual budget.

4. Budget

- 4.1 The Council allocates a sum of money in its annual budget to support the award of Research Grants.
- 4.2 The Council may reserve a sum of money in the research grant allocation for a specific purpose or for a specific cohort of applicants such as early career researchers or higher degree by research students.

5. Eligibility

- 5.1 Persons eligible to apply for Small Research Grants are:

- a) academic staff of the University
- b) honorary researchers of the University
- c) higher degree by research students currently enrolled at the University
- d) the librarian of a library named in Schedule 3 of a Collegiate Agreement

- 5.2 Persons eligible to apply for Large Research Grants are:

- a) academic staff of the University
- b) the librarian of a library named in Schedule 3 of a Collegiate Agreement

- 5.3 A person may be awarded no more than \$5,000 of Small Research Grant funding within a calendar year, whether that funding is awarded individually or as part of a group.

- 5.4 With the exception of a Large Research Grant (Collaborative), a person may be awarded no more than \$10,000 of Large Research Grant funding within a calendar year, whether that funding is awarded individually or as part of a group.

6. Criteria

- 6.1 Applications for Small Research Grants are assessed against the following criteria:

- a) the track record of the applicant or applicants in the production or dissemination of research (50%);
- b) the merit of the proposed project, including the quality of the proposed outcomes and the methodology (50%).

- 6.2 Priority may be given to Small Research Grant applications from:

- a) higher degree by research students; or
- b) early career researchers who are within five years of graduation with a doctoral qualification; or

c) applicants who have not previously been awarded a research grant.

6.3 Applications for Large Research Grants are assessed against the following criteria:

- a) the track record of the applicant or applicants in the production or dissemination of research (40%);
- b) the track record of the applicant or applicants in successful delivery of outcomes of previous research grants (10%);
- c) the merit of the proposed project, including the quality of the proposed outcomes and the methodology, the potential for the project to lead to a successful application for an external competitive grant, the potential for the project to contribute to the University's reputation for research, and the alignment of the project with the University's Vision, Mission, and Strategic Plan (50%).

6.4 Applications for Large Research Grants (Collaborative) are additionally assessed at 6.3 c) against the capacity of the proposed project to build or strengthen collaboration with a researcher or researchers external to the University or within another College of the University

7. Application

7.1 There are three rounds of Small and Large Research Grants and one round of Large Research Grants (Collaborative) awarded in each calendar year, on dates published on the University Calendar.

7.2 An application for a Research Grant may be made by an individual applicant or by a group of applicants. An applicant may submit more than one application in a funding round provided that the total funds awarded in a calendar year to an applicant do not exceed the limits stated in section 5.

7.3 An application for a Large Research Grant may include a series of related projects or funding for multiple purposes.

7.4 Applications must include all supporting documentation, and must provide a detailed budget and evidence of the cost basis used for funds sought.

7.5 Each application must be submitted online via the University website and all supporting documentation must be uploaded as an attachment or series of attachments.

7.6 Applications must be submitted on or prior to the application closing date published in the University Calendar for each round.

7.7 It is the responsibility of the applicant or applicants to make as strong a case as possible for an application and to provide evidence to support that case.

7.8 The Dean of Research Strategy is responsible for ensuring there is an opportunity at least once each calendar year to provide training in preparation of grant applications for members of the University.

8. Research Grants Panel

- 8.1 All applications for research grants are assessed by the Research Grants Panel. The members of the Research Grants Panel are:
- a) The Dean of Research Strategy; and
 - b) Five academic staff appointed for a term of up to three years by the University Executive. Persons so appointed may be internal or external to the University. In making appointments the University Executive must ensure the Panel has sufficient expertise in assessment of grant applications and in a range of theological disciplines.
- 8.2 The Chair of the Research Grants Panel is elected by the Panel from the membership of the Panel for a term of up to three years.
- 8.3 The Financial Controller or delegate may attend but not vote at meetings of the Research Grants Panel.
- 8.4 The Research Manager attends and provides administrative support to the Panel but may not vote at meetings of the Panel.
- 8.5 The Research Grants Panel may appoint external assessors to assist them in the assessment of a grant round.
- 8.6 In instances where external assessors are used, the identity of the assessors remains confidential.
- 8.7 The Chancellor, Vice-Chancellor and Chair of the Academic Board cannot be members of the Panel or appointed as external assessors.
- 9. Conflicts of Interest**
- 9.1 Any member of the Research Grants Panel who has an actual or perceived conflict of interest in relation to a grant application must declare the conflict to the Panel. The Chair of the Panel must handle the conflict in accordance with the *Conflict of Interest Policy*.
- 9.2 In the case of a grant up to \$10,000 the conflict must be declared at the opening of the meeting at which the application is assessed.
- 9.3 In the case of a grant larger than \$10,000, the conflict of interest must be declared to the Panel on release to the Panel of the list of applicants.
- 9.4 In instances where the conflict of interest is determined by the rest of the Panel to require it, the Chair of the Panel must, prior to the meeting at which the application is considered, exclude the person with a conflict of interest from any involvement in the assessment and decision-making in regard to the application, and must recruit a supplementary panel member or members to oversee part or all of the processes involved in the assessment and decision. The person with a conflict of interest is excluded from receipt of any information relevant to the assessment of the application.
- 10. Assessment and Award**

- 10.1 The Research Grants Panel assesses applications for eligibility according to the criteria in section 5 and excludes ineligible or incomplete applications from further consideration in that round.
- 10.2 The Research Grants Panel assesses eligible applications according to the criteria in section 6 and may exclude applications that it determines are of insufficient quality to merit funding. The Research Grants Panel ranks all remaining applications according to the criteria in section 6.
- 10.3 The Research Grants Panel awards Research Grants to the ranked applications in order of ranking, observing any direction of the Council regarding allocation of funds to a particular cohort or cohorts. The Research Grants Panel has discretion:
- a) to award no grants in a round; or
 - b) to award a grant less than the total amount sought by an applicant; or
 - c) to award grants to a total amount less than the available funding for that round.
- 10.4 The Research Grants Panel must ensure that sufficient funds remain available to enable grants to be awarded at each advertised round in a calendar year.
- 10.5 The Research Grants Panel may not award grants beyond the funds available in the annual budget. Any unspent money must be returned to general funds at the end of the year.
- 10.6 In exceptional circumstances the Research Grants Panel may award a Small Research Grant between grant rounds, provided that:
- a) the applicant makes a satisfactory case as to why the application should be considered; and
 - b) the application is recommended to the Research Grants Panel by the Dean of Research Strategy; and
 - c) no member of the Research Grants Panel objects to the award being made.
- 11. Reporting and Acquittal**
- 11.1 The Research Grants Panel must inform each applicant in writing of the outcome of the application within thirty days of the meeting at which the application was assessed.
- 11.2 The Research Grants Panel must report annually to the Finance and Risk Committee detailing how the funds set aside for Research Grants were expended in that year, including how any special allocations were expended.
- 11.3 The Research Grants Panel must report to the University Executive after each funding round with information on how many applications were received, how much funding was requested, how many Research Grants were awarded, and how much funding was awarded. The Research Grants Panel may make recommendations on improvements or changes to this policy.
- 11.4 Funds may only be transferred to a successful applicant or a successful applicant's College on presentation of an invoice or of receipts for authorised expenditure.

- 11.5 A successful applicant must claim all funds within twelve months of the date on which the grant was awarded. After twelve months unclaimed funds are forfeited by the applicant.
- 11.6 In exceptional circumstances, where unforeseen events hinder the capacity of the researcher or researchers to carry out part or all of the activities for which the funding has been awarded, and where this would result in the surrender of all or part of the funding awarded, the applicant or applicants may apply to the Research Grants Panel for a variation in funding. The variation request must explain the circumstances that have necessitated the change in research plans, include the submission of a revised budget, explain the alternative use to which the funding will be applied, and describe how that activity advances the goals of the research project.
- 11.7 If a Research Grant involves research that requires ethical clearance, funds may not be released to the successful applicant until written approval of the research has been provided by the Human Research Ethics Committee.
- 11.8 Successful applicants must submit a report to the Research Grants Panel detailing how the funds were expended and how the outcomes of the project have been achieved to date within twelve months of the date on which the grant was awarded.

12. Review and Appeal

- 12.1 An applicant may apply for a review of the decision of the Research Grants Panel by lodging a completed Review Request Form with the Chair of Academic Board within one week of receipt of notice of the outcome of the application.
- 12.2 The Chair of Academic Board must acknowledge receipt of the review request in writing to the applicant within five working days.
- 12.3 The Chair of Academic Board may consult with the Chair of the Research Grants Panel and Financial Controller before making a determination.
- 12.4 If the appeal is upheld, the Chair of Academic Board may make recommendations to the appropriate officers of the University.
- 12.5 The Chair of Academic Board must provide a report and decision on the review in writing to the applicant, the Chair of the Research Grants Panel, the Chair of the Research Strategy Committee, and the University Secretary within ten working days of receipt of the review request.
- 12.6 An applicant may have recourse to the Appeals Policy to dispute the outcome of the review if the applicant is able to provide evidence of failure to comply with this Policy

13. Date of next review

- 13.1 This policy must be reviewed no later than 31 December 2025.