

Faculty of Science and Information Technology
Research and Research Training Committee

2012 FACULTY STRATEGIC SMALL RESEARCH GRANTS: GUIDELINES

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PART A - GUIDELINES FOR FACULTY STRATEGIC SMALL RESEARCH FUNDING

A1 INTRODUCTION

A1.1 Faculty Strategic Small Research Grant Scheme

The Faculty of Science and Information Technology offers a range of research support schemes to foster and encourage research to the point where it can become competitive for external research funding. The Faculty Research and Research Training Committee (FRRTC) manage these internal grant schemes which are awarded on criteria that include relevant research performance factors.

The Faculty Strategic Small Research Grant scheme aims to assist researchers in:

- 1.1.1 Developing a **new research area** and to build collaboration between research groups to the point of submitting an application for an ARC Discovery Grant or NHMRC Project Grant or other external research funding;

OR

- 1.1.2 Further developing an **existing research project**. Funding will be provided to applicants who were unsuccessful in the 2012 ACG round or other competitive funding schemes. Applicant(s) who are successful in receiving a 2012 Near-Miss Grant are **deemed ineligible** for a Faculty Small Grant.

The funding awarded will be at a sufficient level to fund a small project and will be awarded in the **range \$5,000 to \$15,000**.

The closing date for applications for the 2012 Faculty Small Grants is **5.00PM FRIDAY 2ND DECEMBER 2011**. Late applications will not be accepted without *prior* written approval from the Chair, Faculty Research and Research Committee. (Please see *Part B – Instructions for Applicants* for more detailed information on how to prepare and lodge your application).

A1.2 University Grant Schemes

Intending applicants should make themselves aware of alternative research funding schemes that may be more appropriate for their project. University internal funding is also available for New Staff Grants and Early Career Researcher Grants. Separate guidelines and application forms for these schemes are available from the Research Web Site at <http://www.newcastle.edu.au/service/grants-and-contracts/internal-grants/index.html>

A2 DESCRIPTION OF FACULTY STRATEGIC SMALL GRANTS SCHEME

A2.1 Objectives

The main criteria for the award of a grant are:

- The quality of the approach/methodology of the project;
- The potential for strategic growth of research within the University as a result of the project;
- The research track record of the researchers relative to opportunity;
- That funding will support essential data/grant development to facilitate submission or resubmission of a grant application in 2012 to an ACG scheme or related scheme (i.e. ARC or NHMRC).

Priority will be given to applications that demonstrate: strong performance; an active engagement in external grant schemes; strategic areas of growth; areas of high performance but not funded; early career researchers and successful outcomes from previous Faculty funding.

The FRRTC also expects appropriate **mentoring** of junior/early career researchers by established researchers. Where a newer researcher is part of the research team, the application must describe the mechanisms which will be put in place to genuinely develop and provide supportive mentoring relationships (see Section B9 below).

A2.2 Type of Proposal Supported

The Faculty Strategic Small Research Grant scheme may cover many requests for the support of research, including project expenses, the research expenses of visiting co-workers and the research expenses of postgraduate candidates. If components of the project have been funded by another agency, the applicant must clearly demonstrate that there is no overlap of funding, and that the proposal to the FRRTC contains unique elements and does not just represent a 'top-up' of the externally funded grant. The additional funds being sought

must be fully justified in terms of attracting new additional external funding above what could be attracted without the FRRTC support.

A2.3 Areas of Investigation/Work Not Supported

Unless a significant research component has been demonstrated, the University Project Grants scheme will not support the following work:

- curriculum development and/or production of teaching materials, even though some research may be involved in their production (this work can be funded by University Teaching Grants);
- compilation of data, unless an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which the data would contribute;
- development of research aids and tools (including computer programs), unless they form an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute;
- projects such as uncritical biographical compilations and purely descriptive catalogues or editions that do not involve original research.

A3 FUNDING

A3.1 Funding Range and Duration of Grant

As a guide to applicants, the amounts to be awarded will typically be in the range \$5,000 - \$15,000 and **no more than \$15,000. Funding requests exceeding \$15,000 will be deemed ineligible and excluded.** Faculty Strategic Small Grants will normally be awarded up to one year. The normal funding period for Faculty Strategic Small Grants for 2012 will be **1st January 2012 – 31st October 2012.** Carry forward of funds into 2013 will not be granted.

A3.2 Funding from Other Sources

Faculty Strategic Small Grants will not be awarded where substantial funding for the same project is received from other sources (eg, ARC, NHMRC, Centres). If a project receiving a Strategic Small Grant subsequently receives external research funding then the Faculty Strategic Small Grant will cease. The expectation is that the researcher will notify the Faculty Research & Research Officer.

Projects funded through external Research Centres will be subject to the same review. Staff with a major commitment to a Cooperative Research Centre/ARC Centre may seek funding from the Faculty Strategic Small Grant scheme, but the FRRTC will seek assurances that the same project will not be funded from multiple sources before Faculty Strategic Small Grant funds will be made available.

A3.3 Budget Items Not Supported

The FRRTC **will not fund** the following as part of a Faculty Strategic Small Research Grant: (Alternative funding sources are given in brackets.)

- * Ongoing subscriptions to learned journals, trade journals, popular magazines, computing journals or similar material. (School);
- * Publication charges or similar support for outcomes – for example, staging of concerts, framing of artworks, reprints from journals. (School);
- * Commissioned works. (School);
- * Purchase of computers including lap tops. (non-operating funds);
- * Any item of equipment greater than \$1,000 must be clearly identified in the budget as this is considered as 'Capital'. Unless a capital item is specifically approved the Strategic Small grant funds cannot be used to purchase capital.
- * Ongoing running and maintenance costs of equipment funded by FRRTC (School).

A4 ELIGIBILITY

A4.1 General Eligibility Requirements

To be eligible for an University Project Grant the applicant must be employed in, or have accepted appointment to, a position of Academic Level A or above in one of the following categories:

- a full-time on-going appointment;
- a full-time fixed term appointment for a period of not less than two years;
- a part-time (fractional) appointment of at least 50% of full-time appointment on a continuing basis for a period of not less than two years.

Where the Chief Investigator is on a **fixed term appointment/contract**, the FRRTC must be assured that the applicant will have time to complete the project before the contract ends. If the current appointment will end during the period of grant, written evidence of continuing appointment must be attached to the application (eg letter from the Head of School).;

Applicants in the following appointment categories **are also eligible** to apply:

- holders of a University of Newcastle, ARC, NHMRC, or other externally funded Postdoctoral Fellowship administered by the University; however, Research Fellows appointed under a research grant to work on a specific project are not eligible;
- academic staff employed by UoN Singapore Pte Ltd, holding a conjoint appointment at the University of Newcastle;
- conjoint appointees, providing they do not hold an academic position at another University/institution.

Staff may make a case to the Chair, FRRTC for an exemption to the eligibility criteria above. Any request for an eligibility ruling must be submitted prior to the closing date for applications (25th November 2011).

A4.2 Internal reports

All Chief Investigators, whether first named or subsequent, must have no outstanding reports for University/Faculty research grants. This includes but is not limited to University/Faculty Strategic Small grants, Early Career Researcher grants and New Staff grants. If **any CI** has an outstanding report on 2nd December 2011 then the **application will be ruled ineligible and excluded**. Specify the provision of reports to the FRRTC on PEG, SIRC or Pilot Grant schemes.

NB: Provision of Final and/or Progress Reports to the Research Office/FRRTC are MANDATORY. Failure to submit any required report will result in the application being excluded.

WARP report to view outstanding reports

Researchers can view their research grant information held on the Research Office database via the internet using a system called WARP. In WARP there is a fixed report which will show any outstanding internal reports for a researcher where they are listed as a CI. Note this WARP report will only list outstanding reports as of the day it was run and currently does not list the date that future reports are due. To run this report, go to the WARP web site (<http://www.newcastle.edu.au/research/warp/>) and click on 'Internal Grants – Outstanding Reports'. The FRRTC will use this WARP report to determine if an application should be excluded.

A4.3 Applying for External Research Funding

If a staff member has held a FRRTC grant in the past 5 years as a CI (whether first named or subsequent) they must satisfy the following additional eligibility criteria:

Have lodged at least one application or award with the Research Office, University of Newcastle for external research funding of at least \$10,000 pa as a named CI since the date of award (project start date) of their last successful University of Newcastle Research Project grant.

For example:

To be eligible to submit a Faculty grant application in December 2011 when the applicant's last awarded grant commenced on 1 July 2008 the applicant must have applied for an external grant of at least \$10,000pa after 1 July 2008 or be named as a CI on an successful external grant with funding of at least \$10,000pa which commenced after 1 July 2008.

Exceptional Circumstances

Where a staff member is returning to research after an interruption to their research career due to exceptional circumstances and would like to submit an application without meeting the above criteria they must submit a written request to the Chair of the FRRTC. If a researcher believes they have met the above requirement but is ruled ineligible then they can submit a written request for special consideration to the Chair of the FRRTC.

These requests must be lodged with the Faculty Research & Research Training Officer, PVC Unit (Room V203) Mathematics Building, at least two (2) weeks prior to the closing date of the Faculty Strategic Small Grant applications.

Early Career Researcher and New Staff grants

The above eligibility criteria do **not** apply to the Early Career Research and New Staff grant scheme. As such a new staff member can hold one new staff grant and one Pilot grant before having to apply for an external grant. A staff member who has been eligible for an ECR can hold one ECR grant and one Pilot grant before having to apply for an external grant.

A4.4 Staff Enrolled in Research Higher Degrees

Eligible staff members who are also enrolled in a **research higher degree** should **only** apply for support for research related to their candidature, as the FRRTC has determined that higher degree studies should be completed before additional projects are taken up. Staff in this category should also refer to Section A4.5 Early Career Researchers.

A4.5 Early Career Researchers (ECR)

Early Career researchers are generally advised to apply for an ECR Grant, unless they no longer fit the eligibility requirements for that scheme. Applications for ECR Grants may be submitted at any time. Details of this scheme are available from the Research Web Site.

Early Career researchers may apply for a Faculty Strategic Small Grant if they are collaborating with co-investigators who are not eligible to apply for an Early Career Researcher Grant, but **ECR applicants who are named as a CI on a successful University Pilot Grant are no longer eligible for ECR funding.**

A5 LIMITS TO NUMBER OF GRANTS AND APPLICATIONS

A5.1 Limit to Number of Applications

A5.1.1 Limit of ONE Strategic Small Grant application per CI

- **FRRTC will not accept more than one strategic small grant application from any one researcher per year, regardless of whether the researcher is first named or subsequent Chief Investigator;**
- If a researcher already holds a Pilot grant then they are not eligible to re-apply until the existing project is completed and a final report submitted.

A5.2 Limit to Number of Project Grants Held

In addition to the limits placed on application numbers in A5.1 above, FRRTC has imposed the following limits on **numbers of grants held:**

- Researchers are limited to holding a maximum of one University/Faculty Strategic Small Grant at any one time, whether first named Chief Investigator or otherwise.

A6 APPLICATION PROCESS

A6.1 Application presentation

The Research and Research Training Committee (FRRTC) considers the quality and presentation of grant applications to be very important and to be good training for the preparation of applications to external funding sources. Care should be taken in the preparation of the application, ensuring that all questions are fully answered and that the application is professionally presented. Applicants for Faculty Strategic Small Grants are urged to **read these guidelines** carefully before applying for grants.

Applicants are required to set out their research aspirations and the assistance required to fulfil them as clearly and as fully as possible within the defined page limits. The aim is to improve and increase the research activity of the University/Faculty and any proposal which will help to achieve this aim will be considered. (Applicants should note that the task of preparing a good application is of great benefit to the development of a research program, even if limits on available funds mean that the application does not ultimately result in a grant.)

A6.2 Submission to Faculty Research & Research Training Committee

The FRRTC also strongly recommends that applicants, particularly those who are less experienced, should seek the guidance of the Chair, Faculty Research and Research Training Committee or the Faculty Research and Research Training Committee members before finalising applications.

Applicants should complete the "2012 Faculty Strategic Small Grant Application Form" and attach the documentation requested on that form.

A6.2.1 Submission of Paper Copies

Six (6) PAPER copies (1 original single-sided and 5 copies double-sided) and **One (1) ELECTRONIC copy** of the application must be submitted to: Ms Danielle Storey, Administrative Assistant by closing date of **5.00PM FRIDAY 2ND DECEMBER 2011**.

This is a firm closing date, and **LATE APPLICATIONS WILL NOT BE ACCEPTED** without prior written approval from the Chair of the FRRTC. Applicants must submit a written request for acceptance of a late application detailing the reasons for late submission **BEFORE** the due date for applications.

After the FRRTC closing date, no amendment to an application or inclusion of any additional documentation will be accepted.

A7 SELECTION AND APPROVAL PROCESS

A7.1 Selection Criteria

For the project selection criteria are:

- The quality of the **planning and approach/methodology within the research project**.
- The potential for **strategic growth of research** within the University of Newcastle including the potential of the project to attract external research funding. Researchers will be required to demonstrate how they will use the Strategic Small Grant funds to seed grant applications to external bodies.

For the researcher/s or research team selection criteria are:

- the researcher/s **track record/s relative to opportunity**;
- the **commitment** to *this* project in terms of time available and the role/s of each participant;
- the **mentoring** relationships put in place to support newer researchers who are part of the research team.

A7.2 Selection Process and Outcomes

All applications are to be submitted to Ms Danielle Storey, Administrative Assistant by the closing date of **5.00PM FRIDAY 2ND DECEMBER 2011**.

Each application will be given to the members of the Faculty Research & Research Training Sub-Committee (FRRTC) for assessment and ranking. The Pro Vice-Chancellor (Science and IT) will then consider the recommendations from the FRRTC Sub-Committee for approval.

A7.3 Advice of outcomes

All applicants, both successful and unsuccessful, are advised in writing (email) of the outcome of their proposal.

A8 CONDITIONS OF AWARD

A8.1 Ethics/Safety Clearances

Research projects conducted within the University or in the name of the University must comply with the AVCC Guidelines for Responsible Practice in Research and must have the relevant Human/Animal ethics and/or Safety approvals. Separate application must be made, if appropriate, for ethics approval of the Animal Care and Ethics Committee and/or the Human Research Ethics Committee. Approval must be obtained before the project commences. Projects which raise safety issues cannot proceed until they have been cleared by the Safety Committee. **Researchers should note that grant funding will not be released until required ethics and/or safety approvals have been obtained by the applicant. If the required ethics/safety approvals have not been obtained by 31st May 2012 the offer of award will be withdrawn.**

A8.2 Restrictions on Expenditure

[a] **Faculty Strategic Small Grants** are awarded as 'one-line' grants, that is, **with the exceptions stated below**, researchers may expend the funds awarded as they see fit to best attain the stated aims and expected outcomes of the approved project.

Funding Exceptions – FRRTC funding **may not** be spent on:

- any item listed under Section A3.1 of these Guidelines, *Budget Items not Supported*;
- any requested budget item that has been specifically excluded from funding in the letter of offer;

- any item that was not originally included in the budget proposal Q11 of the Faculty Small Grant application form.

[b] Where a researcher wishes to **vary approved expenditure** and/or include any of the items listed under *Funding Exceptions* above, permission should be sought in writing from the Chair, FRRTC. Reasonable requests for variation will be accommodated wherever possible, but permission should be sought in advance of expenditure.

A8.3 Change of Project Topic/Area

Grants are awarded based on the information provided in the application. If for any reason, including the level of funding awarded or change of circumstance, the grantee believes the research would be best served by changing the topic or area of the project, a request providing full details and budget justification must be submitted to the Chair, FRRTC for consideration. The FRRTC does not guarantee that funding will be available for the revised project, and, in this case, the grantee would forfeit the original grant.

A8.4 Reporting Requirements for Successful Applicants

Final reports are required within three months of the end of a grant (i.e. by 1st April 2013). These reports should be submitted on the forms available from the Faculty Research and Research Training Officer. Failure to submit final reports will prevent eligibility for future Faculty Project/Other grant rounds. The Final report must include details of external grant applications.

A8.5 Forfeiture of Grant Funding

Grants not spent or committed within the nominated funding period of the grant will normally revert to the FRRTC so that unspent balances can be re-allocated. In circumstances where there are good reasons why the money has not been spent, applicants may request a carry forward of funds by writing to the Chair, FRRTC prior to the normal expiry date of the grant, outlining the reasons for delay in finalising the project and stating the anticipated completion date.

PART B - INSTRUCTIONS TO APPLICANTS

The following information is provided to assist applicants to complete the application as fully as possible. The application form has been prepared in Arial font which is a "True Type Font" and should be compatible with most word processing packages. Computer entries should be made with no less than **11 point font** and ARROW KEYS should be used to move around the form. Do not change the margins of this form.

B1 PARTICIPANT SUMMARY

List all Chief Investigator/s (CI). These should be in the same order as Participant details which are sought in Question 8, where more detailed information on roles of participants is to be provided.

Include as the last column the **% weighting for the input of each CI** to this project to **total 100%**. This % weighting is being collected for statistical purposes, particularly where the CIs are located in more than one School or Faculty, as a reflection of the research load of staff. This weighting should be agreed by all CIs and must be signed off as agreed in Q12 Certification.

B2 SHORT PROJECT TITLE

Limit to 20 words. Give a short, descriptive title that is clear, brief and informative to those outside your field.

B3 TOTAL FUNDS REQUESTED IN THIS APPLICATION

Please refer to the Funding Range details in Part A3 above. Applicants should present realistic budgets within these funding limits. The budget total is the total of the funds requested over the life of the proposed project.

B4 PROJECT SUMMARY

Please indicate if applying for funding on the basis of either a **new or existing research project**.

It is essential to provide a summary understandable to an intelligent lay reader that outlines in less than 150 words the aims of the research and the overall significance of the work. The summary should be presented in clear, plain English with a minimum of jargon or terminology unique to the area of study.

Question 4, "Project Summary", plays a vital role in guiding the understanding of the FRRTC members and the application may be disadvantaged if the response to this question does not provide a description of the project which is clear to an "intelligent lay person". The remainder of the application should also be clearly written, using a minimum of technical terms and jargon. Such terms should be defined within the application if they are not in common usage.

B5 CLASSIFICATIONS INFORMATION

The codes can be obtained from the following web page. Identify codes from more than one discipline if the application is multi-disciplinary. Indicate the relevant importance of each code by using a percentage, these weightings must total 100%.

B6 & 7 ETHICS/SAFETY INFORMATION

Enter required information on ethics and safety clearances. **Researchers should note that FRRTC funding will not be released until all required clearances have been approved.**

B8 PARTICIPATION DETAILS

B8.1 Chief Investigator

Complete each part of Question 8.1 for each Chief Investigator. If more than two Chief Investigators are involved, make a copy of Question 8.1a of the Application Form for each additional CI, provide all the required details and insert the additional pages after 8.1a.

B8.1a Chief Investigator/s Details

Appointment held - In "Appointment held" you should indicate Academic level of appointment.

Commencement Date of Appointment/ End of Appointment - Staff on ongoing appointments should indicate in "Commencement Date of Appointment" the year you commenced at the University in your substantive position and write 'on-going' in the "End of Appointment". Staff on contracts should clearly state their period of appointment, for example, 1 January 2011 to 31 December 2014. Staff on a fractional appointment should indicate percentage, for example, 50%. Please refer to Section A4 *Eligibility*, when completing these questions.

Average Working Days per month to be devoted to (out of a maximum of 21) - The maximum number of days is 21 and the total of all three (a to c) should be equal or less than 21 days. This information should give the reviewers some idea of the relative weight of this project in relation to other research commitments. In addition to research projects being undertaken, allowance must be made for teaching or administrative duties. Only full-time researchers could claim a research load of 21 days, that is, part (a) and (b) totalling 21.

B8.1b Roles of Chief Investigators

Summarise the role, responsibilities and contributions of each Chief Investigator, including supervision of any research higher degree students and details of the **mentoring** relationships put in place to support newer researchers who are part of the research team. No more than one page in total is permitted.

B8.1c Track Record Statement

- A statement detailing the **track record** of the Chief Investigator(s). Track record of the CI(s) will be considered *relative to opportunity*.
- No more than one page for each investigator is permitted.
- Provide details of significant scientific achievements of each of the Chief Investigators over the last five years (2005-present), other than the information separately provided about publications, conference presentations and grants. Information may include details of awards and prizes, representation on significant bodies, or other significant recognition of achievement.
- Provide justification of the track record with a selection of the **5 best publications (include impact factors and citation rates for each publication)**.
- Provide details of supervision of Research Higher Degree students (name of student; degree; short title of thesis and year of graduation/expected completion date).

Information may also be given on any relevant changes to career direction or significant interruptions to career progress. Early career researchers should make a statement relating to demonstrated promise in terms of their research record and career opportunities.

B8.1d Publications

- Ensure that this listing is limited to the last five years (2006 - present).
- Publications should be listed in categories as follows: books (A1); book chapters (B1; refereed journal articles (C1); conference publications (E1); or individual exhibition of original art. Applicants should indicate which exhibitions have been curated as these will be deemed to be equivalent to refereed publications.
- Copies of correspondence or contracts supporting forthcoming books, exhibitions or public performances should be included in the paper copies of the application.
- Publications "in preparation" or "submitted" should not be included.
- Papers that have been accepted must include the acceptance date.

B8.1e Research Grants

- Ensure that this listing of Research Grants from all sources is limited to the last **five** years (2005 - present) [additional to the one page statement of track record].
- List all Chief Investigators current and pending research grants (include Institutions if not Newcastle), project title, year(s) of award, granting body and grant amount.
- Indicate support type: R – Requested support, C – Current support, P – Past support.

B8.1f Copy of the most recent University of Newcastle/Faculty Research Funding

A copy must be provided of the final/progress (for a grant awarded in 2010 & 2011) report submitted for the most recent previously funded University of Newcastle/Faculty grant for each CI who has received such funding. University of Newcastle/Faculty research funding includes:

- Grants (Central previously called RGIC/Project Grants)
- Early Career Researcher Grants
- New Staff Grants
- Pilot Grants (Faculty funded)
- Project Enhancement Grants (Faculty funded)
- Strategic Initiative Research Fund (SIRF) (Faculty funded).

B8.1g Faculty Pilot Grant

For Chief Investigators who were awarded a Faculty Pilot Grant in 2010, please indicate if you have submitted an ARC and/or NHRMC Grant Application in 2011.

B8.1h Research Higher Degree Program

The FRRTC will accept research project grant applications from staff who are enrolled in a Research Higher Degree (RHD) program. The FRRTC would expect that this project grant application would be relevant to the RHD studies. The RHD program should be completed before focussing on research in other areas. A brief comment from the candidate's supervisor must be attached to the application and should address progress made in the RHD program and the relevance of this grant application. Ensure that this is attached to the paper copies of the application at B14.

B8.2 Associate Investigators

All Associate Investigators must be listed on the application. An Associate Investigator may be defined as an investigator whose role is primarily to provide intellectual input into the research and whose participation warrants inclusion of their name on publications.

Provide the details requested on the application form. Describe the contribution that the Associate Investigator is expected to make to the project. Publication and track record details are NOT required for Associate Investigators. While there is no limit to the number of times a researcher can be listed as an Associate Investigator on Faculty Strategic Small Grant, the FRRTC expects that Associate Investigators will have a genuine role in the project.

B8.3 Technical and Other Staff

Provide details of technical and other staff who will provide assistance on the project. Where the cooperation or assistance of another institution is needed for the project to be successful please provide appropriate details.

B8.4 Research and Honours Students

If you intend to involve research or honours students in the project, explain their intended role and the advantages you anticipate from this involvement.

B9 PROJECT BUDGET INFORMATION

NOTE: Total amount requested must not exceed \$15,000.

B9.1 Budget Items

THE FRRTC WILL NOT FUND THE FOLLOWING AS PART OF A FACULTY PROJECT GRANT: (Alternative funding sources are given in brackets.)

- * Ongoing subscriptions to learned journals, trade journals, popular magazines, computing journals or similar material. (School);
- * Publication charges or similar support for outcomes – for example, staging of concerts, framing of artworks, reprints from journals. (School);
- * Commissioned works. (School);
- * Purchase of computers including lap tops (non-operating funds);
- * Any item of equipment greater than \$1,000 must be clearly identified in the budget as this is considered as 'Capital'. Unless a capital item is specifically approved the Strategic Small grant funds **cannot be used to purchase capital.**
- * Ongoing running and maintenance costs of equipment funded by FRRTC (School).

Also refer to the remainder of this Section B9.3 in relation to other limits, and in particular to SSP.

B9.2 School and/or Other Support for this project

Provide a description of all contributors to this project and fully detail the level of commitment that has been made including actual amounts of cash and in-kind where possible. Where staff from other Universities/Institutions are named as Chief Investigators on an application, the FRRTC would expect some monetary contribution towards the project from that University/Institution, commensurate with the contributions to the project and benefit to the researcher.

B9.3 Budget Justification

In no more than one (1) page, justify fully each budget item requested for the project under the headings provided. Provide a justification of the cost and indicate why certain items have high priority. The FRRTC appreciates that in respect of some costs, it is only possible to give approximate figures. It expects, however, that a reasonable justification of these figures can be given in terms of past experience and/or standard rates.

Applicants should also read Section **A8.2 Restrictions on Expenditure** before completing their budgets. While these grants are mainly awarded as one-line grants the FRRTC expects that expenditure would be directed to the stated project objectives and limited to those items identified in the budget and which have been approved by the FRRTC for funding. The following sections give an indication of appropriate budget items.

Personnel

The Committee will consider applications for research and technical assistance but the applicant must be planning to take an active and not merely a supervisory role in the research. In general, research assistance will not be provided for new researchers who are expected to demonstrate their research capacity with "hands-on" experience as an independent researcher. Funding may be sought for a designated position (e.g., Research Assistant HEW Level 5, step 1) or for research assistance on a casual basis. Any application that includes personnel must include appropriate on-costs. Human Resource Services Information is available via the Research website at: <http://www.newcastle.edu.au/service/grants-and-contracts/internal-grants/preparing-research-budgets.html>. Applicants may discuss the appropriate appointment level and salary with HRS staff. Any request for personnel must be fully justified in the Budget Justification.

Equipment

The FRRTC does not accept responsibility for the provision of general equipment and facilities, including basic desk top computers. This is the responsibility of Heads of Schools, utilising School funding, applications for infrastructure funds, and support from external sources.

The FRRTC will consider requests for the purchase of **specialised** equipment essential for the initiation or development of a research project if there is strong evidence that the normal equipment allocation procedure cannot give it a satisfactory priority and so will lead to significant loss of research momentum. The FRRTC will also consider requests for the replacement of equipment, where the circumstances meet the above criteria. Schools are encouraged to provide a contribution to projects where there is a substantial equipment request, and where the equipment will be of general use after completion of this research project.

Each request for equipment of any sort will be considered on the merit of the research project for which the equipment is required. Schools are responsible for the ongoing and maintenance costs of equipment funded by the FRRTC.

Any item of equipment greater than \$1,000 must be clearly identified as this is considered as 'Capital'. Unless a capital item is specifically approved the **Strategic Small grant funds cannot be used to purchase capital.**

Maintenance

This category includes items such as consumables essential to the project. Applicants should note that the FRRTC will consider a contribution to the provision of library resources, where these are established as pivotal to the research project, but this must be fully justified. Normally it would be expected that library materials would be catalogued as part of the University Library collection.

Travel

The FRRTC will consider applications for grants to enable research or fieldwork at locations away from the University e.g., library work at major collections of material not available from Newcastle, the use of major research equipment when such equipment is not available in Newcastle, or field excursions to gather data pertinent to a given project. Support may be given for travel within Australia or overseas, but in the latter case it must be clearly demonstrated that the work cannot be done within Australia. Any such grant will be as a grant-in-aid of expenses.

Special Studies Programs (SSP)

As SSP funding does not make provision for research costs, the FRRTC has agreed that researchers may apply to the Committee for funding to continue their research program(s) during their period of SSP.

The following **general principles** apply in regard to funding under the various FRRTC administered schemes, including Strategic Small Grants:

- Requests for FRRTC funds must be fully justified and it must be made clear that there will be **no overlap in funding** between that covered by SSP and the funds sought from the FRRTC;
- FRRTC funding will only be considered if there is a **defined research component** (aims, hypothesis, methodology, expected outcomes, etc.). The extent of the research component within the context of the whole period of SSP must be clearly stated;
- Funds will only be provided for **research costs and expenses**. Accommodation and subsistence costs will not normally be considered;
- Funding **will not** be provided for projects which are related solely to the development of **teaching/learning** modules or other material for teaching and learning purposes.
- Researchers who have an approved **overseas travel component** as part of their SSP will not normally be eligible to apply for travel funds as part of a Project Grant during the SSP period.

B10 PROJECT DETAILS

B10.1 Other Support for this Project

List all other applications submitted for funding for this project. This should include the name of the agency (eg. ARC, NHMRC), the title of the application, the reference number of the agency (eg GAMS number for ARC, ID number for NHMRC, Research Office reference number G018...) and the funds requested for each year.

B10.2 Specify how this application differs from other grants applied for or held.

Give details as required.

B10.3 Report for University/Faculty Support for this Project

If an earlier stage of this project (e.g. Faculty funded Pilot Grant or Project Enhancement Grant or centrally funded Near-Miss Grant) has been previously funded by an Internal Grant at this University/Faculty, please attach a progress or final report (as appropriate).

If the Chief Investigator(s) is successful in the 2012 Near-Miss Grant round, the application is **deemed ineligible** for Faculty Strategic Small Grant.

B10.4 Commencement and Completion Details

Give details as required.

B11 PROJECT DESCRIPTION

11.1.1 NEW Research Project

Your statement must be limited to **four (4) A4 pages** (11 point font).

Use the headings: **Background, Aims, Significance and Expected Outcomes, Research Plan, Methods and Techniques, Timetable**. This explanation should be clear, comprehensive but brief.

Include a brief literature review under *Background* to place this proposal in the context of current research. An **additional half page** may be attached to list **References**.

11.1.2 Expected external research grant applications

In no more than **half a page** (11 point font) explain how the research project will result in external research grant applications and strengthen the external application. Include details of the planned external application such as the funding body, scheme, time of application, amounts.

11.1.3 Strategic Benefits

In no more than **half a page** (11 point font) explain how the research project will lead to strategic

OR

11.2.1 EXISTING Research Project

Attach the **full project outline** of the NCG Application (i.e. ARC – 9 pages, or NHMRC – 10 pages outline)

PROJECT Description, OUTLINE and Justification

In the outline please provide details of eligibility for application for the funds. To do so, include documented evidence of previous grant feedback. This should include peer review reports from previous applications (i.e. 2011 or 2012 rounds) and where possible panel or peer review rankings and their relative meaning to funding success (if not ARC or NHMRC). It is required that you detail how the Faculty Strategic funds can address the reviewer's comments to increase the likelihood of future grant success.

In your application attach the project summary of your grant proposal and the reviewers comments and be sure to outline specifically which aspects of the project you will address with the Faculty Strategic funds (e.g. I will complete the antibody displacement assay in Aim 1; I will increase the sample size of study 1 by completing surveys on adolescent male as well as female subjects). Detail how completion of these studies relates to reviewer's comments and will increase the likelihood of success in the next funding round.

B12 & 13 CERTIFICATIONS

Please read the clauses in this section as they are binding on the signatories. Signatures of all CIs and the Head of School of the first named CI must be provided on the paper copies of the application. The Faculty Research & Research Training Officer will accept a facsimile where researchers are off campus, with the original mailed in hard copy as soon as practicable.

B14 SUPPORTING STATEMENT FROM SUPERVISOR FOR RHD PROGRAM

If any of the Chief Investigators are enrolled in a Research Higher Degree (RHD) Program, a supporting statement from their supervisor must be attached to the paper copies of the application at B14.

MORE INFORMATION

For further information on the 2012 Faculty Strategic Small Grant Scheme, please contact:

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