



La Trobe University Research Grants Scheme 2007 Instructions for Applicants for 2008 Funding

Section A - General Information

The La Trobe University Research Grants Scheme (LTURGS) supports high quality research projects of *up to \$35,000*, in all disciplines at the University, *but with a strong focus on supporting projects in areas of research strength and focus.*

The objectives of the La Trobe University Research Grants Scheme (LTURGS) are:

- to support, on a competitive basis, staff newly appointed to the University (ie. who commenced since 1 January 2005), and Early Career Researchers who are not named as a Chief Investigator on an externally funded award and show clear evidence of high research capacity; and
- to provide support for pilot research projects of modest cost conducted by researchers who are not named as a Chief Investigator on an externally funded award; and
- to encourage the development of grant application skills.

It is expected that funded projects will form the basis of subsequent applications for *external* national competitive funding. Every application should be reviewed within the applicant's School and Faculty prior to the final version of the application being submitted. The application form asks that the review process be described and that the Head of School confirm that this has taken place.

All applications must be clearly typewritten or word processed, using the application form on the Web at www.latrobe.edu.au/rgso/grants/ltu-schemes.htm. Handwritten applications will not be accepted. Minimum acceptable font size is 12 point.

Please provide the original hard copy and an electronic copy to the Faculty contacts as listed in Attachment B by 19 October 2007.

The timetable for the 2007 round is as follows:

Request for eligibility exemption	19 September 2007
Closing date	19 October 2007
Meetings of Faculty Research Committees	Early November 2007
Shortlisted applications due at the RGSO	26 November 2007
Meeting of University Selection Committee	10 December 2007
Notification of Outcomes	14 December 2007

Grants Submission Form

Please complete the Research and Graduate Studies Office (RGSO) Coversheet (obtainable from the RGSO Web page at <http://www.latrobe.edu.au/rgso/forms-resources.htm>) for your project and attach it to the front of your application. Please do not include the pages of the Coversheet in your page count.

Ethical clearance

If your project involves research activities that involve human subjects, recombinant DNA, or the use of vertebrate animals and cephalopods and your project is successful, ethical clearance must be obtained before the commencement of the project. **Funding will not be available until all clearances have been obtained.**

Availability of Funds

Generally funds will be available from 1 January 2008 if all ethics clearances have been approved and relevant signatures of acceptance have been received.

Amounts of money remaining in research accounts at the end of 2008 **will not** be carried forward automatically. **You must provide a timely request for a carry forward otherwise the funds will be recovered by 31 January 2009.** If you request and are granted an amended timeline for expenditure, a carry forward request will be required by 15 November 2008.

If you find there are major problems that will impact on the *progress* of the research, *please* submit a request for a *variation to the project timeline to the Research and Graduate Studies Office*.

Eligibility Exemption

Anyone seeking exemptions from the eligibility requirements (including Early Career Researcher status) should provide a justification in writing by **19 September 2007** to the Director, Research and Graduate Studies Office. Please feel free to raise any question of clarity or confirmation if you think that there may be special circumstances or different interpretation of the Guidelines.

Section B - Instructions for Completion of Application

The following information is provided to assist applicants in completing the application.

The application form and additional text must be numbered consecutively (*do not include the Research and Graduate Studies Coversheet in page count*).

Part A – Administrative Summary

A1. Chief Investigator Summary

Please note you should list only Chief Investigators in this section

A CHIEF INVESTIGATOR takes responsibility for the intellectual conception and data interpretation. All Chief Investigators are responsible for the project, for its concept, the strategic decisions called for in its pursuit and for the communication of the results.

An ASSOCIATE INVESTIGATOR generally has a limited, fixed role in the project or indirect involvement (such as mentoring).

Eligibility and Role of Chief Investigators

Members of staff who are neither Early Career Researchers nor new appointees (ie. commencing from 1 January 2005) are not eligible to apply.

1. The first named Chief Investigator must hold a 50% or greater academic appointment at *La Trobe University*. Persons who are not employed at the University at the time of lodgement of the application, but who have accepted an offer of appointment commencing in the first half of 2008 are eligible to apply if they meet the other eligibility criteria. Chief Investigators who have successfully applied to an external source for funding of their own salary are eligible to apply in their own right provided that they do not have external funding for their project(s).
2. Honorary Researchers may be Chief Investigators, provided that the first named Chief Investigator is eligible according to the criterion above.
3. You are not eligible to be a Chief Investigator if your salary is sourced through an external grant awarded to another researcher
4. *For the purposes of the LTURGS an **Early Career Researcher** is defined as “a researcher who had the PhD awarded on or after 19 October 1999 (eight years prior to application closing date”). Researchers who do not meet this criterion but who consider they have equivalent research qualifications or experience of similar duration, who wish to be considered an ECR, must submit an eligibility ruling request by the due date. Circumstances which may be taken into account in determining whether to approve ECR status for a*

person who does not meet the qualification or timing requirements could, among other things, include career interruptions due to non-research employment, misadventure or carer responsibilities.

5. La Trobe University investigators may not be named on an LTURGS application if they have held LTURGS funding in the previous two consecutive years. In addition, before you re-apply for LTURGS funding following the 'gap' year (i.e. no application or funding for 2008 funds), you must seek external funding. Anyone seeking exemption from this must provide *an eligibility exemption request by the due date.*
6. Academics holding appointments at other Universities may be chief investigators on an application, but not the first-named Chief Investigator. No funds will be transferred to other institutions.
7. The University wishes to offer an appropriate level of support to as many high quality researchers as possible under this scheme. An applicant can appear as a Chief Investigator on only one application *per round.*
8. *Researchers may hold only ONE LTURGS award at a time.*
9. Chief Investigators who hold external funding (including consultancy funds) either administered through La Trobe University or another source, are **ineligible** to apply for LTURGS funding. The only exception is for those grants used solely for funding postgraduate scholarships.
10. You may apply for LTURGS funding if you have applications to external schemes under consideration. However, if an offer of award is made for the external application on or before 1 February 2008 *any offer of award through the LTURGS scheme will be withdrawn.*
11. Basic research, which could lead to clinical application, is eligible for consideration however LTURGS funding may not be used for clinical drug trials.
12. Experienced researchers are encouraged to mentor and assist Early Career Researchers through an **Associate Investigator's** role, which should be noted in C7 Description of Personnel. Do not list Associate Investigators in Application Section A1.
13. All Chief Investigators are responsible for the project, for its concept, the strategic decisions called for in its pursuit and for the communication of the results. La Trobe University expects a reasonable time commitment from each Chief Investigator. Chief Investigators must not assume the role merely of suppliers of resources for work that will largely be placed in the hands of others.
14. The first-named Chief Investigator will be the contact person for communication regarding the application and award.

15. If you are enrolled in a postgraduate research program you may not apply for LTURGS funding.

A2. Project title

Insert a short descriptive title of no more than 20 words in length. The project title should be precise and as informative as possible within the space provided.

A3. Total LTURGS funds requested

Show the total cash amount sought for 2008. Applicants should note that the funding will be available for one year only.

A4 Please outline the review process within your School and Faculty for this application

All LTURGS applications must go through a review process. Heads of Schools are asked to certify compliance and the application will be deemed ineligible if there has not been adequate review and feedback provided.

A5. Signatures

All Chief Investigators must sign the LTURGS application form. The application form must also be signed by the first named CI's Head of School. Please note the certification signed by all parties that the application has been through a workshopping/review process.

A6. Project Summary

Provide a summary outlining in no more than 100 words, in *plain language*, the aims of the research, its overall significance and expected outcomes. **The clarity of this summary is very important because it assists the generalists within the selection panel to understand the overview of this project.** The summary will be compared with the actual outcomes reported in the Final Report of the project and will be used in evaluating the effectiveness of the research project and research team.

A7. University Area of Research Strength

If this proposal falls into one of the University's Areas of Research Strength and Focus, please provide a brief description of how it fits. Preference in ranking may be given to applications in areas of research strength. Research Strength Areas are listed in Attachment A.

Part B Individual details for each Chief Investigator

Please complete a copy of Section B1 and B2 for each Chief Investigator listed in Question A1.

B2 RESEARCH RECORD RELATIVE TO OPPORTUNITY

B2.1 Publications

Please list all refereed publications for the previous five years, under the headings Books, Book Chapters, Journal Articles, Conference Papers (full, refereed papers only), and Other.

B2.2 Awards

Please give details of all awards, prizes or other acclaim you have received for your research.

B2.3 Track Record relative to opportunity

Please include a statement on track record relative to opportunity (maximum 1 page)

Include any career interruptions or other factors that have had an impact on your research track record which should be drawn to the attention of the selection committee.

Part C. Project Description

Please provide the following text in a minimum of 12 point font with a minimum of 1.5cm margins. The information for Part C C1-C7 needs to be contained within a maximum of **four** pages. There is no provision for additional information. Any information exceeding this page limit will be removed. References in C8 will be outside this page limit.

C1 PROJECT TITLE

Use the same title as in Section A2.

C2 AIMS and BACKGROUND

Describe the aims of the project and a brief background explaining the context of the study. Identify research aims that are clear and specific. Aims should be achievable

in the time frame of the project. The background should demonstrate that the project is of high academic standard, that it is research (i.e. leading to new knowledge) and that it is original. Include information about recent international progress in the field of the research, and the relationship of this proposal to work in the field generally. Refer only to refereed papers that are widely available to national and international research communities.

C3 SIGNIFICANCE AND INNOVATION

Describe how the research is significant and addresses an important problem. Describe how the anticipated outcomes advance the knowledge base of the discipline and why the project's aims and concepts are novel and innovative. Detail what new methodologies or technologies will be developed. If industry is contributing to this project, describe the impact on the company.

C4 APPROACH

Outline the conceptual framework, design and methods and demonstrate that these are adequately developed, well integrated and appropriate to the aims of the project. Given the generalist nature of the panels, it may be appropriate to justify the selection of the methodology being used. GHANT chart/timeline may be appropriate and useful.

C5 NATIONAL BENEFIT

Describe the expected outcomes and the likely impact of the proposed research. Briefly describe how the research project might result in economic and/or social benefits for Australia. Describe why the outcomes are important for your discipline, what advances are made and why these are important for Australia generally. What is the likely impact of your research on the research discipline in Australia?

C6 COMMUNICATION OF RESULTS

Outline plans for appropriate communication of the results of the project. Identify the likely academic journals in which the research will be published and avenues for communicating results to the wider community or to research participants/community groups.

C7 DESCRIPTION OF PERSONNEL

Summarise the role, responsibilities and contributions of each Chief Investigator, Associate Investigator, *and* any industry personnel involved. It is very important that the Panel Members understand the role and involvement of the key researchers as this information is considered in assessing the methodology of the project as well as the track record score. Summarise the roles and levels of involvement of other

participants, such as technical staff. Demonstrate that you have adequate background knowledge of the field and skills required to *manage the project*. Summarise the record of success (or potential for success) *of each named investigator* in this field of research. Please remember that Chief Investigators are *expected* to have a substantial role in the research, not just *oversee* others to undertake the research.

C8 REFERENCES

Include a list of all references. This list will be outside the page limit of four pages.

Part D Project Costs

Please note you may only apply for one year funding and details regarding the research plan should focus on the activity to be supported by this budget. Budget and justify your proposals carefully. Identify all items required for the described project.

You should note that awards will be one-line grants, whereby it is the responsibility of the Chief Investigators to ensure that expenditure on the project is in accordance with the aims and research plan of the project and within the broad structure of the budget as submitted. There may be exclusions identified as well. No part of a one-line grant can be used for purposes specifically excluded in these Guidelines or in the Conditions of the Offer.

All equipment, microfilm, and library materials purchased with a University grant are the property of the University. On termination of the project, such purchases should be placed in the University Library or appropriate School.

The applicant must demonstrate that the purchase of such equipment and materials is essential for the successful completion of the project, that the project cannot be accomplished with existing equipment in the University.

All requests should demonstrate that you are experienced in the procedure or the methodology and are therefore able to give direction to others for what needs to be done.

BUDGET ITEMS NOT SUPPORTED

- ★ Funds requested are for the Chief Investigator(s) project – not for any Research Higher Degree candidate's project.
- ★ Society membership dues or journal subscriptions are not acceptable as eligible costs in a University research grant budget.
- ★ Teaching relief.

BUDGET ITEMS

The following information should be included in the budget under the *appropriate* headings:

Personnel

Requests for personnel should show the official designation of the position (technician, laboratory attendant, etc), should specify part-time or casual employment and should include the appropriate on costs. When the appointment of a particular person is envisaged, the name of the person should be provided.

Equipment

Equipment should include hardware and software items individually costing \$1000 or more. Indicate the cost of equipment and installation and the names of the manufacturer and supplier. The cost of equipment and installation should not be estimated but should be based on the latest prices that can be obtained from the supplier at the time of application.

If the School is making an in kind contribution, be sure to reflect that information. The applicant must demonstrate that the purchase of such equipment and materials is essential for the successful completion of the project, that the project cannot be accomplished with existing equipment in the University.

Maintenance

Estimate the prices that will apply at the time of purchase.

‘Maintenance’ includes:

- items of equipment costing less than \$1000;
- consumables (major headings only);
- sets of printed material and microfilm;
- computing (other than funds requested for the purchase of computing equipment or the hire of personnel for data preparation or programming which must be included under ‘Equipment’ or ‘Personnel’, respectively). Any requests for funds for programming, preparation and storage of data or the hire of external computer time must be fully justified.

If the School is making an in kind contribution, be sure to reflect that information.

Travel

Itemise under ‘Travel’ the costs of fares, daily allowances, field expenses and field allowances.

Other

Any other cost items should be included.

D2. Justification of the Budget

Explain why each item listed is required for the project.

It is not enough to state that certain personnel or equipment cost \$xx (eg a Lab Technician costs \$xx pa.) Rather, you must explain why a certain person, with a specific level of expertise and qualification, is required. The same level of explanation is required for all items.

Avoid devising an ambit claim budget in the expectation that the selection committee will cut it down to realistic size. Such claims are likely to raise doubts about the proposal. The budget and your budget justification will be considered by the selection committee when determining an appropriate level of funding for each successful application. When considering requests for research assistance the committee will take into consideration the number of Chief Investigators on the project and their level of contribution.

D2.1 In no more than one page, fully justify the requirement and cost of each budget item requested.

Consider in your response if the budget is realistic (i.e. appropriate and reasonable). Make sure that the budget items relate to the research plan and consider if the total resources being requested will be adequate for the project.

Personnel

Explain the need for, and the proposed role of, the personnel included in the budget request. Is the assistance requested necessary, or could the investigators do it?

Equipment

Justify each item in the context of the work that acquisition will permit and the deficiencies that will be created if the equipment is not provided. Consider what the School is/should provide and why additional support is needed.

Maintenance

Provide specific justification for each item. Include here any requests for funds for programming, preparing and storing data or for hiring external computer time. Consider what the School is/should provide and why additional support is needed.

Travel

Justify each item in terms of its specific relevance to the successful conduct of the research. Is the travel necessary, or are there alternatives such as contact by telephone, e-mail, etc.

Other

Include any other cost items.

Support from School/Faculty

Describe the support (cash and/or in-kind) to be provided by your School and/or Faculty.

Part E. Other funding

Please list the external schemes you have applied to for funding in the past 12 months, and those you expect to submit in the next 12 months, including project titles and amounts requested.

Section C - The Process for Awarding Grants

Applications will initially be considered by Faculty Research Committees, whose role is to recommend to the University Selection Committee suitable applications for central consideration. Grants are awarded on the advice of the University Selection Committee, chaired by the Deputy Vice-Chancellor (Research). The University Selection Committee will be appointed from the membership of the Research and Graduate Studies Committee.

The University Selection Committees may refer to other material such as current applications under consideration or past applications and progress reports in making decisions on applications.

The University Selection Committee will consider all applications forwarded by the Faculty Research Committees. The main criteria for the award of grants are excellence of the proposed research and excellence of the applicant as a researcher within the framework of a strong justification for the need to access University funds.

In assessing the excellence of the applicant it is important to consider whether there has been an opportunity to build up a “track record”. The track record is determined by consideration of qualifications, experience, research funding and research output. It should be recognised that some applicants have had limited opportunity to publish and to attract funding. It is appropriate when considering track record to look at the total time the applicant has had available for research. Where there is more than one investigator, the weighting of track record is via an average with equal weighting given to all Chief Investigators with the score not being negatively affected by a team approach.

Assessing the budget

Selection committee members are asked to look carefully at the budget and the budget justification (Section D), and to recommend sums that are adequate for the project. Whilst applicants and selection committee members will want grant funds to go as far as possible, the budget must not be cut to the extent that accepted aims cannot be achieved.

La Trobe University Research Grants Scheme Appeal Procedure

Unsuccessful applicants may appeal if they believe that there have been procedural deficiencies in the process. This refers strictly to the procedures followed by the Faculty Research Committees and the University Selection Committee and does not extend to the judgement of the merits or quality of the application. Appeals will be heard only against process issues and not against evaluative decisions or assessor ratings or comments. An applicant may appeal only where there is clear evidence that the process followed has contravened the Scheme Guidelines.

Applicants will be advised of this right in the written notice of the outcome of their application.

The appeals committee is chaired by the Chair, Academic Board, and has 4 members from among the senior academic staff of the University.

1. An appeal against selection procedures must be lodged in writing with the Director, Research and Graduate Studies Office, within 28 days after the date of the letter of notification of outcome.
2. The appeal will not be considered unless the appellant provides clear evidence that the selection procedures followed have not complied with the scheme guidelines.
3. The Chair of the appeals committee will refer the appeal to the Chair of the relevant Faculty Research Committee, or the Chair of the University Selection Committee and, if appropriate make recommendations for consideration.
6. Members of the Faculty Research Committees or the University Selection Committee must not be members of the Appeals Committee.
7. The Appeals Committee must act fairly, and must give each party the opportunity to state their case and to correct or contradict any relevant statement that they believe to be prejudicial to their case.
8. The Appeals Committee may confirm, vary or set aside any decision made by the Faculty Research Committees or University Selection Committee or substitute its own decision for it.
9. The Appeals Committee must notify the parties and the Deputy Vice-Chancellor (Research) in writing of its decision within seven days from the date of the hearing of the Appeals Committee.
10. The decision of the Appeals Committee is final.

Attachment A

University Research Strength Areas are an important element of the institution's approach to research and teaching. They represent areas of significant research strengths, and substantial teaching endeavours:

- **Archaeology**
- **Behavioural Sciences**
- **Biochemistry, Physiology and Molecular Science**
- **Environment and Agricultural Sciences**
- **Health Systems, Reform and Delivery**
- **History**
- **Linguistics**
- **Literature and Culture**
- **Mother and Child Health**
- **Physical and Mathematical Sciences**
- **Politics**
- **Sex Health and Society**
- **Sociology**
- **Sustainable Communities and Regional Development**

Attachment B: Faculty Contacts

SECRETARIES OF FACULTY RESEARCH COMMITTEES

SECRETARY	FACULTY/CENTRE	CONTACT DETAILS
Ms Gail McNaulty	Education	+ 61 3 5444 7811 g.mcnaulty@latrobe.edu.au
Ms Natalie Humphries	Health Sciences	+ 61 3 9479 3573 n.humphries@latrobe.edu.au
Ms Trish Hills	Humanities & Social Sciences	+ 61 3 9479 2351 p.hills@latrobe.edu.au
Ms Mrinali Clarke	Law & Management	+ 61 3 9479 1603 mrinali.clarke@latrobe.edu.au
Ms Pauline Jones	Science, Technology & Engineering	+ 61 3 9479 3588 p.jones@latrobe.edu.au
Ms Siew-Peng Condon	Research Centre for Linguistic Typology	+ 61 3 9479 6400 s.condon@latrobe.edu.au