POLICIES FOR RESEARCH GRANTS
AND COURSE BUY-OUTS FOR MAJOR GRANT HOLDERS
KING’S UNIVERSITY COLLEGE
(Approved by Faculty Council November 14, 2018)

PREAMBLE:

As a negotiated part of faculty salary and benefits, the College provides research funds, exclusive of computer costs, to be distributed by the Academic Dean on the recommendation of the Research Grants Committee of Faculty Council. All faculty should obtain a copy of these Policies and be thoroughly familiar with them before applying for a research grant.

The Policies will be classified under 14 categories: Composition of the Research Grants Committee, Eligibility, Purpose of Research Grants, Types and Amounts of Grants and Deadlines for Application, Application Procedure, Adjudication of Applications, Deadlines for Application and Administration of Grants, Ethics Review, Spending Guidelines for Grant Recipients.

Full-time faculty who obtain a large research grant are eligible for a course buy-out for research purposes. The College provides funds equivalent to two full course buy-outs per academic year, to be distributed by the Academic Dean on the recommendation of the Research Grants Committee of Faculty Council. All faculty should review Policies #15 and #16 before applying for a course buy-out. These Policies define Eligibility and the Application Procedure.

Policy #1

The Research Grants Committee will comprise one member designated by each Department (Economics, Business and Mathematics; History; Political Science; English, French and Writing; Philosophy; Religious Studies; Psychology; Sociology; Interdisciplinary Programs) and one member designated by the School of Social Work from their respective membership. Members should have experience in research that has led to publications or papers. The Academic Dean/Associate Academic Dean and Principal will be ex-officio members of the Committee.

From this group, excluding the Academic Dean and Principal, Faculty Council will elect the Chair of the Research Grants Committee for a two year term, who must be a tenured faculty member who has previously served on the Committee.

Policy #2

The purpose of research grants is to support research projects upon which the applicant has already made preliminary enquiry.

Applicants are expected to show evidence that they are proposing projects that will result in the production of scholarly output which may include, but is not limited to, academic conference presentations, peer-reviewed publications and external grant applications.

There are many opportunities to disseminate research findings to the King’s community. Research grant recipients are expected to participate in some of these.
Policy #3

Research grants are intended primarily for full-time faculty. Applications to a maximum of $500, however, from part-time faculty will be considered in the October round, should there be one.

Funds are available for

a. research help, providing it is of a supportive kind only (e.g., technicians, interviewing, library searches, data collection); hourly rates for research assistants will normally be the same as the rates for teaching assistants and markers.

b. the preparation of manuscripts for submission to publishers and learned societies (e.g. typing, photocopying, postage);

c. reasonable travel and accommodation, meal, and associated expenses, where such are necessary [see spending guidelines below, Policy #14]; and

d. other research costs associated with access to archival collections.

Policy #4

Funds are not available for -

a. directly offsetting the costs of education;

b. conference participation, except in cases where the conference is a site of primary data collection (e.g. interviews and the like);

c. the purchase of books in any form and other published materials, except in extraordinary circumstances (at the discretion of the Committee);

d. computer hardware or software, except in cases where highly specialized hardware and/or software is integral to the research being conducted (at the discretion of the Committee). If approved by the Committee, the computer hardware or software would be the College’s property, would have to be housed at the College or in a research setting, and could be available for use by other members of the King’s community.

Policy #5

If part or all of any grant is to be used to procure materials or equipment for a project, the applicant will first check with the King’s Technical Services office to make sure that such materials or equipment cannot be made available from that source. If these are not available and are purchased by the applicant with grant money, the applicant must register his or her purchases with Technical Services so that, upon completion of the project, said materials or equipment can be made available for use by the College.

Policy #6

The standard research grant is valued at a maximum of $3,500 per applicant. Applicants should include full budget statements and indicate other sources of funding they intend to pursue. Grants will not normally be made for projects that are already receiving financial assistance from other sources.

Under special circumstances, a project may be funded for a two-year period. These circumstances include all of the following: 1) the availability of funds; 2) the necessity for the project to be carried out over a two-year period; 3) the demonstration by the applicant of the cost-effectiveness of the proposal; and 4) the overall caliber of the application. The Research Grants Committee will evaluate two-year grant proposals to determine whether or not all of the above criteria have been met before allocating funds for such a project. The Committee reserves the right to decline two-year funding if the above criteria have not been met to their satisfaction. A two-year grant may not be extended beyond the two-year period. A report on the project for which the grant was obtained will be required before a new application will
be considered (see Policy #12). Faculty in the second year of a two-year grant may apply for an additional $500 in the October round.

Policy #7

Grants for the approaching fiscal year (May 1st to April 30th) are made in March.

a. Research grants will be approved following a deadline of March 15 or the first business day thereafter.

b. Should additional funds remain following the March round, or become newly available, further applications may be invited, with a deadline of October 15 or the first business day thereafter.

c. In the October round, the Committee will consider requests from applicants who did not receive a March grant as well as requests for supplementation of the March grant, up to a total yearly maximum of $4,000. In cases where applications from King’s full-time faculty are recommended for approval of funding from senior granting agencies, such as SSHRC, NSERC, CIHR, and other funding agencies but fail to receive funding, these applicants will be eligible to apply for a supplementary grant of $1,500 above and beyond the usual $4,000 ceiling from the Research Grants Committee.

October round grants are considered according to the following schedule of priorities:

a. Applications from new full-time faculty whose contracts begin after the March round;

b. Top-ups for those approved but not funded by a major granting agency such as SSHRC/NSERC/CIHR (e.g.: SSHRC scoring of 3-4).

c. Applications from full-time faculty who did not apply in the March round;

d. Applications for top-ups from full-time faculty with existing King’s grants;

e. Applications from part-time faculty.

Policy #8

All grants must be used by the end of the fiscal year (April 30) for which they were granted when they will lapse, unless the recipient requests a renewal from the Research Grants Committee by March 15, or the first business day thereafter. Such a renewal may be made for only one year. A request form is available on the Research Grants Committee website.

Applicants who hold unexpended funds from a standard research grant (i.e., a one-year grant) and who wish to apply for a new grant may do either of the following:

a. Seek an additional period, normally six months, in which to use the unexpended funds on the previously approved project and submit a report; the applicant will simultaneously have access to the new grant, provided an acceptable rationale is presented for the extension and the new grant.

b. Seek to use the unexpended funds on the new project, provided an acceptable rationale is presented in the Description of Proposed Research on the RGA form, and provided a progress report on the use of the expended funds is included in the designated area of the RGA form.
Policy #9

All applicants must make their requests on the most recent version of the Research Grants Application Form (RGA), available online through the faculty extranet under the Research Grants Committee page. All applicants must submit an electronically completed RGA form and all the necessary accompanying files online through this Research Grants Committee page. In keeping with the norms of existing research funding agencies, flight quotes, proposed accommodation details such as hotel bookings, train quotes, etc., are NOT considered supporting documentation, and are therefore NOT required. All travel and accommodation must adhere to King’s posted “Policy for Travel reimbursement.”

Policy #10

The Committee may seek outside appraisal of research grants and/or invite the applicant to be interviewed.

Policy #11

Four weeks prior to each deadline, the Chair of the Research Grants Committee will remind all faculty of the impending deadline. Applicants who do not adhere to all deadlines must wait until the following call for applications to have their applications considered for funding.

Policy #12

As a condition of receiving a research grant, the recipient will agree to submit electronically to the Committee a Report on the progress of the previous project:

1) If the recipient is applying for another grant in the following year, this information is to be included in section 4 a) of the Research Grant Application (RGA) form;

2) If a new grant is not being applied for, the Research Grant Report (RGR) form must be completed and submitted to the Research Grants Committee by April 30 (or the first business day thereafter). The form is available on the Research Grants Committee page.

Policy #13

All applicants who propose research involving human subjects must also submit their proposal to the King’s University College Research Ethics Review Committee (RERC) for approval; the relevant form and guidelines are available on the RERC page on the King’s Extranet (https://www.kings.uwo.ca/research/research-resources-committees/research-ethics-review-committee/). In cases where the research is being conducted in collaboration with a colleague or colleagues at another university (including Western University) and the proposal has been reviewed by the Research Ethics Review Committee of that institution, the proposal must still be reviewed by the King’s Research Ethics Review Committee except in cases where the applicant is not the principal investigator and King’s College students are not involved as participants.

If the grant application meets with the approval of the Research Grants Committee but the project has not yet been granted ethics approval, the grant will be approved provisionally, with the understanding that no funds will be disbursed in support of research requiring ethics approval until such approval has been granted. If the grant applicant has indicated that s/he does not intend to seek ethics approval, but the Research Grants Committee is of the view that such approval may be required, the applicant will be asked to consult informally with the Chair of the Research Ethics Review Committee and follow the Chair’s guidance in this matter.

Once final ethics approval is given the project, the funds will be released to the researcher. Should the project fail to receive ethics approval, the unused funds will be made available to other applicants.
Policy #14

Please see the “Policy for Travel Reimbursement” (item 21 under Policies and Procedures) at https://www.kings.uwo.ca/index.cfm/extranet/policies-and-procedures/policy-for-travelreimbursement/ and the standard rates of pay for Research Assistants at http://www.kings.uwo.ca/extranet/forms. Scroll down to the Research Grant heading and click on Contract Hourly Rates. If a research grant application includes a budget request for research assistance that falls outside of the standard rates of pay for a research assistant, justification needs to be given.

Please note that you will have to sign in to the Faculty Extranet before you can access the above links http://www.kings.uwo.ca/extranet/forms/

Policy #15

Full-time faculty who obtain a large research grant are eligible for a course buy-out for research purposes. These buy-outs are available to

a. Holders of SSHRC grants valued at a minimum of $45,000 - as a total over the three or four years of the grant.

b. Holders of equivalent grants from other sources that, like SSHRC, employ peer review, including grants for applied research for government and other organizations.

c. Co-investigators of major grants, provided that they are responsible for the management/implementation of an equivalent of $45,000 of the total grant obtained.

Policy #16

While the granting of a course release is competitive, the Research Grants Committee will attempt to ensure the accommodation of all eligible faculty.

Once grant-holders are notified of their awards, they should apply as soon as possible to the College’s Research Grants Committee for these course buy-outs. If the applicant is interested in taking the buy-out in the first year of the grant, an application should be made immediately upon notification from SSHRC (no later than June 15th, or the Monday following), which allows the department/school to accommodate his/her teaching schedule. Prior to making an application, researchers must consult with their departmental chair/director.

Each year the College will provide funding for a minimum of two full-course buy-outs per academic year. Since SSHRC grants are not allocated until after the March round of internal research grants, the Research Grants Committee shall set aside these funds for potential applicants. If in any academic year these funds are not assigned for course buy-outs, they may be distributed in the October round. Left over funds in the October round are distributed first as research grants and then as course buy-outs, in cases when the demand and eligibility for such buy-outs exceeds 2.0 courses.

A course release must be taken in a year of the teaching load cycle in which the applicant’s course load is either two and one-half or three courses. If a grant holder is to teach two and a half-courses, s/he may apply for a half-course buy out; if a grant-holder is to teach three courses, s/he may apply for a full course buy-out.

Grant holders may apply in any of the three or four (or more) years of the term of a grant in which they are eligible subject to the teaching load restrictions described above.
In the case of co-investigators, applicants must specify their involvement in managing and implementing research, demonstrating a responsibility that is equivalent to a total share of $45,000. In addition, researchers must obtain the signature of the principal investigator of this grant for this application.

All applicants must make their request on the most recent version of the Course Buy-Out Application Form, as available on the faculty extranet under the Research Grant Committee page. In addition, applicants must provide a copy of the formal letter of approval for the grant, the cover page summary of the SSHRC or other peer-reviewed grant, and if the grant is not a Tri-Council Grant (SSHRC, CIHR, NSERC), the applicant should provide some documentation demonstrating peer review. Applicants may be asked for additional documentation.

The provision of a course buy-out in Policy #16 does not preclude the teaching of graduate-level courses provided that
a. graduate teaching is noted in the grant application;

b. graduate teaching is on the subject of the research grant; and

c. graduate training is also part of the research grant application.