

Policies for Research Grants
And Course Buyouts for Major Grant Holders at King's University College
As Approved by Faculty Council 5 February 2020

Preamble:

As a negotiated part of faculty salary and benefits, the College provides research funds be distributed by the Academic Dean on the recommendation of the Research Grants Committee of Faculty Council. All faculty should review these policies before applying for a research grant.

The policies will be classified under the following categories:

1. Composition and Purpose of the Research Grants Committee (Policies 1-2)
2. Eligibility (Policy 3)
3. Value and Use of Grants (Policies 4-6)
4. Application Deadlines, Application Procedure, and Adjudication of Grants (Policies 7-8)
5. Term of Grants and Extensions to Grants (Policies 9-10)
6. Progress Reports (Policy 11)
7. Ethics Review (Policy 12)
8. Information for Recipients of External Research Grants. (Policy 13-14)

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 (2.0) courses per academic year, distributed by the Academic Dean on the recommendation of the Research Grants Committee. Faculty should review **Policies 13 and 14** before applying for a course buy-out.

Policy #1 – Membership of the Committee

The Research Grants Committee will comprise one member designated from each Academic Unit 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 Deans and Principal, Faculty Council will elect to a two year term the Chair of the Research Grants Committee, who must be a tenured faculty member who has previously served on the Committee.

Policy #2 - Purpose

The purpose of research grants is to support projects that will result in the production of scholarly work such as 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 – Eligibility

Research grants are intended primarily for full-time faculty. Applications from part-time faculty may be considered in the October round, should there be one.

Policy #4 – Value of Awards

1. Full-time faculty may receive a maximum of \$4,000 per fiscal year as noted below:
 - a. Initial grant (Spring Round) to the maximum of \$3500
 - b. Subsequent grant (October Round) – top up to the maximum annual grant of \$4,000
2. Part-time faculty may receive a maximum grant of \$500 in the October round provided funds are available.

Policy #5 – What Funds May and May Not Cover

Funds are available for:

- a. Research assistance, (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. Preparation of manuscripts for submission to publishers and learned societies (e.g. cost of indexing, reproduction of images, postage, etc.)
- c. Reasonable travel and accommodation, meal and/or per diem and associated expenses, [see spending guidelines below, **Policy #14**].
- d. Other research costs associated with access to archival collections.

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 #6 – Purchase of Materials or Equipment

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 Information Technology Services 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 Information Technology Services so that, upon completion of the project, said materials or equipment can be made available for use by the College.

Policy #7 – Application Deadlines

- a. Applications for research grants are due March 15 or the next business day. Late applications will not be reviewed, except under extraordinary circumstances at the discretion of the Committee.
- b. Four weeks prior to the deadline, the Chair of the Committee will remind faculty of the impending deadline.
- c. Any funds remaining from the March round will be reserved for an October round. The deadline for the October round will be October 15 or the next business day

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

- a. Applications from new full-time faculty whose contracts began after the March round.
- b. Supplementary grants to a maximum of \$1500 above the usual \$4000 ceiling for those approved but not funded by a major granting agency such as SSHRC/NSERC/CIHR.
- 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 to the maximum of \$4000
- e. Applications from part-time faculty to a maximum of \$500.

Policy #8 – Application Procedure and Adjudication of Grants

- a. Applications for grants and extensions to grants must be made through the on-line application system on the Research Grant Committee page.
- b. Applicants should include full budget statements and indicate other sources of funding they intend to pursue. When preparing budgets, please be mindful of accounting policies and procedures. (Review "Expense Reimbursement Manual", "Policy for Travel Reimbursement", "Timesheet Pay Schedule" and other relevant documents the Faculty Extranet.)
- c. 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.
- d. 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."
- e. The Committee may seek outside appraisal of research grants and/or invite the applicant to be interviewed.
- f. While awarding of grants is competitive, the Research Grants Committee will attempt to ensure the accommodation of all eligible faculty.
- g. Decisions will be announced within three weeks of the respective application deadlines.
- h. Grants will not normally be made for projects that are already receiving financial assistance from external funding agencies.

Policy #9 – Two Year Grants

All grants must be used by the end of the fiscal year (April 30) for which they were granted. (See Policy #10 – Extensions to Grants.) 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
- 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 #11**). -

Policy #10 – Extensions to Grants

All grants must be used by the end of the fiscal year (April 30) for which they were granted, unless the recipient requests a renewal from the Research Grants Committee by March 31, 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 page.

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 #11 — Progress Reports

As a condition of receiving a research grant, the recipient will agree to submit 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 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 #12 – Ethics Review

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 #13 – Eligibility for Course Buyouts

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 (2.0) courses per academic year, to be distributed by the Academic Dean on the recommendation of the Research Grants Committee.

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.

Full-time faculty who obtain an external research grant may be 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 funding tenure of the grant.
- b. Holders of equivalent grants from other sources that, like SSHRC, employ peer review, including grants for applied research for the 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 # 14 – Procedure for Course Buyouts

Once grant-holders are notified of their awards, they should apply as soon as possible to the College's Research Grants Committee using the on-line form. 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 the external granting agency which allows the department/school to accommodate teaching schedules. Prior to making an application, researchers must consult with their departmental chair/director.

Grant holders may apply in any of the years of the term of a grant in which they are eligible, subject to the teaching load restrictions described below.

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.

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 13 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.