



## AUSTRALIAN DEVELOPMENT RESEARCH AWARDS

### 2008 FUNDING ROUND

#### Guidelines for Submitting Applications

Closing time and date: 5pm AEST, Friday 29<sup>th</sup> August 2008

These guidelines are to be used by those organisations that intend to submit applications for funding under the Australian Development Research Awards. Applications are due by **5pm AEST, Friday 29<sup>th</sup> August 2008**.

#### 1. OVERVIEW

- 1.1 It is imperative that the proposed research project is presented clearly and succinctly.
- 1.2 The assessors judging the Applications will evaluate their merit against:
  - > Quality of the proposal
  - > Development merit
  - > Funding availability
- 1.3 The Application is the only source of direct, applicant-provided information available to the respective Research Selection Committee. The Application must contain all required information since there will be no other opportunity to provide any additional written or oral explanations, or to refer to additional documentation, unless AusAID solicits such information.
- 1.4 All details in the Application must be current at the time the Application is submitted. Once it has been submitted to AusAID, the Application will be considered final and no changes will be permitted. You may, however, withdraw your Application at any time in writing to [research@ausaid.gov.au](mailto:research@ausaid.gov.au) or fax 61 2 6206 4570
- 1.5 Please ensure that all information contained in the Application is accurate and complete. If an Application is incomplete, incorrect or contains information that is false or misleading, the Application will not be considered for funding.

- 1.6 Information included in the Application will be treated as confidential. The information will only be viewed by AusAID administrative staff, AusAID assessors and those external third parties who assess, evaluate and verify the accuracy of the Applications. Any personal information collected as part of the 2008 Funding Round will only be used for the purpose for which it is collected.

## 2. PROPOSAL FORMAT

- 2.1 The Application should be written in clear and succinct English. Technical jargon and acronyms (except those in wide use such as ‘AIDS’) should be avoided.

## 3. SUBMITTING YOUR PROPOSAL

- 3.1 **The original Application must be submitted online via the ADRA Online Web Site (accessible via [www.ausaid.gov.au/research](http://www.ausaid.gov.au/research)).** If technical difficulties are being experienced please contact [research@ausaid.gov.au](mailto:research@ausaid.gov.au)
- 3.2 **The online submission facility will be open 6 weeks prior to the final submission date. This facility will enable proposals to be saved and worked on over that period.**

## 4. ENQUIRIES

For any enquiries, please email [research@ausaid.gov.au](mailto:research@ausaid.gov.au) or fax 61 2 6206 4570

## 5. APPLICATION COMPONENTS

The information below provides advice on how to fill in the ADRA Application Form.

### RESEARCH QUESTION

### RATIONALE AND EXPECTED OUTCOMES

- > Please ensure these sections are clear and succinct.

### RESEARCH ACTIVITY DESIGN AND METHOD

- > Please indicate how your research project will ensure that gender considerations are taken into account. A useful resource for looking at gender considerations in research can be found on the United Nations International Research and Training Institute for the Advancement of Women website (<http://www.un-instraw.org>)

## OUTPUTS/DELIVERABLES/REPORTING

- > Each Application must detail a set of interim and final outputs or deliverables. An indication of the expected delivery time should be included in the Workplan
  - Researchers are expected to produce both academic (e.g. submissions to refereed journals and conference presentations) and policy relevant publications (e.g. policy briefs).
  - Researchers are also expected to make themselves available to deliver seminars/ workshops at AusAID throughout the life of their project to keep policymakers informed of research progress as well as at the conclusion of the project. Delivery of seminars/workshops with other non-AusAID policymakers will be considered highly.
  - Researchers are encouraged to identify collaboration activities that would both inform the researchers of the relevant policy environment and issues and help to ensure that policy makers are aware of and are engaged with the research project.
  - Be innovative!
  
- > The following set of reporting requirements must also be met:
  - A **Final Report** of findings and conclusions. This report must be succinct and targeted. Hence it should not exceed ten pages and should include a short summary of the research project, the key findings and any recommendations coming out of the project.
  - An **Annual Report**. This report will be a brief (five page maximum) administrative, financial and activities report to indicate progress of the project, comparing actual accomplishments with goals established for the reporting period. A template will be provided by AusAID. Acceptance of this report by AusAID will be required to release the subsequent annual tranche payment.
  - A final **Communication and Engagement Report** outlining ways in which findings from the study have been communicated and distributed to the broader community, particularly policy and decision makers. This report is due six months after the completion of the Final Report, using a template provided by AusAID.

## RESEARCH COMMUNICATION STRATEGY

- > An essential output of AusAID-funded research is the active communication of the results of the research project across a range of stakeholders from academia, partner countries, the development community and policy-makers. Communication strategies should show how the research findings will be used and, in particular, outline how the research project team will engage with key stakeholders.
- > All Principal Investigators must be available to attend a one-day Communications Workshop in Canberra in early 2009. Travel costs associated with this workshop should be included in the Knowledge Transfer section of the budget. Further details concerning this activity will be provided to successful applicants.

## COLLABORATION & CAPACITY BUILDING

- > Capacity building as an element and outcome of research is of key interest to AusAID. Projects involving in-country collaboration, developing country and/or early career researchers, while not compulsory, will be looked upon favourably in the selection process as this is seen as an important capacity building element of research. Obviously capacity building activities can be done at various levels (for example with individual researchers, at the institutional level or at a country level). The level and degree of capacity building that is appropriate will be dependent on factors such as the type of problem under investigation, the relevance of comparative information, the contribution to capacity development across jurisdictions, key stakeholders, and questions of feasibility. The Applications should indicate the potential capacity building outcomes resulting from the research project.

## BUDGET

- > You are reminded that AusAID research grants cover the following eligible costs:
  - The direct costs of research (researcher/s salary, fieldwork costs, travel, insurance);
  - Knowledge transfer and exchange; and
  - Collaboration and capacity development activities.
- > A breakdown of all costs associated with the research project must be provided. There must be a clear justification for the level of funding sought for researcher salaries.

- > Funds for an approved multi-year research project will be disbursed annually – but only after acceptance of each Annual Report. A further five percent of the final year tranche is conditional on the acceptance of the Communication and Engagement report.

## 6. AUSTRALIAN RESEARCH COUNCIL (ARC) LINKAGE PROJECTS SCHEME

- 6.1 Some applicants have elected to approach AusAID to be an industry partner under the *ARC Linkage Projects Scheme*. Proposals seeking industry partner support are given the same consideration as any other Application.
- 6.2 Please note that there are strict eligibility requirements for the *ARC Linkage Projects Scheme*. Only Australian institutions are eligible. See Appendix 1 of the Linkage Projects Funding Rules at [http://www.arc.gov.au/ncgp/lp/lp\\_default.htm](http://www.arc.gov.au/ncgp/lp/lp_default.htm) for a list of eligible institutions.
- 6.3 If the Application is successful, AusAID will sign the ARC Linkage Form and provide a Letter of Support. AusAID's in-kind contributions will be negotiated at this point.
- 6.4 Funding decisions will be available to allow applicants to feed into the May 2009 *ARC Linkage Projects Scheme* process. AusAID funding will be made available in early 2010.
- 6.5 Any such AusAID funding will be dependent on obtaining ARC support. If the ARC does not choose to support the proposal (or does not provide as much funding as sought), AusAID will reassess its support.
- 6.6 Please ensure that the level of funding sought from the ARC is clearly indicated in the Application.

## 7. PROCESS FOR ASSESSMENT OF PROPOSALS

- 7.1 The assessment process will incorporate both internal and external review to ensure transparency, accountability and quality. Applicants will be assessed on a competitive basis according to the pre-determined selection criteria; **consequently not all applicants will be successful.**
- 7.2 Applications that satisfy the basic requirements will be subject to the following assessment processes:
  - There will be one Research Selection Committee for each Research Priority Theme (and in some cases Sub Theme) with membership consisting of both AusAID staff and external advisors. Research Selection Committees are usually chaired by external advisors.

- All Applications will be initially reviewed by the relevant Research Selection Committee and a shortlist of proposals that should be considered for funding will be developed.
- Shortlisted Applications will then undergo external peer review by at least two peer reviewers under each Research Priority Theme/Sub Theme.
- Upon receiving the recommendations of the external peer-reviewers, the relevant Research Selection Committee will reconvene and make final determinations, based on peer review findings, relevant internal AusAID information and the Research Selection Committee's own rankings.
- Applicants will be assessed and ranked against the set selection assessment criteria. Research Selection Committee recommendations will be based on the relative merit of the shortlisted Application against: (primarily) the Funding Round assessment criteria (Section 8 below); total funding available; and the assessed relative importance in terms of relevant current whole-of-government priorities.
- Applicants will be notified of AusAID's decision in writing, with successful applicants being listed on the research section of the AusAID website.
- Clear and transparent mechanisms will be available throughout the assessment process for Research Selection Committee members or peer-reviewers to declare any existing or potential conflicts of interest.

## 8. ASSESSMENT CRITERIA

The following outlines the basic assessment criteria that will be used to assess shortlisted Applications:

CRITERION	ASSESSMENT NOTES
Policy Relevance	<ul style="list-style-type: none"> <li>&gt; The research project is relevant to the specific objectives of the Australian aid program priorities and/or the activity enhances development knowledge available to key policymakers in the region.</li> <li>&gt; There is a demonstrated demand and/or a need for research on this topic within the development community or AusAID's target countries.</li> </ul>
Significance & Innovation	<ul style="list-style-type: none"> <li>&gt; The research addresses an important problem.</li> <li>&gt; Anticipated outcomes will advance the knowledge base of the discipline.</li> <li>&gt; The project aims and concepts are novel and innovative.</li> <li>&gt; New methods or technologies will be developed.</li> </ul>

Research Design & Methods	<ul style="list-style-type: none"> <li>&gt; The conceptual framework, design, methods and analyses are well developed, integrated and appropriate to the aims of the project.</li> <li>&gt; The research approach is clearly justified and the methodology is highly likely to result in meaningful findings.</li> <li>&gt; The design combines robust qualitative and/or quantitative methods with innovative thinking.</li> <li>&gt; Useful outputs will be produced that will keep all key stakeholders informed of progress during the life of the project.</li> <li>&gt; A logical and feasible workplan is presented.</li> </ul>
Research Team	<ul style="list-style-type: none"> <li>&gt; The track record of all research team members supports the proposed activity.</li> <li>&gt; Experience is shown in developing countries.</li> <li>&gt; Capacity to undertake and manage the proposed research is shown.</li> <li>&gt; Evidence of strong in-country collaboration.</li> <li>&gt; The activity will generate opportunities for developing country researchers or early career researchers to strengthen their international research experience.</li> </ul>
Communications & Knowledge Transfer	<ul style="list-style-type: none"> <li>&gt; The communication and knowledge transfer strategy is innovative, plausible and achievable.</li> <li>&gt; The communication strategy targets both academic and policy-maker audiences.</li> <li>&gt; Appropriate communication activities are included in the budget.</li> </ul>
Budget	<ul style="list-style-type: none"> <li>&gt; The proposed budget is appropriate and offers value for money.</li> <li>&gt; The Administering Organisation is contributing to the project.</li> <li>&gt; There are other partners involved in the activity who are making either financial or in-kind contributions.</li> </ul>

Applicants should also refer to the original Research Priority Themes document available on the ADRA Online website. This document outlines any additional assessment criteria relevant to individual Priority Themes (this is specifically relevant to *Health Systems Strengthening* and *HIV/AIDS*).

## 9. FEEDBACK ON DECISIONS

9.1 If requested, written feedback will be provided to unsuccessful applicants.

Requests for feedback must be forwarded in writing only to:

Director  
Research Thematic Group  
GPO Box 887

Canberra ACT 2601

Or Email: [research@ausaid.gov.au](mailto:research@ausaid.gov.au)

Or Fax: 61 2 6260 4570

- 9.2 Applicants are reminded that the funding round is competitive. **No applicant is guaranteed selection. AusAID's decision, based on the recommendation from the Research Selection Committees, is final.**

## 10. SUCCESSFUL APPLICATIONS

- 10.1 Successful applicants will be required to sign a Funding Agreement with AusAID that defines the project to be implemented, specific activities and outputs, timeframe and the respective financial and other responsibilities and obligations of each party. Funding Agreements must be finalised within three months of the date on which the first draft is forwarded to the applicant and must be signed before any funds can be paid. Applicants must commit to performing work to a high standard, comply with reporting requirements stipulated in the Funding Agreement and inform AusAID of any changes in situation. The standard ADRA Funding Agreement will be posted on the AusAID website prior to 8 October 2008.
- 10.2 Work must commence in the first six months of the grant year. A delay of more than six months without approval will result in the grant being cancelled. Funds will have to be returned to AusAID within 30 days.
- 10.3 The Funding Agreement will outline the process for informing AusAID regarding in-country work. AusAID staff (either at the relevant in-country Post(s) or in Canberra) will **not** be available to assist in arranging visas, customs clearances, travel and accommodations bookings or meetings and appointments.

## 11. ETHICS APPROVAL

- 11.1 Full Proposal Applications proposing to conduct research with human subjects or on sensitive topics must present evidence of compliance with appropriate ethical guidelines for the conduct of such research. The Australian National Health and Medical Research Council (NHMRC) website, <http://www.nhmrc.gov.au>, provides a series of publications which outline principles of ethical conduct in research. All AusAID-funded projects must conform to these principles. No person shall become the subject of research supported by AusAID without his or her competent, voluntary, and informed consent.

- 11.2 Successful applicants must gain ethics approval from their host institution under whose auspices they propose to conduct research, where applicable. Internal ethics restrictions of host institutions will be the standard unless otherwise specified by AusAID. Ethics approval requirements in the research project target location (country/countries) must be taken into consideration and met.
- 11.3 If ethics approval is required it must be obtained within the first year of the project prior to the commencement of data collection. Written confirmation of ethics approval must be provided with the first Annual Report. If ethics approval is either not sought or is denied, AusAID reserves the right to terminate the research grant and seek reimbursement of all monies paid.

## **12. INFORMATION OWNERSHIP, CONFIDENTIALITY AND INTELLECTUAL PROPERTY**

- 12.1 AusAID receives all applications for funding in confidence
- 12.2 Intellectual property rights with respect to information contained within applications submitted to AusAID remains with the applicants(s) until varied in accordance with the terms of any contract entered into between AusAID and the successful Grantee(s).
- 12.3 All information contained within applications, once received by AusAID and during the process of assessment, will only be disclosed to AusAID staff directly involved with the administration of the Funding Round, internal and external advisers, panel members, and external referees or disclosed as required by law or to enable AusAID to meet its obligations to Parliament, Ministers and within Government.
- 12.4 Disclosure of any information contained within an application to persons other than those referred to above, or the use of information contained within an application other than in connection with AusAID's activities and statutory reporting and archiving requirements, will require the express written permission of the Principal Investigator.
- 12.5 Applications who have not been awarded funding may agree in writing to the disclosure of information contained in their applications to specified persons or for specified purposes.
- 12.6 AusAID does not claim ownership of any intellectual property created as a result of any project which is funded by research grants. However, AusAID wishes to be able to publish and use all or part of selected research reports. Accordingly, under the terms of the contract, the Grantee will be required to

grant to AusAID a permanent, irrevocable, royalty-free licence for this purpose. This arrangement benefits both the Grantee and AusAID. The Grantee may publish their research results independently elsewhere and AusAID has the right to use the results of the research project where and as applicable and appropriate.

