



# Wellington Institute of Technology

Te Whare Wānanga o te Awakairangi

## BUSINESS POLICY MANUAL

<b>Manual Section:</b>	<b>Research</b>
<b>Policy Number and Title:</b>	9.4 Internal Funding of Innovation and Research Policy
<b>Approved by:</b>	Academic Board
<b>Date of Approval:</b>	
<b>Effective from: New Policy or Replacement:</b>	Revised
<b>Manager Responsible for the Policy:</b>	Director Strategy and Performance

### Purpose

The purpose of this policy is to provide guidelines for obtaining internal funding from the Innovation and Research Grants Fund to support research and innovation activities. Specifically Wellington Institute of Technology (WelTec) will support:

- discipline-based research that contributes to the development of industry advanced practice;
- applied research, technology transfer and advanced practice that underpin teaching of our degrees and high-level diplomas;
- innovative projects undertaken by staff and/or students that will develop WelTec's position as a creative problem solver and business partner;
- business opportunities underpinned by research and innovative practice; and
- activities aimed at disseminating the outcomes of these activities.

WelTec will provide funding for approved projects. At the same time, staff and students are expected to demonstrate academic responsibility and to comply with WelTec rules and regulations regarding research and intellectual property.

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## **1.0 Introduction**

Research and innovation activities play an important role in creating an environment in which the optimum teaching and learning processes occur, and in which staff and students are stimulated by exposure to the development of profession/industry innovation and/or best practice, the interplay of new ideas, and the spirit of enquiry.

WelTec has chosen to focus on applied research and to support research that:

- Supports the teaching of our degrees and high-level diplomas;
- Advances profession/industry best practice;
- Supports regional industry and business in finding solutions to their issues; and/or
- Develops WelTec's business.

This policy is intended to provide a framework to guide staff and students in determining which research and innovation projects the institute will support through the internal Innovation and Research Grants fund, the nature of support available and the roles and responsibilities of the parties involved.

## **2.0 Linkages**

Other policies that deal with specific topics related to research and should be read in conjunction with this policy include:

- 9.1 Innovation and Research Policy
- 9.2 Human Ethics Policy
- 9.3 Animal Ethics Policy
- 8.4 Intellectual Property Policy
- 9.5 External Funding of Research Policy
- 9.6 Appointment of Honorary Associates Policy
- 10.5 Professional Development Policy
- 13.1 Travel Policy

## **3.0 Definitions**

### ***Research***

Research is an intellectually controlled investigation which leads to advances in knowledge through the discovery and codification of new information or the development of further understanding about existing information, and practice.

It is a creative, cumulative and independent activity conducted by people with knowledge of the theories, methods and information of the principal field of inquiry and its cognate areas(s). Research typically involves either investigation of an experimental or critical nature, or artistic endeavour of the type exemplified by musical composition.

The results of research must be open to scrutiny and formal evaluation by others in the field of enquiry and this may be achieved through publication in peer-reviewed books and serials, or through public presentation.

### ***Innovation***

Innovation is the introduction of new products, devices, or ways of working. It carries with it connotations of invention and problem solving. Innovation can be planned or ad hoc.

Funding to support innovation will be used to develop ideas that will improve WelTec's business that would be not included in School, Faculty or other Division budgets. Applications that appear to be something that should be covered by budgets elsewhere will not be supported.

### ***Technology transfer***

Technology transfer has a key role in enabling an increase in the quantity and quality of innovation and technological development to support economic transformation.

Technology transfer recognises that effective use of technology goes beyond simply acquiring physical infrastructure, and that a key role of education is to build the skills and capability that are required to make the best use of existing technology, as well as to innovate and create new technologies, products and industries.

## **4.0 Policy principles**

### ***Selectivity and Concentration***

WelTec bases its approach to funding for research and innovation on the twin principles of selectivity and concentration of effort. This means first choosing areas of enquiry where researchers can make original contributions to their disciplines and/or the communities in which they live and work, and second, drawing researchers—often from separate but complementary disciplines—together so their skills and knowledge can be focussed on defined objectives.

At the same time, WelTec is determined to support independent research and innovation activities where these fit with the goals of the institution.

### ***Accountability***

WelTec expects all researchers and innovation project managers to be accountable for meeting agreed outcomes. Accountability is accepting the consequences, good or bad, for the outcome of a situation for which you are

responsible, that is, a situation where you are answerable for the outcome or results.

### ***Peer review***

Peer review (known as refereeing in some academic fields) is a process of subjecting an researcher's or product developers work or ideas to the scrutiny of others who are experts in the field. This can include industry/professional experts and/or fellow academics.

## **5.0 Policy**

### ***5.1 Innovation and Research Fund***

Each year WelTec will allocate funding in an Innovation and Research Grants Fund (the Fund) to support research and innovation activities that fit with WelTec's Innovation and Research Strategy and Investment Plan. Priority will be given to projects that support a concentration of research effort and support interdisciplinary approaches.

Money from the Fund will be allocated selectively and competitively on the basis of the quality and type of application for funding.

Funds may be awarded for activities that support achievement of WelTec's Innovation and Research Strategy, and WelTec staff, research associates, Advisory Committee Members, or associated industry people may make application for funding.

Student research, if is leading to publication/dissemination jointly with a WelTec staff member, will be eligible for consideration for research grants.

Applications for funds must be made using the approved application form and contain all required information. They may be made by an individual or groups of individuals. Companies, organisations, trusts or similar entities are not eligible for funds.

Any money allocated will be awarded to the applicant(s) named in the application and must be used for the purposes outlined.

There will be no retrospective applications considered for funding.

### ***5.2 The Innovation and Research Grants Committee***

The Fund shall be administered by the Innovation and Research Grants Committee (the Committee), a sub-committee of the WelTec Academic Board. The Terms of Reference and membership of the Committee are contained in Appendix 1.

The Committee shall meet monthly to consider applications for funds. The decisions of the Committee will be final.

From time to time, the Committee may specify restrictions on the use of the fund for specific purposes, for example, the maximum funding able to be awarded for research presentations.

### **5.3 Applications for funding**

All applications for funding must be complete and submitted on the approved form with all necessary supporting documentation.

All applications for funding must include a research/project proposal peer reviewed by a suitably qualified and experienced person and an assessment by a Faculty Research Coordinator. The relevant Executive Dean/Senior Manager should also provide evidence of having approved the proposal for fit with Faculty goals and resources. See Policies 9.1 Innovation and Research and 9.2 Human Ethics for relevant forms and procedures.

All necessary research/project proposal and ethical approvals should be received before the application for funding is submitted. Notifications of research/project proposal and ethical approval should be attached to the funding application.

All funding applications are to be registered on the Institution's research database along with the decisions of the Committee, the reports/publications/exhibition records and the financial records associated with the project.

Where funding is allocated, these must be spent within the financial year in which they are allocated. If the project is not complete, a further application for funding may be made in the following year.

### **5.4 Monitoring and reporting**

Where a person other than a WelTec employee or research associate applies for funding, they must be closely supervised by a WelTec staff member who is responsible for ensuring the project is completed in a timely manner, and that all required records and reports are received. In such cases, the staff member's name must be included in the application and research/project proposal, and approval of that staff member's Executive Dean/Senior Manager is required before the application can be considered.

Where the recipient of any grant ceases to be associated with WelTec before the project is completed, WelTec may request repayment of the unspent portion of the funding awarded. If they cease to be associated with WelTec within one year of receiving a grant, WelTec may request full repayment of that grant.

If a recipient of funding sells the IP resulting from a funding grant, WelTec may request repayment of all or part of the funds awarded.

All innovation and research activities funded through the Fund must be published/disseminated in a suitable format and shared with WelTec colleagues.

WelTec reserves the right to publish externally, accounts of the innovation/research activities funded.

Any equipment purchased from Research and Innovation Grants money shall remain the property of WelTec once the research has been completed.

## **6.0 Procedures**

Effective management of the WelTec's Innovation and Research Fund is based on being able to make sound judgements about the value and quality of the project for which funding is sought. Information provided in the application should therefore be accurate and as complete as possible.

Application forms for relevant approvals and grants for funding should be obtained electronically from the Business Policy Manual under Research policy (section 9). Project proposals including supporting statements from Executive Deans/Senior Managers and peers must be submitted electronically to the Director Strategy and Performance or his or her nominee.

Points to note in making an application:

- The research/innovation project must be clearly specified and adjudged as academically robust and ethical. The research proposal and ethical approval forms attached to policies 9.1 and 9.2 should be used to assist this process.
- Manager approval for staff member's time and resources other than those covered by the application is required prior to submitting the application.
- Funding will not normally be awarded to cover a staff member's time unless this falls outside of the hours contracted in the staff member's employment agreement
- All applications and claims must be in New Zealand dollars and include a breakdown of the project costs. Applications will not be considered unless a total New Zealand dollar amount applied for is included in the application.
- The standards for accommodation overseas will be accepted at the 'low to medium' range only.

- Official conference information and travel and accommodation quotes should be included in the application to allow the verification of the amounts being claimed.
- All applications for funding for conference presentations must include an abstract, acceptance notification and if possible a copy of the paper to be delivered and detailed information concerning the research results to be presented.
- WelTec's official travel agent or method of booking travel must be used for any travel bookings using money granted.
- Any international travel must be separately approved by the CEO in line with WelTec's Travel Policy.
- The applicant(s) is(are) entitled to personally present their application to the Committee.
- The applicant(s) will be notified of the Committee meeting date and approximate time that their application will be heard.

There is no closing date for applications but there are deadlines each month for applications to be considered in the following month.

Applications must use the official application form (see Appendix 3). Applications must clearly mark on the form provided whether their application is for funding an innovation or research project or for presentation/ dissemination of research including support for exhibition, presentation, product development, publication or conference presentation.

Applications should be forwarded to the Research Office by the end of each month for consideration the following month.

Each application will be received and considered on its merits by the Innovation and Research Grants Committee in accordance with the limitations published in Appendix 2.

Following consideration of the application, one of three outcomes will result:

- Support of the project that identifies the level of support and any other conditions (e.g., publication route).
- A resolution not to support the application.
- A resolution to defer consideration of the application until further information has been provided or support given.

The Director Strategy and Performance or her or his nominee will communicate these outcomes to the applicants

Where the support that has been approved involves the purchase of any item of equipment, travel, registration etc, standard Institute procedures will apply.

Where payment is to be made to individuals, standard Institute contracts are required.



The Research Office will record and monitor all expenditure against each application approved.

## **Appendix 1 – Terms of Reference and Membership of the Innovation and Research Grants Committee**

### *Terms of reference*

To approve applications for internal funding for innovation and research.

### *Its Membership is the:-*

Director of Strategy and Performance (Chair)

Academic Director

Chief Executive Officer or her or his nominee

Co-opted members as required

## **Appendix 2 – Guidelines on use of funding from the Innovation and Research Fund**

Given the enormous variety of potential innovation and research projects and the Institute's need to be flexible and responsive in regard to funds, it is not possible to lay down precise rules for applicants. Each application will be looked at on its merits, with the following points being taken into consideration.

The Innovation and Research fund will normally be used to support delivery of research outputs as it first priority. In doing this the following principles will normally apply:

- The Fund will not normally be used to fund researchers time. This will normally be met through the researcher's employment agreement and staff should consider using discretionary leave or negotiating time for research with their Head of School or Manager. Where a staff member is on a limited or part-time contract, funding may be sought to cover the additional hours required for completion of the project.
- The fund may be used to contract research assistance such as data entry, admin support, or data analysis.
- Conference attendance, where the person is not presenting research outputs, will not be funded through the research fund. This may be covered by professional development funds and should be negotiated with Executive Dean/Head of School or Manager.
- Those presenting papers will be eligible to receive a grant towards expenses. This grant will normally be limited to covering conference fees, travel and accommodation to a stipulated maximum:
  - 1) \$3,500 for overseas papers and
  - 2) \$1,000 for New Zealand papers.Total conference funding per person will be limited to a specified amount in any 6-year period.
- Equipment may be purchased through the fund but such applications must clearly link the equipment purchased to the research being undertaken. Any equipment purchased through the Fund will remain the property of WelTec.
- Funding from the Fund may be used to support publication, dissemination or exhibition of research outputs.

Specifically, the purpose of the Fund is to cover expenses that would not normally be covered from other sources. Examples of such expenses may include:

- Production, publication or printing costs of innovation and research contributions;
- preparation of slides, overheads or power point presentations for research presentations;
- innovation and research project assistance including data input, transcription services, materials purchase;
- data or document purchase;
- accommodation and travel costs;

- specialised equipment and software;
- expenses associated with mounting external exhibitions and media productions;
- special books and other publications not otherwise available from the library;
- supplementing other funding sources, where the supplement is essential for the innovation/research;
- conference attendance where other sources of funds are inadequate, and where attendance is essential for the research output. e.g. the applicant will be presenting a paper to be published in the proceedings.

The funds will not be used for:

- supplementing ordinary conference attendance where the participant is not presenting, exhibiting or conducting an approved research project. These would normally be funded through Professional Development funds;
- innovation and research expenses which are a part of acquisition of a degree, unless evidence is provided that for good reasons the degree conferrer cannot fully support the research. These would normally be funded through Professional Development funds;
- equipment or other expenses which would normally be funded from other WelTec funds;
- equipment or other expenses which could normally be funded from outside the WelTec, and where the applicant has not yet tried to utilise that opportunity. See Policy 9.5 External Funding of Research.

Because the funds are limited, prioritisation will be necessary. These priorities are likely to reflect the importance the WelTec gives to:

- innovation and research that supports our strategic direction and goals.
- the publication/presentation of research;
- the development of the institution's research capacity
- collaboration
- meeting needs of industry clients
- applied and practical research

The Institute will give every encouragement to staff members applying for innovation and research grants from external sources, however, any such applications must comply with the **External Funding of Research Policy**. The Fund may make a grant to seed application costs for such grants. An unsuccessful application that elicits good reviews will receive positive consideration when applying to the Fund.

Ownership of any capital items (such as equipment) will be retained by the WelTec, but usually responsibility for its possession and use will remain with the successful research applicant. At the end of the research programme or use, such items will be returned to the WelTec.

## Appendix 3 – Innovation and Research Grants Application Form



### Wellington Institute of Technology

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#### APPLICANT DETAILS

This is an application for:- (Tick one box below)

- A Research grant to conduct new research
- An Innovation grant to support WelTec's business
- A Technology Transfer project
- Support to deliver a research paper at a conference, exhibit or otherwise disseminate research

Name of principal researcher:

Year of appointment to Wellington Institute of Technology (if appropriate):

Position:

Faculty/School or Division:

If principal researcher is a student or other than an employee, provide:

Name of WelTec employee supervising project:

Year of appointment to Wellington Institute of Technology (if appropriate):

Position:

School/Faculty/Division:

#### Details Of Proposal: (Please expand the space if necessary or attach approved research proposal)

**Title / Purpose of Project:**

**Funding required:**

*(Please provide a breakdown of funds applied for and the total cost of the proposal (in New Zealand dollars) and whether other sources of funding are being accessed)*

**Proposal Details:**

*(Please provide full information about the proposed research or innovation project, clearly identifying the items for which financial support is requested). Attach approved project proposal*

**Timeframe:**

*(Please indicate the planned timeframe for the project, indicating milestones for reporting purposes)*

**Other Collaborators:**

**Route of Publication/Dissemination:**

*(Please indicate how the results of the innovation project or research will be communicated)*

**Ethical Considerations:**

*(Please indicate whether, in your opinion, ethical approval will be required and indicate the consequent process. For proposals requiring ethical approval this will need to be obtained before any funds are made available, and a copy of the approval included with this application)*

**Relevance of The Proposal:** (Please expand the space if necessary or refer to approved research proposal)

*Please provide the following information in this section:*

1. The way the proposed project integrates with the Centre/Unit Research Plan, WelTec's Research Plan, Investment Plan or Business Plan.
  
2. The importance of the project to the advancement of knowledge, or in the case of an innovation or technology development and transfer project, its importance to WelTec (Please supply an abstract or preferably the paper itself if the application is for delivering a paper at a conference. The provision of detailed information about the results to be presented is also encouraged).
  
3. The way the research will support the teaching of your subject area or in the case of an innovation project how it will support WelTec's business.

**SUPPORT FOR PROPOSAL**

The Innovation and Research Grants Committee must receive the following before the proposal can be considered:

1. An appraisal of the research project by at least one peer with relevant background knowledge and experience indicating the project has merit and is well designed/ worthy of being undertaken.
2. An assessment of the research by the relevant Faculty Research Coordinator indicating fit with Faculty Research priorities.
3. A letter of approval from the Executive Dean or Senior Manager indicating that the budget has been taken into account in setting budget and work allocations.
4. Evidence of Ethical approval, if necessary.