

PBRF / CONFERENCE FUNDS 2021 IN THE SCHOOL OF SOCIAL SCIENCES

NEWER AND/OR UPDATED FOR 2021 categories of funding are highlighted in red.

The link for applications can be found on the Schools Toolkit on the intranet (<https://www.artsstaff.auckland.ac.nz/en/menu/staff-toolkits/schools-toolkit.html>).

Background on & Function of the PBRF/Conference Funds

The School of Social Sciences distributes funds to support staff member and PhD student research and conference participation. Within the limits of our budget, our goals in providing research funds are

- To support the undertaking and dissemination of a wide range of research activities and to facilitate opportunities for consistent research engagement;
- To help researchers pursue projects with a shorter timeline and/or a relatively smaller budget and fill in gaps left by other funding sources (e.g., when an FRDF one-year stand-down period leaves a gap in funding for on-going projects);
- To encourage and support the research of emerging or otherwise under-supported scholars;
- To provide enough funding to make a proposed project feasible, with the understanding that PBRF grants often will not be able to cover every expense (e.g., food and New Zealand ground transport on conference grants);
- To provide seed funding for exploratory projects or those that might become FRDF or Marsden projects, and to help complete bigger grant projects if tasks remain after the major funding has run out;
- To support and promote equity, aiding in the equity aspirations of the School, Faculty, and University, with particular attention to Māori and Pacific scholars, but noting also that equity takes many dimensions that are more/less relevant for different kinds of projects and researchers (e.g., LGBTQ scholars face greater equity challenges doing research in some areas of the world than others and may occasionally require additional support requests; disability considerations require more/less attention depending upon the venue or type of research being conducted)

The School's research funding comes from the Tertiary Education Commission's Performance- Based Research Fund (PBRF), allocated according to scores derived under the 2018 PBRF Quality Evaluation Exercise. Our 2021 budget allocation remained the same as our 2020 allocation.

Allocation decisions are recommended to the Head of School by the School of Social Sciences Research Committee. The Research Committee prioritizes funding activities that will lead to clearly delineated research outputs, as well as activities not already supported by other internal funding sources.

In 2021, the School of Social Sciences will cap funding for

- **Research active staff** at a maximum of \$6000 per person per year.
- **PhD students** at a maximum of \$1200 per person per year.
- **PTFs** at a maximum of \$2000 per person per year.

Framework for Allocation Decisions

There will be no prioritization of activities (i.e. conference presentation versus requests for research assistance); all decisions will be based on the merit of the project as represented in the proposal and in the significance of its expected research outputs. When we receive more meritorious funding requests than we are able to accommodate in any given round, we will be guided in our decision making by these priorities:

- Significance of the funding in completing, initiating, or sustaining the project (i.e., is this funding required for the project to happen, or are there other means to support the research?);
- Early career researchers will be prioritised (Following University guidelines, “early career” means no more than 8 years post-PhD);
- Evidence of outputs from previous PBRF funding;
- Applicants who have indicated that they intend to go forward for promotion within the next two years and need funding to complete projects ahead of promotion;
- **Only complete applications will be considered for funding.** (If there is a good reason for not including a particular quote to support a budget line request, an explanation must be provided.)
 - *Please note this item carefully. IF YOU HAVE A BUDGET REQUEST LINE (E.G., REGISTRATION FEES, RA HOURS), THEN YOU NEED TO PROVIDE DOCUMENTATION DEMONSTRATING HOW THOSE COSTS WERE DERIVED—SCREEN SHOTS FROM CONFERENCE REGISTRATION PAGES, AN RA TASK/HOUR BREAKDOWN AND DESCRIPTION, ETC.*
 - *Budget items that are not documented or justified will not be funded.*
 - Appendix 1 offers an exemplar for how to provide a budget estimate for RA hours.

Eligibility (Who is Eligible to Apply)

Eligibility for PBRF funding is related to participation in the last PBRF Quality Evaluation Exercise or census eligibility for the next evaluation exercise.

In addition to full-time staff members, others are eligible as follows:

- **Staff members on fractional appointments** are eligible for the same funding as other staff (\$6000 per year).
- **PhD students** are eligible to apply for to a maximum of \$1200.00 per year. They **must satisfy four criteria**:
 - They must have completed their provisional year;
 - They must include written evidence of their supervisors’ support;
 - They must either spend their PReSS funds before applying for PBRF funds or provide a compelling reason why PReSS cannot be used first. In all cases, students should account for the PReSS and Faculty Doctoral Research Award use in the application form, indicating why additional funds are required;
 - If requesting conference funding, they must be presenting their work at the conference to be attended.

Supervisors of any eligible doctoral students should ensure that their PhD students know about the PBRF/conference funding.

- To be eligible to apply for funds, **PTFs** must be teaching two or more courses (or 0.4 FTE). At 0.4 FTE or higher, PTFs are eligible for funding that will support or enhance research-informed teaching. PTFs may apply for a maximum of \$2000 per year.

Restrictions/Clarifications for full-time staff members:

- Staff on Research and Study Leave should fund their activities through grant-in-aid (to be reinstated in 2021). If you have research activities that cannot be funded through grant-in-aid, please contact the Deputy Head for Research for guidance.
- Staff members *may* apply for PBRF funds while on FRDF grants, but are reminded that they must adhere to all university spending guidelines.
- **Funding is allocated for the specific project or conference** noted on the application. **If that project falls through, the funding will *not* be transferrable to a different conference or expense.** Instead, the allocated monies must be returned to the PBRF fund and a new application should be made for the new project/expense/conference.
- Each funding round will be capped at a percentage of the projected total annual budget to ensure funds remain at the end of the year to fund late-year projects. (Further details below)
- Limits will be placed on how far in advance funding can be allocated, but funding rounds will be spread out across the year to ensure funding is regularly made available. (Further details below)
- Given the need to cap each round's allocation, "out of round" applications will only be considered in exceptional circumstances, e.g., tight deadlines imposed by publishers for subventions.
- If a project is only partially funded and the School budget still has money remaining at the end of the year, staff will be permitted to submit receipts to have additional expenses covered. These must apply to projects which were granted funds in 2021 funding rounds. If any "mop up" rounds are possible, new projects will be given priority over "top up" funding in that round.
- Please note: Per diems are **not** eligible for funding.

Eligible Expenses

PBRF/conference funds can be used for operational expenditures, but they cannot be used for capital expenditures (CAPEX) or for the purchase of items that will incur ongoing liabilities or commitments. Funding will only be provided for activities not covered by other grants.

Some examples of permissible use of PBRF funds, as approved by the DVCR, include:

- Conference presentation (domestic travel only)
- Fieldwork/Archive work (domestic travel only)
 - Ground transport for conference travel & fieldwork (see below for limits)
- Research assistance
- One-off purchase of data to support research
- Translation
- Writing Retreats (see below for details)
- Data collection (surveys, data purchase, participant expenses)
- Open access fees (to get a publication out from behind a paywall)
- Research collaboration travel (see below for details)
 - Software training
 - Fees for professional development in research courses (e.g., language courses; methods upskilling courses)
 - Creative presentations (poetry recordings, exhibitions, installations, etc.)
 - Transcription
 - Editing (see below for details)
 - Image purchase, copyright
 - Indexing
 - Software licenses
 - Shipping of research material
 - Statistical consulting services
 - Publication fees/subvention
 - Virtual meeting application software and support (see below details)

Ground travel for fieldwork and conferences: PBRF will continue to cover reasonable ground transportation costs at the destination. (Please provide documentation of costs.) Over and above this, PBRF will cover reasonable Auckland ground transportation expenses: more economical options are preferred, and if more expensive options are chosen, these options should be justified. **Auckland-based ground transport is capped at \$100 return unless equity concerns require higher funding (e.g., a need for mobility assistance).** Please advise in your application. Please document costs to explain how you are deriving your estimates of the ground transportation monies required.

Writing Retreat application guidelines: PBRF funds will pay for accommodation only. Costs ordinarily should not exceed those spaces used for other University-supported writing retreats (e.g., <https://vaughanpark.nz/venue/fees>; <https://www.stfrancisretreatcentre.org.nz/facilities/>)

Research Collaboration Travel Support: PBRF will continue to fund School staff travelling to collaborate with co-authors when justification is provided for why this cannot be done remotely. In addition, PBRF will support bringing colleagues to Auckland, but only if there is a direct research output to be started or already in-train (e.g., a multi-day planning and work meeting for grant applications; undertaking joint, in-person interviews for an on-going project). When bringing researchers to Auckland, please seek matching funds from collaborators' home institutions or explain why this is not possible. **All travel is subject to pandemic restrictions.**

Editing: Editing support is provided for those writing in a second (or third, etc.) language and who need language editing support. Content editing is not supported.

Virtual Meeting Application Software/Support: As travel will continue to be restricted through much (if not all) of 2021, this year we are trialing using PBRF funds to support remote conferences/research team meetings/symposia in lieu of international travel we normally undertake for conferences. This might include software that assists with registrations, web hosting, website set-up, or meeting delivery—e.g., Mighty Network, SpotMe, Hopin, Teachable, YouTubeLive, Slido, Miro, Swapcard, etc.

Not all software or applications require funding, and some technical support can be provided through the Faculty. Researchers should check with our Faculty IT support team first to see what is possible through the University system before spending funds on external services. But PBRF funds can be used to support virtual research network meetings and symposia where other funds are not available and the work is tied to research outputs.

Preparing Your Application

The link for applications can be found on the Schools Toolkit on the intranet (<https://www.artsstaff.auckland.ac.nz/en/menu/staff-toolkits/schools-toolkit.html>). Fourth link down is the application for research fund link. Please prepare your materials outside of the website and then copy/paste into the boxes; otherwise, you risk losing your work.

If your funding request fits logically into a single research project, please use one form. If your request relates to two or more unrelated projects, please submit two (or more) forms.

In the “Project Activity/Title” box, please include the **purpose of the grant** (e.g., “fieldwork support”) **and the title—or an indicative title—of the project** (e.g., “Understanding Food Insecurity in Auckland.”)

In order to provide clearly articulated and justified objectives for the funding, proposals should include the following information:

- i. The specification of appropriate research question(s) or objective(s), and how well-conceived the project is in terms of previous research in the disciplinary area.
- ii. A realistic timeframe for the project;
- iii. Significance of this funding to completing the project;
- iv. Specification of how this project will develop the applicant’s research career;
- v. An indication of appropriate research outputs;
- vi. A well-justified budget;
- vii. An evaluation of outputs from past grants—a list of what has come out, is in press, or otherwise has eventuated from previous rounds of PBRF funding.

It is important to relate your request to tangible, expected research outcomes, whenever possible including the titles of proposed books or articles and the names of target journals or publishers.

Please include a list of the publication results from your previous PBRF/Conference awards: allocation decisions will take account of the outcomes resulting from previous grants.

Only justified or documented costs/budget lines will be considered—be certain you have attached the supporting documents before you hit ‘submit.’ This includes not only Orbit quotes for airline tickets, but **documentation of conference registration fees, quotes for image costs, and any other expenses for which you are requesting funds. (See Appendix 1 for a template for specifying RA hours/costs were estimated.)**

NO INTERNATIONAL TRAVEL WILL BE APPROVED AT THIS TIME.

As before Covid, if you request funds for **travel or accommodation**, you must obtain quotes from the University's preferred provider (Orbit).

- This requirement **includes** domestic and trans-Tasman travel. The committee will not release funds without approved quotes.
- The exception to the "accommodation" quote requirement is if a conference has negotiated a reduced hotel rate. In this case, accommodation does not need to be booked through Orbit. Still, please provide evidence of the conference hotel costs from the conference or hotel website.
- **Note:** when you receive a quote from Orbit, the "total" listed at the top of each flight and hotel/AirBnB option *does not include* their admin fee, which is located after all of the options have been presented. You must add that fee into the flight (or rental car or hotel) cost in your application if you want the fee to be covered by PBRF grant monies.

If your research request will impact your teaching or service obligations, you must discuss these matters with your Head of School.

2021 FUNDING ROUNDS

Our 2021 budget remains the same as it was in 2020 (\$162,574). However, due to other budget cuts, this year we need to fund all applicants (full-time staff, PhD students, PTFs) from this budget line. The net effect is a \$25K reduction in our overall budget for research. To preserve our ability to fund research throughout the year, we are again proposing to limit how much of the budget we allocate in each round.

Round	Application Due Date	Covers Projects Taking Place During this Period Only	Approximate % of Total Annual Budget Allocated to this Round
Round 1, 2021	15 January 2021	January – April 2021	25%
Round 2, 2021	19 March 2021	April – Dec 2021	50%
Round 3, 2021	13 August 2021	September – Dec 2021	25%
Round 4, 2021	TBD (if funds remain)	Nov-Dec 2021	Remaining funds
Round 0, 2022*	3 December 2021	Jan – Mar 2022	20% (of the 2022 budget)

** Please note:* Round 0 is the only round in which money can be allocated for projects in the following year. 2022 projects *cannot be funded in earlier rounds*. This is because our provisional 2022 budget will not come through until very late in the year, and we cannot pre-commit a significant chunk of an unknown budget.

Retrospective applications (e.g., seeking approval and funding for a conference or research expense that has been paid out of pocket) are rarely approved, and only with compelling justification. Staff members should plan their research and conference activities in advance, and should secure PBRF/conference funding before committing any funds. If exceptional circumstances do necessitate a retrospective application, please consult with the School Deputy Head (Research). Likewise, if **out-of-round applications** are required, please consult with the School Deputy Head (Research) before submitting an application.

Applications must identify a terminal date for the project (e.g., the date of return to New Zealand from an overseas conference, or the date a research activity will be completed). **If funds are not claimed within 15 days following the project terminal date, unspent funds will be returned to the pool and reallocated.**

Reimbursement deadlines:

- 1. All reimbursement requests should be submitted within 15 days of the terminal date of the project. After 15 days, unspent funds will be returned to the pool and reallocated. If there are specific concerns about this deadline for an individual project, please contact the School Deputy Head (Research).**
2. If a project takes place in December, please submit claims as soon as possible (exact dates will be provided closer to time, in consultation with Finance). Claims are charged against the budget year in which they are submitted, so claims for December events submitted in the following year may impact your 2021 funding. Please contact the Deputy Head (Research) with specific questions or concerns.

Questions or Appeals

Should staff members wish to appeal an award decision, they must submit a letter of appeal, stating the basis of the appeal, to the Deputy Head of School (Research), who will then consult with the Head of School and with the Research Committee to consider the appeal.

2019-2021 Deputy Head (Research): Dr. Carisa Showden c.showden@auckland.ac.nz

CODING OF PBRF EXPENDITURE CLAIMS

- Code to use:		
Anthropology	1361 (department), A33L (Product)	
Politics	1361 (department), A33M (Product)	
Sociology	1361 (department), A33N (Product)	
MFT	1361 (department), A33P (Product)	
Dev Studies	1361 (department), A33Q (Product)	

798 Hospitality
807 Periodicals, Books & E-info
860 Travel and Accommodation
860010 Airfare - International
860015 Airfare - Domestic and Trans-Tasman
860040 Travel – Taxis

APPENDIX 1: EXAMPLE OF HOW TO DOCUMENT RA HOURS REQUESTS (For illustration purposes only. For up-to-date pay rates, please use the casual contract calculator on the Schools Toolkit web page.)

Main Task	Breakdown	Hours	@ \$24.75
Support for HERDS article			
<i>Use of Education Counts spreadsheets to analyse parity by discipline, qualification, institution, ethnicity and gender</i>	Create a data set that compares discipline, qualification & ethnicity nationally for PI to use in analysis;	50	\$1237.5
	Create a data set that compares qualification level, institution & ethnicity PI to use in analysis;	35	\$866.25
	Engage in writing process as a co-author.	20	\$495
Support for academic precarity article			
<i>Use of Education Counts spreadsheets with FTE, headcount, ethnicity, institution to analyse academic precarity by ethnicity and institution</i>	Create a data set that compares academic FTE and headcount by ethnicity at each New Zealand institution PI to use in analysis;	35	\$866.25
	Engage in writing process as a co-author.	20	\$495
Support for national gathering			
<i>Separately funded national gathering to discuss the Māori and Pasifika data sets</i>	Attend gathering and take notes for sharing after-gathering;	10	\$247.5
	Help prep documents day before the gathering with PI responsible for creating any needed documentation.	10	\$247.5
Total		180	\$4455