



ANZCA Research Policy

Source documents for this Policy include the Memorandum, Articles of Association and Regulations of the College, the Application Guides and Minutes of Council, Executive and Research Committee meetings.

1. Aims

The Memorandum of Association of the College outlines the following objectives in relation to research:

2. (a) (ii) *... to promote investigation and research in anaesthesia, intensive care, pain medicine and related sciences and branches of medicine ...*
2. (b) (iv) *To institute, provide and contribute to scholarships, grants, awards, prizes and other benefactions in connection with the study of anaesthesia, intensive care, pain medicine, and related sciences and branches of medicine.*

2. Administration

- 2.1 The ANZCA grant program is administered by the ANZCA Research Committee (Regulation 2.15)
- 2.2 Membership of the Research Committee shall include a Councillor who shall be chair, a representative of the Faculty of Pain Medicine, the chair of the ANZCA Trials Group Executive, a community representative, and other members as the Council may appoint. The members and chair will be appointed by the Council. At the first meeting of the Committee, a Deputy Chair will be elected from amongst the members. (Regulation 2.15.1.)
- 2.3 An Administrative Officer is employed by ANZCA to co-ordinate the activities of the Committee.
- 2.4 The Administrative Officer will be responsible for advertising all grants, scholarships and Professorships in the college Bulletin and E-Newsletter.

3. Duties of the Research Committee

- 3.1 The duties of the Committee shall include the assessment of research applications for projects related to anaesthesia, resuscitation, peri-operative medicine, intensive care or pain medicine carried out in Australia, New Zealand, Hong Kong, Malaysia and Singapore.
- 3.2 The Committee also has the following functions:
 - 3.2.1 To develop policy on research issues for consideration by Council.
 - 3.2.2 To assess and award ANZCA research grants.
 - 3.2.3 To assess and award ANZCA's Distinguished Professorships.
 - 3.2.4 To provide advice, mentorship and counselling to research grant applicants and other researchers.
 - 3.2.5 To chair and adjudicate the Gilbert Brown Prize Session at the ANZCA Annual Scientific Meeting.
 - 3.2.6 To liaise with and advise the Executive of the ANZCA Trials Group (TG). The Chair of the ANZCATG Executive reports through the chair of the Research Committee to Council.
 - 3.2.7 To advise the Committee of the ANZCA Research Foundation on research matters. The chair of the Research Committee is a member of the Foundation Committee.
 - 3.2.8 To advise other college committees on research matters.

3.2.9 To recommend recipients of the Foundation Fellowships and Awards.

3.2.10 Any other such functions as requested by Council.

3.3 The appointment/reappointment process of the Committee is as follows:

3.3.1 Members will be appointed/re-appointed by Council every second at its May meeting, on the recommendation of the chair of the Research Committee.

3.3.2 The FPM representative will be appointed annually by the FPM Board.

3.3.3 Members may be asked to provide a curriculum vitae, a summary of Research Committee activities and/or a self-evaluation of performance to support appointment/reappointment.

3.3.4 The maximum duration of appointment will be 12 years.

4. Eligibility for ANZCA Research Grants

4.1 The purpose of the ANZCA grant program is to wholly or partly fund research by fellows and registered trainees of ANZCA and/or FPM and their scientific collaborators.

4.2 Applications will be accepted from fellows and registered trainees of ANZCA and/or FPM who are resident in Australia, New Zealand, Hong Kong, Malaysia and Singapore.

4.3 Fellows and registered trainees must be financial and in good standing with the college.

4.4 Funding is available for research either wholly or partly conducted in countries other than Australia, New Zealand, Hong Kong, Malaysia and Singapore under the following conditions:

4.4.1 A fellow must have a certified ongoing appointment in Australia, New Zealand, Hong Kong, Malaysia or Singapore whilst in another country.

4.4.2 A trainee must return to Australia, New Zealand, Hong Kong, Malaysia or Singapore to complete their training program or return to a guaranteed specialist appointment.

4.4.3 The researcher who is conducting research in another country must be a chief investigator.

4.4.4 The research proposed would normally be completed during the tenure of the grant.

4.4.5 The applicant must demonstrate in the application how the project will benefit research in Australia, New Zealand, Hong Kong, Malaysia and Singapore.

4.5 The policy in relation to the chief investigators is:

4.5.1 The chief investigator A (i.e. the first-named investigator) must be a fellow or registered trainee of ANZCA and/or FPM.

4.5.2 If chief investigator A is a registered trainee, one of the other chief investigators must be a fellow of ANZCA and/or FPM or another suitable supervisor with qualifications acceptable to the Research Committee.

4.5.3 For Project Grants and Simulation/Education Grants, other chief investigators may include fellows or registered trainees of ANZCA and/or FPM, other medical practitioners, health care professionals, scientists, research students, professional research personnel etc.

4.5.4 For the Academic Enhancement Grant, all the chief investigators must be fellows of ANZCA and/or FPM and must be academic title-holders in Anaesthesia and/or Pain Medicine or related disciplines. All other things being equal, grants will be awarded in the following order:

4.5.4.1 Occupants of newly established Chairs

4.5.4.2 New occupants of established Chairs

4.5.4.3 Chairs commencing new initiatives

4.5.4.4 Professors

4.5.4.5 Associate Professors

4.5.4.6 Clinical Professors

4.5.4.7 Clinical Associate Professors

4.5.5 For Novice Investigator Grants, all chief investigators must be novice investigators, which is they may have been awarded previous grant funding as a principle investigator provided no single grant has exceeded \$10K, 2) have not published more than 5 research papers in the 5 years prior to the year of application.

4.6 Scholarship Grants are made within the ANZCA project grant scheme. The fellow or registered trainee seeking salary support must be:

4.6.1 One of the chief investigators seeking support for a scientific investigation

4.6.2 Enrolled in a higher degree (i.e. MD or PhD)

4.6.3 Normally working full-time on the research (i.e. 0.8 full-time equivalents or more). Half-time research (i.e. 0.4) may be negotiated on a pro-rata basis on application.

4.7 Chief investigators and associate investigators, who are fellows and registered trainees, may not apply for salary support unless they fulfil the eligibility criteria for a scholarship. Full-time students, fellows and trainees may not be included as professional research personnel.

4.8 Associate Investigators may include fellows or registered trainees of ANZCA and/or FPM, other medical practitioners, health care professionals, scientists, research students, professional research personnel etc.

4.9 Professional Research Personnel may include nurses, scientists, research assistants and the like. Full-time students, fellows and trainees may not be included as professional research personnel.

5. The Application Process

5.1 An individual may only be named as a chief investigator, associate investigator or professional research person on a maximum of two (2) applications (Project, Novice Investigator, Academic Enhancement, Simulation/Education or Scholarship grants) in any one year. This does not include the Douglas Joseph or Lennard Travers Professorships.

5.2 Applications must be made on the prescribed forms and must adhere to the application guidelines.

5.3 These forms and guidelines will be revised annually by the Committee and/or Administrative Officer.

5.4 The forms will be made available on the college website 4 months before the closing date for applications (i.e. on December 1).

5.5 Applicants must obtain an ANZCA REGKEY which must be included in the header of the application form.

5.6 The closing date for all grant and professorship applications each year will be April 1 (or the next or previous business day if April 1 falls on a weekend day) at 5 PM EDST. No late submissions will be accepted.

5.7 The applicant must submit ALL the material requested by the Committee by the deadline (i.e. the correct number of hard copies and/or electronic copies and/or website submission and/or signature pages as so prescribed). If all the material requested is not submitted by the deadline, the application will be rejected.

- 5.8 The Committee may reject applications that do not comply with the application guidelines (e.g. with respect to eligibility, or completeness or correctness of the application form, or the maximum amount awarded). These applications will not be reviewed.
- 5.9 ANZCA cannot amend an application on behalf of the applicant once it has been submitted.
- 5.10 Applications for supplementary funding for existing project grants and scholarships will not be accepted. The applicants must make a new, full application in which progress with the project and the reasons for the need for supplementary funding are fully disclosed. The application will compete in open competition with the other applicants.
- 5.11 The application process is confidential. Applications will not be released other than in compliance with any waiver or consent given by the applicant.

6. Selection of Reviewers

- 6.1 The Administrative Officer will maintain a database of reviewers, including members of the Research Committee, Councillors, past reviewers, past successful grant applicants and others.
- 6.2 The information on reviewers will include their qualifications, place of work, contact details, key words and past participation in reviewing ANZCA grants.
- 6.3 The database will be revised every year, before the meeting at which reviewers are selected. Research Committee members will be required to submit at least two (2) new reviewers with full details each year. The Administrative Officer will contact reviewers for which the College has incomplete details at this time.
- 6.4 The Committee will individually assess each grant and select two (2) reviewers from the database of reviewers, at least one (1) spare reviewer and a spokesperson from the Research Committee to assess each grant.
- 6.5 In selection of reviewers and spokespersons, the Committee should consider the following:
 - 6.5.1 There should be an equitable distribution of the workload amongst Committee members and the research community.
 - 6.5.2 Committee members must leave the meeting when their own applications are discussed. They must avoid commenting on applications from their own institution. The Administrative Officer will minute the names of members absenting themselves from discussion of grants about which they have a potential conflict at each meeting.
 - 6.5.3 Reviewers must not be appointed from the applicants' institutions' or from amongst the applicants' regular research collaborators.
 - 6.5.4 Reviewers may be appointed from the current applicants for research grants, provided that there is no other conflict of interest.
 - 6.5.5 The Chair at his/her discretion may invite a sub-committee of the Committee to assist with the assessment of a group of grants, such as the Simulation/Education and Academic Enhancement Grants or Professorships.
- 6.6 The deadline for reviewers' comments will be a maximum of 6 weeks after receipt of the grant.

7. The Review Process

7.1 Project Grants, Scholarships and Simulation/Education Grants

- 7.1.1 The role of the reviewer is to advise the Research Committee on the merit of the project and the ability of the investigators to carry out the research. The reviewer will:

- 7.1.1.1 Rate the grant application on a seven-point scale on six criteria (scientific merit, track record, originality, feasibility, design/methods and international competitiveness).
- 7.1.1.2 Provide a written report that addresses the scientific merit of the application (originality of hypothesis, substantiation of objective, soundness of research plan and methods, and feasibility of the project), the track record of the applicant, the budget and raises questions on areas of the research which require clarification, including problems and limitations likely to be encountered.
- 7.1.1.3 Provide the ratings and written reports by the deadline, which will be at least one month after receipt of the application.
- 7.1.2 The applicant will be required to provide a written response to the reviewers' comments by the deadline, which will normally be at least 2 weeks after receipt of the comments.
- 7.1.3 The spokesperson is requested to:
 - 7.1.3.1 Review the application and provide comments to the applicant as part of the initial review process.
 - 7.1.3.2 Consider the reviewers' comments, and applicants' written responses.
 - 7.1.3.3 Provide a short written commentary and score the application out of 7.
 - 7.1.3.4 Provide the rating and written report by the deadline, which will be at least 5 business days before the Research Committee meeting.
 - 7.1.3.4 Report on the application at the Research Committee meeting.

7.2 Academic Enhancement Grant

The process for review of the Academic Enhancement Grant will be similar except that:

- 7.2.1 The reviewers will be required to rate the application on a seven-point scale on five criteria (track record, scientific merit, feasibility, international competitiveness and "long term benefit to the development of the research group and to the specialty in our region").

7.3 Novice Investigator Grant

The process for review of the Novice Investigator will be similar except that:

- 7.3.1 The reviewers will be required to rate the application on a seven-point scale on six criteria (mentorship and supervision, scientific merit, originality, feasibility, design and methods, and international competitiveness).

8. **Finances**

- 8.1 All applications must be made and all grants will be paid in Australian dollars (AUD).
- 8.2 The Treasurer, Finance Manager, Chair of the Research Committee and Foundation General Manager will determine the total amount available for Project Grants, Novice Investigator Grants and Scholarships on an annual basis.
- 8.3 The maximum amounts available for grants are:
 - 8.3.1 Project Grants A\$70,000 in Year 1 and A\$50,000 in Year 2.
 - 8.3.2 Project Grants that include a Scholarship is A\$90,000 in Year 1, and A\$70,000 in Year 2: A\$45,000 of which provides salary support for the scholarship.
 - 8.3.3 Academic Enhancement Grant A\$100,000.
 - 8.3.4 Simulation/Education Grant A\$70,000 in Year 1 and A\$50,000 in Year 2.

8.3.5 Novice Investigator Grants A\$20,000.

9. The Allocation of Grants

9.1 The Committee will be provided with:

9.1.1 Reviewers' ratings and written reports

9.1.2 Applicants' responses to reviewers' written reports

9.1.3 Spokespersons' ratings and comments

9.1.4 Aggregate scores, mean scores and rankings of reviewers

9.2 Taking into account all of the above, and with the guidance of the spokespersons, the Committee will decide on the final ranking of the applications, by scoring each application out of seven. The ranks will then be averaged and the final average ranking of the Committee will be used to determine funding.

9.3 The Committee will determine a rating as a cut-off score, below which funding will not be available. Those applications that are close to the cut-off score will be considered in more detail.

9.4 An application identified for recommendation to receive a grant will then be exhaustively reviewed to determine the level of funding to be awarded.

9.5 Committee members must leave the meeting when their own applications are discussed. They must avoid commenting on applications from their own institution. They will not rank their own applications or those from their institution.

9.6 Applications for scholarships to fund higher degrees by fellows or registered trainees will be given high priority in the grant adjudication process.

9.7 The Committee will attempt to maintain a balance between applications from fellows and registered trainees:

9.7.1 Of ANZCA and FPM

9.7.2 From different institutions, regions or countries

9.7.3 With different experience in research (i.e. novice versus established researchers)

9.7.4 Undertaking clinical or laboratory research

9.7.5 Undertaking research in different broad areas.

10. Policy for Multi-Year Grants

10.1 In general, the ANZCA Project Grants provide funding for one year only.

10.2 Two-year grants will only be considered for the highest ranking Project Grant applications or those that support a fellow or registered trainee enrolled in a higher degree. In particular, two-year grants may be useful in providing pilot data for further grant applications to other granting bodies.

10.3 Funds for the subsequent year will only be made available if a satisfactory report on the progress of the grant is provided by September 1 each year.

10.4 At its discretion, the Committee may recommend funding the first year of a Project or Scholarship grant only and require the applicants to submit a complete project grant application requesting funding for subsequent years.

11. Conditions of ANZCA Research Grants

- 11.1 Sums awarded will be paid upon presentation to the college of a tax invoice after January 1 of the following year for the duration of the award. All payments will be awarded and made in Australian dollars.
- 11.2 Funds will only be available after all clearances have been obtained and are available for 12 months from 1 January in the year following the award of the grant. The Committee may request to view full ethics committee documentation before finally offering a grant to an applicant.
- 11.3 In accepting the grant, the applicant must confirm in writing that the grant will be carried out as outlined in the application by signing and returning the *ANZCA Grant Agreement*. Major changes to the salary and position of the chief investigator, availability of the chief investigators, protocol or budget must be prospectively approved by the chair of the Research Committee.
- 11.4 Any discovery arising out of work supported by the college must not be the subject of application for patent, except with the written approval of the college and the agreement of the institution in which the work is carried out.
- 11.5 The conditions for professional research personnel shall be those of the institution in which the work is carried out or as the college may determine in particular circumstances. For personnel, employed under a grant-in-aid, the college does not provide for long service leave or other entitlements.
- 11.6 Reporting obligations are as follows:
- 11.6.1 A progress report must be made on the prescribed form and be submitted by September 1st each year while the project is ongoing (whether or not the grant is a one-year or multi-year grant) and a final report submitted when the project is completed.
- 11.6.2 The final report will include a statement of the expenditure charged to the grant. Unused funds may not be expended on other activities and must be returned to the College.
- 11.6.3 For two-year grants, second year funding will not be made available unless the progress report has been received and approved.
- 11.6.4 Reports will be considered and approved by the Research Committee Chair. If necessary, the chair may ask other members of the Committee, the full Committee or Council to consider reports.
- 11.6.5 Applicants must declare any other support that is received from the time the application is made until completion of the project.
- 11.6.6 Successful grant applicants will be expected to participate in reviewing ANZCA grant applications in future years as a condition of accepting their grant.
- 11.6.7 The College requires that its contribution be acknowledged in all publications and presentations of the research project. Reprints of all publications should be sent to the college. If the protocol is registered with a journal, the college must receive a copy of the registration certificate.
- 11.6.8 The college requires that a presentation relating to the project be made at a major college meeting in Australia, New Zealand, Hong Kong, Malaysia or Singapore.
- 11.6.9 An award may be terminated if the conditions of the award are not observed. An award will terminate, unless other arrangements satisfactory to the college are made, if the responsible investigator leaves the institution before the expiry of the award. When an award terminates any unexpended balance must be returned to the college.

12. Mentoring/Counselling of Grant Applicants

It is a major goal of the college to encourage and foster novice researchers. Writing research applications can be a daunting task for the uninitiated. The Research Committee may mentor or counsel grant applicants in the following ways:

- 12.1 By inviting early application by novice investigators. Applications must be received by January 14th each year. A mentor from the Research Committee, or an experienced investigator appointed by the Committee, will be assigned who will assess the application and provide feedback before final submission by the deadline. This Committee member will not participate as a reviewer or spokesperson for the application.
- 12.2 By providing feedback to unsuccessful grant applicants. In general, feedback is provided by the Reviewers' comments. The Committee may decide to provide general comments as feedback, especially to novice investigators. Scores will not be made available to applicants.
- 12.3 All mentoring/counselling advice provided to applicants will be confidential.

13. Lennard Travers Professorship

The Lennard Travers Professorship is regulated by Regulation 20.

The Lennard Travers Professorship was established by the Faculty of Anaesthetists, Royal Australasian College of Surgeons, in 1968. It is a prestigious award which provides support for a fellow of the college to work in an area of his/her choosing towards the advancement of knowledge in a nominated area of anaesthesia in Australia, New Zealand, Hong Kong, Malaysia and Singapore. The award was adopted by the college following its establishment.

- 13.1 The Professorship is awarded quadrennially at the discretion of the college Council, to ANZCA fellows in Australia, New Zealand, Hong Kong, Malaysia or Singapore.
- 13.2 All applications must be received by the college by COB April 1 and will be processed by the ANZCA Research Committee.
- 13.3 Each application must be submitted on the application form, which will detail the nominated area of work and the way in which the study will be carried out, and be accompanied by a full curriculum vitae, and the names of three referees to whom reference may be made.
- 13.4 The applications will be processed by the ANZCA Research Committee as per the applications guidelines for the Professorship.
- 13.5 The emolument will be determined quadrennially by the college using the interest from the Lennard Travers Bequest.
- 13.6 The tenure of the Professorship will be approximately one year, but variations may be made at the discretion of the ANZCA Research Committee.
- 13.7 During the term of appointment, the appointee will hold the courtesy title of "Lennard Travers Professor of Anaesthesia".
- 13.8 The appointee will attend the appropriate ANZCA Annual Scientific Meeting as the Australasian Visitor and will deliver a lecture on the subject of the Professorship. Visits to one or more regional centres in Australia and/or New Zealand will also be required.
- 13.9 The appointee will be bound by the terms and conditions of the Professorship.
- 13.10 The ANZCA Research Committee reserves the right to cancel or terminate the Professorship if in its opinion the purpose of the appointment is not pursued.

14. The Douglas Joseph Professorship

The Douglas Joseph Professorship is regulated by Regulation 21.

The Douglas Joseph Professorship was established by the Faculty of Anaesthetists, Royal Australasian College of Surgeons, in 1991. It is a prestigious award which is awarded for Fellows who are making an outstanding contribution to the advancement of the speciality to pursue scholarship and research in human anaesthesia in Australia, New Zealand, Hong Kong, Malaysia and Singapore. The award was adopted by the college following its establishment.

- 14.1 The Professorship is awarded quadrennially at the discretion of the college Council, to ANZCA fellows in Australia, New Zealand, Hong Kong, Malaysia or Singapore.
- 14.2 All applications must be received by the college by COB April 1 and will be processed by the ANZCA Research Committee as per the guidelines for the Professorship.
- 14.3 Each application must be submitted on the application form, which will detail the nominated area of work and the way in which the study will be carried out, and be accompanied by a full curriculum vitae, and the names of three referees to whom reference may be made.
- 14.4 The emolument will be determined quadrennially by the College using the interest from the Douglas Joseph Bequest.
- 14.5 The tenure of the Professorship will be approximately one year, but variations may be made at the discretion of the ANZCA Research Committee.
- 14.6 During the term of appointment, the appointee will hold the courtesy title of “Douglas Joseph Professor of Anaesthesia”.
- 14.7 The appointee will attend the appropriate ANZCA Annual Scientific Meeting as the Australasian Visitor and will deliver a lecture on the subject of the Professorship. Visits to one or more regional centres in Australia and/or New Zealand will also be required.
- 14.8 The appointee will be bound by the terms and conditions of the Professorship.
- 14.9 The ANZCA Research Committee reserves the right to cancel or terminate the Professorship if in its opinion the purpose of the appointment is not pursued.

*Professor David A Scott
Chair, ANZCA Research Committee*

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