



SMALL GRANTS SCHEME

INFORMATION AND CONDITIONS FOR SMALL GRANTS IN 2019

1. INTRODUCTION

To further the objects of its Foundation, the College of Optometrists encourages and supports appropriate research into optometry and related subjects through a number of Scholarships, Bursaries, Awards to recognise research excellence and grants towards practice-based research.

This guide sets out the final of these, Small Grants for practice-based research, offered by the College in 2019.

2. PURPOSE AND SCOPE

2.1 Purpose

The Small Grants Scheme provides funding to enable College Members to develop research expertise by undertaking small-scale, practice-based research projects, with help and support on all aspects of planning, undertaking and reporting on a research project available from the College Research Team, its Research Advisers and Statistician. The Grants are intended to support research that takes place in practice settings, rather than laboratory settings.

The application process involves two stages. Stage 1 is to assess the feasibility and relevance of the project proposed. Successful Stage 1 applicants will be invited to submit an application to Stage 2, where a more detailed proposal is requested.

The deadline for applications for Stage 1 is 5pm on Thursday 23 May 2019.

Successful Stage 1 applicants are invited to submit Stage 2 applications towards the end of June. Stage 2 applications have a closing date of 5pm on Thursday 5 September 2019 and final awarding decisions are made at the end of September.

In keeping with the Scheme's desire to support members with any level of research experience to apply, the College Research Team is available to support applicants to develop their applications at both stages. All applicants are very much encouraged to contact the College prior to application to discuss initial proposals, as many issues that may result in an unsuccessful application can be solved at the planning stage.

2.2 Eligibility

The Lead Recipient must be a Member of the College at the start of the research project and remain in membership for the duration of the Grant.

Each applicant may only submit one Stage 1 Application per awarding round.

Previous Small Grant Scheme holders may apply for another Small Grant, but in such cases it should be made clear in the application both what skills or experience

were gained from the previous Small Grant, as well as what new and additional skills or experience would be gained from a second Small Grant.

A Small Grant may be used to fund work that will form part of a larger qualification, but should not represent the entire work of an MSc or similar qualification, as this would be deemed too big a project for a Small Grant. If part of a qualification then it should be made clear how the specific project proposed fits into the larger qualification and how such a Small Grant would not be effectively acting as top up funding for the larger qualification.

Grant funding should not be used to fund the time of any additional staff who may contribute to the project, or to attend international conferences.

2.3 Period of support

Small Grant Scheme projects should last no longer than one year (with a further three months to complete their Final Report). An application should make an explicit case for why their project will last longer than this if that is proposed.

The Lead Recipient and the College will agree a start date and completion date for the project. The College should be informed immediately if the Lead Recipient is unable to take up the Grant or unable to continue with the Grant (e.g. due to illness or other circumstances). Decisions about the transfer of the Grant will rest with the College.

The Lead Recipient will be required to submit a Progress Report partway through the project as well as a Final Report of their research within three months of completion of the project. The Final Report must be of an acceptable standard to the College and be accompanied by a financial statement relating actual expenditure to the original budget. The Final Report is the property of the College and may be published. Failure to submit a Final Report as outlined above may result in the College withholding final payment.

The Lead Recipient **must** update the College Research Team of changes (to personnel, circumstances or primary aim of the project) that may affect the timetable of report submission, or the outcome of the work. The College may request a review meeting with the Lead Recipient before submission of a report.

The College reserves the right to terminate a Grant if a recipient is in breach of any of the conditions of the Grant or becomes unfit or unable to pursue the work funded by the Grant.

If it is discovered that the research project will require more than 12 months for completion, or will not be completed by the scheduled date, the Lead Recipient **must** contact the College immediately for permission, and an Interim Report must be submitted detailing work done to date and estimated finish date. An interim financial statement must also be included.

The College's Research Advisers and Statistician, as well as the College Research Team, are available to provide research advice and support on request.

2.4 Financial provision

Grants are for funding up to £5,000 (with applications up to £7,000 considered in the case of exceptional quality), and will be paid in three instalments:

- **40%** at the start of the project on receipt of the Acceptance Form and evidence of ethical approval of the study (if required)
- **30%** halfway through the project on receipt of a satisfactory Progress Report
- **30%** at the end of the project on receipt of the Final Report and financial statement

Matched or dual funding is permitted, but such situations must be explained within an application, along with whether additional funding has already been secured, any conditions on the project or its outputs as a result of that funding, and the consequences for the project if additional funding is sought but not secured.

2.5 Dissemination

The Lead Recipient will be encouraged to disseminate the results of the project using appropriate channels, e.g. peer reviewed academic journals, CPD journals or conference abstracts, but this is not mandatory. The College Research Team will provide support for this if successful applicants are interested. An electronic copy of all such publications should be sent to the College once accepted.

The College's support for the project must be acknowledged in any publication (written or electronic), poster or presentation and in any newspaper article or radio or television programme about the project and/or its outcomes. The College's support should be acknowledged with the following wording: 'Supported by a College of Optometrists Small Grant Award'.

The College may include information about projects in publicity and reporting literature. Any reported information about project results will be agreed with the Lead Recipient.

If Grant Recipients or their employers wish to issue press statements that mention the College of Optometrists, the College should be given an opportunity to comment on the draft. The text must acknowledge that the work has been funded by the College of Optometrists, but that the views expressed are those of the Grant Recipient(s) and not those of the College.

2.6 Sick leave and extended leave

The College should be notified if the Lead Recipient is likely to be away through illness or any kind of leave for more than one month. The College should be notified in writing if maternity, paternity, or adoption leave is required. At its discretion the College may agree to extend the research period by up to 12 months but will not make supplementary financial payments over and above those originally agreed.

2.7 Conditions

The Grant must be used solely for the purposes set out in the application, approved by the College and described in the Acceptance Form.

The Lead Recipient will be responsible for the conduct of the work and for adhering to the Terms and Conditions of the Grant.

When communicating about the Grant and its administration, the College expects to deal solely with the Lead Recipient and, where relevant, the finance correspondent nominated on the Acceptance Form.

The Lead Recipient must ensure that all facilities, agreements about access and collaborations necessary for the work are obtained before the work commences and can be ensured throughout the Grant period.

Applicants are also encouraged to be aware of the 'Research and Audit' section of the College's Guidance for professional practice (which is available [here](#)).

2.8 Intellectual Property Rights

Work produced by the Grant Recipients may be subject to or give rise to foreground intellectual property rights (IPR) within a specific field of work (including copyright, design rights, rights in data, patents, know-how, trade secrets, confidential information and any other intellectual property rights, whether or not registered or applied for) (the "Foreground IPR").

The Lead Recipient is responsible for the identification, protection and exploitation of any Foreground IPR arising from the Grant.

As a charity, the College will seek to ensure that it receives an appropriate share of any value arising from the Foreground IPR created (whether in whole or in part) from its Grant funding. The College generally expects to share in any net revenue generated by such Foreground IPR in proportion to its share of the full costs of the original research.

The College may also require the Grant Recipient(s) to enter into a non-exclusive royalty-free licence to use any Foreground IPR generated.

2.9 Data Protection

Where a project involves collection of original data the Lead Recipient should ensure that the data are held appropriately in accordance with the Data Protection Act 2018 and should be available for verification if required by the College.

2.10 Requirements and ethics

Research projects and clinical trials involving human volunteers must obtain ethics committee approval before receiving financial support from the College. In the case of projects carried out at universities, this will normally be obtained through the relevant university ethics committee. For other research locations, application for ethical approval should be made through the Health Research Authority (<https://www.hra.nhs.uk/planning-and-improving-research/>). The College is aware that applying for ethical approval can be a difficult process, and can offer support in this area.

Grant recipients must also be aware of the requirements in the UK Policy Framework for Health and Social Care Research (which can be found at: <https://www.hra.nhs.uk/planning-and-improving-research/policies-standards-legislation/uk-policy-framework-health-social-care-research/>) and as part of project approval the Lead Recipient should agree to accept responsibility for ensuring the requirements laid out in the Framework are met.

Animals (Scientific Procedures) Act 1986

Where the work is subject to regulation by the Animals (Scientific Procedures) Act 1986, the provisions of that Act must be observed and project and personal licences quoted. The College's support for a particular training proposal does not absolve

Grant Recipients from personal responsibility in this regard; applications for all licences and certificates required under the Act must be made to the Home Office direct, through the host centre's normal channels. The College does not insist that Home Office approval of any particular project be sought in advance of the application for a Grant, but any Grant made in the response to such an application will be on the absolute condition that no work which is controlled by the Act will begin until the necessary licences and certificates have been obtained. Any fees levied under the Act are the responsibility of the Lead Recipient and cannot be provided under the Grant.

3. FURTHER INFORMATION

Assistance with any of the above may be obtained from the College Research Team:

Phone: 020 7766 4346

Email: researchteam@college-optometrists.org

The same email address should be used in the first instance for research advice and assistance, from either the College Research Team or one of our Research Advisers or Statistician.