

**ALBERTA GAMING RESEARCH INSTITUTE
2004/05 RESEARCH GRANT PROPOSALS–GUIDELINES & APPLICATION**

This document is available in electronic format on the Alberta Research Institute website www.abgaminginstitute.ualberta.ca .

**Internal Application Deadline:
to respective University Research Grants Office
Friday, June 18, 2004**
From RGO to Alberta Gaming Research Institute: Friday, June 25, 2004

If you require additional information, please contact your University's Node Coordinator, your RGO contact, or send an e-mail to Vickii Williams, Executive Director, Alberta Gaming Research Institute, vickii.williams@ualberta.ca .

Node Coordinator	Research Grants Office contact
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Alberta Gaming Research Institute Background

The Alberta Gaming Research Institute is a consortium of the Universities of Alberta, Calgary, and Lethbridge. It is mandated to expand the breadth and depth of scientific knowledge into gambling and gaming.

The provincial government, through its Department of Gaming, has committed resources to build capacity and support research at the participant Universities. This grant application cycle runs from **May 3 to June 25, 2004**. The Institute's other activities include:

- funding of literature reviews in each of four domains;
- supporting capacity building at each of the participant Universities;
- developing the Institute website;
- increasing number and access to library and support resources;
- organizing and sponsoring symposia and conferences;

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- participating in research events; and,
- disseminating information and publications on current research.

In addition to university membership, the Institute's Board includes representation from its overseeing Alberta Gaming Research Council. One of the important responsibilities of the Council is to identify areas of interest for research investigation and bring them to the attention of Institute researchers. The Institute aims to address as many of these research areas as possible (see **Priorities for 2004/05 Research Grants** below).

As of April 1, 2004, the administrative hub for the Institute is located at the University of Alberta (HUB Mall, 8909S – 112 Street, Edmonton, AB T6G 2C5). Each of the partner Universities also has an affiliated research node (see contact information on front of grant application or website listing). For more information about the Institute and its achievements to date, please see www.abgaminginstitute.ualberta.ca or contact the office at (780) 492-2856.

Purpose of the AGRI research grants

1. To develop knowledge in topics related to gaming and gambling
2. To support collaborative research on gaming issues
3. To promote the contribution of Alberta's researchers to gambling research and support related capacity building at the participant universities
4. To disseminate information and share expertise on gaming research

Domains

These guidelines and the associated grant application focus specifically on providing funding to support research at the participant universities in the following domains:

- *Bio-psychological and health care, including new developments in the prevention and treatment of problem gambling, including new knowledge, efficacy and effectiveness, and evolution;*
- *Socio-cultural, including prevalence research, and the social impacts of lotteries and gaming, including aboriginal issues;*
- *Economic, including prevalence research, and the economic impacts of lotteries and gaming; and,*
- *Government and industry policy and practice.*

Proposals are not restricted to specific domains and applications for associated research that incorporates a gaming and/or gambling focus are eligible.

All sponsored research is subject to expert peer review prior to approval. The Institute-funded initiatives to date are identified on the Institute's website - see <http://www.abgaminginstitute.ualberta.ca/research.htm>.

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Priorities for 2004/05 Research Grants

This cycle draws attention to specific research areas identified by the Alberta Gaming Research Council including:

- Social and economic costs/benefits of gambling
- Prevalence studies on adult population
- Aboriginal casinos
- New play features on video lottery terminals
- Role of banking industry in off-shore internet gambling
- Treatment and prevention practices including early intervention into problem gambling
- Community-based research (particularly with senior population)
- Means of promoting community involvement
- Suicide and gambling-related factors

It is not intended that the available grant funding will be exclusively devoted to these topics, but rather, that a deliberate effort will be made to solicit proposals in these areas.

Eligibility of applicants

An important aspect of the Institute's mandate is to promote collaborative and capacity-building research activity within the participant universities, therefore, the applicant (*must be one of the, principal investigators and have faculty status at one of the three universities. This individual is responsible for overseeing the research activity, ensuring that expenditures comply with the approved budget, and meeting the bi-annual and completion reporting requirements*). Research collaborators may come from other universities or be experts from outside the university, providing confirmation is submitted that indicates the length of appointment extends beyond the research grant period. CVs of the principal and other investigators, as well as an in-depth profile of any external collaborative research partners (eg. consultants, treatment organization, etc), must accompany the application.

Financial support

Detailed budgets must be submitted with all grant applications.

Eligible costs include:

- *Costs directly related to research*
- *Vendor quotes must be included for research equipment with component costs over \$1000*
- *Equipment acquired with grant monies is the property of the host University and reasonable requests for other related research use are to be accommodated wherever possible*
- *Maximum awards will be \$80,000/year with a 2-year limit; many will be funded at much lower amounts*

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- *Approved 2-year grants are distributed on an annual basis with 80% of the annual award being paid at the commencement of the research period, and the remaining 20% disbursed upon receipt of the annual or completion report*
- *Overhead costs are not eligible expenses on individual research grants (since the Alberta Gaming Research Institute provides separate gambling research capacity-building funding to the partner universities)*
- *As the nature and scope of research projects will vary considerably, variable costs such as research assistance remuneration will be approved in accordance with accepted policy of the host university*
- *Faculty teaching release time is limited to a single course per term (\$5,000) to a total annual amount of \$10,000 (2 term releases/annum) for the grant duration (two year maximum)*
- *Co-investigator external researchers/consultants must be justified in the budget in a manner consistent with the host University’s contracting arrangements for other research purposes to maximum amounts equivalent to that paid for faculty teaching release (as requested in proposal)*
- *The principal applicant/investigator is responsible for initiating and monitoring any related contracts according to the host University's procedures*
- *Faculty members cannot be paid stipends from the grant awards*
- *If approved funding is found to be insufficient by the grantee, it is the responsibility of the grantee, to obtain additional funding*
- *Retroactive funding will not be considered*

Timelines

May 3, 2004	Applications/guidelines distributed/posted
June 18	Applications due to Research Services Office (RSO) of Principal Investigator (PI)
June 25	Applications due to Institute from RSO
July/Aug	Peer review process
Sept 1 – Oct 17	Proposal Approval Committee/ Board approvals/recommendations
Oct 31	Approval announcements
Apr 15	Progress reports
Oct 15	Progress/reports
Within 3 months of completion date (variable)	Completion reports

Time extensions - If research projects cannot be completed within the approved time period, *requests for time extensions must be made 3 months prior to the specified completion date* eg. September 1, 2005 for a one-year approval scheduled to commence December 1, 2004 with the

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originally specified completion date of November 30, 2005. The extension may be approved to a maximum of 6 months. Grant award payments will be correspondingly deferred.

Selection and approval processes

A peer review process will be used to assess the grant applications. Applications will be distributed to reviewers in early July for return by August 31st.

Applicants will not be advised of the names of the reviewers. To assist with their evaluations, however, reviewers will be provided with the CVs of the principal investigator(s). The application form requests names of potential reviewers not affiliated with the research proposal under consideration. These names will assist with the development of a comprehensive contact list of researchers for subsequent peer review processes. Some, or all, of these individuals *may* be requested to participate in this review cycle. Reviewers will not be selected for applicants who were previous, or current, research collaborators or academic supervisors. These individuals may, however, be requested to review submissions of other applicants with a similar area of specialization.

A sub-committee of the Institute Board, the Proposal Approval Committee, will make *final* approvals and *notify successful applicants by October 31, 2004*. Within the context of the peer review recommendations, decisions will be based on:

- the merit of the proposal in addressing a research need (particularly identified priorities);
- meeting the purpose of the Institute;
- the appropriateness of the amount of the budget request;
- the past performance of the principal investigator(s) with Institute grant awards; and
- the contribution the research makes to capacity-building in the participant Universities.

Applicants may receive conditional approvals (e.g. based on budget adjustments, willingness to pursue a collaborative undertaking, completion of active Institute-funded research projects, or requests for further information). Unsuccessful applicants will be provided with a summary of reviewer comments, advised of the rationale for the non-acceptance of their proposal, and invited to re-apply, with appropriate revisions, in subsequent grant cycles. There is no decision appeal process.

Accountability/Progress Reports

The Institute is required to provide annual audited financial statements and reports on its research activities to its funder, the provincial Department of Gaming. It is also committed to providing information on the range of funded research projects through various communication and media activities (e.g. website listing, newsletter, and Research Services Offices). To assist with providing the most current and accurate information, researchers are required to provide brief bi-annual reports (mid-April and mid-October) as well as completion reports for all approved research projects. The *principal applicant (see 'Eligibility of applicants')* is responsible for submitting the reports. The following information is required:

- progress towards meeting the identified research objectives;
- budget summary report including expenditures to date;

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- timeline progress;
- remaining research activity;
- brief (2-3 sentence) descriptive statement for Institute website and/or newsletter on status of research to date.

Completion reports are due to the Institute within one month of the actual completion date of research projects. Any unexpended grant funds must be returned to the Institute.

Research ethics and other required approvals

Because of the tri-university eligibility for Alberta Gaming Research Institute grants, evidence of applicable certifications from the principal investigator's host university are required (e.g. human subjects, animal welfare, etc.). Confirmation from the respective Research Services Offices that these approvals and/or certifications have been obtained is required prior to the release of grant monies.

Procedure for requesting information for research purposes from Alberta Gaming

Due to their nature, some research investigations depend on access to information or data held by Alberta Gaming and/or the Alberta Gaming and Liquor Commission. The Ministry has established a single point of entry and a process to expedite their response and ensure that the proper authorizations are obtained. More information about accessing this type of data can be obtained from the Department of Gaming contact, Ha Le, at (780) 447-8803.

Intellectual property

The guidelines and policies of the principal applicant's host University are applicable.

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APPLICATION/PROPOSAL FORMAT

**Internal Application Deadline to respective University RGO
Friday, June 18, 2004**

From RGO to Alberta Gaming Research Institute: Friday, June 25, 2004

General Instructions:

1. Prior to completing this application, prospective applicants should read the Alberta Gaming Research Institute 2004/05 Research Grant Guidelines
2. Application information is due to the principal investigator's University Research Services Office by **Friday, June 18, 2004**.
3. Both print (with signatures) and an electronic copy (MS Word on a disk) of the completed application form are required. The disk should also include files with the CVs of the principal investigator(s).
4. The original signed version of the print application, together with the disk must be **forwarded by the respective Research Services Office to the Alberta Gaming Research Institute office by 4:00 pm, Friday, June 25, 2004**.
5. Only complete applications, duly signed, will be considered.
6. Resubmissions of applications from former Institute grant competitions are invited. They will be subject to the current review process.

PART 1: GENERAL INFORMATION

Name of principal applicant/investigator (surname, given names)
Department
Faculty
Telephone number
Address for correspondence
E-mail address

Co-principal investigators (name, institution, department)¹

Short title of proposed research
Descriptive statement for general information purposes (maximum 3 sentences)
Domain²
Priority area (if applicable)
Project starting date
Proposed completion date
Total requested [2004/05 amount; 2005/06 amount, if applicable]

¹ include CV(s) of co-principal investigator(s) and/or profile of external research agency

² domains include: bio-psychological and health care, socio-cultural, economic, government and industry policy and practice, other

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Indicate if proposed research involves human subjects, animal experimentation, biohazards, environmental impact implications, potential data privacy concerns, etc.

PART 2: FINANCIAL INFORMATION

Budget summary:

Detailed budgets, with Year 1 and Year 2 (if applicable) cost breakdown, must be submitted with all grant applications. Only those costs that are directly related to research are eligible (see also 'Financial support' section of guidelines). Include the following budget items:

- *Personnel*
 - Teaching release³
 - Research assistance⁴
 - Technical assistance
 - Student assistance
 - External researcher/consultant⁵
 - *Materials and supplies*
 - *Equipment*⁶
 - *Travel*⁷
 - *Other (please specify)*
- Total requested – 2004/05; 2004/05 (if applicable)***

Provide a brief rationale for each major category of budget item by relating it to the objectives and requirements of the proposed research.

Other sources of funding

Starting with the most recent, list the other granting agencies or programs from which you have requested or received funds within the last three years and indicate the status of this support (e.g. applied, held). Identify those awards, which are closely related to this grant request and, for each, describe its relationship to this request. This information, together with the CVs of the principal investigator(s), will be provided to external reviewers to assist them with assessing the past and current research performance and the relationship to the investigator(s) research program.

Agency/Organization

³ Faculty teaching release time is limited to a single course per term(\$5,000) to a total annual amount of \$10,000

⁴ As the nature and scope of research projects varies considerably, costs such as research assistance remuneration will be approved at the level normally allocated for similar assistance within the department/faculty of the host university. To be eligible for status as a 'research assistant', the individual must have employee status with one of the partner universities

⁵ External researchers (consultants) must be well justified in the budget in a manner consistent with the host University's contracting arrangements for other research purpose with maximum amounts equivalent to faculty teaching release requested in proposal

⁶ Vendor quotes must be included for research equipment with component costs over \$1000. Equipment acquired with grant monies is the property of the host University. Only in exceptional circumstances will computers/software be eligible for grant support

⁷ Information dissemination by university researchers to maximum of \$2,500/year/grant

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Project title
Amount/yr.
Funding period
Status

PART 3: QUALIFICATIONS AND EXPERIENCE
[Synopsis - not to exceed 2 pages per investigator]⁸

A. *Principal applicant/investigator information*

Name of principal investigator (surname, given names)

Academic and professional experience (starting with the most recent)

- Date
- Institution/Organization
- Faculty/School/Department
- Position (eg. Tenure track (rank), sessional lecturer, research associate, etc.)

Degrees Awarded (starting with the most recent) list the following:

- Degree
- Discipline
- Institution
- Date awarded

Current research interests (describe in key words)

Academic Awards and Distinctions

Record of research/scholarly achievements

B. *Co-Principal investigator(s)*

Provide information similar to A, for co-principal investigator(s) and the rationale for including external researchers/consultants, where appropriate.

PART 4: RESEARCH PROGRAM

Abstract (250 word maximum)

- provide a concise, non-technical statement of the general objectives and significance of the proposed research

Description of proposed research (10 page maximum; minimum of 12 cpi)

Attach a description of the proposed research initiative being sure to include:

⁸ Outline relevant and significant contributions to research/scholarship **within the last 3 years (2001/02, 2002/03, 2003/04) or most recent period of research activity**, including publications (articles, books, book chapters, book reviews), works in press, research reports and papers, etc. **Start with the most recent and identify those works which are published in refereed journals. Do not exceed 2 pages.** This information will serve as an overview of the more detailed CV(s) submitted as separate files.

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1. *the objectives of the proposed research and its relationship to existing research, the investigator'(s) research program, and literature;*
 2. *its potential theoretical and practical significance;*
 3. *the theoretical/conceptual framework guiding the research and, where applicable, the research hypotheses;*
 4. *the methods and procedures to be used and the resources that are required, with particular emphasis on those for which funding is being requested;*
 5. *a description of any proposed collaborative aspects; and,*
 6. *a timetable for the completion of the proposed research (note: award advice given by October 31, 2004).*
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APPLICATION CHECKLIST

	<i>Included</i>	<i>Not applicable</i>
1. The original hardcopy with all required signatures (as appropriate to the principal applicant/investigator's host University)		
2. A computer disk containing separate files (MS Word format) of the application and CVs for each principal investigator and/or external partner profiles		
3. Confirmation that any necessary certifications and/or permissions will be obtained prior to grant allocation		
4. Vendor quote(s) for equipment over \$1000		
5. Confirmation that any related research contracts will be put in place prior to authorization to proceed (eg. with external consultants, data collection agencies, etc.)		
6. This checklist		

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PART 5: SIGNATURES

Due to variations in internal structural and reporting arrangements, some, or all, of the following signatures are required. Advice should be obtained from the Research Services Office of the host University (University of Alberta, University of Calgary, or University of Lethbridge) of the principal applicant/investigator. **The completed application and checklist is to be submitted to the Alberta Gaming Research Institute through the Research Services Office.** Research grant accounts will be set up and funds disbursed according to the usual internal practices of the respective Research Grants Offices.

Note to signatories:

The undersigned hereby certify acceptance of the terms and conditions of the Alberta Gaming Research Institute as outlined in the guidelines and on this application form and of any conditions applied to a grant pursuant to this application.

Principal investigator

Co-investigator(s)

Department Chair

Dean

VP Research (or Associate)

Research Services Officer (signature indicates checklist confirmation)

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Peer reviewer recommendations:

Please provide the names and contact information (phone and e-mail address) of *three (or more)* potential peer reviewers who are not affiliated with this grant proposal, preferably including researchers outside of your host University. These names will assist with the development of a comprehensive contact list of researchers for this and subsequent peer review processes. Some, or all, of these individuals *may* be requested to participate in this particular cycle. Applicants will not be advised of the names of the reviewers, however, reviewers receive applicant information to assist them with evaluating the past performance of the researcher(s) and commenting on the feasibility of the project.

Please include:

- Name/title
- Address/Institutional affiliation
- E-mail address
- Previous Affiliation* (please indicate any prior or current research affiliation with the researcher(s) involved in the proposed initiative)
- Area of specialization

*Please note: peer reviewers will not be selected who have been previous research collaborators or academic supervisors of the applicant(s). Letters of introduction of the Alberta Gaming Research Institute will be sent to potential reviewers prior to requests for reviews being distributed.