UWS RESEARCH GRANT SCHEME
GUIDELINES

CLOSING DATE 16TH OCTOBER 2009

The Application Consists of:
- Application Form (PDF)
- Proposal (WORD). Do Not Use PDF Form For Proposal Section.

Submitting Application
Submit:
- (1) Electronic Copy to ja.white@uws.edu.au
- (1) Hard Copy to
  Jason White,
  Research Services,
  Building K1, Penrith Campus

Signatures
It can be difficult to get all signatures prior to closing date, signature pages can be faxed to (02) 4736-0905 (ext: 2905).

INTRODUCTION
The UWS Research Grant Scheme is designed to offer funding to staff, either individual researchers or research teams, who have a twelve month program in mind to promote their research project to the point where support from national competitive grant programs, or other major external funding schemes or sources can be realistically sought.

The primary objective of the Scheme is the support, on a competitive basis, of high quality research projects to be carried out by investigators showing clear evidence of high research capacity. It is expected that preliminary or pilot work for such projects has already been undertaken.

This scheme is particularly designed to support projects that demonstrate originality in conception and demonstrate the potential to uncover new knowledge or the potential to provide new insights into and solutions to an important practical problem.

The maximum grant will be $25,000.

Grants will be tenable for a period of ONE Year.

Applications are invited from individuals or research teams at the University of Western Sydney for grants in support of pure and applied research projects.

Generally, funds will not be made available for projects viewed as a normal part of course/curriculum development. Grants will not be awarded to holders of grants from other granting bodies for essentially the same project.
Applicants are strongly advised to discuss their application with the Office of Research Services. You may contact Dr Jane Hobson for preliminary advice and the Research Development Officers prior to submission of an application: Jenny-Lee Heylen for Schools of: Accounting, Economics and Finance, Law, Management, Marketing, Education; Urban Research Centre; ClnIS; CER; CCR; SJSC; CCPP j.heylen@uws.edu.au x2972, Sharon Holst for Schools of: Communication Arts, Social Sciences, Humanities and Languages, Psychology, Nursing, Medicine; CompleMed; MARCS s.holst@uws.edu.au x2281, Kezia Sullivan for Schools of: Biomedical and Health Sciences, Computing and Mathematics, Engineering, Natural Sciences; Centre for Plants and Environment k.sullivan@uws.edu.au x2889.

ELIGIBILITY
1. Only one application per Chief Investigator will be considered.
2. All non-casual academic staff employed at 0.5 or above are eligible to apply. Staff on contract must demonstrate capacity to complete within the time of their existing contract. Postdoctoral fellows must have the support of their supervisors. Adjunct appointees are eligible to apply in tandem with tenured or contract staff.
3. Joint applications involving investigators from another institution will be considered provided the UWS investigator is nominated as the first-named Chief Investigator on the project.
4. Projects allied to higher degree studies of staff members will not be considered.
5. All successful research projects will be administered by UWS through the Office of Research Services.

SPECIAL CONDITIONS
Grantees will be required to submit at least one application for funding from an agency listed on the National Competitive Grants Index - http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/AustralianCompetitiveGrantsRegister.aspx, or other major external funding scheme, no later than six months after funding ceases. Failure to meet this obligation will limit applicants’ access to other competitive research support mechanisms within UWS.

ASSESSMENT
The UWS Research Committee assesses applications through its professorial panels (Research Grant Assessment Panels). All panel deliberations are fully minuted and form part of the official records of the University. Recommendations of the panels are approved for funding by the PVC (Research) and the DVC (A&E). Excellence will be the primary criterion in the assessment of proposals, both in terms of the research project and its anticipated outcomes. There must be evidence provided of the commitment and ability of the partners to support and complete the research project proposed.

Applicants will benefit from presenting their proposal in a clear and concise manner, keeping the following questions in mind.

a) Does the project contribute to significance current in the discipline or multidisciplinary field concerned? - i.e. advancement in knowledge, economic or social benefit?
b) Is the project soundly based in concept and planning? Is it feasible? Is it innovative?
c) How will the results of the proposed research be disseminated?

Consideration will be given to the likelihood of the proposed research:
• providing a real conceptual advance
• leading to an important discovery or innovation or the solution of an important practical problem
• leading to an application for major external funding
• leading to a performance and/or exhibition*, or

* Funding provided for research likely to lead to a performance and/or exhibition will be for pre-production research only.
Applications will be assessed against the following categories of selection criteria:

- Quality of research proposal
- Researcher/s track record/potential
- Project outcomes

**Quality of Research Proposal**
- clarity of aims
- intellectual rigour of the ideas to be examined
- originality in conception; genre; technique
- significant contribution to knowledge, methods of inquiry and/or the application of knowledge
- clarity and quality of research design & well defined methodology, including any ethical issues
- consistency between objectives, methods and outcomes
- realistic, well justified budget
- feasible timeline
- access to necessary resources
- plan for research results dissemination

**Researcher/s Track Record/Potential**
- researchers’ track record relative to opportunities & demonstrated capacity to test/examine/explore the issues/concepts outlined in the proposal
- demonstrated research outcomes from previous grant applications (publications and external grants, creative work reviewed: work presented in festivals; work in recognised galleries; work in curated exhibitions)
- how the research will enhance the researcher’s national or international profile
- demonstrated time commitment by researchers

**Project Outcomes**
- will lead to significant peer reviewed outputs, including refereed journal articles and/or critically endorsed creative work
- likely to lead to competitive external grant application
- provides links to other national or international researchers/institutions
- contributes to research training by involving new researchers, postdoctoral fellows, postgraduate and/or honours research students
- link to national research priorities

**Alignment with UWS Research Plan and UWS Research Themes**
- collaboration with industry/government/community
- GWS regional engagement
- contributes to collaboration across disciplines
- increased international collaboration leading to international funding
- practical focus: professional application, commercialisation
- relationship with research training objectives of the University
- Linkage with Research Themes: Water, Culture and Communities, Urban and Community Development, Children’s Futures.

The weight attached to each criterion will be at the discretion of the Committee.

It is anticipated that this scheme will be highly competitive.
APPLICATION

Each application should cover a self-contained project and contain all the information necessary to assess it without the need for oral explanation or reference to further documentation. It should aim for brevity without detracting from the clarity of the explanation of the aims and significance of the project. Maximum of 10 pages.

TO ENSURE EQUITY FOR ALL APPLICANTS, the Application Form and Proposal must follow guidelines below.

Layout: The application must be printed in ‘Portrait’ Orientation (not Landscape) on A4 paper.

Font: The font to be used must be either minimum of 10 point Arial or 11 point Times New Roman. Entries on the application form are to be typed in black only.

Submission: Electronically via email and an original signed hard copy must be submitted to Research Services.

Size: Applications will consist of the Application Form (PDF) plus the Proposal (WORD) which will consist of no more than ten additional pages, excluding publications. Applications exceeding this will not be assessed.

Certification of Head of School/Director of Research Centre

The Head of School or Director, Research Centre has a duty to comment on any anomalous features of an application and her or his declaration indicates that the research is appropriate, given the facilities of the School/Research Centre. It is an essential that such declarations be made for an application to be considered.

All applicants – other than those who are research only appointments in University Research Centres – must obtain the endorsement of the relevant Head of School, including members of University Research Groups. If the applicants include a Head of School or a Director of a University Research Centre, then the Executive Dean of the relevant College is required to endorse the application.

It is also necessary for a Head of School/Director of Research Centre to certify that any equipment requested is:

- essential to the project; and
- not currently accessible to the applicants within the University.

This endorsement is necessary to ensure that research equipment purchases do not duplicate those made by Schools/Research Centres and that equipment purchased in previous rounds of any internal grant scheme is being effectively utilised for current research purposes.

As applicants and Heads of School/Directors may be on different UWS campuses to the applicant, faxed copies of certification pages may be submitted but please do not fax individual certification pages to Research Services without a cover sheet identifying the application.

Certification by Chief Investigators

Chief Investigators must certify that the application does not seek funding for a project already supported by another funding body.

RESEARCH PROJECTS

Research Grants are recommended for specific research projects.

Research Grants will not be given for the production of teaching materials, although it is acknowledged that some research may be involved in their production. Support may be given for a genuine educational experiment in which the relative effectiveness of some original material, approach or method is to be compared with traditional materials, approaches or methods. In that case, costs of developing the new materials may be included.
In the case of projects that involve data compilation or the development of research aids and tools (including computer programs), it is most important that the applicant provide a statement as to the possible eventual uses of the databases, computer programs, or other research aids compiled as part of the whole project.

**The Investigator/s**
The applicant should provide evidence of research capacity. Reference to past work of the applicant related to the proposed project is essential and reference to the work of others may be relevant.

Applications by research teams may include designated research investigators, research students, postdoctoral fellows, and research assistants. In accordance with the UWS Research Code of Practice (See at http://policies.uws.edu.au/view.current.php?id=00166), research teams are encouraged to establish formal arrangements around authorship prior to the research commencing. Advice is available from the Office of Research Services.

Panels expect to see evidence that Investigators are publishing in high quality journals as evidenced by information relating to Journal Impact Factors (ISI, Scopus) or Journal Tier Rankings as prepared for ERA by the ARC.

**Method of Investigation**
In some fields, it is possible to set down a quite specific strategy and a specific set of tactics of investigation - an experimental design. In many fields or sub-fields, the strategy and the tactics can be stated only in looser terms. This does not provide a reason for not stating them at all. Applicants should indicate what material is expected to be available and what strategies and tactics they propose to adopt, at least initially. This is especially important in respect to research involving human or animal participants. The preliminary work including literary review should already have been undertaken further strengthening the planned method of investigation.

Proposals that are vague or steeped in unnecessary jargon are unlikely to impress members of the assessment committee.

**BUDGET**
Clear headedness is called for both in estimating and justifying the budget. The following paragraphs should, therefore, be read with particular care. Applicants should avoid devising "ambit claim" budgets in the expectation that the Committee will cut them down to a realistic level. The Committee will aim to fund projects at what it sees as an appropriate level to allow the project to move expeditiously to a conclusion. The Committee does not follow NHMRC practices of 1/3 costs, etc.

Financial information must address three areas:
(i) The specification of various items requested under the headings personnel, equipment, maintenance, travel and other (See Item 17).
(ii) A ranking of each of these items in terms of priority (see Advice Item 17f).
(iii) A costing of each of the items at prices that will apply in 2010.

Full justification of all items is required. The Committee expects an explanation of the need for research or technical assistance (as well as justification for the requested level) and/or for items of equipment. An indication should be provided of how estimates were calculated and on what basis they were established.

Because of the competitive nature of these grants, only those projects judged to be the most outstanding and fully justified are likely to receive their full funding request.

**Funds are not available for:**
- Conferences, seminars or workshop attendance.
- Projects that resemble consultancy rather than a research project – for definitions of research and consultancy see - http://www.uws.edu.au/research/ors/research_development_redevelopment/research_and_consultancy_guidelines

**Travel**
Only travel directly associated with the project, including travel costs incurred in using facilities at another centre other than a UWS campus, will be considered. Conference travel is not supported. When calculating travel costs, applicants should base their estimates on the standard rate for mileage, per diem expenses etc. details can be found at - http://staff.uws.edu.au/staff/adminorg/academic/fo(finop/fintrvl/trv_procedures
**Time Release**
The UWS Research Committee will not fund time release. However, it recognises that in some disciplines formalised time release for a chief investigator is a fundamental component of the successful conduct of the research project, particularly in the humanities. If a project requires such time release, it is incumbent upon the applicant to negotiate time release through their workload agreement and their Head of School or College Executive Dean.

**REPORTS**
Grantees will be required to submit a final report no later than six months after funding ceases to the UWS Research Committee. Report forms can be downloaded at - [http://www.uws.edu.au/research/researchers/funding_opportunities/internal_research_grants](http://www.uws.edu.au/research/researchers/funding_opportunities/internal_research_grants)

For more information on report requirements please contact Ms Sue Wiblin the Research Grants Officer on ext 2881.

**SPECIAL CONDITIONS**
Grantees are required to submit at least one application for external funds either under the National Competitive Grants Program - or other major external funding schemes no later than six months after cessation of the UWS Research Grant Scheme funding. Failure to meet this obligation may prejudice future access to other competitive research support mechanisms within UWS.

**Ethics and Safety**

Human Subjects or Animal Experimentation - see item 8 below
Recombinant DNA
Ionising Radiation
Other Safety Hazards

**Deposition of Biological Material:** Under the terms of Australian Quarantine and Inspection Service registration, the College of Health and Science at UWS has approval for treatment and disposal of all biological materials. At the end of a project, any biological material accumulated during the course of the project shall be disposed of through this College only after consultation with the appropriate Scientific Officer.

**Importation of Experimental Organisms:** Any applicant proposing to import experimental organisms should obtain agreement in principle from the appropriate Authority in their State and comply with institutional policy and procedures as determined by the UWS Institutional Biosafety and Radiation Safety Committee (IBRSC).
APPLICATION ADVICE

APPLICATION FORM (PDF) – Main Items Only

Before Completing this Form
You must only use the current UWS version of Adobe Acrobat Reader - version 9. To check your version of Adobe Reader go to the Help menu and select About Adobe Reader. If you have a previous version use ‘Run Advertised Programs’ to update to version 9.

Please do not use Adobe Acrobat Professional as it may corrupt the form.

ITEM 1 - Applicant Information
Chief Investigators (CI) are jointly responsible for the research project: for its conception, for the strategic decisions called for in its pursuit, and for the eventual communication of the results.

The first–named Chief Investigator will be the UWS contact person for all administrative matters. If two or more eligible investigators are to spend a substantial amount of time on the research project and the decision–making responsibility is shared; these should be regarded as Joint Chief Investigators and information provided for each.

Registration on Research Activity
To view your current Registration visit -
http://www.uws.edu.au/research/researchers/research_activity_register#7

Are you on the Graduate Supervisor Register?
The current Graduate Supervisor Register is available at -
http://www.uws.edu.au/research/current_research_students/supervision/supervisor_register

ITEM 3 - Financial Summary of Funds requested under Research Grants Scheme – Total funds requested for main items. Show whole dollars only. Full budget at Item 17.

ITEM 4 - Type of Activity
There are four types of activity applicable to research and development which are recognised by the Australian Standard Research Classifications:

- **Pure Basic Research**
  Experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge.

- **Strategic Basic Research**
  Experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems.

- **Applied Research**
  Original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

- **Experimental Development**
  Is systematic work, using existing knowledge gained from research or practical experience, that is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed.

ITEM 5 - Fields of Research (FOR) and Socio-economic Objective (SEO) Category Codes
FOR and SEO code numbers must be at the 6 digit detailed level "010101". Up to 3 FOR and SEO code numbers can be selected, and separately they should add up to 100%. Please scroll down to the bottom of the below web pages to find the links to the detailed codes.

FOR Classification
This refers to Fields of Research (FOR) Classification. Details can be found at Australian Bureau of Statistics website -
ITEM 16 - Outline the relationship of the proposed research to current UWS teaching programs.
Outline the relationship of the proposed research to teaching programs. The University seeks to build connections between existing and emerging areas of research strength with areas of excellence in teaching and professional development and with existing and emerging areas of research strength within the University.

ITEM 17 - Detailed Budget

Personnel
Please use the Casual Employment Calculator which is included in the PDF application form. If substantial data entry or transcription services are required, the appropriate rate for these services should also be sought and included.

Maintenance
Estimate the prices that will apply at the time of purchase. "Maintenance" includes items of equipment costing less than $1000; consumables (major headings only); sets of printed material and microfilm; computing excluding computer hardware and software, and the hire of personnel for coding or programming (which must be included under "Personnel"). Any requests for funds for programming, preparation and storage of data or the hire of external computer time, must be fully justified; if payment for computing time is requested, the applicant must clearly indicate why such computing time is not available "in house" or through the partners.

In general, expenditure relating to the printing of questionnaires and postage, the funding of telephone surveys, printing and stationary costs will only be funded if the Committee believes that such expenditure is essential for the research project's success and cannot be met from the partner's allocation.

Travel/Subsistence
Applicants who request money for travel/subsistence should state the importance of this item to the success of the research project. They should also consider whether this travel could be funded from other internal travel allocations. Enter under "Travel" the cost of fares, vehicle and accommodation costs, field expenses and field allowances. State the origin and destination for all fares requested. Only travel directly associated with the research project, including travel incurred in using facilities at another centre, may be supported.

Other
This category includes items not covered by the above groupings, e.g. vessel charges, and search fees. It is not intended that this heading be a catch-all for funding requests.

Priorities
It is essential that every item in the requested budget be given a priority ranking (i.e. A, B1, B2, C1, etc) in the column provided. The rankings are:
A = considered essential for the research project to be undertaken.
B = necessary to maintain a reasonable rate of progress in bringing the research project to completion.
C = other items which would be useful in supporting the research project.

Within categories B and C, use the numerical ranking to show the relative importance of each item. If the same priority ranking is assigned to two or more items, the Committee will interpret this as implying that they are inseparable, so that one item is of no use without the others.

Total funds requested for the life of the project. Show whole dollars only.
ITEM 20 - Ethics
A relevant Ethics, Safety or Biosafety approval will be required before the funds will be made available.

If the proposed research plan involves the use of human participants or the use of animal subjects or the preparation and/or use of recombinant nucleic acids constructed in vitro from sources that do not ordinarily recombine genetic information. Where a research project requires the use of ionising radiation, the Committee will require personnel to have appropriate training and hold a current licence issued by the appropriate State authority before payment can be made under a grant.

It is essential that applicants with research projects requiring clearance by ethics or safety committees contact the Ethics Officers for details of this process. Applicants should ascertain the time frame to obtain such clearances and allow plenty of time for this process, noting that UWS enables expedited review of negligible risk human ethics research.

- The UWS Human Ethics Committee reviews all research projects involving human subjects undertaken by staff of the University of Western Sydney.
- The UWS Animal Care and Ethics Committee review all animal research at UWS.
- The UWS Institutional Biosafety and Radiation Safety Committee (IBRSC) review all small scale work with recombinant DNA and other safety matters.

For more information contact: Human Ethics Officer – Kay Buckley Ext: 2883, humanethics@uws.edu.au or Research Ethics Coordinator (Animal & Biosafety) – Raj Paramanathan Ext: 2884, R.Paramanathan@uws.edu.au
COMPLETING PROPOSAL (WORD)

Proposals are to be completed in MS Word (not the PDF Application Form). The Proposal in MS Word should be no longer than 10 pages (excluding publications) 10 point Arial or 11 point Times New Roman font printed in black. Applications exceeding the page limit will not be assessed.

Applications must include comprehensive statements that clearly outline the research objectives and the methods by which those objectives are to be realised. While it is appropriate to state briefly why the proposed research is exciting, it is essential to provide a detailed and relevant explanation of how the research is to be explored and the scholarly context of the research.

The following broad headings should be used:

(a) **Aims and significance- including background literature overview and bibliography**

Provide a clear statement of the project aims. Consider if the problem the research is addressing has been clearly formulated and put in the context of contemporary scientific and/or theoretical debates.

The questions/hypotheses to be tested/explored should be stated in the clearest terms. It is important to demonstrate the intellectual rigour underpinning the proposed investigation.

Background to the research questions: Applicants should provide an adequate background to the research questions the research project will explore. Demonstrate how this work builds on existing research and makes a contribution to the area. What will the research do, with whom or to what, and why?

It is expected that a substantial literature review would have been carried out prior to a project of the scope of a Research Grant Scheme being proposed.

Cite key references where appropriate. These indicate your familiarity with the theoretical grounding and current state of the art of your subject. Where there is genuinely little or no relevant literature, explain this fully.

The Committee will seek evidence that the applicant understands the ramifications of the questions and hypotheses proposed, and has considered any subsequent research that may arise from the project.

(b) **Research Plan, Methods, Techniques and Data Analysis**

The Research Plan should make clear the scope and limitations of the project. Guidance on these aspects of grant writing is available from [http://www.uws.edu.au/research/ors/research_development_redevelopment](http://www.uws.edu.au/research/ors/research_development_redevelopment)

The panel will seek evidence that the design and the feasibility of the project has been well thought out. It is essential that the method be able to achieve the stated aims and goals of the research. The description of the method and techniques should be field specific and include, where appropriate, the experimental design.

Any method should be supported by current approaches in the field – as demonstrated by references – and where a method itself is the subject of the study, the necessity for this should be soundly argued.

The description of the Method should address the process of research and state what the research involves: what the researcher wants to do; how it will be done; who will do it; when will it be done; and why. This should be applied to the data collection, data analysis and data interpretation. You should address any methodological issues inherent in the process that are controversial or are not well understood outside the specific field of the research.

All ethical issues should be discussed and built into the overall research plan.

For humanities and social sciences proposals, if the method involves field-work, the proposal should indicate how researchers might address the following: How will complex conditions of interaction be recorded? Which interactions will be recorded? What difficulties might be encountered? What are the analytical strategies? What are the interpretive strategies? Why are these analytical and interpretive strategies appropriate? While at least one member of the panel will have expertise in the broad terrain of the proposal, it is wise to assume that the panel will evaluate the method on the basis of general principles of scholarly research.
(c) **Justification of Budget**

Justify each item listed in the budget. The panel will look for the articulation of a realistic budget closely integrated with the work proposed in the research plan. For guidance see detailed advice at: http://www.uws.edu.au/research/ors/research_development_redevelopment/budget_justification

(d) **Timetable**

An indication of the proposed research timetable is required. The application should clearly delineate the anticipated role of each of the investigators as well as that of any requested personnel.

(e) **Summary of Applicant/s background**

The Committee will consider the capacity of the applicant/s to carry out their nominated research project to successful completion, and in particular the relevance of their skills and training. It is in the applicant's best interest to provide evidence of such capacity.

Please do not include a lengthy Curriculum Vitae but provide a judicious description of your most pertinent career achievements. See “Track Record Statement” at the Research Services guidelines for developing grant applications: http://www.uws.edu.au/research/researchers/research_development_redevelopment/track_record_statement

**Publications**

**Note: this section is separate to page limits**

List all refereed publications by the Chief Investigators published in the period (2006-2009), followed by publications submitted or accepted for publication. Indicate by asterisks any publications of specific significance to this application.

Please clearly delineate categories of publications/disseminations from past research as follows: Books, Chapters in edited collections, Refereed Journal Article.

Applicants may also wish to provide a summary of other public research outputs relating to exhibition, production [i.e. audio/video recording], performance, architectural design, computer software, patents, technical drawings etc. Please highlight whether these outputs have been critically reviewed or have been subsequently cited.

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**FUNDS WILL NOT BE MADE AVAILABLE UNTIL ALL THE APPROPRIATE ETHICS CLEARANCES HAVE BEEN OBTAINED**