

Office of Research Services

RESEARCH PARTNERSHIPS PROGRAM GUIDELINES

CLOSING DATE 11TH SEPTEMBER 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 Partnerships Program is designed to be a flexible scheme that encourages individuals and groups to submit applications for support of a research project jointly developed and funded with an external partner. Partners suitable for collaboration may be from industry, commerce, and the public and community sectors. International collaboration will be considered. Applications involving Greater Western Sydney (GWS) partners are particularly encouraged.

Research projects must demonstrate a high level of collaboration between the University researchers and eligible partners, plus the potential to develop new links or the significant enhancement of existing links. Innovation will be a central feature of successful applications. The Partnerships Program is designed to encourage partners to explore and promote their research project to the point where support from the ARC Linkage Program or other major external funding programs such as those organised by AusIndustry can be realistically sought. Applicants should articulate more than one possible avenue for further funding and the anticipated timeframe to achieve such funding.

The primary objective of the scheme is the support, on a competitive basis, of quality research projects to be carried out by partnerships showing clear evidence of high research capacity. The Partnerships Program is designed to encourage the development of long-term and strategic relationships between UWS and industry, commerce, and public and community sectors, as well as assist UWS researchers to gain a greater understanding of industry research needs through collaborative research and development projects. It will provide the opportunity for UWS researchers and their partners to bring advanced knowledge and techniques to bear on problems or opportunities in order to realise economic and social benefits for Australia.

Awards will normally be up to \$25,000 (in exceptional circumstances up to \$35,000 may be provided with the same matching amount from the industry partner) and will be tenable for a period of 12 months. Partners must provide matching new cash plus GST. The cash contribution will be invoiced and managed by Office of Research Services through a UWS project account.

Applications are invited from individuals or research teams at the University of Western Sydney and their partners for grants in support of pure and applied research projects. Funds will not be made available for

research 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 research project, nor will applications that are more in the nature of consultancies be eligible for funding.

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; CInIS; 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. Generally only one application per Chief Investigator will be considered in any twelve-month period and all due final reports must have been completed.
2. Research projects already commenced with early stages successfully completed will be considered.
3. All academic staff, including postdoctoral fellows, employed at 0.5 or above are eligible to apply, provided that participation in the program does not interfere with other research. UWS Adjunct Fellows are eligible to apply.
4. Staff on contract must demonstrate that they will be employed by the University for the nominated term of the grant.
5. Joint applications involving investigators from another higher education institution will be considered provided the UWS investigator is nominated as the first-named Chief Investigator on the research project.
6. International collaborations may be supported.
7. **Partners must be prepared to commit NEW cash for the proposed research project. This cash component is to be deposited in a project account established by UWS specifically for the project.**
8. **All successful research projects will be administered by UWS through the Office of Research Services.**
9. Any organisation, not already funded as a research provider (Universities and their agencies are specifically excluded), is eligible as an industry partner for the purposes of this scheme.

THE PARTNERS

External partners will be expected to make some new, negotiable cash commitment specifically for the research project, relative to their ability to contribute and the anticipated benefit accruing to the partner from the research project's anticipated outcomes. The partner support must be specific to the research project, e.g. contribution to salary costs, provision of equipment or facilities.

Applications must include a detailed description of the collaborative arrangements proposed: how the partner is to be involved in the research project; and how the research project fits into the organisation's strategic plan and its value to the company. **Adequate arrangements for dealing with intellectual property used in and produced by the proposed research must also be explained.**

Funding for a successful research project application will not commence until a written agreement has been entered into, detailing the roles of the partners to the research project, including: their respective cash contributions; administrative arrangements; intellectual property arrangements and publication plans. UWS researchers are encouraged to establish formal arrangements about authorship prior to the research commencing, contact the Office of Research Services for advice.

The external partner will be expected to deposit their cash contribution in a UWS project account to be established for successful projects. Normally, the cash contribution should be made available at the commencement of the project.

DURATION OF GRANTS

Duration of grants is for a period of 12 months. A final report must be provided to the UWS Research Committee (via Research Services) no later than six months after funding ceases.

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 should consider:

- (a) What is the intrinsic merit of the research project? Is it soundly based in concept and planning? Is it feasible? Is it innovative?
- (b) Does the research team have the capacity and experience to undertake the research?
- (c) Does the research project contribute to the university community or to the community as a whole so as to constitute advancement in knowledge or an economic or social benefit? Applicants should present succinct ideas on the anticipated outcomes/impact and how the results of the proposed research will be disseminated, in both peer-reviewed publications and to the sector in which the partner operates. Consideration will be given to the likelihood of the proposed research contributing to economic or social benefits for Western Sydney, including the sustainable development of Greater Western Sydney.
- (d) Are the partnership arrangements sustainable over the life of the project? Are the partners providing valuable input into the conduct of the project?

Applicants should present a succinct proposal in a clear and concise manner, keeping the above questions in mind.

The weight attached to each criterion will be at the discretion of the Committee, although, if on balance all criteria are satisfied, applications with partners in Western Sydney will be given preference in the selection process.

Note: Funding provided for research likely to lead to a performance and/or exhibition will be for pre-production research only

It is anticipated that this scheme will be highly competitive. Applicants should present specific plans for how the results of the proposed research will be disseminated both to scholars in the field and where appropriate, the broader community.

Applicants will benefit from indicating how the research will lead to quality peer reviewed outputs and how it will meet the goals of building the researcher's capacity to apply for external research funds:

- a) How does this project contribute to the applicant(s) professional development?
- b) In the case of University Research Centres or University Research Groups, how does the project relate to the combined scholarship of the Centre or Group?

INTELLECTUAL PROPERTY

The Committee will expect the applicants and partners to explain how matters of intellectual property associated with and arising from the research project will be dealt with. UWS will normally own the intellectual property generated from a partnership grant. Partners will be able to use the results of the research for their own internal purposes. Partners may also have an option to commercialise project intellectual property, in return for a royalty stream returning to the University. UWS **always seeks** to ensure the right to publish, in peer review media, the research arising from such collaboration, mindful of any commercialisation or confidentiality constraints.

NOTIFICATION

Applicants will be advised of the outcome of their application by the Pro Vice Chancellor (Research).

Successful applicants should note that appropriate ethics approvals must be obtained before funds will be released to applicants.

TIMETABLE

There will be two calls for applications each year: in 2009 the closing date for the second round will be 11th September. However, applications may in exceptional circumstances be submitted out of phase by contacting the Director of Research Services.

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.

Research Projects

Research Partnership Grants are recommended for specific research projects. The aims and significance of the research project should be stated in the clearest terms, with particular attention to the relevance to the nominated partner/s.

Research Partnership Grants will not be given for the production of teaching materials, even though 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 data bases, computer programs, or other research aids compiled as part of the whole project. It is not anticipated that the UWS Partnerships Program will provide for major purchases of equipment. Small-scale equipment and consumables may be justified under the "Maintenance" budget.

The Partner/s and the Investigators

The applicants should provide (a) evidence of research capacity; and (b) evidence that the partnership will support the proposed research aims and innovation. Reference to prior work by the applicants, particularly that related to the proposed research project, is essential.

Method of Investigation

In some fields it is possible to set down a 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, however, provides no reason for not stating them at all. Applicants should be able to give some indication of what material is expected to be available and what strategies and tactics they propose, at least initially, to adopt. Proposals that are vague or steeped in unnecessary jargon are unlikely to impress the 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 research projects at what it sees as an appropriate level to allow the research project to move expeditiously to a conclusion. Partner funding will involve total research contribution plus GST.

Financial information must address three areas:

- (i) the specification of various items requested under the headings personnel, maintenance, travel and other.
- (ii) a ranking of each of these items in terms of priority.
- (iii) a costing of each of the items at prices that will apply in the 12 months of the research project.

Full justification of all items is required. The Committee expects an explanation of the need for research or technical assistance and travel. Furthermore, 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 research projects judged to be the most outstanding 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.

Equipment

Equipment should include hardware items individually **costing \$1000 or more** including any installation costs. All requests must be fully justified. Costings should be based on the latest prices obtained from suppliers and not on estimates. Heads of Schools/Research Centre Directors must endorse standard equipment requests but please note that UWS research grants do not normally fund computer equipment and UWS IT Procurement Policy is that laptops are leased. All equipment purchased with funds from a UWS internal research grant will be located in the School/Centre of the Chief Investigator at the completion of the project and will be available for research purposes by all School/Centre staff.

Travel

Only travel directly associated with the research project, including travel costs incurred in using facilities at another centre, will be considered. When calculating travel costs, applicants should base their estimates on the standard rate for mileage, per diem expenses etc. See Finance web pages http://www.uws.edu.au/staff/adminorg/academic/fo/finop/fintrvl/trv_procedures

Time Release

The Partnership Program does not fund time-release from teaching.

REPORTS

Grantees will be required to submit a final report no later than six months after funding ceases to the Research Committee, via the Office of Research Services. A final report form will be sent to successful applicants by the Research Grants Officer at the end of the 12-month period.

SPECIAL CONDITIONS

Grantees must submit at least one application for external funds either under the Australian Competitive Grants Program – particularly ARC Linkage grant - or other major external funding schemes within twelve months from cessation of the UWS Partnerships funding. Failure to meet this obligation may prejudice future access to other competitive research support mechanisms within UWS.

Ethics & Safety: All research at UWS is carried out under the UWS Research Code of Practice - <http://policies.uws.edu.au/view.current.php?id=00166>. Any collaborative research project with external partners must satisfy the usual UWS ethics requirements regarding:

- a) human participants
- b) animal experimentation
- c) recombinant DNA
- d) ionising radiation
- e) other safety hazards

For more information contact: Human Ethics Officer – Kay Buckley Ext: 2883, humanethics@uws.edu.au or Research Ethics Coordinator (Animal & Biosafety) – Nicole Berta Ext: 2884, animalethics@uws.edu.au

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) and Partner Investigators (PI) 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. Non-UWS investigators are classified as Partner-Investigators (PI).

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 from UWS only

Summary totals by budget category are to be listed in the space provided and classified under the headings provided including a costing of each item at prices that will apply in 2009/2010. Priority (A, B,C) should be given to all funding requests. These funding requests relate to the monies being sought from UWS (do not include Partner contribution). All budget requests must be fully justified.

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 -

<http://www.abs.gov.au/ausstats/abs@.nsf/Latestproducts/6BB427AB9696C225CA2574180004463E?opendocument>

SEO Codes

This refers to Socio-Economic Objective (SEO) Codes. Details can be found at the Australian Bureau of Statistics website -

<http://www.abs.gov.au/ausstats/abs@.nsf/Latestproducts/CF7ADB06FA2DFD69CA2574180004CB82?opendocument>

ITEM 17 - 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 18 - Detailed Budget for UWS (A) & Partner Contribution (B)

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 - Detailed justification of Budget (Max. 1/2 page)

Fully justify each item listed in the budget (Item 18). For guidance see detailed advice at:

http://www.uws.edu.au/research/researchers/research_development_redevelopment/budget_justification

ITEM 22 - Ethics

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, the submission of a clearance from a relevant Ethics, Safety or Biosafety Committee will be required before the funds will be made available. 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.

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. The following broad headings should be used:

(a) **Aims and Significance of the Research Project – including bibliography:**

Background to the research questions: Applicants should provide an adequate background to the research questions the research project will explore. The aims should be argued – why should *this* work be funded? In essence, state the intrinsic merit of the research project.

As a large number of applications are considered by the Committee, it is in the interest of the applicant to present the material in clear prose with all technicality that may be not well known to be defined briefly and explained.

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

The aims and questions to be tested should be stated in the clearest terms, as should the significance of the research project. Cite key references where appropriate (identify title, beginning and ending pages).

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 research project.

Check

- Does the application clearly introduce your idea and the aims of the project? Situate the research within current literature and explain its significance? Provide background information? Attract the interest of the audience?
- Does the argument and purpose remain clear throughout?
- Is it appreciative of the various levels of knowledge/familiarity with the topic among the Committee?
- Have you given the reader a sense of the current views on the topic, so that there is a context in which to consider the argument? Do you explain the potential outcomes of the project?

(b) **Research Plan, Method & Techniques:**

The research plan should make clear the scope and limitations of the research project. 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. 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 most of the panel will evaluate the method on the basis of general principles of scholarly research.

Check

- Does the application provide a clear plan for the research?
- Does the application present the research question(s) clearly?
- Does the strategy employed follow logically from the problem and aims?
- Has the issue of data analysis been fully dealt with?
- Have any ethical issues been discussed and built into the overall research plan?

(c) **Timetable:** An indication of the proposed research timetable is required. The application should clearly delineate the anticipated role of each of the investigators/partners as well as that of any requested personnel

(d) **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 "How to write a Track Record Statement" - http://www.uws.edu.au/research/ors/research_development_redevelopment

(e) **Role of the partners in the proposed research:** Describe clearly the role each partner and partner investigator will play in the conduct of the research. Describe how the partnership arrangements will be managed across the life of the project.

Publications

Note: this section is separate to page limits

List all refereed publications by the Chief Investigators published in the period (2005-2009), 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.

<p>FUNDS WILL NOT BE MADE AVAILABLE UNTIL ALL THE APPROPRIATE ETHICS CLEARANCES HAVE BEEN OBTAINED</p>
