

RESEARCH GRANT SCHEME GUIDELINES

CLOSING DATE: 5PM, FRIDAY 30TH SEPTEMBER 2011

Submit this Application Form and Proposal by email (ja.white@uws.edu.au) before the closing date.

For the Certification/Endorsement (Items 21-25) we accept email approval, scanned or faxed copies to 4736-0905 (ext: 2905), in addition to hardcopies via mail (Jason White, Research Services, Building K1, Penrith Campus). Applicants are advised that a heavy teaching workload is not normally grounds for an extension to be granted.

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.

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.

OFFICE OF RESEARCH SERVICES APPLICATION ADVICE

For preliminary advice contact:

- Dr Jane Hobson (j.hobson@uws.edu.au, (02) 4736 0880, Ext: 2880) or Jason White (ja.white@uws.edu.au, (02) 4736 0895, Ext: 2895).

For detailed application advice, including budgets, and grant writing support contact your area's Research Development Officer:

- Kathleen MacDonald (k.macdonald@uws.edu.au, (02) 4736 0619, Ext: 2619)
- Jenny-Lee Heylen (j.heylen@uws.edu.au, (02) 4736 0972, Ext: 2972)
- Sharon Holst (s.holst@uws.edu.au, (02) 4736 0281, Ext: 2281)
- Kezia Sullivan (k.sullivan@uws.edu.au, (02) 4736 0889, Ext: 2889)

ELIGIBILITY

1. Only one application per Chief Investigator will be considered in any twelve-month period and all due final reports must have been completed.
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. Professional staff and Conjoint Appointments are ineligible.
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/Research/ResearchBlockGrants/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&R). Excellence will be the primary criterion in the assessment of proposals, both in terms of the research project and its anticipated outcomes.

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

APPLICATIONS WILL BE ASSESSED AGAINST THE FOLLOWING CATEGORIES OF SELECTION CRITERIA

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

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

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

The weight attached to each criterion will be at the discretion of the Committee. It is anticipated that this scheme will be highly competitive.

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 printed in **black only**.
- 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 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 or from [AuthOrder](#).

Panels expect to see evidence that Investigators are publishing in high quality journals as per the evidence of Journal Impact Factors (ISI, Scopus) and citations.

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 2012.

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/researchers/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/corpserv/fo/finop/fintrvl>

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

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

SPECIAL CONDITIONS

Grantees are required to submit at least one application for external funds either under the Australian Competitive Grants Program -

<http://www.innovation.gov.au/Research/ResearchBlockGrants/Pages/AustralianCompetitiveGrantsRegister.aspx> 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 & 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 - humanethics@uws.edu.au
- Animal Ethics - animalethics@uws.edu.au
- Biosafety and Radiation Safety - BioSafetyRadiation@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

To use the editable PDF application form, it is recommended that you first save the form to your computer and use Adobe Acrobat Reader to enter the requested information. The PDF form allows you to save your entered information, add or delete rows in the included tables and automates budget calculations. The font to be used is at least either 10 point Arial or 11 point Times New Roman printed in black.

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.

Professional staff and Conjoint Appointments are ineligible.

ITEM 3 - Financial summary of funds requested

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 2012. Priority (A, B, C) should be given to all funding requests. All budget requests must be fully justified. 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

Select both FOR and SEO codes using the drop-down list box. 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%.

For your information, the Excellence in Research for Australia (ERA) 2010 ratings for UWS can be viewed at - http://www.arc.gov.au/era/outcomes_2010/Institution/UWS. This applies to research undertaken between 1 January 2003 and 31 December 2008. The rating scale can be viewed at - <http://www.arc.gov.au/era/faq.htm#rating>.

a) Fields of Research (FOR) - This classification allows R&D activity to be categorised according to the field of research. In this respect, it is the methodology used in the R&D that is being considered. The categories in the classification include major fields of research investigated by national research institutions and organisations, and emerging areas of study.

b) Socio-economic Objective (SEO) - This classification allows R&D to be categorised according to the purpose or outcome of the R&D as perceived by the data provider (researcher). It consists of discrete economic, social, technological or scientific domains for identifying the principal purposes of the R&D. The attributes applied to the design of the SEO classification comprise a combination of processes, products, health, education and other social and environmental aspects of particular interest.

ITEM 6 – Key words

Enter between 1 and 6 keywords to describe the proposed research. Keywords should be of the kind normally required for submitting an article to a major refereed journal.

ITEM 7 - Summary of Research Project

Applicants must include in the application a plain language 100 word summary of the aims of the research, the expected outcomes and the likelihood of its contributing to economic or social benefits for Australia. This summary should be presented in a clear and understandable way for persons who are not necessarily experts in the field. The summary may be used for media purposes.

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 on the last page of 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".

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.

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

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 provides 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 reviews all animal research at UWS.
- The UWS Institutional Biosafety and Radiation Safety Committee (IBRSC) reviews all small scale work with recombinant DNA and other safety matters.

CERTIFICATION / ENDORSEMENT (ITEM 21-25)

Certification should be sought once the proposal has been completed.

Note: Proposals cannot go forward to the Committee without all the required signatures.

Head of Schools and Directors of University Research Institute/Centres must certify that the proposed research activity will benefit UWS and that the application does not seek funding for research activities already supported by other funding sources. When endorsing applications, Heads and Directors should consider the relative strategic value of the application(s) to the academic unit given the competitive nature of these grants.

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

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 (2008-2011), 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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| <p>FUNDS WILL NOT BE MADE AVAILABLE UNTIL ALL THE APPROPRIATE ETHICS CLEARANCES HAVE BEEN OBTAINED</p> |
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