

ECU INDUSTRY ENGAGEMENT SCHEME

2019 GUIDELINES

FOR FUNDING COMMENCING 1 JULY 2019

CLOSING DATE: Wednesday 22nd May 2019

CONTENTS

INTRODUCTION..... 3

SCOPE OF THE SCHEME 3

CHIEF INVESTIGATORS AND ELIGIBILITY 4

PARTNER INVESTIGATORS 5

PARTNER ORGANISATIONS..... 6

APPLICATIONS PER YEAR 6

PREVIOUS AWARDS 7

APPLICATIONS SUBMITTED UNDER OTHER SCHEMES..... 7

BUDGET 7

 BUDGET ITEMS SUPPORTED 7

 BUDGET ITEMS NOT SUPPORTED 8

SUBMISSION PROCESS 9

CLOSING DATE 9

APPLICATION ASSESSMENT 9

CRITERIA FOR ASSESSMENT 10

 Project Description and Background (15%) 10

 Approach and Methodology (15%) 10

 Collaboration, including the Commitment of the Partner Organisation (20%)..... 10

 Feasibility (10%)..... 10

 Expected Outcomes and Communication of Results (10%)..... 10

 Significance, Innovation and Impact (20%)..... 10

 Researcher(s) (10%) 11

APPEALS..... 11

PROJECT FUNDS 11

REPORTING..... 12

APPENDIX A..... 13

 PARTNER ORGANISATION LETTER OF SUPPORT TEMPLATE 13

APPENDIX B..... 14

 FURTHER FUNDING OPPORTUNITIES WITH INDUSTRY PARTNERS 14

INTRODUCTION

The ECU-Industry Engagement Scheme is closely aligned to the research directions outlined in the [ECU Strategic Plan, 2017-2021 – World Ready](#) document.

IMPORTANT - Applicants must take note that applications are not assessed by experts in the field and therefore need to ensure that the proposal is accessible to a broad audience. Use of overly technical language, or language specific to a particular discipline, along with jargon and acronyms should be avoided.

The application should contain all the information necessary for an assessment of the project without the need for further information or explanation. Additional documentation must not be submitted with the application, unless specified in this document.

Any application that does not fully comply with the 2019 Guidelines as outlined in this document, may be deemed ineligible.

For this 2019 round, projects which can be completed within 6 months (ending December 31st 2019) will be given priority with the intention this will generate preliminary data to inform future 2020 grant applications.

SCHEME OBJECTIVES

The objectives of the ECU-Industry Engagement Scheme are:

- To foster engagement and to develop long-term strategic research alliances between ECU and industry, government and the professions, both in Australia and elsewhere.
- To nurture collaboration between ECU researchers and industry, with a view to developing successful applications for externally-funded schemes involving collaboration with industry.
- To support collaborative research that results in quality peer-reviewed publications that include industry partners as co-authors¹.
- To provide limited-term funding to ECU researchers for research that is directly related to ECU's research priorities and which has high potential for excellent research outcomes that enhance ECU's reputation.

SCOPE OF THE SCHEME

Funding under the scheme will be restricted to areas of priority research focus² for ECU. The Scheme will not fund a PhD project, but PhD students are eligible to be named as co-investigators on relevant projects.

¹ In alignment with the ECU policy on [Authorship, Publication of Research, and Peer Review](#).

² Applicants for the 2019 round can align their projects to the previous ECU research priority areas, including to school research priorities, and/or to the proposed research themes.

- Funding is only available for research projects. Non-research projects will not be funded under the scheme.
- A Proposal must include at least one (1) Partner Organisation.
- Funding is available to support research conducted by ECU researchers in Australia and overseas.
- ECU staff who have been awarded funding through this scheme in the previous round are ineligible to apply for this round.
- The maximum grant awarded from the ECU Industry Engagement Scheme **will not exceed \$30,000**. The minimum that can be applied for is **\$10,000**. (see notes below).
- The combined Partner Organisation(s) eligible Cash Contribution must match the total funding requested from ECU-IE, with the minimum cash commitment required to be \$10,000 (exclusive of GST). i.e., for every dollar in cash invested by the Partner Organisation, ECU will match it to a maximum of \$30,000.
- Applicants may also receive cash contributions to the project from School sources. This may increase the funding priority (in that it signals a broad base of support for the proposed project) however will not increase the cash provided by the ECU-IE scheme which will match any industry funding regardless of other cash contributions. Confirmation from Associate Dean Research (ADR) of school cash commitment must be provided at time of submission.
- In-kind contributions to the project of goods, services or materials may include items such as personnel costs, work space, equipment and databases. It is expected that both the Partner Organisations AND the School will provide in-kind contributions.
- Applications for funding the same project and same industry partner, where that project has previously been successful in this scheme, will not be accepted.
- Grants will be awarded for up to 12 months only and no extension of funds duration or increase to the requested amount is possible.
- Funding will not be provided in instances where the Partner Organisation is seeking expert external assistance and which would be deemed to be contracted research or consultancies.

CHIEF INVESTIGATORS ROLE AND ELIGIBILITY

- Chief Investigators must hold a full-time or fractional (half-time - 0,5FTE, or greater) ECU appointment for the duration of the funded project including completion of the final report.
- The lead Chief Investigator must have been awarded a Higher-Degree-by-Research³ degree before the submission, or provide evidence of significant professional experience in a relevant industry. Co-investigators and partner investigators do not necessarily need to have a postgraduate degree.

³ Master Degree by Research or Doctoral Degree

- Lead Chief Investigators must be research active (this is defined as having produced at least 3 University approved research outputs within the previous 3 years. (These research outputs can be produced prior to appointment at ECU).
- All named ECU researchers on the application must have an [ORCID iD](#).
- Chief Investigators must demonstrate that they have the time and basic infrastructure to undertake the project, within the context of existing research, teaching and higher degree supervision responsibilities.
- All Chief Investigators are expected to take an active role in, and make a serious commitment to the project. The FTE commitment by the lead Chief Investigator is expected to be a minimum of 0.1FTE. Approval for this 0.1FTE time commitment will be made via the Associate Dean Research submission approval in RMS but must be discussed with line managers prior to submission.
- The lead Chief Investigator must undertake the role of project leader, with overall responsibility for all aspects of the project.
- A researcher will only be awarded a new grant as Chief Investigator under this scheme if they can demonstrate that they met the stated objectives of a previous award, including the submission of the final report.
- **A researcher with any outstanding or overdue reports (internal or external funding schemes) will not be eligible to submit an application in this round.**

INDUSTRY PARTNER INVESTIGATORS/CO-INVESTIGATORS

- Industry Partner Investigators are Investigators in the research project from an Industry Partner Organisation that do **not** hold a full or fractional ECU paid appointment.
- Industry Partner Investigators are expected to be employees of organisations outside the higher education sector.
- Industry Partner Investigators may be ECU Adjuncts.
- Industry Partner Investigators would be expected to provide significant intellectual input and relevant expertise to the project. The employing industry organisation must be prepared to free up the Industry Partner Investigator's time, and commit the appropriate operating costs, as required for the proposed project.

NON-INDUSTRY PARTNER CO-INVESTIGATORS

- People based at independent Medical Research Institutes (MRI) and Universities may be Co-investigators, however MRIs and Universities are not eligible to be an Industry Partner Organisation (see below).

INDUSTRY PARTNER ORGANISATIONS

- Partner Organisations must be either a private sector for profit organisation, a private non-profit organisation such as a charity, a Commonwealth, State or Local Government Agency; or an international organisation.
- Other Universities are not eligible to be Industry Partner Organisations.
- A Partner Organisation may participate in more than one project for which support is sought from this or another scheme, providing that the Organisation supports all successful proposals.
- Partner Organisation cash contributions will be administered by ECU.
- The Partner Organisation must confirm in their letter of support that they have read and understood the terms and conditions of the Industry Engagement Research Agreement.

NB. Where the Partner is unable to agree to the terms and conditions in the agreement, these terms and conditions are to be brought to ECU's attention within their letter of support. A letter of support template can be found in Appendix A.

A copy of the agreement can be found at: [ECU Industry Engagement Scheme Research Agreement](#).

Requirements for the Partner Organisation Letter of Support:

*A letter of support written by an authorised representative from each Partner Organisation must be included with the application. A template is provided (Appendix A) and letters must be no longer than two pages. **The application is not eligible** unless the signed letter(s) of support has been received by the grant deadline. The letter must:*

- Be on the Partner Organisation's official letterhead.
- Describe the Organisation and how this project fits and enhances the partner Organisation's mission.
- Confirm the expectations, scope, outcomes and timelines of the research project.
- Confirm the cash and in-kind contribution commitment to this project.
- Certify that it will meet the requirements outlined in the 2019 Guidelines, including the requirement to sign a research agreement.
- Confirm they have read the ECU Industry Engagement Scheme Research Agreement and are able to agree to the terms and conditions. Please ensure that you have discussed intellectual property ownership with the Partner Organisation (clause 6 of the [ECU Industry Engagement Scheme Research Agreement](#)). If the Partner Organisation wishes to negotiate any part of this agreement please highlight this in the letter. This will expedite the completion of research agreements between the Partner Organisation and ECU. The letter of support template can be found at Appendix A.

APPLICATIONS PER YEAR

A Lead CI can submit one application per year, however the committee may take into

account where significant university resources have already been granted to the applicant. They can be a named co-CI on other applications.

PREVIOUS AWARDS

- ECU staff who have previously been awarded funding through this scheme in the previous round are ineligible to apply.
- A researcher will only be awarded a new grant under this scheme if they can demonstrate that they met the stated objectives of a previous award, including the submission of the final report. **NB: A researcher with any outstanding or overdue reports (internal or external funding schemes) will not be eligible to submit an application in this round.**
- A researcher cannot hold more than one ECU-Industry Engagement grant as a Lead CI at any one time.

APPLICATIONS SUBMITTED UNDER OTHER SCHEMES

The same proposal may be submitted for funding under both this scheme and another scheme, including an external scheme, providing that any funds received under this scheme are relinquished on receipt of the other award.

BUDGET

Budgets should include direct costs as well as indirect costs. Cash contributions from the ECU Strategic Research Fund (this grant request) as well as any cash contributions from the School/Centre/Institute should be provided in the budget table. Include items that are essential for the completion of the project and are being supported by the grant. The amounts need to be shown in Australian dollars and the total amount to be rounded to the nearest dollar. This scheme is exempt from the University Service Charge (USC). Do not include USC in your budget.

BUDGET ITEMS SUPPORTED

ECU personnel

Requests for personnel should include:

- The official designation and level of the position (e.g. Research Assistant HEW 5.1);
- The Full-Time Equivalent (FTE) fraction (e.g. 2 days per week is 0.40 FTE);
- The total number of hours and the hourly rate for casual staff;
- Salary on-costs.

Equipment

Equipment can include hardware and software items individually costing \$1,000 or more. Researchers should plan to use existing available equipment wherever possible. Indicate the cost of equipment, including any installation charges, and the names of the manufacturer and supplier. The cost of equipment and installation should be based on the latest prices that can be obtained from the supplier. The cost of leasing equipment, where this is a more cost-effective

option than buying equipment, should be included. If approved for funding, all equipment purchased will remain the property of ECU.

Maintenance/Consumables

Maintenance costs can include:

- Consumables must include major headings only (a further breakdown of items and cost per item can be provided in the justification section);
- Equipment items costing less than \$1,000 (e.g. computer software and hardware);
- Printed material.

Travel

- Only economy class travel will be considered.
- All travel must be consistent with the [Edith Cowan University Travel Policy](#).
- Applicants should provide all costs for travel, including fares and per diem allowance for accommodation and meals. Travel (e.g. flights) should be itemized separately from per diem rates. Travel destinations should be clearly marked (e.g. Melbourne to Sydney). Estimates should be based on the [Australian Tax Office reasonable travel allowances](#).

Other

Any other budget items should be included here, including costs for items that do not appropriately fit under the other headings (e.g. workshop services, purchasing data, mailing surveys etc.). Also include in this section, expert services of a third party if the services are deemed to be directly related to and necessary for the proposed project (e.g. web designer, specialist technicians, expert data analysis).

BUDGET ITEMS NOT SUPPORTED

- Salaries of Chief Investigators and Partner Investigators
- Postgraduate research projects
- Basic facilities, resources and infrastructure (e.g. laboratory and office accommodation, IT support, photocopying and printing, etc.) except where there is a clearly demonstrated, project specific requirement (e.g. specialised IT requirements, printing and mailing of questionnaires, etc.)
- Capital works
- Student stipends and fees
- Research support for non-ECU investigators
- Shortfalls on other awards
- Conference travel
- Teaching relief

Please note: A School Finance Coordinator can assist with costing items for your budget. The budget should be checked by the relevant School Finance Coordinator before your application is submitted. Please liaise with your Research Administration Officer (RAO) research-preaward@ecu.edu.au to arrange this.

NOTE: All awarded funds must be expended within 12 months of research ethics approval.

SUBMISSION PROCESS

CI's must have completed an Expression of Interest (EOI) via the ECU Research Management System (ECU RMS) prior to developing their application. Once the EOI has been approved by the Associate Dean (Research), applicants can continue to develop their application.

Instructions on how to log onto the ECU RMS and create an Expression of Interest can be found at: [ECURMS Cheat Sheet Submitting an EOI](#)

Please note that the Research Administration Officer (RAO) from the Office of Research and Innovation (ORI) (see contacts on the application form) and your School Finance Coordinator will need to review the final copy of your application prior to submission. Your RAO will contact you regarding internal deadlines. Your RAO will upload it to RMS and coordinate the required pre-submission approval by the Associate Dean (Research). Once approved, your RAO will coordinate submission and ORI will send you an email confirming submission.

Assistance with your EOI and/or the administrative aspects of your application, as well as any queries regarding the funding rules, guidelines or application form is available from your RAO research-preaward@ecu.edu.au.

CLOSING DATE

Applications close Wednesday 22nd May 2019

APPLICATION ASSESSMENT

Applications will be assessed on a competitive basis by representatives of the ECU Research Professoriate. If discipline-specific information is required, advice from the appropriate Associate Dean Research will be sought.

When considering applications for funding, the committee will take into account where significant university resources have already been applied to the applicant's research efforts.

For this 2019 round, projects which can be completed within 6 months (ending December 31st 2019) will be given priority with the intention this will generate preliminary data to inform future 2020 grant applications.

IMPORTANT - On occasion, the committee may decide that applications would benefit from assessment by an independent specialist in the field so may be sent for external assessment. Applicants will be informed should this occur.

Occasionally, the assessment committee will identify applications which could be funded on the provision that amendments are made. This is in keeping with the developmental nature of the scheme. In these cases, the application will be returned to the first named Chief Investigator with feedback; the first named Chief Investigator will then have two weeks to submit a revised application. The revised application must be accompanied by a covering letter/email explaining the changes that have been made in response to the feedback provided. The final assessment of the application will then be carried out on the resubmitted application. There are no guarantees that a resubmitted application will be funded.

CRITERIA FOR ASSESSMENT

Applications will be assessed against the following criteria:

Project Description and Background (15%)

- Does the background provide sufficient information to understand the context of your project?
- How does the project fit into progress already made in the field of research both nationally and internationally?
- Are the aims well described and achievable with the infrastructure available and within the timeframe?

Approach and Methodology (15%)

- Are the conceptual framework, design, methods and analyses adequately developed and well integrated?
- Are they appropriate to the aims of the project?
- Does the application acknowledge potential limitations of the proposed methods and the generalisability of the research?
- Are the objectives achievable within the proposed timeframe?
- Has relevant pilot work been conducted?

Collaboration, including the Commitment of the Partner Organisation (20%)

- Is there evidence that the Partner Organisation(s) is genuinely committed to and prepared to collaborate in the research project (e.g. joint development of the application, and joint management of the research project, by the Chief Investigator(s) and the Partner Organisation(s))?
- Is the combination of cash and in-kind contributions by the Partner Organisations reasonable?
- How will the project lead to further collaboration between the Partner Organisation(s) and ECU, and have potential for the development of long term alliances?

Feasibility (10%)

- Is there an existing, or developing, supportive and high-quality research environment for this project, both within the School and in the Partner Organisation(s)?
- Are the necessary facilities available to conduct the proposed research?

Expected Outcomes and Communication of Results (10%)

- Are there adequate strategies in place to enable translation of research outcomes and/or to encourage dissemination and promotion of the research outcomes to both researchers and the general public?
- Will the outcomes of this project lead to future research collaborations with this or other industry partners?
- Will the outcomes lead to external grant applications?
- What high-quality peer-review outputs will arise from this project?

Significance, Innovation and Impact (20%)

- Does the project address an important problem?
- If the aims of the project are achieved, how will knowledge be advanced?
- What will be the benefit of this project for the Partner Organisation?
- Does the project employ novel concepts, approaches or methods?
- Are the aims original and innovative?
- Does the project challenge existing paradigms or develop new methodologies or technologies?

Researcher(s) (10%)

- Is/are the applicants(s) appropriately trained and suited to carry out and/or supervise the work?
- Is the work proposed appropriate to the career path and experience level of the applicant(s) taking into account the quality of previous achievements, including refereed publications and any awards or prizes?
- Does the research team involve early career researchers?
- What mentorship of junior or emerging researchers will be provided?

APPEALS

Appeals will only be considered against the implementation or application of the selection procedures. Appeals will not be considered against the merits of a decision not to fund an application, or against any academic feedback provided to the applicant.

Applicants wishing to lodge an appeal must do so in writing to the Deputy Vice-Chancellor (Research) within two weeks of the application outcome advice.

PROJECT FUNDS

A project may not begin, nor may the funds be expended, until the first named Chief Investigator has accepted the grant and the conditions of the Guidelines via the Research Management System, all required ethical and other clearances have been obtained, and an agreement has been signed between the University and the Partner Organisation(s). The total duration of the funding for the project is 12 months from the time of the above approvals.

The Office of Research and Innovation (ORI) will draft the agreement, which will outline the roles of the Partner Organisation(s) and the University in the project, intellectual property arrangements and include the contributions of the organisations (including in the case of the Partner Organisation(s) the cash and in-kind contributions). Please see the standard ECU Industry Engagement Scheme Research Agreement.

Where a Partner Organisation, or Partner Investigator organisation, is unable to comply with this agreement they are required to note the areas of non-compliance on the template provided and attach to their letter of support.

Expenditure on the project must be in accordance with the Budget section of the Guidelines and the Application and with the aims and research plan of the project.

Any over-expenditure on the project will be the responsibility of the first named Chief Investigator and the School.

Any unspent funds at the end of the 12 months will be recovered by the University. No extension of funds duration or increase to the requested amount is possible.

Likewise, any significant changes to the project, including to the Partner Organisation(s) or Partner Investigator(s) must be approved by the Manager of Research Operations, Office of Research and Innovation at c.beetles@ecu.edu.au

The Partner Organisation's cash contribution must be paid into a designated University Project account. Partner Organisations will be invoiced for their cash contribution by ECU. Partner Organisations may be eligible for the R&D tax incentive on cash contributions to research and should seek independent financial advice.

REPORTING

The first named Chief Investigator is required to provide a written report on the outcomes to ORI, no later than one month after the completion of the project. The Industry Partner(s) is also required to complete a pro-forma which forms part of the final report. These report pro-formas are available from the [Office of Research & Innovation website](#).

The report should include a 100 word summary written for an informed lay reader. This summary may be used for promotional purposes and should not contain any confidential information or information likely to impede the commercialisation of the project's intellectual property.

APPENDIX A

PARTNER ORGANISATION LETTER OF SUPPORT TEMPLATE

<insert date>

<insert address details>

Dear <chief investigator>

Re: ECU Industry Engagement Scheme application 'Insert Title'

<please insert a description of the Partner Organisation and how this project fits with your Purpose and business strategy. Outline the expectation, scope, outcomes and timeline of the research project agreed by the Partner Organisation >

XXX are pleased to support this research project as a Partner Organisation and will be contributing the following financial support:

In-kind contribution exc. GST	\$
Cash contribution excl. GST	\$
Total excl. GST	\$

The above financial support will be used towards XXX

I understand that XXX will enter into a research agreement with Edith Cowan University for this research project and XXX has read and agrees with the Guidelines and the ECU Industry Engagement Scheme Research Agreement except for the following: *(please detail any areas for negotiation in the table below)*.

Clause no.	Clause Heading	Partner Organisation Comments

Yours sincerely

APPENDIX B

FURTHER FUNDING OPPORTUNITIES WITH INDUSTRY PARTNERS

ARC Linkage Projects

Linkage grants support the initiation and/or development of long-term strategic research alliances between higher education organisations and industry and other research end-users, in order to apply advanced knowledge to problems to provide opportunities to achieve national economic, commercial, environmental, or social benefits. Applications can be made by the research organisation and must include at least one Partner organisation. The Partner(s) must make a contribution (cash plus in-kind) that is equal to the sum requested. Applications can be made at anytime. Funding from \$50,000 to \$300,000 per year for 2-5 years can be requested.

<https://www.arc.gov.au/grants/linkage-program/linkage-projects>

ARC Industrial Transformation Research Hubs (ITRH)

The ITHR scheme provides funding to Eligible Organisations to engage in cutting-edge research on new technologies and economic, commercial and social transformation which support the development of research outcomes that benefit industry partners in the Industrial Transformation Priorities. The Industrial Transformation Priorities are priority research areas identified by the ARC that are updated from round to round. The current Industrial Transformation Priorities are: Advanced Manufacturing; Cyber Security; Food and Agribusiness; Medical Technologies and Pharmaceuticals; Mining Equipment, Technology and Services; and Oil, Gas and Energy Resources.

The Partner(s) must commit funding (cash and in-kind) to match the total funding requested. Funding can be from \$500,000 to \$1million per year for 3-5 years and proposals must include at least one Partner organisation.

<https://www.arc.gov.au/grants/linkage-program/industrial-transformation-research-program/industrial-transformation-research-hubs>

Cooperative Research Centres Projects (CRC-P)

CRC-P grants support short term (up to three years) industry-led collaborations between industry, researchers and the community to develop a product, service or process that will solve problems for industry and deliver tangible outcomes. CRC-P grants are open to all industry sectors and research disciplines and applicants should be in a collaboration which contains at least two Australian industry organisations, including one small or medium-sized enterprise (SME) and at least one Australian research organisation. Grants from \$100,000 to \$3 million are available.

<https://www.business.gov.au/assistance/cooperative-research-centres-programme/cooperative-research-centres-projects-crc-ps>

NHMRC Development Grants

The Development Grants scheme provides financial support to individual researchers and/or research teams to undertake health and medical research within Australia at the proof-of-concept stage that specifically drives towards a commercial outcome within a foreseeable timeframe. Research supported by this scheme must, via a commercial business plan, have detailed feasible strategies for commercialisation that takes into account the regulatory pathway, protectable IP, commercial barriers and potential routes to market.

<https://nhmrc.gov.au/funding/find-funding/development-grants>

For further grant assistance please contact researchpreaward@ecu.edu.au