

**ATTACHMENT A**

**EDITH COWAN UNIVERSITY**

**ECU - INDUSTRY COLLABORATION  
SCHEME**

**Guidelines for Year 2004 Grants**

**November 2002**

## **Purpose**

- 1 The aim of the Scheme is to support research initiatives, which lead to increased collaboration between ECU and industry, particularly in the service industries and the professions. (Please note that collaborative research training initiatives are supported by the separate ECU-Industry Scholarships Scheme. For further information please contact the Scholarships Officer on 9370 6028.)

## **Background**

- 2 The Scheme reflects the Linkage element of the Government's White Paper "Knowledge and Innovation: a Policy Statement on Research and Research Training". The Scheme is closely aligned to the research directions outlined in the University's Strategic Plan and in the Research and Research Training Management Plan.

## **Objectives**

- 3 The objectives of the ECU-Industry Collaboration Scheme are:
  - to encourage and develop long-term strategic research alliances between ECU and industry, particularly in the service industries and the professions;
  - to nurture collaboration between ECU researchers and industry, with a view to subsequent successful application for a grant from the Australian Research Council's Linkage - Projects, or another externally-funded scheme involving collaboration with industry; and
  - to support collaborative research on issues of benefit to regional and rural communities.

## **Scope of the Scheme**

- 4 Funding under the Scheme will be restricted to areas identified in the current Research and Research Training Management Plan, as University research strengths and emerging strengths. These areas are listed in Appendix 1 to these Guidelines.
- 5 If a research proposal has been submitted to another funding agency for support, that proposal is not eligible for consideration under the ECU-Industry Collaboration Scheme.
- 6 The Scheme supports research projects undertaken to acquire new knowledge and involving risk or innovation. It does not support studies that, while important in themselves, do not lead to conceptual advances or discoveries. The critical element is the interaction from the outset with actual or potential users of research outcomes. Grants will provide "seeding" funds for a period of one year only to assist ECU researchers to develop and nurture relationships with industry.

- 7 Consequently, the Scheme does not support
- projects which do not significantly enhance links with industry;
  - scholarly investigations which do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications;
  - projects where the industry partner is seeking expert external assistance to develop specific applications involving little innovation or low risk, which would be deemed to be contracted research or consultancy;
  - extensions of existing projects previously funded under an Australian Research Council (ARC)/DEST scheme such as the Linkage - Projects;
  - production of teaching materials;
  - activities that lead solely to the creation or performance of a work of art;
  - compilation of data, unless an integral part of a broader project;
  - development of research aids and tools (including databases and computer programmes), unless an integral part of a broader project.

### **Level of Funding**

- 8 The minimum grant size is \$20,000 and the maximum is \$30,000. It will be a condition of a grant that the industry partner provides matching support in cash and in kind. The minimum cash contribution is \$5,000 (exclusive of GST) however, preference will be given to applications in which a high proportion of the industry support is in cash. Applicants should note that the cash contribution is an important indicator in judgements about the degree of commitment and level of collaboration from the industry partner. However, if the partner is a charitable or not-for-profit organisation which is unable to provide a high proportion of cash, please attach an explanatory statement.
- 9 The industry partner cash contribution must be paid into an ECU account.

### **Duration of Funding**

- 10 Grants will commence in 2003, and will be for a period of one year from the date of signing of the agreement between the University and the industry partner. Grants will not be renewed for a second year. The Grant may be cancelled if within 3 months of the grant award, an agreement has not been signed between the University and the industry partner.

### **Unexpended Grant**

- 11 Where the participant has not expended the full amount of the grant during the period of the grant, any such unexpended funds must be returned to the Office of Research Services within thirty days of the completion of the grant.

### **Eligibility**

- 12 The Chief Investigator(s) will be a member of the academic staff of the University holding a full-time appointment or a fractional appointment of half-time or more.

## Industry Partners

- 13 To be eligible as an industry partner, an organisation must be a private sector industry organisation, a Commonwealth, State or Local Government Agency, or a private non-profit organisation. In the event of any doubt about the eligibility of a proposed industry partner, the definitions set out in the guidelines for the ARC's Linkage – Projects shall apply. The industry partner must sign the certification page at Section 6.3 of the application form.
- 14 The application should include a detailed description of the collaborative arrangements proposed and a clear indication of how the industry partner will be involved in the project. Details of the nature of the collaboration should be presented both in descriptive terms and in figures. Applications should make clear how the collaborating partner is involved in the project, how the project fits into the company's or agency's overall strategic plan and how the project is of value to the company or agency. The contribution of the industry partner must be specific to the project and not part of a broader contribution to the University.
- 15 If the University approves a grant that is less than the amount sought in the application, the industry partner contribution may be reduced by the same proportion, provided that the industry partner contribution must at least match, in cash and in kind, the total amount provided by the University.
- 16 A potential industry partner is welcome to participate in more than one project for which support is sought from this or another scheme, on the understanding that the industry partner will be committed to supporting all successful applications.

## Budget Items

- 17 The following project costs are supported under the Scheme:
  - personnel (including research associates, research assistants, technicians, laboratory attendants, etc.)
  - equipment
  - maintenance
  - travel, except for regular travel over short distances between the University and the industry partner
  - other (except items listed under paragraph 18 below)
- 18 The following items will not be funded under the Scheme:
  - basic facilities, resources and infrastructure (e.g. laboratory and office accommodation; use of photocopiers, telephones, mail, fax, email and internet services; basic computing, word processing and microfilm reading facilities [except for access to high-performance computers]; basic library collections; access to workshop services)
  - salaries of Chief Investigators
  - capital works

- postgraduate student stipends (Refer to the separate ECU-Industry Scholarships Scheme. For further information please contact the Scholarships Officer on 9370 6028.)
- international students' fees and Higher Education Contribution Scheme (HECS) liability for Australian students
- research support for investigators not resident in Australia

### Future collaboration

- 19 The project should form an appropriate basis for a subsequent application for a grant from the ARC's Linkage - Projects, or another externally-funded scheme involving collaboration with industry. Applicants will be required to nominate the external scheme to which they will subsequently apply, if they are awarded a grant from the ECU-Industry Collaboration Scheme.

### Assessment Process and Criteria

- 20 Applications will be assessed against the following criteria:
- the quality of the proposed research, including:
    - significance and innovation (25%)
    - approach and methodology (20%)
  - the quality of the researcher or research group (20%)
  - the nature and extent of the collaboration, including the commitment of the industry partner (25%)
  - the prospects for continuation of collaboration after funding from this scheme ceases, and evidence of a strategy for attracting continuing funding (10%)

Further details of these criteria are set out in Appendix 2.

- 21 A Central Selection Panel will consider all applications. (Refer to Para 22) Only high quality applications will be funded. Final recommendations will be forwarded to the Vice-Chancellor for approval.

### Timetable for consideration of applications

- 22 a) The timetable for consideration of **ROUND 1** applications in 2003 will be:
- |                                 |   |
|---------------------------------|---|
| <b>30<sup>th</sup> May 2003</b> | Closing date for applications with Office of Research Services                        |
| 20 <sup>th</sup> June 2003      | Central Selection Panel completes consideration of applications and recommends grants |
| 4 <sup>th</sup> July 2003       | Announcement of grants  |
- b) The timetable for consideration of **ROUND 2** applications in 2003 will be:
- |                                     |   |
|-------------------------------------|---|
| <b>31<sup>st</sup> October 2003</b> | Closing date for applications with Office of Research Services                        |
| 21 <sup>st</sup> November 2003      | Central Selection Panel completes consideration of applications and recommends grants |
| 5 <sup>th</sup> December 2003       | Announcement of grants  |

## Central selection panel

- 23 The Central Selection Panel will comprise:
- the Pro Vice-Chancellor (Research and Advancement) as Chair,
  - one member of the University's Research and Higher Degrees Committee appointed by the Chair of the Committee,
  - two members external to the University

## Agreement

- 24 A project may not begin, nor may grant funds be expended, until the industry partner and the University have entered into a written agreement. The agreement should include
- The respective roles of the industry partner and the University in the project.
  - An undertaking by each party to provide the necessary resources (including in the case of the industry partner an explicit statement of cash and in-kind contributions); and
  - Arrangements for the sharing of intellectual property rights, if appropriate.
- Where no agreement has been reached between the University and Industry Partner within 3 months of the announcement of the grant, ECU may terminate the project.

## Report

- 25 A report on the outcome of the project must be submitted to the Office of Research Services in the prescribed format (see Office of Research website <http://www.ecu.edu.au/research/resmain.html>) not later than six months after the expiry of the grant period, including progress in attracting continued funding from external sources.

\*\*\*\*\*

## **Areas of research strength**

### Description of Research Strengths

#### ***Research for the Service Professions***

Research for the Service Professions addresses social change in the service professions; clients of the service professions; literacies and the service professions; and performance standards in service professions. Researchers from the disciplines of education, applied linguistics, psychology, social sciences, business services, and applied financial economics support these research programs. Research is supported by the Institute for the Service Professions; Centre for Applied Language and Literacy Research, the Centre for Social Research, and Finance and Capital Markets Research Group. It is anticipated that, in the near future, aspects of research for the health professions and public sector management may be linked to programs of research in this strength.

#### ***Health and Environment***

Research on Health and Environment encompasses a number of fields of research within the biological sciences including: health, cancer, human genetics and environmental management. The Centre for Human Genetics, the Centre for Ecosystem Management, Centre for Health and Ageing, and the Cancer, Palliative Care and Family Health Collaborative Research Team support research in this area.

#### ***Communications, Information and Microelectronic Technologies***

Research in this strength includes research in communications media, E-commerce, computer science and information technology, and very high-speed micro-electronic engineering. Research in this area is supported by the Centre for Very High Speed Microelectronic Systems, Working for e-Business Centre and the Internet and Computer Security Laboratory Group.

**Assessment Criteria**

**Significance and innovation (weighting - 25%)**

Does this project address an important problem? If the aims of the project are achieved, how will scientific knowledge be advanced? What will be the effect of this project on the concepts or methods that drive this field? 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?

**Approach and methodology (weighting - 20%)**

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 problem areas and consider alternative tactics? Are the objectives achievable within the proposed timeframe?

**Researcher(s) (weighting - 20%)**

Is the applicant(s) appropriately trained and well suited to carry out and/or supervise this work? Is the work proposed appropriate to the career path and experience level of the applicant(s) taking into account the quality of their past achievements, including their academic record, any awards and prizes, their research performance and evidence of refereed publications?

**Industry partner commitment and collaboration (weighting - 25%)**

Is there evidence that the industry partner is genuinely committed to, and prepared to collaborate in, the research project, (e.g. joint development of the application by the chief investigator(s) and the industry partner and joint management of the research project by the chief investigator(s), and the industry partner)? Is the combination of cash and in-kind contributions by the industry partner reasonable?

**Prospects for further collaboration (weighting - 10%)**

Is the project likely to lead to further collaboration between the industry partner and ECU, and have potential for the development of long-term alliances? Is the project, if funded under the ECU-Industry Collaboration Scheme, likely to form the basis of a successful Linkage - Projects or similar application? Is there evidence of a strategy for attracting Linkage - Projects or similar funding?





Proposal to: **City of Joondalup**

Proposer: **Small and Medium Enterprise Research Centre (SMERC), Edith Cowan University, Joondalup**

Project: **Strategic Directions for the CBD Enhancement Project Steering Committee – An Economic Development Research Proposal**

Date of Proposal **2 April 2004**

# **Strategic Directions for the Enhancement of the City of Joondalup Central Business District**

Small and Medium Enterprise Research Centre  
Edith Cowan University

## **Research Proposal**

### **Background**

The City of Joondalup's CBD Enhancement Committee is reviewing its economic and community development strategies and requires a focussed review of the activities of the City's business community in order to support the City's strategic development planning.

The review will provide evidence and data that will underpin the future decisions for the City concerning how it will grow and develop its Central Business District. A key stakeholder in these developments are the business owners and their input will be sought for this review.

The CBD of Joondalup has been enduring a slow growth period over the past five years, which has resulted in closures of some small business and a high degree of vacancies in its business rental market. In order to address these issues the City of Joondalup needs to better understand its business community and the requirements of the community, thus enabling the City to assist and support this important commercial sector.

It is proposed that the Small and Medium Enterprise Research Centre (SMERC) at Edith Cowan University conduct a business audit that will review the current business activity and provide indicators and predictors of economic hot spots within the City boundaries that can be targeted for growth and development. The project will build upon several related studies and scoping activities that have been conducted over the past seven years and will deliver an economic profile of the business community by sector and by economic contribution.

### **Rationale**

The project will identify current businesses and will develop a snapshot of the City's business community, looking at the interrelated connections of supply and demand, the needs and growth potential of the business community, the opportunity for new and emerging enterprises within the business community, the level of employment and potential for new employment growth and the barriers to enterprise – both for growth and development – within the City. The report will help inform the City's planning processes and make recommendations that will provide predictors and indicators for the City to benchmark progress.

### **Project Scope**

The proposal from SMERC for the City of Joondalup includes the following:

- ❑ A review of the demographics of the local business community, including location, size and industry sectors via City of Joondalup sources;

- ❑ A review of all previous studies conducted into businesses and economic opportunities within the City of Joondalup;
- ❑ Identification of new and emerging opportunities for business development in the region, through available gap analysis and emerging enterprise opportunities;
- ❑ A review of the interrelationships between sectors, both at the supply chain level and the business-to-business level;
- ❑ A review of the use of technology and e-commerce activities of business owners in the region; and
- ❑ Recommendations for strategic development from the study.

## **Methodology**

The study would be conducted in several stages.

### **Stage 1**

- A comprehensive desktop review by the research team which will consist of a dedicated senior project research assistant and the research managers (Dr Beth Walker and Dr Beverley Webster)

### **Stage 2**

- A major survey of businesses in the City of Joondalup (approximately 1500) which will consist of
  - Initial in-depth interviews with up to 30 local businesses to gain a feel for the situation from the business owners perspective and to assist in the development of the main questionnaire.
  - A mail survey of local businesses (approximately 1500). The businesses would be qualified before hand by telephone to ask for participation agreement. Although this is a costly exercise it will ensure a significant response rate of between 40-60%.

### **Stage 3**

- Two focus groups, one consisting of Joondalup residents from northern wards and one from south wards to ascertain their views on the CBD and to discover their personal spending habits.

### **Stage 4**

- A written report with recommendations for both short term and long term strategic plans for business direction for the City of Joondalup.

## **Outcomes for the project**

The project will have the following key outcomes:

- ❑ A detailed review of the studies from the previous seven years that relate to the region and a brief literature review on their contents and applicability to the project and outcomes.
- ❑ A report for the City to use in its planning and development work to promote and enhance the business and economic strategies.
- ❑ A collaborative process of review and action in which the City officers are included in the work to be undertaken so that capacity is built within the economic

development unit for the ongoing professional links between the City and the University.

### **Budget**

	<b>ECU</b>	<b>CoJ (in-kind)</b>	<b>CoJ</b>
Senior research assistant (3 days for 15 weeks)			\$11,250
15 weeks project management	\$12,000		\$3,000
Access to databases and other facilities including office and telephones and data analysis software.	\$5,000		
Personal interviews	\$3,000		\$1,750
Qualification of database including telephone calls			\$3,100
Printing and postage of 1500 questionnaires		\$2,500	
Return postage (estimate)			\$750
Data entry			\$2,650
Data analysis and interpretation	\$4,000		\$1,500
Report writing	\$1,000		\$1,000
Continuous liaison with the CoJ and final Presentation of the written report and recommendations	\$1,000		
Community focus groups, ECU to facilitate, CoJ to provide overall administrative support including venue organisation and catering		\$4,000	\$1,000
	<b>\$26,000</b>	<b>\$6,500</b>	<b>\$26,000</b>

*This budget does not include GST.*

### **Time Frame for the project**

It is proposed to commence the project in April 2004, with final report and recommendations will be submitted in August 2004.

### **Milestones**

As this is a significant project spanning several months the research team would meet on a regular basis with City of Joondalup officers in order to maintain focus and to keep the Council informed. In addition an interim presentation would be made to Council prior to the final report being submitted.