



URC Commercial Research Development Fund 2011 - Guidelines

1. Background

- 1.1 Funding is available from the URC Commercial Research Development Fund to support the creation and development of new commercial research (*i.e.* contract research and consultancy) relationships with external clients (business, industry, not-for-profits, government departments or agencies). This fund does not support commercialisation (*i.e.* licensing, spin-out) activities. The proposed external client(s) should be of strategic importance to both UOW and the researchers applying for support, with the expectation of developing the relationship beyond a single project. It would be expected that at least one contract research project or consultancy project would result from this interaction within 6 months of the Commercial Research Development Award.

2. Objectives

- 2.1 The primary objective of this scheme is to support UOW staff to initiate, explore and develop commercial research opportunities with partners of strategic interest to both UOW and individual researchers. Applicants should identify/describe the strategic importance of the partner(s) and how the proposed activities will lead to increased commercial research engagement with these partners. The subsequent commercial research activity should generate quality research and/or commercial outcomes, such as:
- publications;
 - increased research staffing;
 - profit from commercial research income;
 - relationships leading to further commercial research projects, scholarships, joint submissions for grant funding or other such wider interactions;
 - new intellectual property; or
 - commercialisation income, *e.g.* through eventual royalties (note: these must arise from the commercial research activities as the fund is not intended to support commercialisation *per se*).

3. Selection Criteria

- 3.1 The criteria used to assess applications are:
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| 1. reputation/appropriateness/market position of the proposed partner(s) | (25%) |
| 2. strategy to further develop relationship and likelihood of its development | (25%) |
| 3. strategic importance of the partner to UOW and to the researchers | (25%) |
| 4. commitment of the proposed partner(s) to establishing a relationship | (25%) |

4. Assessment Procedure

- 4.1 In 2010, applications may be submitted at any time and will be considered within 4 weeks of submission. Applications that do not comply with these Guidelines and are considered ineligible,

will be returned to the applicant with feedback and may be resubmitted once the ineligibilities have been addressed.

- 4.2 Eligible applications will be assessed by a selection committee comprising the Deputy Vice-Chancellor (Research), the Director of Commercial Research and at least one other member of academic staff who has the appropriate skills to evaluate the proposal. The applicants will be provided with an outcome within approximately four weeks of submission, together with feedback from the evaluation committee. The evaluation committee will base their decision on the selection criteria above and may also seek advice from (or include) the relevant Faculty Research Committee Chair or other appropriate Faculty members.
- 4.3 Applicants are encouraged to seek advice from the Commercial Research Unit (CRU) in regards to support that this unit can provide for commercial research development activities. In addition, where there is potential to develop research outcomes with commercialisation potential, the applicants are encouraged to liaise with their Faculty Manager of Innovation and Commercialisation.

5. Appeals

- 5.1 Individuals have the right to appeal the outcomes of the evaluation committee's decision on their application **only** on the basis of failure to follow due process. Should any individual wish to appeal the outcome of an evaluation committee decision, they must notify the Director of Commercial Research in writing of their intention to appeal within 14 days of receipt of advice of the evaluation committee's decision.
- 5.2 The Director of Commercial Research will refer the matter to the Deputy Vice-Chancellor of Research for consideration. If the DVC(R) determines that there are grounds for appeal, then he/she will convene a meeting of the URC Appeals Committee.
- 5.3 The URC Appeals Committee will comprise:
 - the DVC(R);
 - the Dean of the relevant Faculty; and
 - a senior academic nominated by the DVC(R) who is a member of the URC but not a member of the relevant Faculty.

6. Eligibility

Applicant Eligibility

- 6.1 To be eligible to apply for URC Commercial Research Development Fund support, you must be a UOW staff member who is employed for the duration of the grant. Members of both academic and general staff are eligible to apply.

Commercial Research Client Eligibility

- 6.2 Eligible external clients are businesses, industry, not-for-profits, government departments or agencies, individuals, and law firms located within Australia or offshore. Other Universities are not eligible commercial research clients for the purposes of the Commercial Research Development Fund scheme.

Eligible Activities

6.3 Activities likely to be supported are those activities that will be tailored to the individual needs of both the researchers themselves and the prospective external client, such as:

- travel to visit the client's premises for strategic discussions relating to specific commercial research opportunities;
- hosting workshops to scope future commercial research activities;
- costs associated with hosting a targeted visit from prospective clients;
- detailed customer research (*e.g.* surveys);
- the development of promotional materials, such as trade-show displays and brochures; and
- pilot studies to examine the feasibility of engagement or suitability of expertise/equipment.

6.4 The URC Commercial Research Development Fund is flexible in the types of activities that it will support, however the following activities are **not** eligible for support:

- literature reviews;
- scholarships;
- items of equipment;
- website development;
- costs associated with academic conference attendances;
- staff salaries to undertake commercial research or for time spent meeting prospective clients; and
- activities that the Commercial Research Unit would normally undertake.

7. Application Procedure

7.1 Applicants must use the URC Commercial Research Development Fund Application Form available from the UOW website. All attachments must be in black type using 12-point Times New Roman or Arial font on white A4 paper, with at least 2cm side margins.

7.2 Applications consist of two parts:
1. the Application Form; and
2. Attachments with supporting documentation.

7.3 Applications must be sent via email to Elizabeth Eastland (eastland@uow.edu.au) and copied to Gina Portscher (gina@uow.edu.au). Any attachments should be sent in Word or PDF format.

7.4 Normally, only one URC Commercial Research Development Fund grant will be awarded per year to a researcher.

8. Budget

8.1 Successful applicants can only use the funds awarded under the URC Commercial Research Development Fund for the purposes outlined and justified in their original application. Funding must not be used to duplicate existing project funds.

8.2 Wherever possible, prospective commercial research clients should be encouraged to commit resources to establishing the relationship. It is important that the partner's expectations are managed and that they are not given the impression that UOW will subsidise any subsequent commercial research engagements.

9. Funding Allocations

9.1 URC Commercial Research Development Fund grants will generally be between \$1,000 to \$5,000. Projects should not generally exceed 4 months in duration.

10. Approvals

10.1 The Application Form must be signed and approved by the relevant Head of Unit and Dean.

11. Supporting Documentation

11.1 Up to 4 pages of Supporting Documentation can be included in the application. Supporting documentation must be relevant and may include the items listed below.

Letter of Support from the Commercial Research Client

11.2 Letters of support should be on signed company letterhead or sent from an official email address and provide evidence of the client's potential interest in developing a commercial research relationship with UOW.

Intelligence on the Opportunity

11.3 Any market intelligence on the prospective client or market opportunity should be limited to 2 pages in length.

Reports on Previously Supported Activities

11.4 Past successful applicants of the URC Commercial Research Development Fund in the previous three years **must** provide a brief progress report on previously supported projects. Such a report must include details of commercial research activities undertaken as a result of support and outcomes achieved (including other research support obtained or provided by the client). In the Fund's first year of operation (2008), reports on previously supported URC Research Partnerships Grants should be provided.

12. Reporting Requirements

12.1 A final report detailing the outcomes of the URC Commercial Research Development Fund support is required within 3 months of the completion of the grant (the Commercial Research Unit will send a reminder 3 weeks prior to the due date). There is no reporting *pro forma*, but reports should be no more than one page in length and should include:

- details of any commercial research activities undertaken as a result of support;
- outcomes achieved;
- details of any evidence of relationship development; and
- any feedback provided from prospective commercial research clients.