

China-NSW Collaborative Research Grant Program

An initiative of the China and
New South Wales Governments

Guidelines for Proposals 2009



OSMR 
NSW OFFICE FOR SCIENCE & MEDICAL RESEARCH
Department of State and Regional Development

*Department of International Cooperation,
Ministry of Science and Technology of
P.R. China*

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Section 1 Overview of the China-NSW Collaborative Research Program

1.1 Introduction

A Memorandum of Understanding for the establishment of a China-NSW Collaborative Research Program was signed on 4 March 2009 by the Minister Jodi McKay, Minister for Science and Medical Research, and Dr Cao Jianlin, Vice Minister, Ministry of Science and Technology of the Peoples Republic of China. The primary purpose of the Program is to support the best NSW teams or institutions working collaboratively with Chinese partners in research and technology.

Noting each State's research strengths and current research priorities, the first call for funding applications will target research projects in the areas of Traditional Chinese Medicine (TCM) and/or Proteomics.

The program of research should be substantially undertaken in China and NSW however broader national and international collaboration is strongly encouraged. By working together the Chinese and NSW Governments are seeking to advance the fields of TCM and proteomic research in a way which could not be achieved through projects in individual states and research institutions.

1.2 Objectives

The China-NSW Collaborative Research Program is designed to facilitate research collaboration and foster practitioner and industry links between China and NSW.

The primary purpose of the Program is to support the best NSW teams or institutions working collaboratively with Chinese partners in research and technology.

The purpose of the Grant is to promote research which aims to strengthen and increase collaborative efforts of researchers in China and NSW.

The aim of the Collaborative Research Program is to:

- Provide leveraging opportunities for both China and NSW across joint research ventures, programs, postdoctoral training activities and knowledge-sharing;
- Strengthen the participants research cooperation and overall economic activity for the mutual benefit of China and NSW;
- Support collaborative scientific and strategic research of interest to both countries;
- Support Chinese and NSW researchers to collaborate on leading edge science and technology in order to contribute to both countries economic, social and environmental wellbeing; and
- Build productive alliances and create opportunities for researchers in both countries, increase China and NSW capacities to attract R&D investment and promote innovation.

1.3 Making a Grant

Support to the successful NSW applicants of the China-NSW collaboration will be provided through DSRD and will be in the form of one or more Grants up to a total of \$A500,000 (exclusive of GST).

Support to Chinese applicants of the China-NSW collaboration will be provided by MoST (up to a total of \$A500,000). Projects supported through the Program may include bilateral or multi-lateral partnerships (ie include partners from countries other than China and Australia) but the primary partner(s) must be NSW and Chinese institutions.

The China-NSW Collaborative Research Program will be jointly administered by the Ministry of Science and Technology of the People's Republic of China and NSW

Department of State and Regional Development through the Office for Science and Medical Research (OSMR). Allocation of funds will be negotiated with successful applicants.

1.4 Use of Funds

The allocation of funds will only support direct program costs of the international collaborative research activities including:

- a. international return economy airfares for New South Wales researchers travelling to China to participate in collaborative scientific research projects and workshops (up to A\$2500 per person per trip for international economy return airfares for New South Wales researchers to travel to China). *Noting that in-country expenses, including accommodation and meals for New South Wales researchers travelling to China, will be met by the Chinese Government.*
- b. In-country expenses, including accommodation and meals for Chinese researchers travelling to Australia to participate in collaborative scientific research projects and workshops (up to A\$200 per day per person for Chinese researchers visiting Australia, or A\$2,500 per month per person, whichever is the lesser amount). *Noting that international airfares and associated costs for Chinese researchers travelling to Australia will be met by the Chinese Government.*
- c. domestic travel and accommodation for New South Wales participants attending appropriate workshops held in Australia
- d. project specific staff / researchers (including post-Doctoral and post-Graduate) employed specifically for the collaboration
- e. project specific workshops and strategic meetings
- f. collaborative bench work (including bench fees and consumables)
- g. facilitating links to S&T networks in NSW and China
- h. project specific meeting / venue hire
- i. project management / facilitation fees
- j. project-specific follow up meetings and reporting expenses
- k. other project-specific activities – subject to negotiation and considered in relation to the value of the project benefit to New South Wales and China.

1.5 Duration of Funding

Under the China-NSW Collaborative Research Program, each government will provide up to \$A500,000 for this financial year.

Section 2 Overview of the application process

2.1 Application process

Applicants must use the relevant application form available from the NSW Office for Science and Medical Research website at www.osmr.nsw.gov.au or the Ministry of Science and Technology of the People's Republic of China website at www.most.gov.cn, www.cistc.gov.cn, www.istcp.org.cn.

One copy of each application should be lodged to both Government Departments by the lead research institutions on behalf of all research workers and collaborating organisations. For each application there must be a single administering institution responsible for projects within each country. The application will include the details of the partner organisation based in the other country and include details of the partner organisation's research project, contributions and research time table. The application should set out how all projects fit into a collaborative program of research. The application will be evaluated by a panel including experts and government representatives.

For a project to be eligible for funding it must involve at least one Chinese and one NSW based research institution with fairly balanced project work contributions. Researchers must demonstrate they have ready access to the infrastructure and other resources needed to complete their research projects.

Successful applicants will also enter a collaboration agreement with each other including details of management of future intellectual property resulting from the project. MoST and DSRD offices will monitor performance of all funded projects.

2.2 All applicants

The lodging of an application for a Grant does not confer any entitlement upon the applicant. The making of a recommendation for a Grant is totally within the discretion of the China-NSW Collaborative Research Program Committee. If none of the applications meet the standard of excellence required, the Committee reserves the right not to recommend support for an application for a Grant and the Chinese and NSW Governments reserve the right not to award a Grant.

The China-NSW Collaborative Research Program Committee reserves the right to seek further information from applicants on their proposed research.

The China-NSW Collaborative Research Program Committee requires its members to declare conflicts of interest and to withdraw from considering applications where such conflict exists.

The Chinese applicants should comply with domestic management (including application procedures) and financial regulations and practices applied to international collaborative research projects. MOST will support international collaborative research activities under this MOU in accordance with its financial regulations and practices. NSW and Chinese teams who wish to conduct a collaborative project under this MOU should jointly draft and submit applications with identical content to their respective funding agencies, using the forms and procedures required by OSMR (for Australian applicants), or Department of International Cooperation, Ministry of Science and Technology of China (DIC/MOST) (for Chinese applicants). Applications submitted only to OSMR or DIC/MOST will not be accepted. OSMR and DIC/MOST will encourage the NSW and Chinese team leaders to ensure that their counterpart submits a matching application by the required deadline and that a letter from foreign partner is included with the application documentation.

2.3 Closing date and where to submit forms

The application for a China-NSW Collaborative Research Program must be received by close of business (AEST) on **Wednesday 20 May 2009**.

Applicants must:

- (i) Submit an e-mail copy and a signed hardcopy of the completed application and hard copies of any submitted ethics and license applications or approval certificates by mail or courier to both:

The Secretariat
The China-NSW Collaborative Research Program
Office for Science and Medical Research
GPO Box 5477 Sydney NSW 2001 Australia
E-mail: info@osmr.nsw.gov.au

and

Mr. WANG Jianbo or Mr. LI Xin
Division of America and Oceania
Department of International Cooperation
Ministry of Science and Technology of P.R. China
Add: 15B Fuxing Road, Beijing 100862, China
Tel: 86-10-58881333
Fax: 86-10-58881334
E-mail: hzs_mdc@most.cn

2.4 Offer of Grant

Following approval by the Ministry of Science and Technology of the People's Republic of China and the NSW Minister for Science and Medical Research, the successful administering institution will be advised in a letter of offer.

The provision of funding the China-NSW Collaborative Research Program is conditional upon the institutions having entered into a written agreement; Chinese institution with the MoST and the NSW institution with the DSRD on behalf of the Chinese and NSW Governments respectively. The agreement will cover the role of the institution and collaborating organisations if any, including:

- Contributions by all collaborating organisations.
- Intellectual property arrangements.
- An undertaking by the research organisations to abide by the conditions of the Grant as detailed in this document.

A condition of funding will be that, within 3 months of commencement, the two organisations must provide a copy of an agreement clearly stating the division and management of intellectual property that may arise from the research project.

2.5 Commencement of a Grant

The grant will commence upon the entering into of a written agreement between the administering institution and the Ministry of Science and Technology on behalf of the Chinese Government or Department of State and Regional Development on behalf of the NSW Government.

2.6 Acknowledgment of support by the Chinese and Government

All publications or discussion of results from research carried out with the assistance of a Grant must acknowledge the support of the Grant from the Chinese and NSW Governments.

Research workers may indicate their status as recipients of the China-NSW Collaborative Research Program support in scientific publications and programs of scientific meetings and in any other public connection.

2.7 Contact point for further information

Enquiries about the China-NSW Collaborative Research Program may be addressed to:

The Secretariat
The China-NSW Collaborative Research Program
Office for Science and Medical Research
GPO Box 5477 Sydney NSW 2001 Australia
E-mail: info@osmr.nsw.gov.au
Telephone: (02) 9338 6787

Or

Mr. WANG Jianbo or Mr. LI Xin
Division of America and Oceania
Department of International Cooperation
Ministry of Science and Technology of P.R. China
Add: 15B Fuxing Road, Beijing 100862, China
Tel: 86-10-58881333
Fax: 86-10-58881334
E-mail: hzs_mdc@most.cn

2.8 Minimum eligibility criteria

Minimum eligibility criteria apply to the program of research and the research organisation(s).

Before completing the joint application form, the research organisation(s) should confirm their eligibility to apply for the China-NSW Collaborative Research Program by checking that they meet all of the following minimum criteria:

2.9.1 Joint application

The application is a joint application from two or more organisations that satisfy the other criteria below.

The Program of Research

- 2.9.2 Has been agreed between the research worker/s and the research organisation(s).
- 2.9.3 Includes a mature research plan.
- 2.9.4 Has a significant proportion of research to be undertaken in China and NSW.
- 2.9.5 Includes details of the partner organisation(s) based in the other state, including its proposed research plan, contribution to the overall program of research and research timetable.
- 2.9.6 Must comply with all State and Australian ethical and legislative requirements. Appropriate evidence of relevant committee approval (for example Human Research Ethics Committee, Animal Experimentation Ethics Committee, or Biosafety Committee) must be included in the application, or if not available, the details of the expected time when these approvals will be obtained should be supplied to the respective Government agency.
- 2.9.7 Applicants cannot be in receipt of funding from another source for core elements of the project for which support is being sought.

The research organisation(s)

- 2.9.8 Is a publicly funded research organisation(s) in China and/or NSW, Cooperative Research Centres or businesses in formal partnership with publicly funded organisations.
- 2.9.9 Have negotiated with the research worker(s) a package covering her/his remuneration and funding for the agreed program of research.
- 2.9.10 Have nominated an administering institution in China and NSW.

2.9.11 HAVE ACCESS TO APPROPRIATE FACILITIES FOR UNDERTAKING TCM OR PROTEOMICS RESEARCH THAT COMPLY WITH ALL RELEVANT LEGISLATION.

2.10 Project plan and budget

The project plan and budget in the application must clearly detail all project activities including outcomes and performance indicators and an itemised budget (GST exclusive) for each milestone. Each milestone should represent completion of a significant phase of the project and may comprise one or more activities (eg international travel, research activities, workshop facilitation). Each milestone must include the milestone name, activity description including detailed costed eligible activities (see 1.4), as well as detailed costed activities to be funded from other sources, start and finish dates, key personnel, outcomes, measurable performance indicators, funding sought from the program and levels of cash and/or in-kind contributions by the applicant, NSW partner(s) and the international partner(s).

2.11 Governance

The NSW–China Collaborative Research Program is managed by MoST in respect of the Chinese component of the Program and by DSRD for the NSW component of the Program.

2.12 Application Format

The China-NSW Collaborative Research Program application form must be used and can be obtained from the DSRD (www.osmr.nsw.gov.au) or Ministry of Science and Technology of the People's Republic of China (www.most.gov.cn, www.cistc.gov.cn, www.istcp.org.cn).

Section 3

Administration of the China-NSW Collaborative Research Program

3.1 Reporting requirements

The administering institution is required to submit regular progress reports detailing:

- Progress made in the research program.
- How the Grant funds were used.
- Progress on arrangements for ongoing support for the researcher and the research program in light of developments over the life of the Grant.
- Leveraging opportunities to attract further grants and funding

MoST or DSRD reserves the right to recommend the suspension of the funding if progress is unsatisfactory or compliance with any of the above requirements are not met.

Research organisations will also be asked to participate in any evaluation of the China-NSW Collaborative Research Program.

3.2 Failure to provide a report

Where an administering institution fails to submit a satisfactory report, as required, the Minister/s may determine that funds have not been used in accordance with conditions applicable to the Grant, and that all or part of the Grant must be repaid. In this case, the remainder of the administering institution's payments under the China-NSW Collaborative Research Program may be withheld and/or action taken to recover Grant money.

3.3 Financial management — payments

The China-NSW Collaborative Research Program operates on a financial year basis. Subject to appropriations, regular payments will be made to the administering institution in accordance with the Grant Agreement. Funds must be used only for purposes approved under the grant scheme.

A China-NSW Collaborative Research Program grant is regarded as a “taxable supply” and therefore a Goods and Services Tax is payable. The China-NSW Collaborative Research Program grant will be increased by 10% and the administering institution will be required to collaborate in the recovery of the GST component. The grant agreement will therefore include the following clauses:

The Grant is subject to the GST. Gross funding for the Grant has been increased by 10% to reflect this and the Funded Organisation is liable to pay the GST on this funding. The Funded Organisation must forward its Australian Business Number (“ABN”) to the Department at the commencement of this Agreement.

The Funded Organisation warrants that at the time of funding it is registered under GST legislation. The Funded Organisation will forward to the Department a tax invoice prior to the release of each payment in respect of the GST component. This will enable the Department, where entitled under the GST law, to claim an input tax credit in respect of such GST. The quarterly payment inclusive of GST will be made shortly after receipt of the tax invoice.

3.4 Privacy of individuals

Documents containing personal information will be handled and protected in accordance with the provisions of the *Privacy Act 1988* (Commonwealth) *Privacy and Personal Information Protection Act 1998* (NSW). Personal information would be disclosed only with permission of the individual to whom it relates or where the Acts allow.

Research workers and research organisations consent to the information supplied as part of their application being disclosed for the purposes of the assessment of their application and for purposes connected with the making and administration of the Grant. Such disclosure includes, but is not limited to, disclosure to members of the China-NSW Collaborative Research Program Committee, independent readers/assessors requested by the Committee to provide advice, and relevant representatives and employees of Governments involved in the Grant process.

Research workers and research organisations acknowledge that announcement of the Grant will involve the dissemination of information to the public about the general nature of the research being funded and the research workers involved in the research project and the research organisations at which the research is being carried out.

3.5 Confidentiality

Information contained in applications will be regarded as confidential unless otherwise stated by the MoST or DSRD.

3.6 Intellectual property

Organisations must adhere to an intellectual property policy approved by their governing bodies that is congruent with the document “National Principles of Intellectual Property Management for Publicly Funded Research” released in September 2001.¹ A necessary requirement for successful applicants is that the funded research organisations provide an intellectual property agreement disclosing how any potential intellectual property rights will be managed between the organisations. It should also address the issue of laws relevant to the countries involved.

3.7 Incomplete or misleading information

It is the responsibility of the applicant to ensure that applications are complete in every particular. If an application is incomplete, the Committee may exclude it from further consideration. It is completely within the Committee’s discretion as to whether it will exclude an incomplete application, or request the applicant to furnish further information after the closing date.

If any application is found to have been intentionally completed (or failed to be completed) in such a way as to mislead the Committee, or is otherwise false or misleading in any material respect, the applicant will be disqualified from the Grant Program. The Committee may also refer the application to relevant authorities for consideration of appropriate action under State or Commonwealth law.

Examples of the provision of false or misleading information that would result in an application being disqualified include providing fictitious track records and falsifying claims in publications records (such as describing a paper as accepted for publication when it has only been submitted).

¹ These Principles were developed by a working group comprising: The National Health and Medical Research Council (NHMRC); the Australia Research Council (ARC); the Australian Tertiary Institutions Commercial Companies Association (ATICCA); the Australian Vice-Chancellors’ Committee (AVCC); the Department of Education, Training and Youth Affairs (DETYA); the Department of Industry, Science and Resources (DISR); and IP Australia.

APPENDIX 1 Assessment criteria

Assessment Criteria: China-NSW Collaborative Research		Scored out of
A	Executive Summary (Maximum of 2 A4 pages)	5
	<p>Factors to address when responding to this criterion include:</p> <ul style="list-style-type: none"> ▪ outline of overall program of research to be undertaken ▪ how the project is to be delivered through a collaborative partnership ▪ Traditional Chinese Medicine and/or proteomics focused 	
B	Personnel and Track Record (Maximum of 20 A4 pages)	20
	<p>Factors to address when responding to this criterion include:</p> <ul style="list-style-type: none"> ▪ demonstrating the research capability and credentials of the NSW researchers relevant to this topic (10 points); ▪ demonstrating the research capability and credentials of the international partners relevant to this topic (10 points). <p><i>Supporting documentation must be provided in support of this criterion:</i></p> <ul style="list-style-type: none"> ✓ <i>All Chief Investigators from NSW must:</i> <ul style="list-style-type: none"> ○ <i>Be an Australian citizen or have permanent residency status.</i> ○ <i>Hold an appointment at the administering or partner institutions.</i> ○ <i>Have access to appropriate facilities to conduct the research program.</i> ○ <i>Not be names as an CI on more than 2 applications to the China-NSW Collaborative Research Grant Program.</i> ✓ <i>Provide a track record/research achievements, including;</i> <ul style="list-style-type: none"> ○ <i>Outline of all publications in the past five years.</i> <ul style="list-style-type: none"> ▪ <i>Original articles in refereed journals</i> ▪ <i>Other publications.</i> ▪ <i>Five career-best publications.</i> ○ <i>Status of patent applications</i> ✓ <i>Provide evidence of competitive funding awarded in the past five years</i> ✓ <i>Provide evidence of access to the infrastructure and resources needed to complete their research project</i> 	
C	Program Details (Maximum of 6 A4 pages) Including project plan detailing all project activities including outcomes and milestones.	45
	<p>Factors to address when responding to this criterion include the:</p> <ul style="list-style-type: none"> ▪ background and significance of the project <ul style="list-style-type: none"> ▪ The research addresses an important problem. ▪ The anticipated outcomes will advance the knowledge base of Traditional Chinese Medicine and/or proteomics. ▪ The program aims and concepts are novel and innovative. ▪ Methodology <ul style="list-style-type: none"> ▪ The conceptual framework, design, methods and analyses are adequately developed, well integrated and appropriate to the aims of the program. ▪ New methodologies or technologies will be or are being developed ▪ Project plan, timelines and milestone <ul style="list-style-type: none"> ▪ Proposed research is able to be undertaken within available facilities and within legislative requirements. ▪ Likelihood of proposed research outcomes being achieved within proposed budget and timeframe. ▪ anticipated outcomes and potential benefits 	
D1	Level of support for the project from the Chinese and any other international partner(s), including commitment to engage in the research collaboration and confirmation of financial support (cash and/or in-kind). (Maximum of 2 A4 pages)	15

<p>The project plan and budget in the application must clearly detail all project activities including outcomes and performance indicators and an itemised budget (GST exclusive) for each milestone (see <i>section 3.3 Project plan and budget</i>):</p> <ul style="list-style-type: none"> ▪ eligible China-NSW Collaborative Research Program funded activities (see <i>section 1.4 Eligible activities</i>); and ▪ activities funded from other sources (cash and/or in-kind). <p><i>Supporting documentation must be provided to confirm and demonstrate claims:</i></p> <ul style="list-style-type: none"> ✓ <i>Letter of support from the Chinese and any international partner(s)' organisation demonstrating and clearly articulating the organisation's financial support (cash and/or in-kind) and commitment to engage in the collaborative research arrangement for the project. The letter must be prepared on official letterhead and be signed by a person who is authorised to commit such support.</i> 	
<p>D2 Level of support for the project from the applying organisation and Australian partner(s), including commitment to engage in the research collaboration and confirmation of financial support (cash and/or in-kind). (Maximum of 2 A4 pages)</p>	15
<p>The project plan and budget in the application must clearly detail all project activities including outcomes and performance indicators and an itemised budget (GST exclusive) for each milestone (see <i>section 3.3 Project plan and budget</i>):</p> <ul style="list-style-type: none"> ▪ eligible China-NSW Collaborative Research Program funded activities (see <i>section 1.4 Eligible activities</i>); and ▪ activities funded from other sources (cash and/or in-kind). <p><i>Supporting documentation must be provided to confirm and demonstrate claims:</i></p> <ul style="list-style-type: none"> ✓ <i>Letter of support from the applicant's organisation demonstrating and clearly articulating the organisation's financial support (cash and/or in-kind) for the project and commitment to engage in the collaborative research project. The letter must be prepared on official letterhead and be signed by a person who is authorised to commit such support.</i> ✓ <i>Letter of support from any Australian partner(s)' organisation demonstrating and clearly articulating the organisation's commitment to engage in the collaborative research project and the financial commitment (cash and/or in-kind).</i> 	
TOTAL	100

The China-NSW Collaborative Research Program Committee **will not recommend an applicant** for a grant where it judges the level of support (in cash or in kind) is not adequate, even where the calibre of the research worker/s and the intended program of work are excellent.