



USyd-CUHK Partnership Collaboration Awards Guidelines for Applicants

Purpose

The University of Sydney (USyd) and The Chinese University of Hong Kong (CUHK) have been partners since 2006. Both universities have identified each other as strategic partners to foster deep collaborations in research and education. The USyd-CUHK Partnership Collaboration Awards (PCA) have been established to facilitate and support joint initiatives that will strengthen the two universities' strategic priorities as well as develop multi-disciplinary cutting-edge research to create academic and societal impact.

Applicants are encouraged to submit funding proposals for innovative and sustainable programs built around collaborative research linking USyd and CUHK. Learning and teaching initiatives may also be considered if they are part of a larger collaborative research proposal.

Proposals should be sustainable in the long term with a plan for engagement that includes leveraging external funding and publication outputs.

In this round, up to five proposals will be funded (each with two Chief Investigators; one from USyd and one from CUHK). Each successful proposal will receive up to AUD 10,000 from USyd and HKD 60,000 from CUHK for a total of approximately AUD 20,000/HKD 120,000.

1. Eligibility

- 1.1. Proposals are invited from academic staff from all disciplines and Research Centres / Institutes at USyd and CUHK.
- 1.2. Chief Investigators
 - **USyd:** Chief Investigators must either be employed on a full-time, part-time (appointed at least 0.5 FTE), fixed term or continuing basis at USyd or one of its officially affiliated Research Centres or Institutes. If on a fixed term contract, the end date must be beyond the funding period.
 - **CUHK:** Chief Investigators must hold full-time employment and are required to remain in university service for not less than a year upon completion of the proposed project.
- 1.3. Higher Degree Research students¹, post-docs, and research assistants/associates are not eligible to apply as Chief Investigators but they are welcome to join the applications.
- 1.4. Current USyd recipients of PCA (with all partner universities, including CUHK) and CUHK recipients of the USyd-CUHK PCA whose projects are still ongoing and will not have finished by the closing date of this application call (i.e. 30 August 2019) may apply for this round of PCA. They are required to submit a progress report of their current projects when submitting their applications. The progress report should be an 1-page attachment to the application, providing updates on project progress to date and unexpended award balance.

¹ Higher Degree Research students refer to students pursuing PhD or master's degrees by research.

- 1.5. Previous USyd recipients of PCA (with all partner universities) whose projects have finished or will have finished by the closing date of this application call (i.e. 30 August 2019) may apply for this round of PCA only upon submission of the final report for their previous award projects.

2. Duration

The project should start no later than December 2019. Funding is available for 12 months from the commencement of the project.

3. Timeline

Applications open	22 July 2019
Applications close	30 August 2019
Successful applicants notified	Within October 2019
Latest date for projects to start	31 December 2019
Latest date for projects to end	31 December 2020
Final reports due	28 February 2021

4. Eligible Grant Activities

4.1. Activities that will be considered for funding include:

- Airfares: Only economy class airfares will be supported;
- Other travel expenses (e.g. train, rental car);
- Costs for hosting a seminar/conference or workshop (should not exceed 50% of total budget);
- Accommodation and subsistence;
- Consumables; and
- Publications and printing costs of up to AUD 1,000/HKD 6,000.

4.2. All travel activities must comply with the guidelines of the respective universities.

- **USyd**
 - All USyd travel must comply with the [Travel Policy 2018](#).
- **CUHK**
 - The costs of accommodation and subsistence are capped at the per diem allowance designated for the city to be visited. The rate of per diem allowance can be found on the [CUHK Finance Office website](#).
 - CUHK award holders will be responsible for arranging the practicalities of the visit, if applicable. They include but are not limited to, traveling plans, visa application, accommodation, and personal health and hospitalisation insurance coverage as required.
 - For outgoing visits, CUHK award holders will normally be covered under the “CUHK’s Group Travel Insurance (Staff)”. Details of the plan can be found on the [CUHK Finance Office Website](#). Award holders are advised to purchase additional travel insurance as deemed necessary².

4.3. Activities that will not be considered for funding:

- General teaching;
- An individual staff member’s research projects, unless as catalytic funding for the establishment of an international research collaboration with the prospect of external funding;
- Event registration fees;
- Website development;
- Salaries or salary supplementation, and honoraria;

² CUHK award holders are responsible for purchasing adequate insurance to cover for their visits. CUHK is not liable for any loss, damage, cost, or expense whatsoever incurred by or attributable to any action or omission by any of the award holders in accordance with this scheme.

- Scholarships for students;
- Course fees for international students;
- Bench fees;
- Mobile phone cards;
- Entertainment costs; and
- Computers, including laptops (excluding access to high-performance computers or other specialised applications that are justified by the project) and basic computing facilities such as printers, word processing and other standard software.

5. Publications

Successful applicants are required to publish the outcomes in international journals. It is expected that publications are submitted within 18 months after the end of the project. Once the outcomes are published, please submit the scanned copies to the Program Coordinators at the earliest convenience.

Any publications (e.g. abstracts, articles) or disseminations (e.g. public presentations) arising from activities supported by the PCA should acknowledge assistance received from the PCA. Copies of such materials and notifications should be submitted to the Office of Global Engagement and Research Office at USyd and the Office of Academic Links at CUHK. The standard acknowledgment is “USyd–CUHK Partnership Collaboration Awards”.

6. Submission Requirements

The proposal must address the selection criteria (see point 7) and include the following elements:

- Project timeline (a timeline form is built into the online application system)
- Project budget (a budget form is built into the online application system)
- CV of the Chief Investigator of each university (maximum two pages in length) which should include:
 - Qualifications, current position and employment history
 - 10 career-best publications
 - Awards and relevant presentations
 - Current grant income
 - Collaborative track record (limited to 200 words)
- A brief letter of support in English on official letterhead from any additional institution/organisation (other than USyd or CUHK) that intends to formally collaborate.

7. Scoring and Selection Criteria

- 7.1. Priority is given to applications that align with the strategic research areas of both universities (see Appendix 1). Applications in other fields showing good prospect of sustainability are also welcome.
- 7.2. Criteria do not have weightings; proposals are assessed holistically. Each proposal will be assessed according to the selection criteria described below.

Score	Category	Justification
4	Excellent	Proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor
3	Very Good	Proposal addresses the criterion very well, but a small number of shortcomings are present
2	Good	Proposal addresses the criterion well, but a number of shortcomings are present
1	Weak	Criterion is inadequately addressed or there are serious inherent weaknesses

Selection Criteria	Description
Quality & Relevance	<ul style="list-style-type: none"> Clearly describe the objectives and methodology to be employed with the project. The alignment with strategic priorities and the objectives of the funding scheme will be considered in combination with the soundness of the concept and credibility of the proposed methodology. Explain how the participants in the research team will bring together the necessary expertise to carry out the project. The 2-page CVs of the Chief Investigators will be taken into consideration. 300 words maximum
Execution	<ul style="list-style-type: none"> Elaborate on the workplan and milestones outlined in the timeframe (there are separate sections in the application form for an outline of activities in the Timeline and Budget). Proposed timeframes and budget estimates should be realistic and appropriate. The long-term plan for engagement to attract research funding and produce publications will be taken into consideration. This section should also address the appropriateness of the allocation of tasks, ensuring that all participants [including PhD students, postdocs, Early and Mid-Career Researchers (EMCR)³, and any researchers on Sabbatical Leave] have a valid role and there are adequate resources in the project to enable them to fulfil that role. 300 words maximum
Impact	<ul style="list-style-type: none"> Outline what the participants will gain from the project and how it will contribute to the discipline and field of research. Explain how the project will establish or strengthen a durable cooperation between the universities and participants. Explain how the project will impact beyond the academic sphere (i.e. benefit society and address global challenges). Explain how the project activities and results will be communicated to different target audiences. 300 words maximum

8. Assessment Process

Award selection will be made by a joint committee formed by members of both universities, which reserves final authority over the selection of projects taking into account recommendations from the applicants' Heads of Departments/Units and Faculty Deans/Directors of Institutes, and the availability of funds.

9. Application Submission

- 9.1. All applications must be jointly submitted by a Chief Investigator from USyd and a Chief Investigator from CUHK.
- 9.2. The application form is available at USyd Funding Schemes Site at <http://sydney.edu.au/award-schemes>. All applications must be submitted online.
- 9.3. Applications can only be initiated by the Chief Investigator from USyd using their UniKey and password. Chief Investigators from CUHK may only access and edit the applications after invitation from USyd Chief Investigators to be a "Member" of the application. Applicants can login to the application system to preview the application form.

³ Early-Career Researchers are defined as those within 10 years of award of PhD and Mid-Career Researchers are defined as those between 10-15 years of award of PhD.

- 9.4. All applications require the endorsement by the relevant USyd Head of School, and CUHK Heads of Departments/Units and Faculty Deans/Directors of Institutes. Both Chief Investigators from USyd and CUHK must complete the endorsement forms and have them uploaded to USyd Funding Schemes Site before final submission.
- **USyd:** Completion of an Endorsement Coversheet by the USyd Head of School is required.
 - **CUHK:** An endorsement form to be completed by the CUHK Heads of Departments/Units and Faculty Deans/Directors of Institutes to confirm their intention of renewing the applicants' contract, if applicable, and their support for the application. To download the form, please click [here](#).
- 9.5. Only complete submissions will be considered.
- 9.6. Late applications will not be considered.

10. Notification of Application Outcomes

Successful applicants will receive a letter of award outlining the process to accept the award including payment. Successful applicants will be required to accept their offer as per below by the due date stated in their letter of award.

- **USyd:** Successful USyd applicants will be required to accept their offer through the USyd Funding Schemes Site.
- **CUHK:** Successful CUHK applicants will be required to complete and submit a Declaration of Acceptance to the Program Coordinator at the Office of Academic Links (oliviakwok@cuhk.edu.hk).

11. Change of Investigator

Applicants should contact the Program Coordinator at each institution. Such changes will need to be approved and documented.

12. Extensions

Under exceptional circumstances extensions will be approved for a maximum period of six months. Applicants seeking an extension must submit an Amendment Request Form along with a revised budget and timeline of activities to the Program Coordinators for approval.

13. Forfeiture of Grants

Grants not spent by 31 December 2020 must be returned so that unspent balances can be re-allocated.

14. Financial and Reporting Obligations

- 14.1. The funding should only be used for the approved project and in accordance with the proposal and the budget plan. It must not be used for any other purposes and prior approval is needed for any variation in the budget items. Request for variations from original proposals must be submitted to both universities using an Amendment Request Form which is available upon request from the Program Coordinators.
- 14.2. Awardees should adhere to the purchasing guidelines of the respective universities to which reimbursement is to be sought. Reimbursement of each expenditure item will be capped at the approved amount.
- 14.3. Awardees must submit a final report pro-forma online through the [Funding Schemes Site](#) which is linked to the application by 28 February 2021. In consultation with their Finance Manager, awardees

must complete the acquittal of awarded funds by 31 December 2020 and provide a statement as part of their final report. An acquittal statement template is provided with the final report pro-forma online.

- **USyd:** Failure to submit a completed report will result in all members of the project team being ineligible to submit future funding applications and mention of the PCA will be removed from their USyd online Academic Profile.
- **CUHK:** The Chief Investigator will not be considered for future applications for the PCA if they fail to submit a completed report.

14.4. The activation of research funding accounts are not tied to ethics/other approvals being obtained. It is the responsibility of the Chief Investigators to ensure that no work requiring approval is commenced until such approvals are in place.

15. Marketing and Communications

Recipients may be contacted by USyd Marketing and Communications and CUHK Office of Academic Links for the purposes of promoting their successful funding applications and informing others of their research.

Further Information

For further information please contact the Program Coordinators:

USyd
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Strategic Research Areas at USyd and CUHK³

<u>USyd</u>	<u>CUHK</u>
<ul style="list-style-type: none"> • Agricultural & Veterinary Sciences • Biological Sciences • Built Environment & Design • Chemical Sciences • Commerce, Management, Tourism & Services • Creative Arts & Writing • Earth Sciences • Economics • Education • Engineering • Environmental Sciences • History & Archaeology • Human Society • Informational & Computing Sciences • Language, Communication & Culture • Law & Legal Studies • Mathematical Sciences • Medical & Health Sciences • Philosophy & Religious Studies • Physical Sciences • Psychology & Cognitive Sciences • Technology 	<ul style="list-style-type: none"> • China Studies <ul style="list-style-type: none"> - China's Global Challenges - Roots of Chinese Culture • Translational Biomedicine <ul style="list-style-type: none"> - Genetic, Genomic & Precision Medicine - Stem Cell Biology & Regenerative Medicine - Brain & Mind - Integrative Medicine - Innovative Medical Devices • Information & Automation Technology <ul style="list-style-type: none"> - Intelligent Reasoning & Cognition - Robotics - Big Data & eLearning Research - Network Coding • Environment & Sustainability <ul style="list-style-type: none"> - Smart & Sustainable Cities - Climate Change - Plant Molecular, Cell & Agricultural Biology & Food Security - Renewable Energy & Natural Resources - Population Studies: Migration, Youth Development & Ageing Management

³ USyd: <https://sydney.edu.au/research/research-areas.html>.

CUHK: www.cuhk.edu.hk/english/research/research-study.html.