



# LEADERSHIP FOR EXCELLENCE IN LEARNING AND TEACHING PROGRAM

Guidelines and Supporting Information - 2007



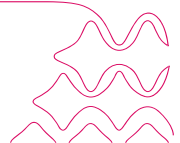
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30 November 2006

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THIS DOCUMENT  
PROVIDES  
INFORMATION ON  
THE LEADERSHIP  
FOR LEARNING  
AND TEACHING  
PROGRAM 2007.

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# 1.

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## INFORMATION SHEET 2007

### **Program Priorities**

Through this Program, the Carrick Institute provides grants for projects that build leadership capacity in ways consistent with the promotion and enhancement of learning and teaching in contemporary higher education, and which reflect the Carrick Institute's values of excellence, inclusiveness, diversity and collaboration, and its commitment to long-term, systemic change.

There are three priorities for funding in 2007:

- Priority one, institutional leadership to enhance learning and teaching through leadership capacity-building at the institutional level
- Priority two, disciplinary and cross-disciplinary leadership to enhance learning and teaching through leadership capacity-building in discipline structures, communities of practice and cross-disciplinary networks.
- Priority three, supports the development of a better understanding of the drivers and leadership constructs that influence "leadership" in the context of teaching and learning in higher education (No expressions of interest or proposal sought under this priority)

### **Application Information**

Only one general call for expressions of interest/ project proposals will occur in 2007. Institutions may elect to submit either an expression of interest or a full project proposal (see Sections 3 & 5). The Carrick Institute reserves the right to ask for a full proposal to be modified and/or re-submitted for decision.

### **Institutional Category**

Funding range: \$150,000 to \$220,000

Projects duration: up to 2.5 years

### **Disciplinary/Cross Disciplinary Category**

Funding range: \$80,000 to \$220,000

Project duration: up to 2 years (small projects should be completed in one year)

### **Closing dates for program**

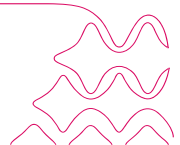
Expressions of Interest and Full Proposals — 19 March 2007

Second Round — 16 July 2007 (full proposals arising from short-listed expressions of interest only)

### **Program Funding**

Approximately \$3 million of which at least \$1 million will be reserved for the proposals developed from the expressions of interest short listed in the first round.

### **Guidelines Review** August 2007



## 2.

# INTRODUCING THE PROGRAM

## LEADERSHIP PROGRAM

The Leadership for Excellence in Learning and Teaching Program is one of three programs included in the Carrick Institute's Grants Scheme. Details of the Competitive Grants Program and the Priority Projects Program can be found at [www.carrickinstitute.edu.au](http://www.carrickinstitute.edu.au).

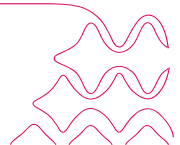
The Leadership for Excellence in Learning and Teaching Program is designed to build leadership capacity in ways that promote and advance learning and teaching in Australian higher education.

The Leadership for Excellence in Learning and Teaching Program has several different strands focused, at the national, institutional, discipline-based and specific project levels. It will also have some emphasis on ensuring appropriate attention to models of leadership that enhance community partnering (including with professional communities), and that contribute effectively to institutional and community recognition of the fundamental importance of teaching in higher education.

The Institute has identified the need for systematic, structured support for academic leadership as a key focus for its activities in 2006-8. Evidence suggests that leadership capacity-building in higher education is uneven across the sector, and that many academic leaders rely too much on learning on the job. By contrast, the Carrick Institute position is that academic leadership is a highly specialised and professional activity. The Institute has therefore established a Program focused on Leadership for Excellence in Learning and Teaching as one of three proposed Programs under the umbrella of the Grants Scheme.

Through this Program, the Carrick Institute will provide grants to support projects that build leadership capacity in ways consistent with the promotion and enhancement of learning and teaching in contemporary higher education, and which reflect the Carrick Institute's values of excellence, inclusiveness, diversity and collaboration, and its commitment to long-term, systemic change. All activities within the Program will be underpinned by a scholarly and evidence-based approach, building actively on initiatives and ideas emerging both within Australia and internationally.

Prospective applicants for funding under the Leadership for Excellence in Learning and Teaching Program are advised to familiarise themselves with the all sections of this document, particularly Sections 3 and 4 which contain the policies for this program.



### **Carrick Objectives**

While all Programs are designed to support the Carrick Institute's mission and objectives, this Program specifically addresses the following Carrick objectives (see [www.carrickinstitute.edu.au](http://www.carrickinstitute.edu.au)):

Carrick Objective (a): promote and support strategic change in higher education institutions for the enhancement of learning and teaching, including curriculum development and assessment.

Carrick Objective (b): raise the profile and encourage recognition of the fundamental importance of teaching in higher education institutions and in the general community.

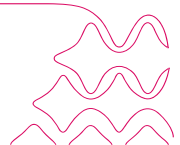
Carrick Objective (d): develop effective mechanisms for the identification, development, dissemination and embedding of good individual and institutional practice in learning and teaching in Australian higher education.

Carrick Objective (f): identify learning and teaching issues that impact on the Australian higher education system and facilitate national approaches to address these and other emerging issues,

### **Carrick Responsibilities and Program Outcomes**

It is also intended that activities undertaken under this program will address a number of the Carrick Institute's responsibilities, in particular, the responsibility for:

- Development of a mechanism for the dissemination of good practice in learning and teaching



### 3.

## LEADERSHIP PROGRAM GUIDELINES

### **Funding Priorities 2007**

Two of the three priorities for 2007 are developed below. The third priority will be to undertake work which assists the higher education sector and the Carrick Institute to better understand the drivers and leadership constructs that influence “leadership” in the context of teaching and learning in higher education. (No expressions of interest or proposals are sought under this priority).

### **PRIORITY 1: INSTITUTIONAL LEADERSHIP**

#### **Outcome**

The Carrick Institute expects the major outcome from the Institutional Leadership Projects to be a demonstrable enhancement of learning and teaching through leadership capacity-building at the institutional level in Australian higher education (see Section 6 for background information).

#### **Criteria**

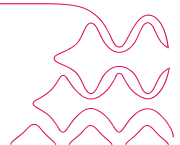
In line with the Carrick Institute's perspective on leadership, Institutional Leadership for Excellence in Learning and Teaching in Higher Education projects to be funded in 2007 should demonstrate the following:

#### **Project Outcomes and Rationale**

- Clearly articulated outcomes and a clear argument demonstrating how the project will enhance learning and teaching through institutional leadership

#### **Approach**

- A strong theoretical framework
- An overall approach that is focused on leadership capacity building within institutions
- An approach that is in general alignment with the commitments of the Carrick Institute
- An approach which focuses on change / reform leading to significant improvements in learning and teaching in higher education
- A set of strategies which collectively are systematic, multi-level, and likely to build “leadership for excellence in learning and teaching” across the whole institution
- Plans for the dissemination/embedding of the successful strategies and outcomes that are integrated within the project design



### **Value/Need for Project**

- Potential usefulness of the project and its outcomes to any of the following:
  - the sector as a whole
  - or to particular kinds of organisations within the sector
- The endorsement and sponsorship of the relevant executive of the proposing institution(s) and a statement of institutional commitment (including in-kind or monetary commitment where these are implied or explicit in the proposal)

### **Project Management and Budget**

- A thorough approach to project management
- Budget justification appropriate to the project outcomes and importance

## **PRIORITY 2: DISCIPLINARY AND CROSS-DISCIPLINARY LEADERSHIP**

### **Outcome**

The Carrick Institute expects the major outcome from the Disciplinary and Cross-Disciplinary Leadership Projects to be a demonstrable enhancement of learning and teaching through leadership capacity-building in disciplines structures, communities of practice and cross-disciplinary networks (see Section 6 for background information).

### **Criteria**

In line with the Carrick Institute's perspective on leadership, Disciplinary and Cross-Disciplinary Leadership Projects are to build capacity for leadership for learning and teaching across a discipline/field of study or an important cross-disciplinary area (see Section 6).

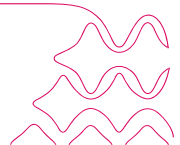
Projects to be funded in 2007 should demonstrate the following:

### **Project Outcomes and Rationale**

- Clearly articulated outcomes and an overall approach that is focused on the development of capacity building for leadership for learning and teaching in higher education within a discipline or community of practice or cross-disciplinary network

### **Approach**

- A strong theoretical framework
- A clear argument that the project will enhance learning and teaching through development of the proposed disciplinary or cross-disciplinary leadership
- An approach that is in general alignment with the commitments of the Carrick Institute
- Strategies to achieve specific measurable outcomes for the improvement of learning and teaching through a focus on change management
- Plans for the dissemination/embedding of the successful strategies and outcomes that are integrated within the project design



### **Value/Need for Project**

- Potential usefulness of the project and its outcomes to any of the following:
  - the sector as a whole
  - or to particular kinds of organisations within the sector
- A clearly identified need for the project and demonstrated commitment to the outcomes by the proposing organisations and where relevant the support of professional bodies, Councils of Deans etc

### **Project Management and Budget**

- A thorough approach to project management
- Budget justification appropriate to the project outcomes and importance

### **Application Information**

Only one general call for expressions of interest/ project proposals will occur in 2007. Institutions may elect to submit either an expression of interest or a full project proposal (see Sections 3 & 5). The Carrick Institute reserves the right to ask for a full proposal to be modified and/or re-submitted for decision.

### **Institutional Category**

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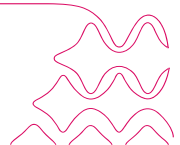
### **Closing dates for program**

Expressions of Interest and Full Proposals — 19 March 2007  
Second Round — 16 July 2007 (full proposals arising from short-listed expressions of interest only)

### **Program Funding**

Approximately \$3 million of which at least \$1 million will be reserved for the proposals developed from the expressions of interest short listed in the first round.

**Guidelines Review** August 2007. It should be noted that the 2008 Guidelines may be modified to build on the work being undertaken to strengthen understanding of the drivers and leadership constructs that influence 'leadership' in the context of learning and teaching in higher education.



## 4.

# OPERATIONAL POLICIES

## GRANTS SCHEME GUIDELINES

### **Purpose of Guidelines**

The Grants Scheme Guidelines provide information to those wishing to apply for grants covering expectations in relation to proposals, the criteria and processes used to determine what grants will be approved and the management of projects and responsibilities. Specific detail for each of the programs is provided in the program guidelines (Section 3) which scope the type of projects supported through the Program.

### **Principles**

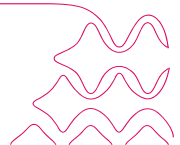
The Institute's ethos is framed in terms of the following values and principles for action:

- Inclusiveness - by assisting the development of networks and communities which support higher education staff who have a direct impact on the advancement of learning and teaching.
- Long term change - through a focus on systemic change and capacity building.
- Diversity - by recognising and valuing institutional and discipline differences and similarities, by ensuring an appropriate balance between generic and disciplinary approaches to the enhancement of learning and teaching.
- Collaboration - through the programs it funds and in its work practices, respecting the existing strengths of the systems and of the people within the higher education sector nationally and internationally
- Excellence - through the recognition of quality in its programs and awards, through its encouragement of such recognition in all higher education institutions, and through building the reputation of the Institute as a leading-edge, prestigious organisation.

The Grants Scheme is designed to conform to the following principles:

Compliance with the Carrick Institute mission, objectives and values

- Transparency
- Value for Money
- High Impact
- Future Looking



### **Compliance with the Carrick Institute mission, objectives and values**

All proposals for grants for projects will be assessed for their contribution to the mission and objectives of the Carrick Institute and for their synergy with the Institute's values and principles for action.

### **Transparency**

These guidelines are provided to ensure that the process of applying for a grant to conduct a project is transparent. Within the limitations of privacy and commercial in confidence protections, the selection process associated with approving a grant and the management of the project should be transparent. Information on successful grant recipients (institutions) will be published on the Carrick Institute website and in the annual report.

### **Value for Money**

Projects proposals will be assessed in terms of value for money. The processes associated with decision making, compliance requirements and monitoring will also be designed to ensure the best value for money while being consistent with appropriate stewardship of government funding, fairness and transparency.

### **High Impact**

Priority will be given to projects that are likely to have a high impact. This approach reflects the objective to 'support strategic change in higher education institutions'. The design of projects should address the potential to support strategic change and how the project will maximise dissemination and embedding of exemplary institutional and/or individual practice in learning and teaching in higher education.

### **Future Looking**

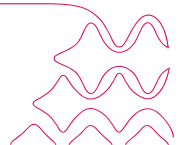
While there is often an emphasis on 'innovation' in grants schemes, the Carrick Institute will take the perspective of 'future looking' which encompasses a broad definition of 'innovation'. It will support projects that have the potential to advance learning and teaching as well as those that address emerging issues for learning and teaching in higher education. In this broad context projects may be of the type which provide new approaches; build on, and embed systemically approaches already developed; be capacity building; or focus on changed understandings and practices to promote and advance learning and teaching.

### **Eligibility**

Under the Carrick Institute Grants Scheme, Institutions listed in Table A and Table B of the Higher Education Support Act (2003) and other approved higher education providers receiving places under the Commonwealth Grants Scheme are eligible to apply for grants (see Attachment 1).

### **Application Process**

Expressions of interest or proposals may be sought in a competitive round either in response to a specific project brief or as a general request for proposals designed to meet a particular Carrick Institute priority. The process of application may be a two stage process with expressions of interest from which a number are selected to prepare a full proposal or it may be a single stage process involving the submission of a full proposal in the first instance.



Requests for proposals and expressions of interest will normally be advertised through the Higher Education Supplement of the Australian and will be available on the Carrick Institute website. Application dates and other relevant details will be found on the Carrick Institute website.

In addition to proposals sought through a competitive round, expressions of interest or proposals may be sought by the Carrick Institute under arrangements that would best achieve a collaborative approach to an issue of significance. The Carrick Institute may also decide to consider and approve proposals within some programs outside of an advertised round of expressions of interest. The individual program guidelines define under what circumstances and how this can occur.

Collaboration between higher education institutions and between higher education institutions and relevant other bodies is encouraged. Applications from consortia will need to be submitted under a lead institution which must be a higher education institution eligible to receive a grant under these guidelines. The lead institution must ensure each named collaborating institution/organisation has agreed to have its name put forward as a collaborating institution before submitting an expression of interest or project proposal. Failure to ensure the agreement of named collaborating institutions/organisation may result in the application being rejected by the Carrick Institute.

The lead institution must be authorised to deal on behalf of all members of the consortia or collaborative group, and enter into agreements which are binding on them. For the purposes of the application, all consortia members and the lead institution should be clearly identified. The Carrick Institute may subsequently require all consortia members to execute statutory declarations stating that the lead institution has the authority to bind other members.

### **Assessment of Applications – project proposals**

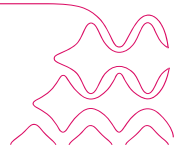
The assessment of applications for funding, which usually take the form of project proposals, will be against the criteria set for the project (Section 3), the quality of the design, value for money, the importance of the outcomes proposed in the context of the Carrick Institute's mission, objectives and responsibilities and the capacity of the project team to deliver the outcomes proposed.

### **Approval of Funding**

The program is managed by a Standing Committee of the Carrick Institute Board which is responsible for the selection of the projects to be funded and any specific conditions applied to those projects.

### **Broad Criteria for Funding**

Funding may be approved for projects that run for up to three years unless otherwise specified in the expressions of interest / request for proposals document or program guidelines (Section 3). All projects designed to go beyond one year will need to produce measurable outcomes/deliverables in each year of the funding and should be designed around stages which have particular outcomes/deliverables.



## Intellectual Property

The Carrick Institute does not claim ownership of any intellectual property in an expression of interest or project proposal which is submitted under the Grants Scheme to the Carrick Institute.

All applications become the property of the Carrick Institute on submission to the Carrick Institute to copy, modify or otherwise deal with information for the purposes of:

- Assessment and decision making
- Verifying the accuracy, consistency and adequacy of information contained in the application
- The preparation and management of any funding agreement
- The administration of the Grants Scheme.

One responsibility of the Carrick Institute is the dissemination of good practice in learning and teaching in higher education which is best achieved by ensuring that quality project products and findings are available to the higher education sector for use and further development. To help achieve this aim the following position in relation to intellectual property will be the default position for the Carrick Institute.

Intellectual Property Rights in the Material created under an Agreement will vest immediately in the Carrick Institute. The Carrick Institute will as far as possible provide the project materials to the sector for use and adaptation using systems such as Creative Commons, Open Source or other appropriate developments.

The Carrick Institute will grant to the recipient institution a permanent, irrevocable, royalty-free, non-exclusive licence to use, reproduce, and adapt the Material and to sub-licence any of these rights to members of a consortia for the purpose of the project that is funded.

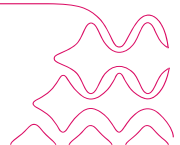
Issues associated with existing intellectual property are addressed in the funding agreement. A model funding agreement is available on the website.

A different position in relation to copyright and licensing may be considered if there is a strong argument that the default position explained above is not appropriate for a particular project. This argument will need to be presented as part of the project proposal and will need to demonstrate that the approach advocated will ensure that the products and findings of the project are available to the higher education sector for use and further development.

The grant recipient will be required at all times to indemnify and hold harmless the Carrick Institute, its officers, employees and agents from and against any loss or liability incurred or suffered by any of those indemnified arising from any claim, suit, demand, action or proceeding by any person in respect of any infringement, or alleged infringement, of Intellectual Property Rights by the grant recipient, its employees, agents or subcontractors in the course of, or incidental to, carrying out the project or the use by the Carrick Institute of the material produced in the project.

## Publication

The funding agreement requires reports on the progress of the project and a concluding report and in some cases a formal evaluation of the project. These reports are referred to



under the Broad Reporting Requirements Section of these guidelines. The Carrick Institute's written approval must be obtained prior to publishing any project reports required under the funding agreement. This provision does not limit the publishing of academic articles, conference papers or web materials as part of a project.

### **Commercialisation**

A request to commercialise any material developed must be referred to the Carrick Institute in writing for consideration and approval. In approving such a request the Carrick Institute may impose any conditions it considers reasonable.

### **Formal agreement**

Lead institutions will be required to enter into an agreement with the Carrick Institute. If there is any inconsistency between an agreement and these guidelines, the terms of the agreement will prevail. Where a proposal from a consortium is approved, the Carrick Institute will enter into an agreement with the lead institution only.

The conditions of grant will be specified in the agreement. The agreement will specify the outcomes of the project to be achieved, the payment arrangements, conditions of the grant including financial and performance reporting requirements, requirements regarding variation to agreements, acquittal of grants and other related issues.

The Carrick Institute may request copies of Memoranda of Understanding or agreements for collaborative (joint venture) projects which involve partners, prior to the execution of an agreement with the Carrick Institute.

### **Purpose of Grant**

The grant is provided for the purpose of achieving the deliverables and outcomes of the project for which it is approved.

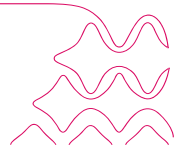
The budget can contain provision for:

- Salaries and on-costs. The rate used for on-costs should be 28%.
- Teaching relief – to a maximum of \$35,000 per year with a letter of agreement from the head of school
- Dissemination activities
- Travel associated with the project conduct and/or dissemination
- Technical and expert support and resources essential to the conduct of the project
- Up to 10% for administration costs and overheads

### **Non- approved use of the grant**

The grant may not be used for:

- building works (including the purchase, construction, lease, renovation or fit out of premises);
- purchase of motor vehicles;
- purchase of assets unless in exceptional circumstances specifically agreed to by the Carrick Institute in approving the grant (this restriction would normally include computers, small digital devices etc which should be provided by the institution/s as a contribution to the project);



- travel which is not directly related to achieving the outcomes of the project for which the grant was approved; or
- general recurrent funding.

## **Funding**

Grants will be approved for one year only. The initial grant payment must occur in the year in which the grant was approved. If a project is designed to go beyond one year the funding for the out years will be given provisional approval only. Funding for the out years will depend on progress against agreed milestones, the quality of the work done and the Institute receiving its full Grant. Should a project not be progressing well or the recipient institution request non-continuance, the Carrick Institute can determine not to fund any further years or negotiate a new agreement with a different institution for completion of the project.

### **Payment/s of Grant**

All grants for projects of one year duration will be paid in full at the commencement of the project which is on the finalisation of the funding agreement. For those projects which are designed to go beyond one year, the stage one funding will be paid at the beginning of the project and other payments will be made at the beginning of any subsequent stage/s.

Payment will only occur after the execution of a Carrick Institute funding agreement which contains the information on payment instalments linked to agreed project stages and deliverables.

### **Collaborative Projects**

For projects involving a consortium of institutions/organisations, the grant will be paid to the lead institution (recipient institution) which will be responsible for the management and acquittal of the funding and the deliverables from the project. When seeking funding for consortia, care should be taken to ensure the costs associated with the type of collaboration proposed are adequately addressed.

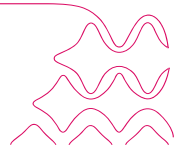
### **GST and other taxes**

The Carrick Institute payment/s will include a GST payment.

Where the grant is being paid to a university the Carrick Institute will create a recipient created invoice and provide this with the payment of the grant. Other institutions will be required to furnish a tax invoice to the Carrick Institute that specifically identifies the GST component. The tax invoice for the agreed initial payment must be provided within 15 days of the return of the signed agreement.

## **Performance and Reporting Requirements**

The recipient institution is responsible to the Carrick Institute for managing the performance of the project through the project leader. This responsibility is expressed through institutional sign-off on funding applications/ project proposals, and performance reporting.



The project leader/s must take significant intellectual responsibility for the proposed project, its design, conduct and results and put in a serious time commitment. The project leader/s must make a serious commitment to the project.

Institutions are required to provide regular performance reports (progress reports) and a final written report on the conduct of the project, as specified in the funding agreement. These reports must be signed by the PVC (academic) or equivalent or their delegate.

Ongoing evaluation should be included as part of the project in its various stages and be a role of the reference group. In addition, recipients of grants in excess of \$150,000 are required to commission a formal independent evaluation of the project. This may be funded from the Carrick Institute grant and should be included in the project proposal budget.

When a project team is not able to meet the milestones or the date for completion of the project, the project leader must seek an extension in writing at least two weeks before the due date from the Carrick Institute program manager.

### **Financial Reporting**

Funding must be used for the purposes specified in the funding agreement. Financial reporting and acquittal processes provide assurance of this to the Carrick Institute.

For a project designed to go beyond one year, a financial statement must be provided with the specified deliverables at the agreed milestones of the project.

On completion of the project a financial statement complying with the conditions in the funding agreement must be provided within one month of the agreed completion date (the date when all reporting and acquittal of funding should have been finalised).

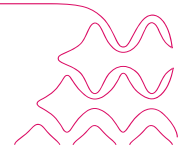
Any funds not expended at the end of the project must be returned to the Carrick Institute. The Carrick Institute retains the right to reclaim funds if the recipient institution fails to fulfil the conditions of these guidelines or the funding agreement or where an overpayment has occurred.

### **Project Deliverables**

A comprehensive report (the final report) for publication should document the ways in which the program outcomes has been met through the project.

The final report should include:

- a description of the approach, with reference to the above criteria
- information on how the project uses and advances existing knowledge about academic leadership capacity building
- an analysis of the factors that were critical to the success of the approach and of factors that impeded its success
- an analysis of the extent to which the approach is amenable to implementation in a variety of institutions



- a description of the ways in which the project outcomes have been or will be (using project funding) shared across the higher education sector, both nationally and internationally
- an appendix providing any *pro formas* or other material produced for or used in the project
- a copy of the independent evaluation (if one has been undertaken)
- a discussion of links between the project and the Carrick Strategic Priority Areas

## **Privacy and Confidential Information**

Grantees will be required to comply with the Information Privacy Principles when doing any act or engaging in any practice in relation to Personal Information for the purposes of the project, as if the institution were an agency as defined in the Federal Privacy Act 1988; and to comply with any policy guidelines related to the protection of Personal information issued by the Carrick Institute or the Privacy Commissioner.

The Carrick Institute will not disclose your confidential information without your written agreement other than to the Minister responsible for the Carrick Institute, in response to a request by a House or a Committee of the Parliament of the Commonwealth of Australia or as authorised or required by law. The grantee must not disclose Carrick Institute confidential information without written approval.

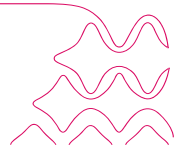
The Carrick Institute will make publicly available information on the institutions which receive funding, a summary of the project, the project leader/s the amount of funding received and authors of reports. The Institute may choose to release reports and evaluations arising from the project.

## **Reference Groups, Steering Committees and Project Support**

All project teams should appoint a reference group. The reference group should include some external participants who have appropriate expertise to ensure there is constructive advice on the design, development and ongoing evaluation of the project and to ensure the project has maximum impact within the institutions/s engaged in the project and beyond those institutions.

In some cases, the Carrick Institute will determine that a steering committee will be appointed to either one or a number of projects designed to contribute to the same or similar outcomes. In this case the Carrick Institute reserves the right to appoint the steering committee.

The Carrick Institute will nominate a staff member as the Carrick Institute Project Manager to support and monitor each project. The Carrick Institute Project Manager may organise workshops that are either voluntary or part of the conditions of funding. The workshops could cover topics such as management advice and the sharing of challenges, findings, ideas and good practice.



### **Non-participating Members**

Since there are different levels of experience and expertise in the Australian higher education sector, funding may be provided to projects to enable 'non-participating members' who may not have the resources to fully engage with the project to join the project as an interested observer. The type of 'non-participating members' envisaged are those who wish to learn how to conduct such a project or plan at a future date to 'cascade' the project to their institution.

### **International Partnerships**

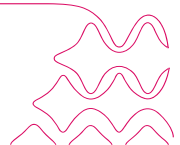
International partnerships are encouraged where appropriate. As with other members of consortia, funding can be shared with international partners for their contribution to the project. This arrangement must be made through the lead institution, which must be an Australian higher education institution eligible to apply for a grant under the Carrick Institute Grants Scheme. International partners must agree to the conditions imposed in the funding agreement especially in relation to intellectual property.

### **Dispute Resolution**

The funding agreement deals with dispute resolution between the Carrick Institute and the grant recipient. A model funding agreement can be found on the Carrick Institute website.

Should a dispute between project partners arise during the conduct of the project, the project partner claiming that there is a dispute will send to the other partners a written notice setting out the nature of the dispute. In the first instance the project partners will try to resolve the dispute through direct negotiation by persons who have been given the authority to resolve the dispute by their institutions/organisations. If after 10 business days from the receipt of the notice the partners have failed to reach a resolution, the dispute is to be submitted for mediation to the Carrick Institute through the project leader.

Despite the existence of a dispute, all partners must (unless requested in writing by the other project members not to do so) continue to perform their obligations.



## 5.

# DIRECTIONS FOR APPLICANTS

## GRANTS SCHEME

Applications may be made through either a one or two stage process, depending on the program guidelines (Section 3) and/or the request for applications. In a two stage process an expression of interest would be submitted in response to calls for applications. From the expressions of interest, a short list would be determined and successful applicants asked to prepare a full proposal. The final decisions about projects to be funded would then occur on the basis of the full proposals.

In the one stage process, a full proposal only would be submitted and this would form the basis of decisions about the projects to be funded.

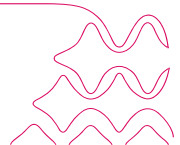
### **Project Names**

Project names should be no more than 15 words long and should describe clearly what the project will be doing. If the project is based in a discipline or field of study this information must be included in the title.

### **Expressions of Interest (EOI)**

#### **Inclusion and form**

- EOIs should be no more than three pages (exclusive of the Grants Scheme Application Form and attachment – see below).
- Expressions of interest should include:
  - The rationale for and aims of the project, particularly in relation to the context and characteristics of the institution(s) involved
  - The approach the project will take
  - The anticipated deliverables and outcomes of the project and why these are important to the sector or a group of institutions
- Applicants should complete the Grants Scheme Application Form when submitting an application. A copy of the Application Form is available on the Carrick website 'Applying for a Grant', including guidelines for completion.
- EOIs should include a one page attachment providing concise information on the qualifications and experience of the project leader(s) and key members of the project team.



- EOIs must have the endorsement of the PVC/DVC (academic) or equivalent. The name of the endorsing PVC/DVC (academic) or equivalent is required on the Application Form.
- Budgets are not required in EOIs.

### **Submission**

- Applications should be submitted directly via our web based grants management system refer [www.carrickinstitute.edu.au](http://www.carrickinstitute.edu.au), *Applying for a Grant*. All applications will be receipted automatically. In the event that it is not possible to submit your application via the web, email your application including a completed Application Form to [projects@carrickinstitute.edu.au](mailto:projects@carrickinstitute.edu.au). An email receipt will be despatched within 3 business days.
- If you do not receive a receipt of application please ring the phone contact provided.
- Do not submit your application in both forms ie. via the web and by email.
- The documents should be named eoi.program.institution.contact.year e.g. eoi.lp.rmit.smith.07. Use 'lp' for the Leadership Program. If the computing program you use does not support a document name of this length please abbreviate but retain the elements.
- EOIs must be received by 5pm (AEST) on the closing date. An EOI that does not meet the deadline for application may not be considered. A delay in receiving a response to a request for information will not be considered a valid reason for a late application unless the request for information was received at least 7 days before the application date.

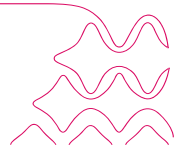
### **Full Proposals**

#### **Inclusion and form**

- Full proposals are limited to 12 A4 pages in 12 font (exclusive of the Application Form and attachments – Refer below).

Fully developed proposals should include:

- the purpose of the proposed project (see Program Criteria), the rationale (including the relationship with institutional priorities for learning and teaching), proposed outcomes and deliverables and an evaluation strategy,
- an outline of the proposed approach and methodology, structured in terms of year-long phases,
- information on the human resources and infrastructure required for the project completion,



- the resources/support the institution/s will contribute to the project including where appropriate its implementation,
- the processes and structure underpinning the management of the project including how the project team will establish a clear vision, clear goals, financial and staff management, evaluation strategies,
- information on key policy and practice audiences relevant to the project and how these audiences will be included in the various phases of the project including evaluation,
- procedures for facilitating dissemination and uptake of the project outcomes across the higher education sector
- the relationship with other work/research in the area,
- for collaborative projects – the type of collaboration, the project collaborators and their anticipated contributions
- as attachments a budget and a timeline (limit 3A4 pages in total). The format for preparing the budget is available on the Carrick website, 'Applying for a Grant'.
- an attachment providing the qualifications and experience of the project leader(s) and project team (limit 3 A4 pages). The statement on the project leader/s should include a list of all current projects, research, and fellowships and the give an estimate of the time that the leader/s can contribute to the proposed project.

Applicants should complete the Grants Scheme Application Form when submitting their application. A copy of the Application Form is available on the Carrick website 'Applying for a Grant'.

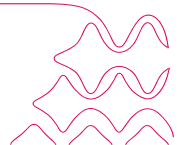
### **Time-lines**

The timeline should assume that the project will begin in the year in which funding is approved. For projects designed to go beyond one year of funding the timeline should be developed around stages with discrete staged outcomes and deliverables for each year of the project.

Time-lines need to recognise the lead-up time required for large projects or those with a number of partners to develop a shared language and local commitment. Careful consideration should be given to the number and type of partners and their contribution to ensure the project is manageable.

### **Budgets**

Applicants should carefully consider the expected costs of the project when submitting an application. The cost of printing and distribution of any deliverables should be included in the project costs as should costs associated with the maintenance of any websites for at least three years. Overheads can be included but should be identified within the appropriate budget item not as an overall percentage cost added to the bottom line. The format for budgets is found on the website under "Applying for a grant".



The budget can contain provision for:

- Salaries and on-costs. The rate used for on-costs should be 28%.
- Teaching relief – to a maximum of \$35,000 per year with a letter of agreement from the head of school
- Dissemination activities
- Travel associated with the project conduct and/or dissemination
- Technical and expert support and resources essential to the conduct of the project
- Up to 10% for administration costs and overheads

### **Evaluation**

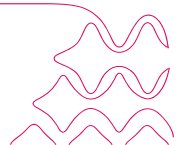
All projects provided with funding of greater than \$150 000 must commission a formal independent evaluation at the conclusion of the project. This evaluation should be factored into the budget and the time-lines for the project.

### **Submission**

- Proposals should be submitted directly via our web based grants management system refer [www.carrickinstitute.edu.au](http://www.carrickinstitute.edu.au), 'Applying for a Grant'. All applications will be receipted automatically. In the event that it is not possible to submit your application via the web, email your application including a completed Application Form to [projects@carrickinstitute.edu.au](mailto:projects@carrickinstitute.edu.au). An email receipt will be despatched within 3 business days.
- If you do not receive a receipt of application please ring the phone contact provided.
- Do not submit your application in both forms ie. via the web and by email.
- The documents should be named prop.program.institution.contact.year e.g. prop.lp.rmit.smith.07. Use 'lp' for the Leadership Program. If the computing program you use does not support a document name of this length please abbreviate but retain the elements.
- Proposals must be received by 5pm (AEST) on the closing date. A proposal that does not meet the deadline for application may not be considered. A delay in receiving a response to a request for information will not be considered a valid reason for a late application unless the request for information was received at least 7 days before the application date.

### **Contacts**

Mail address:  
PO Box 2375, Strawberry Hills  
NSW 2012, Australia



Phone: +61 2 8667 8510

Fax: +61 2 8667 8515

Requests for further information should be directed by email to [projects@carrickinstitute.edu.au](mailto:projects@carrickinstitute.edu.au). Requests should provide appropriate contact information including the name, institution and phone number of the person seeking the information.

### ***Definitions and descriptions***

**Application** – this term includes both expressions of interest and full proposals

**Consultation and collaboration** – these two concepts can take a number of meanings and operate in different ways in different contexts. A useful discussion of these concepts is found in *Dissemination, Adoption & Adaptation of Project Innovations in Higher Education* (2005) (pp.163-165)

**Deliverable** – in the context of the Grants Scheme a deliverable is a product or activity arising from the proposed project. Deliverables include workshops, reports, learning objects etc.

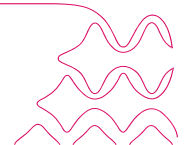
**Dissemination** - In the context of the Grants Scheme the definition in *Strategies for effective dissemination of project outcomes (2005)* will be applied:

“dissemination is understood to be more than distribution of information or making it available in some way. While embracing this aspect, dissemination also implies that some action has been taken to embed and upscale the innovation within its own context (discipline or institution) and/or to replicate or transform an innovation in a new context and to embed the innovation in that new context” (p.2).

The *Carrick Institute Dissemination Framework* is found on the website and more detailed exploration of the concept ‘dissemination’ is found in *Dissemination, Adoption & Adaptation of Project Innovations in Higher Education* (2005) (pp.159-163)

**Innovation** - In the context of the Grants Scheme the definition in *Strategies for effective dissemination of project outcomes (2005)* will be applied:

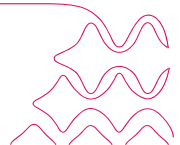
“the term ‘innovation’ refers to an idea, product, process or service that adds value, is useful or transforms current practice in the context to which it is applied. ‘First-generation innovators’ are those who do or create something new or different. ‘Second-generation innovators’ are those who take an innovation from one context and replicate, adapt or transform it for use within a new context”(p.2).



**Intellectual Property Rights** - includes all copyright (including rights in relation to phonograms and broadcasts), all rights in relation to inventions (including patent rights), plant varieties, registered and unregistered trademarks (including service marks), registered designs, circuit layouts, and all other rights resulting from intellectual activity in the industrial, scientific, literary or artistic fields.

**Outcome** – in the context of applications under the Grants Scheme an outcome is an achievement which the project is designed to accomplish, preferably described in a form that is measurable or for which evidence can be provided. To prepare an outcome statement as part of an expression of interest or project proposal, the question that should be posed is: *what is the project designed to achieve and how will the project team know they have been successful?* A number of unplanned outcomes are likely from any project. These should be included in the final report along with the success in achieving the nominated project outcomes.

**Project Material** - includes documents, equipment, software, goods, information and data stored by any means.



## 6.

# SUPPORTING INFORMATION LEADERSHIP PROGRAM

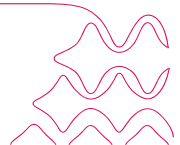
### **The Carrick Perspective on Effective Leadership**

Across the higher education sector, both nationally and internationally, the primary importance of excellence in learning and teaching is being recognised, and is increasingly being seen as integral to academic leadership. At the same time, high quality, multi-level leadership in higher education is now seen as fundamental to the promotion and advancement of learning and teaching. Teaching in higher education today is a complex undertaking, and defining and achieving excellence in learning and teaching reflects that complexity. The increasing diversity of student bodies, the availability of new technologies, funding constraints that require more with less”, increased administrative demands and the engagement of higher education with students globally all contribute to this complex picture. There is also a change in emphasis occurring from accountability in terms of teacher input to accountability in terms of student learning - a shift, in many ways from a focus on the teacher and his/her practices to a focus on the student learning associated with those practices.

In this dynamic, sometimes uncertain and sometimes ambiguous context, the capacity of systems, institutions and individuals to respond appropriately to change and to facilitate further change requires forms of leadership that go beyond conventional models. The Carrick Institute is therefore developing a rich and open view of leadership that allows for multiple interpretations.

For excellence in learning and teaching, the Institute favours approaches that are distributed and multi-level. The Institute sees a need to recognise that leadership in learning and teaching takes many forms. In some forms (e.g. Pro-Vice-Chancellor (Academic) and Head of School or Department) leadership is defined formally and is encapsulated in the position title and description. At the same time, many people have roles (such as policy developer, curriculum developer or classroom innovator) which are critical to quality learning and teaching, and within which leadership is more context-dependent and may not be formally defined. The Institute also sees a need to recognise that, within this multi-level concept, there must be cross-level teamwork and integration of the levels in order to get the best out of all. Such models of leadership demand whole-of organisational commitment.

In accordance with this perspective, the Carrick institute has identified the areas of institutional leadership, and leadership for learning and teaching through disciplinary and cross-disciplinary approaches as the initial priorities for projects within the Leadership Program. The Institute will also undertake some research projects and activities to



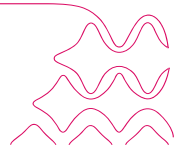
underpin the further development of the Leadership for Excellence in Learning and Teaching Program and leadership initiatives in the higher education.

Under the Disciplinary/Cross Disciplinary Priority projects should be designed with a view to strengthening learning and teaching throughout the higher education sector within a discipline, national community of practice or cross-disciplinary area. The Carrick Institute recognises that there are different levels of readiness and resources to undertake this type of project, depending on the organisations and networks that already exist to support disciplines and cross-disciplinary areas and communities of practice. While the intent of this program is to facilitate projects that provide support and leadership across the higher education sector, other approaches may be necessary in developing areas. (For an example of such an approach, see the McKenzie et al (2005) description of “EFFECTS: The effective framework for embedding C&IT using targeted support” in *Dissemination, Adoption & Adaptation of Project Innovations in Higher Education (2005)*, available on Carrick Institute Website [www.carrickinstitute.edu.au](http://www.carrickinstitute.edu.au)).

### **Other useful material**

On the website:

- *Ideas of leadership underpinning proposals to the Carrick Institute: a review of proposals under the 'Leadership for Excellence in Learning and Teaching Program' 2006 - Professors Don Anderson and Richard Johnson*
- *Assessment Report on 2006 applications in the Leadership for Learning and Teaching Program.*



## 7. GENERAL SUPPORTING INFORMATION

Universities are encouraged to support applicants in preparing their applications.

The Australian Universities Teaching Committee commissioned two reports to provide advice to the Carrick Institute on improving the wider impact of funded projects. These reports are available on the Carrick Institute website [www.carrickinstitute.edu.au](http://www.carrickinstitute.edu.au) :

- *Dissemination, Adoption & Adaptation of Project Innovations in Higher Education* by Jo McKenzie, Shirley Alexander, Carly Harper, Susan Anderson from University of Technology, Sydney (May 2005)
- *Strategies for effective dissemination of project outcomes* by Deborah Southwell, Deanne Gannaway, Janice Orrell, Denise Chalmers, Catherine Abraham, The University of Queensland and Flinders University Sydney (April 2005).

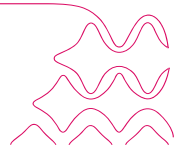
Many of the recommendations from these reports have been implemented through the Grants Scheme Guidelines and related program guidelines. A Dissemination Framework has been published on the Carrick Institute website to assist applicants for funding under the various Carrick Institute programs.

### **Project Design Considerations**

The following advice is taken from the *Dissemination, Adoption & Adaptation of Project Innovations in Higher Education* by Jo McKenzie, Shirley Alexander, Carly Harper, Susan Anderson from University of Technology, Sydney (May 2005 p.xv).

The report recommends that project developers:

- consider the range of possible methods that might be adopted for involving potential users from the beginning of a project, for example
- collaborative development by a strategically selected group of partners;
- consultation with potential users at various stages of the process, from initial project design to prototype evaluation, pilot testing and cascading to others;
- involvement of potential users in needs analysis related to the intended project;
- provide support for adopters to engage in the learning necessary to adapt, implement and evaluate the project outcomes effectively, for example through
- provide implementation guides accompanying the project;
- provide case studies and exemplars of implementation;
- provide support or training workshops or other events;
- provide consultancy support and services from the project team;

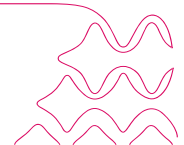


- use consultative and collaborative forms of development which enable potential adopters to learn and inform project development;
- consider the range of potential adopters of the project and use appropriate methods for engaging with them, such as through links with disciplinary or cross-disciplinary organisations.

The following advice is taken from the *Strategies for effective dissemination of project outcomes* by Deborah Southwell, Deanne Gannaway, Janice Orrell, Denise Chalmers, Catherine Abraham, The University of Queensland and Flinders University Sydney (April 2005 p. 8).

Projects should:

- establish a communication plan that includes regular communication with the project team, institution, stakeholders, the Carrick Institute and the wider national community
- ensure that evaluation is undertaken at multiple points throughout the project and is understood and reported within an evaluation framework.



### List of eligible institutions

Australian Catholic University  
Australian Maritime College (Tas.)  
Avondale College (NSW)  
Batchelor Institute of Indigenous Tertiary Education (NT)  
Bond University  
Central Queensland University  
Charles Darwin University  
Charles Sturt University  
Christian Heritage College (Qld)  
Curtin University of Technology  
Deakin University  
Edith Cowan University  
Flinders University  
Griffith University  
James Cook University  
La Trobe University  
Macquarie University  
Melbourne College of Divinity  
Monash University  
Murdoch University  
Queensland University of Technology  
RMIT University  
Southern Cross University  
Swinburne University of Technology  
Tabor College Inc.(SA)  
The Australian National University  
The University of Adelaide  
The University of Melbourne  
The University of New England  
The University of New South Wales  
The University of Newcastle  
The University of Notre Dame Australia  
The University of Queensland  
The University of Sydney  
The University of Western Australia  
University of Ballarat  
University of Canberra  
University of South Australia  
University of Southern Queensland  
University of Tasmania  
University of Technology Sydney  
University of the Sunshine Coast  
University of Western Sydney  
University of Wollongong  
Victoria University

