Research Fellowship Scheme

Full Proposal (Invitation Only) Funding Rules 2015

Submission: Only electronic copies will be accepted. You must complete the application form and submit it via email to research.preaward@mq.edu.au (and copy to your host Faculty's Faculty Research Manager). Hard copies will not be accepted.

Certification: You must also complete a MQ coversheet, which is accessed via: http://research.mq.edu.au/for/researchers/applying_for_grants/research_grant_application_cover_sheet4

Research Office Contact:

<table>
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<tr>
<th>Scheme Contact</th>
<th>Ms Georgie Chinchen</th>
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Key Dates:

<table>
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<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Full Proposals Open</td>
<td>Wednesday 23 July 2014</td>
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<tr>
<td>Full Proposals Faculty Internal Deadline</td>
<td>* See note below table *</td>
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<tr>
<td>Full Proposals Due</td>
<td>5.00pm, Wednesday 20 August 2014</td>
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<tr>
<td>Referee Reports Due</td>
<td>5.00pm, Wednesday 27 August 2014</td>
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<tr>
<td>Sponsor &amp; Head of Department Report Forms Due</td>
<td>5.00pm, Wednesday 27 August 2014</td>
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<tr>
<td>Independent Reviewer Reports Due</td>
<td>9.00am, Monday 22 September 2014</td>
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<tr>
<td>PhD Award Date for Eligibility</td>
<td>On or after 1 March 2011</td>
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<tr>
<td>PhD Submission date if PhD not yet awarded</td>
<td>Wednesday 20 August 2014</td>
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Check with your Faculty Research Manager for your Faculty’s internal deadline for Full Proposals (which will be earlier than the above Research Office deadline).
Summary of Changes from Last Round’s Funding Rules:

- The total number of fellowships available has changed from “up to six” to “a minimum of six”.
- MQRF applications must be emailed to research.preaward@mq.edu.au
- The structure of the MQRF assessment panel has changed – see 13. Application Assessment Process.
1. **Purpose of Scheme**

The Macquarie University Research Fellowships (MQRF) Scheme has three main objectives:

1.1 To provide support to researchers within three years of the award of their PhD who have an outstanding track record (relative to opportunity) or who show evidence of excellent research potential.

1.2 To provide an incubation research period for early career researchers allowing them to increase their competitive edge in securing research funding from non-University sources.

1.3 To enhance the research capabilities of existing and emerging areas of research strength at Macquarie University.

Applicants who believe their research is in an area of emerging strength for Macquarie must discuss this with their proposed Macquarie Sponsor.

2. **Funding and Fellowships Available**

2.1 Macquarie University will offer at least six full-time Research Fellowship positions commencing in 2015. Positions will be awarded on a competitive basis and will be tenurable for three years.

2.2 The salary range for the Fellowship salary will be awarded at step 6, 7 or 8 of Level A of the Academic Salary Scale, plus annual leave loading and 17% employer superannuation. These salary levels will be adjusted in line with movements in the Academic Salary Scale. Fellows will be paid on a fortnightly basis through the University's payroll system. **Please note that all candidates must negotiate their appointment level with the Head of their proposed Host Department.**

2.3 Salaries above the range A6–A8 cannot be supported by the Fellowship. However, supplementation by the host Department may be negotiated and applicants should then retain written confirmation of the agreed salary level from the Head of Department and the Faculty Executive Dean. Such supplementation may be considered appropriate where a Fellow is currently occupying a position above Lecturer Level A, or where their track record is such that a higher level of appointment is deemed appropriate. The Fellowships Panel will provide advice on appointment levels if requested to do so by the host Faculty. However, approval of the appointment level decided by the host Faculty is not required.

2.4 Short-listed applicants may apply in their full proposal for up to $50,000 over three years for research costs associated with the proposed project (up to a maximum of $20,000 in any one year).

3. **Eligibility**

3.1 Applicants must have been invited to submit a full Macquarie University Research Fellowship Application. **Unsolicited applications will not be accepted.**

3.2 Applicants are eligible only if their PhD has been awarded on or after 1 March 2011 (or if they have successfully made a case at Expression of Interest stage for an exemption to this rule); or their thesis will be submitted by 20 August 2014.
Fellowship cannot be commenced until the PhD has been awarded, which must be by 30 June 2015.

3.3 If the Fellow is not an Australian citizen and does not have permanent resident status, he/she must obtain the necessary visa from the Department of Immigration and Citizenship before taking up the grant. http://www.immi.gov.au/. Please note that visa costs are not covered by the MQRF scheme; they are responsibility of the Host Department.

3.4 Fellows must be in full-time attendance at Macquarie University for the full term of the Fellowship with the exception of approved field work and travel.

3.5 Applicants who were/are PhD candidates at Macquarie University, or who have had full-time, part-time, or casual employment at Macquarie University since the beginning of 2013, must make a convincing case for why it is appropriate for them to continue or recommence their research career at Macquarie University. The case should be made in Section B10.4 of the full proposal form.

3.6 Only applicants who have the agreement of a Macquarie University Sponsor are eligible to submit a Full Proposal; see section 4 below.

3.7 Applicants may be subject to review under the Autonomous Sanctions Act 2011. This Act restricts Australian organisations (including Macquarie University) from interacting with people or organisations associated with countries on the sanctions list. Further details of the Act and the review process may be found at http://www.research.mq.edu.au/about/research_@_macquarie/policies,_procedures_and_conduct/autonomous_sanctions_procedures.

4. Fellowship Sponsor

4.1 The Fellowship Sponsor must be the same Sponsor listed on the Expression of Interest.

4.2 The Sponsor must be named on the full proposal.

4.3 If there are exceptional circumstances that mean that the Sponsor named on the Expression of Interest is unable to continue, the applicant must nominate a replacement Sponsor who satisfies the eligibility criteria as stated in Section 4 of the Macquarie University Research Fellowship Expression of Interest Guidelines. Applicants in this category must contact their Faculty Research Manager.

4.4 Sponsors and Host Departments of successful applications will be responsible for basic administrative and infrastructure support required by the Fellow, and will be expected to provide the necessary mentoring and intellectual leadership. Progress and Final Reports should be certified by the Sponsor.

4.5 The proposed Sponsor and Head of Department must email a completed and signed MQRF Sponsor and Head of Department Statements form to research.preaward@mq.edu.au by 5pm, Wednesday 27 August 2014.
5. Application Preparation/Project Outline
5.1 All applicants are encouraged to take advantage of any mentoring or other grant writing assistance provided within their Faculty prior to submitting their application. Applicants should talk to their Head of Department or Faculty Research Manager for more information.

5.2 Great care should be taken in preparing the application. The application must be informative to non-experts in the field, such that readers can understand what it is that the applicant is proposing to do, how this might be achieved, and why it is important. Unexplained jargon and/or overuse of discipline specific language is strongly discouraged.

6. Selection Criteria
Applications will be evaluated on the following criteria:

Applicant (40%)
- Track record of the applicant relative to opportunity and career stage.
- Research performance and potential.
- All applicants must be able to demonstrate a track record of quality publications showing promise.

Project Significance, Innovation and National Benefit (30%)
- Does the research address an important problem within the discipline?
- Will the anticipated outcomes advance the knowledge base within the discipline?
- Are the project aims and concepts significant and innovative?
- Will new methodologies or technologies be developed?
- What is the potential for the research to contribute to the Strategic Research Priorities (http://innovation.gov.au/research/Pages/StrategicResearchPriorities.aspx)? How will Australia benefit from this research?

Approach, Resources and Feasibility (15%)
- Are the conceptual framework, design, methods and analysis adequately developed, well integrated and appropriate to the aims of the project?
- Are there sufficient and appropriate resources (infrastructure and/or financial) available for the project?
- Is the project timetable realistic and achievable?

Sponsor, Environment, Fit and Benefit to Macquarie University (15%)
- Is the intellectual environment appropriate to foster a successful outcome for the project and provide a strong foundation for the Fellow’s career?
- Does the Sponsor have the appropriate track record and the capacity to provide mentoring and intellectual leadership in the subject area of the proposed project?
- Has the applicant made clear why Macquarie University is the appropriate place for this project?
- Will the applicant and the project be integrated into a current or emerging research strength of Macquarie University?
- How will the University benefit from the conduct of this project, including tangible benefits (such as publications, research, commercialisation, and other income, and capacity building), and intangible benefits, such as an enriched research culture. (This is especially important for applicants who have a PhD from...
7. **Budget**

7.1 Invited candidates may apply in their Full Proposal for up to $50,000 over three years for research costs associated with the proposed project (up to a maximum of $20,000 in any one year). Applicants who do not apply for project costs must explain how their research will be supported without financial support from the Scheme.

7.2 Full justification for budget items is required. Two basic principles must be used in determining and justifying budgets:

- accurate costing; and
- a clear explanation of the reasons for all proposed expenditure in relation to the research plan.

Justification of the budget is not merely restating in prose the proposed expenditure as detailed in the budget section of the application form. The budget justification should clearly explain the reason why each budget item is required how the total costs have been determined. Applicants are encouraged to consult their proposed host Faculty Research Manager for assistance with budget amounts.

7.3 **Personnel**

Applicants should indicate the level and duration of assistance required and cost it accordingly. Vague, unspecific requests for assistance will not be supported. All requests for funding of casual research personnel must include allowance for on-costs (workers' compensation, payroll tax and the national superannuation scheme) at the rate of 17% for casual appointments. Applicants should contact their Faculty Finance Manager if they require additional information.

7.4 **Equipment**

Items of minor equipment may be requested. A descriptive statement of each item of equipment must be included in the justification of the budget. Quotation requirements are as per the Macquarie University purchasing procedure guidelines: [http://www.mq.edu.au/policy/docs/purchasing/procedure.html#quotation](http://www.mq.edu.au/policy/docs/purchasing/procedure.html#quotation)

Applicants are reminded that all equipment purchased with MQRF funding remains the property of Macquarie University.

Applications for computer equipment will need to provide a particularly strong justification, establishing the specific need of the item for the proposed project. General computer needs will not be supported. Laptop computers are not eligible budget items unless a particularly strong and convincing case is made for exclusive use of the laptop for the proposed project for purposes such as fieldwork and archival procedures.

7.5 **Maintenance**

Consumables and any equipment costing less than $1,000 should be listed in this section. Each of these items must be fully justified.

7.6 **Travel**

Expenditure of funds may be granted only when travel is directly related to the project. Award of funding is based on justification and is awarded at the discretion of the Panel.
Any awarded funds to be used for travel are subject to the University’s Travel Policy which may be accessed at: http://www.ofs.mq.edu.au/university_travel/index.htm.

8. Application Process
8.1 Applications must be in the prescribed format:
- Times New Roman 12 point font.
- References may be reproduced in 10 point font.
- All text must fall within 2cm margins.
- The layout of the form must not be altered.
- Page and word limits must be strictly adhered to.
- The Research Office will check all applications for compliance with the above formatting requirements.
- Full Proposals that do not comply with one or more of the above points will be ruled ineligible.

8.2 The Application must be submitted electronically, emailed as a Word attachment to research.preaward@mq.edu.au (cc your Faculty Research Manager) by the Research Office deadline:

| Closing Date: | 5.00pm, Wednesday 20 August 2014 |

8.3 Late applications will not be accepted. Hard copy applications will not be accepted. Incomplete applications will be deemed ineligible.

Please consult your Faculty Research Manager for Faculty deadlines, which will be earlier than the Research Office deadline.

8.4 In addition to submitting the MQRF application, a MQ coversheet must also be completed and submitted before the Research Office deadline. Applications submitted without a corresponding MQ coversheet may be ruled ineligible. See 9 below for details.

9. Certification
9.1 Please note that your Faculty will have an internal deadline for application review and/or receipt of the MQ coversheet prior to the Research Office deadline; check with your Faculty Research Manager for details.

9.2 In addition to completing an application form, you must also complete and submit a MQ coversheet by the deadline. The MQ coversheet can be accessed via: http://research.mq.edu.au/for/researchers/applying_for_grants/research_grant_application_cover_sheet4

10. Independent Reviewers
10.1 Each full proposal will be assessed by the Fellowships Panel with expert input from external independent reviewers, from whom the University will request reports.

10.2 Applicants invited to submit a full proposal must identify five Independent Reviewers to whom their application may be sent for assessment. Appropriate Independent Reviewers should be internationally or nationally renowned experts in the applicant’s research area and therefore knowledgeable in the field of proposed study. A brief reason for each nomination must be provided in the full proposal.
10.3 To avoid conflicts of interest, Independent Reviewers cannot be PhD or postdoctoral supervisors, employers, co-authors, research collaborators, or colleagues in the same department. If a similar grant is being lodged elsewhere then a co-investigator on that grant cannot be an Independent Reviewer. If such Independent Reviewers described above are nominated, the application will be ruled ineligible. The only exception to this eligibility rule is cases in which the applicant is a co-author on a paper where a substantial majority of people in the applicant’s discipline are named as co-authors. Such cases must be approved by the Panel Chair prior to submission of the Full Proposal. If you require an eligibility exemption from this rule, please email research.preaward@mq.edu.au at least two weeks prior to the application deadline outlining your reasoning for the eligibility exemption request.

10.4 Applicants must confirm with nominated Independent Reviewers that they are willing and available to review, but then applicants should have no further contact with the reviewers about their application.

10.5 The Research Office will contact the five nominated Independent Reviewers in order to obtain reports for each applicant by 9am, Monday 22 September 2014. Late reports cannot be accepted.

10.6 The Independent Reviewer Report forms are to be completed without any input from the applicant.

11. Referee Report
11.1 Invited candidates must appoint a Referee to complete the Referee’s Report Form. It is the applicant’s responsibility to provide their nominated Referee with the Referee Report Form (available under the “Resources” link at http://www.research.mq.edu.au/for/researchers/applying_for_grants/other_external_funding/mqrf).

11.2 Examples of suitable Referees include the applicant’s PhD or postdoctoral supervisor, employer, one of their PhD examiners, or research collaborator. The Referee is expected to comment on the applicant’s track record, research performance, trajectory and potential, as well as how the research environment at Macquarie will help this applicant to develop his/her research career.

11.3 The Referee must email a completed Referee Report form to research.preaward@mq.edu.au by 5pm, Wednesday 27 August 2014. Late reports will not be accepted.

11.4 The Referee Report form is to be completed without any input from the applicant.

12. Sponsor and Head of Department Statements
12.1 It is the applicant’s responsibility to provide their nominated Sponsor and Head of Department with the Sponsor and Head of Department Statement Form (available under the “Resources” link at: http://www.research.mq.edu.au/for/researchers/applying_for_grants/other_external_funding/mqrf)

12.2 The Sponsor and proposed Head of Department must email a completed and signed Sponsor and Head of Department Statement form to research.preaward@mq.edu.au by 5pm, Wednesday 27 August 2014.
12.3 The Sponsor and Head of Department Statements form is to be completed without any input from the applicant.

13. **Application Assessment Process**

13.1 The MQRF Assessment Panel consists of a main panel (made up of representatives of all four Faculties of the University) plus two sub-panels – one covering Science and Medical research areas; and one covering Arts, Business, and Human Sciences research areas.

13.2 Every eligible full proposal will be assessed by members of the main assessment panel and the relevant sub-panel. The panel members take into account comments from the Sponsor and Head of Department, comments from the applicant-nominated Referee, and comments and rankings from the applicant-nominated Independent Reviewers.

13.3 Based on this assessment, the Panel will rank the applications in order, evaluate their requested project budgets and prepare recommendations for the Deputy Vice-Chancellor (Research) who has the authority to allocate funding. The Research Office will notify all applicants of the outcome of their applications.

14. **Appeals**

14.1 Unsuccessful applicants have the right to seek a review of outcome, on procedural grounds only.

14.2 To request a review of outcome, please write a brief letter detailing the basis on which the review is requested. The letter, clearly marked “Confidential Appeal”, should be submitted to Ms Louise Fleck, Director, Research Office, Building C5C East.

15. **Conditions of Award**

15.1 Macquarie University Research Fellows must be in full-time attendance at Macquarie University and the Fellowships are tenurable on a full-time basis only. Nevertheless, the Fellow may, during the term of the Fellowship, request approval from the Deputy Vice-Chancellor (Research) for conversion of the Fellowship to part-time status for periods of time.

15.2 The appointments will carry University-standard academic appointment benefits and restrictions. This includes the normal provisions for relocation expenses, etc. Details of the University’s policy on such matters are available from the Human Resources Office at: [http://mq.edu.au/policy/docs/relocation/guideline.html#4](http://mq.edu.au/policy/docs/relocation/guideline.html#4). Please note that these costs are not covered by the MQRF scheme; they are the responsibility of the Host Department.

15.3 Fellowships must be commenced by 30 June 2015, otherwise the award will lapse. In exceptional circumstances, Fellows may request an extension of this date by writing to the Deputy Vice-Chancellor (Research), (care of the Research Office Pre-Award Team: research.preaward@mq.edu.au) outlining the circumstances behind the request.

15.4 Successful candidates who have not been awarded their PhD at the time of MQRF application submission cannot take up the Fellowship until formal advice that their PhD has been awarded is received by the Macquarie University Research Office.
15.5 The MQRF Scheme aims to increase the number of externally funded Research Fellowships held at the University, such as those provided under Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) schemes. To this end, it is a condition of award that MQRF recipients will apply during the second year of their MQRF tenure to the ARC, NHMRC or any other external agency for a Research Fellowship. This condition may be waived should the Fellow meanwhile have been offered and accepted an academic appointment within Macquarie University, or at another institution.

15.6 Variation
Requests for variation of expenditure must be submitted on the appropriate form, available from the appropriate link on the web at:

A request is required only when a change to the budget category is necessary; for example, using the funds for travel instead of personnel, where travel was not included as a budget item in the application. Requests must be fully explained and justified. Requests must include written support from the Sponsor and the Head of Department.

15.7 Carry Forward
Successful applicants are expected to manage their research project funds to completion within the grant allocation period, therefore funds must be fully expended within the funded period.

Carry forward of funding beyond the funding allocation period is strongly discouraged, and will be approved only in **exceptional circumstances** that were beyond the control of the researcher.

Any request to carry forward unspent funds must reach the Research Office at least one month prior to the end of the funding period and must be submitted on the appropriate form, available from the appropriate link on the web at:

Carry forward requests must include written support from the Sponsor and the Head of Department.

15.8 Progress Report
The Macquarie University Research Fellow must provide the Research Office with annual progress reports due by the end of the first and second years of the fellowship. Funds awarded in years two and three of the Fellowship to support project related costs are indicative, and conditional upon the approval of the annual progress reports.

The report template can be found at the appropriate link at:

15.9 Final Report
The Macquarie University Research Fellow must provide the Research Office with a final report one month after the end of the fellowship.

The report template can be found at the appropriate link at:
16. Administrative Responsibilities
16.1 Faculties will be responsible for all appointment processes relating to Macquarie University Research Fellows, including advice to successful applicants on appointment (and assistance with visa arrangements where applicable) as well as arranging for letters of appointment to be sent via the Human Resources Office.

16.2 The Research Office will be responsible for the Letter of Offer relating to project costs awarded to successful candidates.

17. Privacy Policy
17.1 All personal information provided to the Macquarie University Research Office is handled and protected in accordance with the provisions of the National Privacy Principles (2001). Persons, bodies and organisations involved in the MQRF Scheme must abide by the National Privacy Principles when handling personal information collected for the purposes of the research program.

17.2 Information contained in applications will be received and treated as confidential by Macquarie University, and assessors will be required to treat applications in confidence.

18. Intellectual Property
18.1 In advance of its submission, the applicant should take steps to protect any intellectual property embodied in the proposed research. Upon a successful applicant taking up employment as a Research Fellow at Macquarie University, all IP developed during the period of employment will become the property of Macquarie University under the normal terms of employment of Macquarie University.

18.2 The University’s Intellectual Property Policy may be found on the web at http://www.research.mq.edu.au/about/research @ macquarie/policies, procedures and conduct/intellectual_property_policy.

19. Ethics
19.1 The University maintains strict control over all research activities involving human or animal subjects, and work in which issues of biosafety are involved. Such research must meet the ethical and safety requirements of the relevant government legislation, and satisfy the guidelines of external funding agencies such as the National Health and Medical Research Council (NHMRC). Any research in which such issues are relevant must first be approved by the relevant ethics or biosafety committee. Researchers are expected to be scrupulous in avoiding conflicts of interest (especially where commercial issues are involved) when engaged in the peer review process. In addition, by encouraging public scrutiny of research results by publication and other means, the University also wishes to help combat fraud and misconduct.

19.2 All researchers, research coordinators and supervisors of postgraduate students should be familiar with the Australian Code for the Responsible Conduct of Research, relevant external and internal ethical guidelines. These conditions include compliance with Macquarie University's Responsible Conduct of Research.

19.3 University Animal Ethics, Human Ethics and Biosafety Committees
Researchers should consult the Animal Ethics Committee, Human Ethics Committee and Biosafety Committee web pages to determine whether their research is subject to
the respective guidelines and review processes. If the proposed research requires human, animal or biosafety ethical clearance, the research activities requiring ethics approval will not commence until approval has been obtained. Evidence of ethics approval must be provided to research.postaward@mq.edu.au.

Please contact the Ethics Secretariat at ethics.secretariat@mq.edu.au, telephone (02) 9850 6848 for further information.

20. Faculty/School Research Contacts

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<th>Faculty/School</th>
<th>Research Manager</th>
<th>Email</th>
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