Research Support at Macquarie University

• All of Macquarie University will support you in the achievement of your research goals:
  – Research Office
  – Higher Degree Research Office
  – Office of the DVC Research
  – Associate Deans (Research), Dean HDR and Associate Deans (HDR), Faculty Research Managers and Faculty HDR Managers
  – University Library
  – Other University Offices – Office of Financial Services, Human Resources, Informatics, Property, Macquarie International, Corporate Engagement and Advancement, Office of General Counsel
Research Office structure

- Pre-award
- Research policy and contracts
- Research ethics and integrity
- Post-award and reporting

Director
How the Research Office can help you

- Finding and applying for research funding
- Managing research projects
- Reviewing research agreements
- Helping to ensure that your research is ethical and meets high standards of integrity
- Reporting your research outputs
- Provide training
Pre-Award Team
Structure and purpose of Pre-Award

The Pre-Award team help researchers to identify appropriate funding opportunities and collaborative partners, assist in the development of research proposals and grant applications and manage the submission process.

- Pre-Award Manager
- Research Partnerships Managers (x3)
- Research Development Consultants (x2)
- Research Proposals Leader
- Research Proposals Officers (x3 - 2FTE)
Research Proposals Team:
Team of 4 staff (3 FTE)

Provide advice and support to researchers, ensure compliance with funding rules and look after proposal submissions.

Stoy Drinic - Research Proposals Leader (FT)
Georgie Chinchen – Proposals Officer (FT)
Fiona Collison – Proposals Officer (PT Monday and Tuesday)
Lyn Schedlich – Proposals Officer (PT Wednesday to Friday)
Research Partnerships Managers

Identify, develop and manage relationships with private sector, government and philanthropic organisations and industry groups and identify and facilitate research funding opportunities to assist the University to achieve its strategic objectives

Team of 3 staff, who each look after researchers within MQ Future Shaping Research Priority Areas:

Theme 1: Healthy People  Lisa Elliott
Theme 2: Resilient Societies  Lisa Elliott & Carly Evans
Theme 3: Prosperous Economies  Carly Evans
Theme 4: Secure Planet  Mark Berlage
Theme 5: Innovative Technologies  Mark Berlage
Research Development Consultants

Work closely with researchers to develop research proposals that are of a high standard, particularly in relation to large funding opportunities; identify, develop and implement programs and initiatives aimed at increasing MQ effectiveness in winning research funding.

Team of 2 staff with specialised expertise who cover particular research areas, commencing in November 2014:

Hard Sciences: Dr. Ross Hill  
Medical Sciences: Dr. Boris Sarcevic
Pre-Award staff work closely with Faculty support staff

Faculty Research Managers

Arts: Gill Ellis
Bus & Economics: Kerry-Todd Smith
Human Sciences: Colm Halbert
Medicine & Health Sci.: Kyle Ratinac
Science: Irina Zakoshanski

Heads of Partnership and Development

Bus. & Economics: James Keene
Medicine: Dusan Milojevic

...and with other areas in the RO & around the University

Other Research Office teams in particular post-award & contracts;
Corporate Advancement and Engagement;
Access Macquarie;
Finance, Human Resources, Higher Degree Research Office,
Office of Financial Services, Legal, International...
So who do I approach...?

Pre-Award Manager – Julian Zipparo – julian.zipparo@mq.edu.au ph. 9850 8609

The Proposals team share a generic email address which should always be used for queries about specific schemes, eligibility questions and grant submissions research.preaward@mq.edu.au.

Questions which involve research partnerships and external organisations:

- Human sciences* – lisa.elliott@mq.edu.au 9850 1064
- Arts and business & economics – carly.evans@mq.edu.au 9850 4057
- STEM – mark.berlage@mq.edu.au 9850 4058

Specific advice about designing and developing your research ideas for funding, in particular category 1 funding and large funding opportunities:

- Hard sciences - Dr Ross Hill (email and phone TBC)
- Medical sciences - Dr Boris Sarcevic (email and phone TBC)

Faculty Research Managers can always point you in the correct direction, and should always be kept informed about your research funding plans

*Human Sciences - Psychology, Cognitive Science, Linguistics Education & Early Childhood
And with what timelines...?

**Major (i.e. ARC/NHMRC) Funding Rounds:**
Two deadlines are set during the high volume major Category 1 Funding Rounds. A deadline ~4 weeks prior to the external deadline is set for full review of proposals. A deadline of ~1-2 weeks prior is then set for final compliance review and sign off. MQ research funding websites provide the most up to date information. For some schemes MQ will run an internal EOI process in conjunction with faculties.

**Other funding opportunities:**
Let the relevant people know as soon as practicable so that workloads can be managed as well as possible. The proposals team will require a draft for checking no later than one week prior to the set external deadline.

Partnership opportunities & large collaborative endeavours in particular benefit from early involvement, so such opportunities should be advised to the relevant Partnerships Manager or Development Consultant early on.
## Major Upcoming Funding Rounds - ARC

<table>
<thead>
<tr>
<th>ARC Scheme</th>
<th>RMS open</th>
<th>Internal full deadline</th>
<th>Internal final compliance deadline</th>
<th>External closing date</th>
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<tbody>
<tr>
<td>Laureate</td>
<td>Now</td>
<td>Contact FRM</td>
<td>19&lt;sup&gt;th&lt;/sup&gt; Nov 2014</td>
<td>26&lt;sup&gt;th&lt;/sup&gt; Nov 2014</td>
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<tr>
<td>Industrial Transformation</td>
<td>Now</td>
<td>12&lt;sup&gt;th&lt;/sup&gt; Nov 2014</td>
<td>26&lt;sup&gt;th&lt;/sup&gt; Nov 2014</td>
<td>10&lt;sup&gt;th&lt;/sup&gt; Dec 2014</td>
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<tr>
<td>Discovery Projects</td>
<td>Dec 2014</td>
<td>2&lt;sup&gt;nd&lt;/sup&gt; Feb 2015</td>
<td>18&lt;sup&gt;th&lt;/sup&gt; Feb 2015</td>
<td>4&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<tr>
<td>DECRA*</td>
<td>Early Feb 2015</td>
<td>25&lt;sup&gt;th&lt;/sup&gt; Feb 2015</td>
<td>11&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
<td>25&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<tr>
<td>D/Indigenous</td>
<td>Jan 2015</td>
<td>4&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
<td>25&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; April 2015</td>
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<tr>
<td>LIEF</td>
<td>Mid Feb 2015</td>
<td>TBC</td>
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<td>Centres of Exc.^</td>
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* MQ internal ECR EOI process now open – due Nov 28th

^ MQ internal COE EOI process now open – due Nov 21st
## Major Upcoming Funding Rounds - NHMRC

<table>
<thead>
<tr>
<th>NHMRC Scheme</th>
<th>RGMS open</th>
<th>NHMRC minimum data &amp; Internal final compliance deadline</th>
<th>External closing date</th>
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<tbody>
<tr>
<td><strong>Project Grants</strong></td>
<td>15&lt;sup&gt;th&lt;/sup&gt; Jan 2015</td>
<td>18&lt;sup&gt;th&lt;/sup&gt; Feb 2015</td>
<td>4&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<td><strong>Centres Res. Exc.</strong></td>
<td>14&lt;sup&gt;th&lt;/sup&gt; Jan 2015</td>
<td>18&lt;sup&gt;th&lt;/sup&gt; Feb 2015</td>
<td>11&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<td><strong>Res &amp; Prac Fellows</strong></td>
<td>28&lt;sup&gt;th&lt;/sup&gt; Jan 2015</td>
<td>Min data N/A 25&lt;sup&gt;th&lt;/sup&gt; Feb 2015</td>
<td>18&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<td><strong>Career Dev Fellows</strong></td>
<td>4&lt;sup&gt;th&lt;/sup&gt; Feb 2015</td>
<td>Min data N/A 4&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
<td>25&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<td><strong>ECR Fellows</strong></td>
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<td>25&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
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<td><strong>Partnership Projects</strong></td>
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<td>Data 1&lt;sup&gt;st&lt;/sup&gt; April 2015 Int. 18&lt;sup&gt;th&lt;/sup&gt; Mar 2015</td>
<td>8&lt;sup&gt;th&lt;/sup&gt; April 2015</td>
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<td><strong>TRIP Fellowships</strong></td>
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<td>Min data N/A 18&lt;sup&gt;th&lt;/sup&gt; Mar 2015</td>
<td>8&lt;sup&gt;th&lt;/sup&gt; April 2015</td>
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<tr>
<td><strong>Development Grants</strong></td>
<td>18&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
<td>22&lt;sup&gt;nd&lt;/sup&gt; April 2015</td>
<td>13&lt;sup&gt;th&lt;/sup&gt; May 2015</td>
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<tr>
<td><strong>Program Grants</strong></td>
<td>25&lt;sup&gt;th&lt;/sup&gt; March 2015</td>
<td>22&lt;sup&gt;nd&lt;/sup&gt; April 2015</td>
<td>13&lt;sup&gt;th&lt;/sup&gt; May 2015</td>
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<tr>
<td><strong>P/G Scholarships</strong></td>
<td>29&lt;sup&gt;th&lt;/sup&gt; April 2015</td>
<td>27&lt;sup&gt;th&lt;/sup&gt; May 2015</td>
<td>17&lt;sup&gt;th&lt;/sup&gt; June 2015</td>
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* MQ internal ECR EOI process now open – due Nov 28th
Submitting a research grant application

Step 1: Notify the Pre-Award team & Faculty research support staff early

Step 2: Clarify any Queries you may have around process or eligibility
The sooner you ask the sooner we are able to provide you with an answer or clarify with funding bodies

Step 3: Submit a Complete Draft Proposal by any Faculty or Full Internal Deadline

Step 4: Submit MQ Application Coversheet
All research grant applications (apart from Expressions of Interest) require appropriate sign off by both your Department/Faculty, and the institution. In order to ensure this occurs in time for the grant deadline date, it is recommended that at least one week prior to the external deadline, you should fill-in and submit an online MQ application coversheet.

Step 5: Submit Complete Draft Proposal by Research Office deadlines

Step 7: Incorporate Feedback and Finalise Proposal

Step 8: Submission of Proposal
Once the final proposal has been sent back to us and double-checked by the pre-award team and all is in order, the pre-award team will then submit the research proposal on behalf of Macquarie University.

#The only exception to step 8 is when a funding organisation's submission process is via an online system where the proposal needs to be submitted online directly by the applicant, e.g. Smartygrants. In these cases the final version should be emailed through as per above and the Research Office will advise if further changes are required or if the applicant can go ahead and submit the proposal.

What about when Macquarie University is not the Administering Organisation?
Submit MQ Application Coversheet & provide copy of Final Proposal to pre-award team
Post Award & Reporting
Post-Award and Reporting Team

Manager Post-Award and Reporting – Semira Dautovic
• Post-Award Team Leader - Phyllis Heggie and two other staff
The focus of this function is to manage projects from successful outcome notification to completion and submission of final report and financial acquittal
• Reporting Team Leader - Atif Iqbal and two other staff
To provide accurate and timely information internally as well as to comply with Government reporting requirements.
Also, to provide Technical support (including maintenance of Research Database called IRIS) to academics, HDR students and Faculty research administrators
Post-Award and Reporting Team

Post-Award
Assists with all post award matters and queries relating to:
• Notification of outcome/award
• Acceptance of terms and conditions and links to Contracts team
• Account establishment and links to OFS
• Variations and Transfers
• Carry forward requests
• Reporting: Progress/Final/Milestones/Payments
• Project closure and treatment of unspent funds

Please email: research.postaward@mq.edu.au
Post-Award and Reporting Team

Reporting

- Assists with using RO Systems – IRIS database, ARIS reporting, OneHelp/IrisHelp
- Help with eForms for Human/Animal Ethics and Projects coversheet
- Assist with HERDC submission and ABS
- Assist with ERA submission
- Training for Research Systems

Please email: IrisHelp@mq.edu.au
Research Ethics and Integrity
Kandy White
Director, Research Ethics and Integrity
Research Ethics

- Oversees the Animal and Human Ethics Committees and the Institutional Biosafety Committee.
- Main role is to facilitate research by ensuring research meets regulatory and legal requirements.
- Assess research ethics applications for risk and submit to relevant Committees for review.
- Provide advice on the following:
  - Ethical issues in research
  - Completing research ethics applications
  - Amending ethics applications
- Provide feedback from HRECs on outcome of ethical review, answer questions, provide advice.
- HRECs currently developing an online form to roll out 2015. Online form will be based on the HRAF.
Ethics Committees at Macquarie University

- 2 HRECs at Macquarie that review greater than low risk applications. Faculty ethics sub-committees.
- FMHS will establish a sub-committee to review low/negligible risk research.
- HRECs meet 10/year (Feb-Nov) (feedback within 10 working days)
- AEC meets 10/year – using online form
- IBC– virtual committee (no meeting dates), reviews applications to conduct dealings with GMOs
Research Integrity

- Research integrity can be defined as the trustworthiness of research due to the soundness of its methods and the honesty and accuracy of its presentation - Draft Singapore Statement 2010

- Academic freedom is foundational to the University.
  It is the right to put forward a position and have that position openly debated.
  The principles of Academic Freedom only hold if researchers act with integrity.
The Australian Code

- Endorsed by NHMRC, ARC and Universities Australia in 2007

- Why is it important?
  - Promote research integrity
  - Describes best practice in research for researchers and institutions
  - Compliance is a requisite for NHMRC and ARC funding
The Macquarie Code

- Developed and implemented during 2014
  - **Part A** describes principles and best practices for the responsible conduct of research for institutions and researchers
  - **Part B** provides a framework for handling breaches of The Code and research misconduct
- Available on Policy Central
  - http://mq.edu.au/policy/category .html#research
General Principles

• *The Macquarie Code* applies to all staff and students

• Everyone must conduct themselves ethically, with integrity and professionally

• Follow all policies, regulations and laws including
  - Animal Ethics
  - Human Ethics
  - Biosafety

• Respect the environment

• Acknowledge the special responsibilities we have towards working with Indigenous People and other groups
Research Integrity Advisors

- Associate Deans of Research and Higher Degree Research (John Cartmill, Jackie Phillips)

- RIAs can provide advice on the proper conduct of research and the areas covered in the *Macquarie Code*
  
  - If you have concerns:
    - Talk to any RIA, not just in your faculty
    - Talk in hypotheticals
    - Get their help and advice in preparing your complaint
Responding to allegations: process

A Research Integrity Advisor provides **advice and assistance**

Report made to the Director, Research Ethics and Integrity

Possible breaches referred to Faculties for resolution

Possible misconduct referred to the DVC(R)
Breach process

- Executive Dean or delegate (e.g. HoD) assesses evidence
- Respondent given opportunity to respond
- Remedial action determined
- Review of remediation
- Breach unresolved
- Referred to research misconduct process

- Breach resolved

- Can be raised to misconduct at any time if a prima facie case exists and escalated to address risk of corporate exposure
Research Misconduct: process

- Referred to DVC(R) who appoints internal or external inquiry
- Internal Enquiry – MQ staff with outside expertise if necessary
- External Inquiry – All outside experts
  - Terms of Reference: to report on facts & find whether or not failure to comply with the Macquarie Code
- Report to DVC(R) who then makes determination and decides on course of action
Assistance

- Nicola Myton: nicola.myton@mq.edu.au
- Ben Pitcher: ben.pitcher@mq.edu.au
- Karolyn White: karolyn.white@mq.edu.au
- Ethics.secretariat@mq.edu.au
Acknowledgements

Dr Ben Pitcher
Australasian Human Research Ethics Consultancy Services
University of Tasmania
University of Melbourne
University of New South Wales
University of Sydney
Who we are

Manager, Research Policy & Contracts – Ann-Marie Heinrich
Leads and manages the RO Contracts team responsible for research agreements and contracts generated by, or submitted to, the Research Office. Handles more complex matters.

Research Contracts Administrator - Tina Harrison-Greaves
Reviews, drafts and negotiates standard/straightforward research contracts. Responsible for IRIS data entry, updates the Contracts section of the RO website. Handles correspondence and contract administration matters on behalf of the team.
What we do

The Research Policy & Contracts Team in conjunction with the Office of General Counsel reviews, drafts, negotiates and arranges execution of all research-related contracts and agreements with external organisations.

This includes funding contracts, contracts relating to non-funded research activities such as non-disclosure/confidentiality agreements, data sharing and material transfer arrangements and contracts for the renewal or variation of a grant or research contract.

All research contracts are assessed by the Manager, Research Policy & Contracts and are allocated to either RO Contracts or Legal.

Contracts are assessed on the basis of risk in terms of acceptability and advice is given to the Deputy Vice-Chancellor (Research) as to whether the contract should be signed.
What we do (continued)

It is important to involve the Contracts Team at the earliest possible stage of negotiating a research contract or agreement with a funding organisation or partner. This will ensure that the final document can be recommended for signing, and that the funding flow can commence as soon as possible.

External organisations are not able to contract with Macquarie staff, only with the university. Therefore staff members are not authorised to sign off on research contracts and agreements. These documents must be approved and signed on behalf of the university by the Deputy Vice-Chancellor (Research) or delegate (Director, Research Office).
The Contracts Team:

- Checks the terms of research contracts to ensure that they are suitable to the University

- Negotiates the terms of those agreements in cases where the agreement either originates from this University or where the terms are unsuitable

- Provides advice on the meaning of terms in agreements, and on other issues including liability, confidentiality and publications

- Drafts documentation in various forms including research contracts, licence agreements, letters, student and staff agreements where necessary and any other documents incidental to the conduct of research
Important to know

• All agreements are in the name of Macquarie University. Faculties, Departments and Centres have no independent legal existence and cannot by law enter into contracts.

• Since grants and funds are awarded to and administered by the University, property and equipment acquired using grant funds belong to the University.

• Even though it is the work of the Chief Investigator which secures the funds, that work has been done as an employee of the University.

• Because the University is responsible to the funding body for the carrying out of the project but must operate physically through its employees, the Chief Investigator will in practice be responsible to the University for the total observance of the terms of the agreement.
A timeframe for signing of a contract?

The University cannot set time limits for administration of contracts and agreements, because it does not have control over the length of time it takes to negotiate with a funding organisation or third party. The following categories of contract can take longer to process:

1. Multi-party contracts (because these need to be reviewed and negotiated by all parties)
2. Contracts with industry partners involving outcomes with commercial potential
3. Contracts with Government (because the contractor may need to refer to a Legal Department outside of their immediate area).

If there are reasons for a contract to be dealt with urgently or within a specified timeframe (e.g. the contractor has given a deadline for acceptance, delay in acceptance will cause financial hardship for a staff member or student who will be funded by the grant), the Contracts Team should be advised as early as possible.
WHAT CAN DELAY NEGOTIATING AND EXECUTING A CONTRACT?

• Insufficient information provided to the RO by the researcher – there may be insufficient information to be able to negotiate

• Researchers sometimes pre-negotiate terms which are contrary to University policy, and that may include underestimating costs

• Budget-associated issues (e.g. infrastructure costs, GST, etc.)
Process for Funded Research Agreements

Chief Investigator (CI)
- CI prepares Online Coversheet and attaches all relevant documentation

Post Award Team
- Post Award Team is notified by funding body or CI that the grant has been awarded/contract proposal has been accepted
- Post Award Team ensures all relevant documentation (e.g. proposal/draft agreement (if applicable)/budget) has been provided
- Post Award Team notifies Research Policy & Contracts team (RPCT) of successful award and associated documentation

Research Policy & Contracts / CI
- RPCT sends Legal Instruction Sheet (LIS) to CI for completion
  - CI completes and returns LIS (along with any relevant documentation) to researchcontracts@mq.edu.au

Research Policy & Contracts Team
- RPCT decides whether the agreement/request for an agreement to be drafted remains with RPCT or is sent to Legal for action
- If applicable, RPCT sends the agreement/request for an agreement to be drafted to Legal with all supporting documentation
- RPCT advises CI who is managing their matter

Research Policy & Contracts / Legal
- RPCT or Legal drafts and/or reviews, negotiates and finalises the agreement
- University delegate executes agreement on behalf of the University
- Once all parties have signed the agreement, a copy of the fully executed agreement is sent by RPCT/Legal to CI and Faculty Research Manager

Research Policy & Contracts / Legal/ Post Award
- RPCT/Legal sends fully executed agreement to Post Award team for facilitation of invoicing and action re reporting requirements
- Post Award arranges for OFS to invoice the funding body/sponsor
Process for Non-funded Research Agreements

Chief Investigator
- CI contacts the Research Policy & Contracts team (RPCT) via researchcontracts@mq.edu.au

Research Policy & Contracts / CI
- RCPT sends CI a Legal Instruction Sheet (LIS)
- CI completes and returns LIS (along with any relevant documentation)

Research Policy & Contracts
- RPCT decides whether the agreement/request for an agreement to be drafted remains with RPCT or is sent to Legal for action
- If applicable, RPCT sends the agreement/request for an agreement to be drafted to Legal with all supporting documentation
- RCPT advises CI who is managing their matter

Research Policy & Contracts / Legal
- RCPT or Legal draft and/or review, negotiate and finalise the agreement
- University delegate executes agreement on behalf of the University
- Once all parties have signed the agreement, a copy of the fully executed agreement is sent by RCPT/Legal to CI and Faculty Research Manager

Research Policy & Contracts / Legal/ Post Award
- If there any reporting requirements, agreement sent by RCPT/Legal to Post Award team for action