Vice-Chancellor’s Innovation Fellowship (MQVCIF) Scheme

Funding Rules 2014

Submission: Only electronic copies will be accepted. You must complete the prescribed application form and submit it via email to grants@mq.edu.au by the closing date (and copy to the relevant Faculty Research Manager). Hard copies will not be accepted.

Certification: You must also complete a MQ Application Coversheet, have signed by the relevant Head of Department and forward onto the relevant Faculty Research Office.

Research Office Contact:

<table>
<thead>
<tr>
<th>Primary Contact</th>
<th>Ms Stoy Drinic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phone</td>
<td>02 9850 4193</td>
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<td><a href="mailto:stoy.drinic@mq.edu.au">stoy.drinic@mq.edu.au</a></td>
</tr>
</tbody>
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Key Dates:

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Applicant to have contacted Host Department / Centre</td>
<td>Wednesday 29 May 2013</td>
</tr>
<tr>
<td>Closing Date (Application Form, Host Centre/Department Report Form, Referee Report Form)</td>
<td>Wednesday 19 June 2013, 5pm AEST</td>
</tr>
<tr>
<td>Shortlisted Candidates Announced:</td>
<td>Thursday 15 August 2013</td>
</tr>
<tr>
<td>Shortlisted Candidates Interviews</td>
<td>Wednesday 22 August 2013</td>
</tr>
<tr>
<td>Final Outcome Notifications:</td>
<td>Monday 9 September 2013</td>
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</tbody>
</table>

Check with your Faculty Research Manager for your Faculty’s internal deadline (which will be earlier than the above deadline)
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1. Purpose of Scheme

Macquarie University seeks to develop research programs of high quality which are closely linked to Australian/international industry and other end-user organisations and communities.

The purpose of the Macquarie University Vice-Chancellor's Innovation Fellowship (MQVCIF) Scheme is to attract outstanding researchers to the University who will focus on developing effective research collaborations with Australian/international organisations from industry, commerce, government and community groups, which will ultimately attract substantial external research funding through ARC Linkage Projects (or similar), or individual research contracts.

The research may be undertaken in any discipline area of the University though it must be aligned to designated areas of research strength (see Section 4 Host Centre/Department).

2. Funding

2.1 Number of Appointments

Up to three MQVCIFs will be appointed at academic Level B (Lecturer) or Level C (Senior Lecturer) according to qualifications and experience. Preference may be given to applicants from areas outside science and technology for one of the Fellowships. In all cases, merit (as established by the quality of the proposals) will be the primary consideration in selecting the successful candidates.

2.2 Funding Period

MQVCIFs will be offered appointments to start between 1 February 2014 and 31 July 2014. MQVCIFs will be awarded on a competitive basis and will be tenurable for two years in the first instance, with provision for renewal for up to five further years, subject to satisfactory performance against agreed objectives. The latter includes the minimum requirement to secure substantial external funding for collaborative research with research end-users. Any extension to the initial two-year term will normally be for the period of external funding up to a maximum of a further five years, and will require a plan to extend collaboration to new partners. Appointment renewals beyond a total of seven years may be approved in exceptional circumstances as determined by the Deputy Vice-Chancellor (Research) on the advice of the Partnerships and Infrastructure Panel.

2.3 Research Costs

Successful applicants may be awarded up to $40,000 (maximum of $20,000 pa) to assist with research costs associated with the proposed Fellowship project over the initial two years of appointment.

2.4 Further research support

Further research support (usually associated with costs of developing new collaborative research partnerships) may be allocated for a renewed appointment beyond the initial two years.

3. Eligibility

The scheme is open to suitably qualified and experienced candidates currently based in Australia or overseas. At a minimum, applicants must:

- hold a PhD or demonstrable equivalent at the time of application; and
• be able to give concrete evidence of experience in developing and sustaining
effective research collaboration with industry or relevant government/community
organisations.

If the applicant does not have permanent resident status he/she must obtain temporary
resident status from the Department of Immigration and Citizenship before taking up the
Fellowship. Please note that visa costs are not covered by the MQVCIF scheme; they
are the responsibility of the Host Department.

4. Host Department

Applicants are expected to develop their proposals in close consultation with the
Director/Head of the Host Centre/Department or an appropriate nominee of the
Centre/Department.

Preference will be given to proposals associated with designated Concentrations of
Research Excellence (COREs) of the University.

Candidates must contact the Director/Head of the Host Centre/Department by Wednesday
29 May 2013 to discuss the proposal and infrastructure needs and so that the Director/Head
can complete the Host Centre/Department Report Form. This form must be submitted to the
Research Office via email to grants@mq.edu.au by 5 pm AEST on Wednesday 19 June
2013.

The Host Centre/Department Report Form is available on the Research Office Website.

In completing the Host Centre/Department Report Form, Host Directors/Heads must
comment on the alignment of the MQVCIF proposal with the Research and External
Engagement Strategies of the Centre/Department, and on the availability of the
infrastructure necessary for the Fellow’s proposed research activities.

The Host Centre/Department Report Form must be submitted independently of the MQVCIF
application, and please note that it is the responsibility of the applicant to ensure that it is
submitted by the due date. Late report forms will not be accepted.

5. Referee Report

Applicants must appoint a referee to complete the Referee Report Form.

The referee must submit the completed form to the Research Office via email to
grants@mq.edu.au by 5 pm AEST on Wednesday 19 June 2013.

The Referee Report Form is available on the Research Office Website.

In addition to commenting on the applicant’s proposed project, the referee is expected to
comment on the applicant’s potential to develop research collaborations and the strength of
the applicant’s strategy and plans to engage industry/government/community partners in
collaborative research. Given the need for the referee to comment on the research strategy,
it would be advisable for applicants to provide their referee with a copy of the application in
draft form well in advance of the scheme closing date.

The Referee Report Form must be submitted independently of the MQVCIF application, and
please note that it is the responsibility of the applicant to ensure that it is submitted by the
due date. Late reports will not be accepted.
6. Reviewers

6.1 Reviewer Nomination
Applicants must nominate four (4) independent reviewers who are familiar with their work. Reviewers may be contacted by the Research Office at the discretion of the Assessment Panel as part of the assessment process.

At least two of the nominated reviewers must be able to comment on the applicant’s experience in developing effective research collaborations with external parties from industry/government/community sector/s.

Applicants must indicate the reason/s why each reviewer has been nominated, and the nature of prior involvement with the reviewer, i.e. colleague, collaborating partner, etc. The Assessment Panel reserves the right to seek reviews from external reviewers other than those nominated by the candidate.

6.2 Requests not to Assess
Applicants may name any person whom they do not wish to review the application and this will be taken into consideration. Justification details should be provided in a letter submitted with the application.

7. Application Preparation / Project Outline
All applicants are encouraged to take advantage of any mentoring or other grant writing assistance provided within their proposed Faculty prior to submitting an application to this (or any other) research grant scheme. Applicants should contact the Faculty Research Manager of their proposed Faculty for more information.

8. Selection Criteria
Fellowships will be allocated based on the following criteria:

- Research track record, including evidence of successful engagement with relevant industry, commerce, government and/or community groups (40%).

- Quality of the proposal: aims, objectives, methodology, research milestones including timetable, and significance of the research within the context of the two-year research plan (30%).

- Strength of the strategy for engagement of industry/government/community partners in collaborative research, including target eligible organisations and timetable for funding applications (30%).

9. Budget
Two basic principles must be used in determining and justifying budgets:

- accurate costing, and
- a clear justification for all proposed expenditure in relation to the research plan.

Note, justification of the budget is not merely restating in prose the proposed expenditure as detailed in the budget section of the application form.
Salary

The salary range for MQVCIFs will be within Levels B and C of the Academic Salary Scale:

- **Lecturer, Level B**: base salary from $88,741 to $104,996 per annum, plus annual leave loading and 17% employer superannuation.
- **Senior Lecturer, Level C**: base salary from $108,354 to $124,607 per annum, plus annual leave loading and 17% employer superannuation.

Applicants should indicate in the budget section of the application form, the salary point within Level B or C to which they wish to be appointed if successful (refer to the Salary Schedule at Appendix A). The nominated salary point must be justified against the applicant’s previous track record, experience and previous appointments in the accompanying budget justification.

Research Costs

Up to $40,000 (a maximum of $20,000 per annum) of research costs may be requested for the initial two-year appointment. Such requests must be fully justified against the research plan.

Further research support of up to $15,000 to foster further research collaborations may be allocated for an approved renewal beyond the initial two-year appointment.

Personnel

Applicants should indicate the level and duration of assistance required and cost it accordingly. Vague and 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 superannuation) at the rate of 17% for casual appointments. Applicants should contact their Faculty Finance Manager if they require additional information.

Equipment

Items of minor equipment may be requested. A descriptive statement of each item of equipment must be included in the budget justification.

Quotation requirements are as per the Macquarie University Purchasing Procedure.

Applicants are reminded that all equipment purchased with research grants remains the property of Macquarie University.

Applications for computer equipment require 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.

Maintenance

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

Funding for travel may be requested however any travel must be directly related to the proposed project and is considered essential for the project to succeed.

Travel funds must be strongly justified and are awarded at the discretion of the Assessment Panel.

All travel must comply with the Macquarie University Travel Policy.

10. Application Process

The application form (and all other forms) is available via the Research Office Website.

Applications must be in the prescribed format using no smaller than 12-point Arial font, and the layout of the form must not be altered. References may be reproduced in 10-point font size.

Please ensure that all three (3) required documents are submitted to the Research Office by the scheme deadline as outlined below.

1. The Application Form must be submitted electronically, emailed as a PDF attachment (converted not scanned) to grants@mq.edu.au (cc: your Faculty Research Manager) by the Research Office deadline:

   Closing Date:       Wednesday 19 June 2013, 5pm AEST

2. The relevant Director/Head of the Host Centre/Department must complete a Host Centre/Department Report Form. The Director/Head must email the form as a PDF attachment (converted not scanned) to grants@mq.edu.au (cc: your Faculty Research Manager) by the Research Office deadline:

   Closing Date:       Wednesday 19 June 2013, 5pm AEST

3. Applicants must appoint a referee to complete the Referee’s Report Form. The referee must email the form as a PDF attachment (converted not scanned) to grants@mq.edu.au (cc: your Faculty Research Manager) by the Research Office deadline:

   Closing Date:       Wednesday 19 June 2013, 5pm AEST

Late applications will not be accepted and incomplete applications will be deemed ineligible. Please note hard copy applications will not be accepted.

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

11. Certification

A signed hard copy of the MQ Application Coversheet (signed by both the applicant and Head of Department) must be submitted to your Faculty Research Office. The MQ Application Coversheet can be found on the Research Office Website.
Please note that your Faculty will have an internal deadline for application review and/or receipt of the Coversheet prior to the Research Office deadline. Check with your Faculty Research Manager for details.

12. Assessment Process

Assessment of applications will be undertaken in three stages by the University’s Partnerships and Infrastructure Panel.

**Stage one:** All applications are evaluated by the Panel against the scheme’s eligibility requirements and selection criteria. The Panel will then shortlist applications that will move to stage two of the assessment process.

**Stage two:** The shortlisted applications will be sent to appropriate independent national and international researchers for review at the discretion of the Panel. Applicants are required to nominate four reviewers, at least two of whom could comment on the prospects of the applicant developing effective research collaborations with industry/commerce/government/community sectors.

The Panel will rank each shortlisted application relative to the others on the basis of the application and all valid assessments.

**Stage three:** Ranked applicants will be invited for interview, to be held on **Wednesday 22 August 2013** after which appointment recommendations will be made to the Deputy Vice-Chancellor (Research).

The Research Office will notify all applicants as soon as the Deputy Vice-Chancellor (Research) ratifies the recommendations. A formal offer of appointment will follow shortly after from the University's Human Resources Office.

Please note: The Panel has procedures for managing any personal conflicts of interest experienced by Panel members, and for enabling members to withdraw from the assessment process of particular applications.

13. Appeals

Unsuccessful applicants have the right to seek a review of the outcome, on procedural grounds only. A form for this purpose can be obtained from the Research Office by emailing grants@mq.edu.au.

Completed forms should be clearly marked “Confidential Appeal”, and be submitted to Jennifer Newton, Manager, Research Grants, Research Office, Building CSC East 324.

14. Conditions of Award

14.1 Residency Requirements

Fellows must reside in Australia and be predominantly based on the University campus for the full term of the appointment. If the Fellow is not an Australian citizen and does not have permanent residency 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/).
14.2 Commencement Date
MQVCIFs are tenurable from 1 February 2014. Extensions of commencement beyond 31 July 2014 will not be considered.

14.3 Employment Conditions
14.3.1 MQVCIF appointments 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 Website.

14.3.2 MQVCIFs are tenurable on a full-time basis and recipients must be in attendance at Macquarie University. Appointment on a part-time basis will be considered in extraordinary circumstances only, where the applicant can demonstrate the part-time arrangement will be of benefit to the University. Pro rata rates apply to part-time appointments.

14.3.3 MQVCIFs will be subject to standard annual Performance Development Review processes within the host Faculty.

14.4 Eligibility for Internal Schemes
MQVCIFs are eligible to apply for funding from the Macquarie University Research Development Grants scheme (including the partnerships component), however justification for additional funding must be strong and consistent with the aims of the Fellowship.

14.5 Variation
Requests for variation of expenditure must be submitted on the appropriate form. 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 be accompanied by a letter of support from the Head of Department.

14.6 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. Carry forward requests must be accompanied by a letter of support from the Head of Department.

15. Renewal of Appointment Process
Three months before the end of the initial two-year appointment, the Research Office will commence an appointment review process.

Fellows are required to submit a full report of achievements against the original objectives of the Fellowship.
Renewal of appointment will be entirely dependent upon the Fellow meeting these objectives. Irrespective of achievements in other aspects of the Fellowship, renewal will require as a minimum, success in attracting substantial external funding for collaborative research with end-user organisations extending beyond the initial period of appointment.

In most cases the appropriate external funding scheme will be ARC Linkage Projects, however major research contracts or commissioned research from applied research agencies (eg RIRDC or AMIRA), industry or service organisations (eg State or Commonwealth Government departments) may be regarded as equivalent.

Following preliminary consideration of the Fellow’s report, the Research Office will advise the Fellow if the minimum requirements for renewal have been met. If this is the case the Fellow will be invited to an interview with the Partnerships and Infrastructure Panel.

In advance of the interview the Fellow will be required to submit an activity plan for the period of renewal, which will normally coincide with the period for which external funding has been awarded. The activity plan must include a strategy for engaging new partners, as well as undertaking the research which has already been funded.

After the interview the Fellow will be advised of the recommendation for renewal of the appointment, and any conditions pertaining to the appointment. Renewal of appointment will normally be on a full-time basis however the University reserves the right to offer renewal on a part-time basis if appropriate.

Any extension to the initial two-year term will normally be for the period of external funding up to a maximum of a further five years, and will require a plan to extend collaboration to new partners. Appointment renewals beyond a total of seven years may be approved in exceptional circumstances as determined by the Deputy Vice-Chancellor (Research) on the advice of the Partnerships and Infrastructure Panel.

16. Intellectual Property

In advance of submitting the application, the applicant should take steps to protect any intellectual property embodied in the application form. Macquarie University asserts ownership rights of intellectual property created in the course of the Fellowship according to the University’s Intellectual Property Policy.

Note that, according to this policy, IP created in a MQVCIF project is owned by the University under conditions of appointment of the Fellow (wherein the Fellow may share in benefits of commercialisation), and the IP rights of partner organisations are subject to negotiation which is then formalised in funding agreements.

17. Privacy policy

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 MQVCIF Scheme must abide by the National Privacy Principles when handling personal information collected for the purposes of the research program. 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. Faculty Research Contacts

<table>
<thead>
<tr>
<th>Faculty</th>
<th>Research Manager</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arts</td>
<td>Gill Ellis</td>
<td><a href="mailto:artsro@mq.edu.au">artsro@mq.edu.au</a></td>
</tr>
<tr>
<td>Business &amp; Economics</td>
<td>Kerry Todd-Smith</td>
<td><a href="mailto:FBEru@mq.edu.au">FBEru@mq.edu.au</a></td>
</tr>
<tr>
<td>Human Sciences</td>
<td>Colm Halbert</td>
<td><a href="mailto:colm.halbert@mq.edu.au">colm.halbert@mq.edu.au</a></td>
</tr>
<tr>
<td>Science</td>
<td>Irina Zakoshanski</td>
<td><a href="mailto:Sci.Research@mq.edu.au">Sci.Research@mq.edu.au</a></td>
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Appendix A: Salary Schedule

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