

Research Infrastructure Scheme (RIS) - Small

Funding Rules 2017

Submission: All applicants must contact their Faculty Research Office* if considering application to this scheme. As applications will be ranked and submitted in bulk by each Faculty, individual applications will not be accepted if directly submitted to the Research Office.

Research Office Contact:

Primary Contact	Julian Zipparo
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Faculty Research Office Contacts:

Arts	artsro@mq.edu.au
Business & Economics	fberu@mq.edu.au
Human Sciences	humansciencesresearch@mq.edu.au
Medicine & Health Sciences	fmhs.researchsupport@mq.edu.au
Science and Engineering	sci.research@mq.edu.au

Key Dates:

Opening Date	Thursday, September 14th 2017
Faculty Closing Date (For Applicant Submission to Faculty Research Office via Email)	5pm Monday, October 23rd 2017
Research Office Closing Date (For Faculty Bulk Submission to Research Office via Email Only)	5pm Monday, November 13th 2017
Notification of Results	December

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Purpose

The purpose of the Research Infrastructure Scheme (RIS) is to develop Macquarie University's research infrastructure in a strategic way that is aligned with the University's Research Framework and Faculty Research Infrastructure Plans. The RIS is administered through two schemes run in parallel, the Research Infrastructure Scheme (Large), and the Research Infrastructure Scheme (Small).

While this RIS (Small) provides specific infrastructure to the research programs of individual researchers and research groups, the RIS (Large) provides more general research infrastructure support to Faculties. **These Funding Rules apply to RIS (Small).** For guidance on RIS (Large) please contact Thom Dixon in the Office of the DVC (Research) (thom.dixon@mq.edu.au).

Definition of Research Infrastructure

The definition of Research Infrastructure for this scheme is to have the following inclusions and exclusions:

For the purposes of the scheme research infrastructure and items eligible for funding include:

- Personnel involved in developing databases or providing software training;
- One-off personnel costs associated with establishing or creating the requested research facility (Note: not for ongoing funding);
- Salaries of research support staff – RAs, accounting & administration, technicians – providing general support in a given area (not to a specific project, and not ongoing);
- Non-capital costs of facilities such as libraries, laboratories, computing centres, animal houses, herbaria, experimental farms;
- Equipment purchase, installation, hire and lease;
- Research installations (eg. plant growth facility) BUT NOT buildings;
- High Performance Computing; As an exception, specialist programs or platforms provided there is co-investment by the faculty and/or IT. Applicants seeking such support should familiarise themselves with what is already available¹, and make contact with Central (roz.howard@mq.edu.au) and/or Faculty IT support to discuss;
- Travel costs to allow participation in international consortia (note that while one-off costs for consortia access may be considered providing an appropriate case is made, access costs to consortia which represent continuing or annual fees are not covered by this scheme as they are considered an operational expense).
- Access to facilities/equipment, and
- Access to databases.

Infrastructure does not include the following for which RIS (Small) funds may not be used:

- Minor works that would be funded by Property
- Capital works (i.e. construction of buildings);
- Floor space costs (rental);
- Salaries of teaching and research, and research-only academic staff (including the cost of

¹ Macquarie University provides on-demand access to High Performance Computing (HPC) services that support high-quality research as part of our investment in improving research infrastructure. The University is committed to providing first-class HPC services and supports two main facilities for our staff and students. HPC involves the use of supercomputers, parallel computing and/or computer clusters for advanced computing tasks including modelling, data processing and analysis. Data stored on HPC services are secured and confidential.

Macquarie University researchers have access to both Faculty-based HPC services and National HPC services.

The University has partnerships in the National Computational Infrastructure (NCI), Australia's national research computing facility and Amazon Web Services (AWS). Both are free for academic and research users, and they provide complementary services for your research. Faculty of Business and Economics have its own local HPC cluster hosted supported by Faculty IT.

Macquarie Central IT is moving to an Infrastructure as a Service Cloud computing strategy which will enable the provision of HPC, data storage, computing on demand and backup as a service. It is anticipated that the new central service will be available in Quarter 3 2017

- 'buying time' to free such staff to conduct more research);
- Salaries of staff supporting research at the institutional level (e.g. DVC (Research), Research Grants Officer);
- Stipends of postgraduate research students; or
- Travel costs directly associated with individual projects (with the exception of travel costs to allow participation in international consortia as above).

Funding Available

Funding is available under the Scheme to research teams on a competitive basis for strategic research infrastructure purchases. Budget requests will normally be between \$20,000 and \$100,000.

Applications for sums outside this range will not be considered unless a very convincing case is made in the Budget Justification of the application form. Applications consisting of a collection of minor items totalling a sum in excess of the minimum of \$20,000 are not accepted.

Application Process

Applications are accepted from research teams that have a demonstrated record of success in attracting HERDC reportable research Category 1-4 funding, or from teams that, on the basis of current achievements, can make a case that they are positioned well to attract such funding in the future. In the latter case, applicants will need to demonstrate a strong record of success in attracting significant external other research funding, or with internal (University) competitive grant schemes including Macquarie University Research Development Grants (MQRDG, from 2017 known as Macquarie University Seeding Grants) and Macquarie University Research Centres (MQRC).

Applicants should note the following:

- Each bid should be associated with a primary Australian Competitive Grant (ACG) or Category 2-4 HERDC reportable research income (not including schemes primarily for the purpose of funding research infrastructure such as NCRIS or ARC LIEF programs). Where such funding has not yet been attracted, a strong case must be made relating to the future potential to do so, including some indication of which schemes are being worked towards.
- Requested funds should not be targeted at the level of an individual research project as these should be covered by direct grants. RIS (Small) funding should have broad benefit to a research area involving a number of projects.
- Projects funded with LIEF funding cannot be counted as ACG funded projects for RIS (Small) as they have already been funded as infrastructure, and therefore cannot attract further infrastructure funding under the RIS Small Scheme.

Assessment Process and Selection Criteria

Applications in the first instance are assessed and ranked by Faculties, before being considered by a Selection Panel, Chaired by the Deputy Vice Chancellor (Research), which will make final decisions on applications submitted to both RIS schemes. Each Faculty must rank their applications in order of priority with the following funding caps available to each Faculty for funding in 2018 (with numbers to be reviewed annually):

1. Arts: 1 priority + 1 reserve
2. Business and Economics: 1 priority + 1 reserve
3. Human Sciences: 3 priority + 1 reserve
4. Medicine and Health Sciences: 2 priority + 2 reserve
5. Science: 10 priority + 2 reserve

In assessing applications, the following criteria are equally weighted:

- Strength of the case presented to enhance University infrastructure in the area.
- Extent to which the funding will enhance the outcomes of present or future HERDC eligible funded research and support the University Strategic Research Framework (in rounds from 2018 onwards this will also include alignment to Faculty Infrastructure Plans)
- Track record of the applicant team (CIs) including on the delivery of outcomes from any previous funding.
- Strength of the budget justification and accuracy of quotes included in the application

Eligibility

General Eligibility Requirements

Research teams of two or more eligible staff may apply for RIS (Small) funding. At least one team member should hold a grant from the [Australian Competitive Grants \(ACG\) Register](#) or other category 2-4 HERDC reportable research income. Team members who are listed as Chief Investigators on grants administered by other Australian Universities, for example nodes of ARC Centres of Excellence based and funded at Macquarie, are eligible to apply for RIS (Small) funding as long as funding has been awarded to Macquarie and can be counted in the annual HERDC exercise. Applicant teams who do not hold a HERDC reportable grant need to make a case that they are positioned well to attract such funding in the future.

Eligible applicants are academic staff holding continuing or fixed-term appointments at the commencement of and for the duration of the grant period, **1 January 2018 to 31 December 2018**.

- Applicants may be named as Team Leader (Lead CI) on only one RIS (Small) application per round.
- Applicants may be named on up to two RIS (Small) applications per round.
- A particular ACG can be used as primary justification for only one RIS (Small) application in this round.

Eligibility of Honorary/Adjunct Staff

Staff holding University honorary or adjunct positions are eligible to apply for RIS (Small) funding as team members provided their ongoing research is primarily carried out at Macquarie University. Applicants in this category must attach a brief statement addressing their status at Macquarie University with evidence that their research publications show a Macquarie attribution.

Location of Equipment

The application must include information on the proposed location of the requested infrastructure item, and whether any minor works will be required to house it. Certification by Property (via a letter or email) should be provided along with the application if required. Where this cannot be provided at the time of application, any grant allocation will be provisional and funds held pending the provision of evidence of the appropriate approval from Property to the Research Office.

Budget

General Requirements

RIS (Small) budget requests will normally be between \$20,000 and \$100,000. Applications for sums outside this range will not be considered unless a very convincing case is made in the Budget Justification of the application form. Applications consisting of a collection of minor items totalling a sum in excess of the minimum of \$20,000 are not accepted.

A budget must not state proposed expenditure in general terms. It is essential that accurate costings are provided (exclusive of GST), and that a strong and detailed justification is given for all requested budget items. All quotes included in the application must be accurate at the time of submission. Errors in the quotes may have negative effects on the outcome of the application.

Equipment

A descriptive statement of each item of equipment must be included in the Budget Justification. Requests for individual items of equipment costing over \$10,000 must be accompanied by current quotation(s), as per the [Macquarie University Quotations Policy](#).

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

Personnel

Salaries of research support staff including research, administrative or technical assistants providing support for a number of research projects can form part of a RIS (Small) budget – see specific restrictions under “*Eligible Items for Funding*” above. Requests for personnel must indicate the level and duration of assistance required and the budget item must be costed accordingly. These requests must also include allowance for on-costs.

Travel

RIS (Small) funding may be used to cover travel costs to allow participation in international consortia. However, travel costs directly associated with individual projects are not eligible expenses under the RIS (Small) scheme.

Per Diem funding for payment of meals and incidentals whilst staff are on University business will be paid at a fixed University rate. Please refer to the [Travel \(Per Diem\) Schedule](#).

Note that Per Diems must be claimed before undertaking travel.

Review of Outcome

Unsuccessful applicants have the right to seek a review of outcome, on procedural grounds only. 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 as an email attachment to Julian.zipparo@mq.edu.au

Privacy Policy

The conduct of research projects supported under all internal Macquarie University Schemes is subject to the provisions of the Commonwealth Government’s National Privacy Principles and other statutory provisions relating to ethics and biosafety. Documents created for entitlements in the RIS (Small) Scheme are subject to the Freedom of Information Act (unless specifically exempted).

Research Integrity

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.

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

Certification – Certification of applications is required using the

Submission of Applications - All applicants must contact their Faculty Research Office if considering application to this scheme. As applications will be ranked and submitted in bulk by each Faculty, individual applications will not be accepted if directly submitted to the Research Office.

Conditions of grant

Awards made under the RIS (Small) Scheme will run from **1 January to 31 December 2018**. RIS (Small) grants must be fully expended by the end of the funding period and **no requests for carry forward will be considered**.

A [Final Report](#) must be submitted to the Research Office within one month of completion of the grant term (i.e. by 31 January 2019). **Failure to submit a Final Report by the due date will result in ineligibility for the next round of funding.**

The Panel, in recommending the award of an RIS (Small) grant, may stipulate other Conditions of Award for approval of the DVC (Research). Where applicable, additional Conditions of Award will be contained in the Letter of Offer to the applicant.

Faculty Research Managers

Arts – Jan Zwar	artsro@mq.edu.au
Business & Economics – Agnieszka Baginska	fberu@mq.edu.au
Human Sciences – Colm Halbert	humansciencesresearch@mq.edu.au
Medicine & Health Sciences – Kyle Ratinac	fmhs.researchsupport@mq.edu.au
Science and Engineering – Irina Zakoshanski	sci.research@mq.edu.au