



MACQUARIE
University

Enterprise Partnerships Scheme

Partnership Seed Funding & Pilot Project Grants

Funding Rules

Submission: Only electronic copies will be accepted. You must complete the application form and submit it via email to research.partnerships@mq.edu.au. Hard copies will not be accepted.

Certification: Applicants must complete and submit a partnerships [Project Brief](#) to notify Head of Department and capture required approvals and support

Contacts

Any queries relating to these Funding Rules or procedures should be directed to the appropriate **Research Partnerships Manager at Research Services**:

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1. Purpose and Aims of the Scheme

The Macquarie University Enterprise Partnerships Scheme (EPS) is intended to support the establishment and development of mutually beneficial links with private sector, not-for-profit and government enterprises. The scheme comprises two distinct components: (A) *Partnership Seed Funding*; and (B) *Pilot Project Grants*. Applicants should complete the appropriate application form for only one component.

The aims of the scheme are to:

- address a problem or need that the partner organisation(s) are faced with;
- enhance the relevance, application, and impact of the university's research to society;
- encourage new partnerships, and enhance existing partnerships (which must be in a distinctly new research program area);
- better leverage university resources and diversify the university's funding base;
- co-fund a pilot research project that will enhance the chances of funding success for the next stage of the research program (e.g. grants, or further partner-funded research).

2. Funding

2.1 Level of funding

Under the *Partnership Seed Funding* portion of the scheme, University staff may seek support of up to \$5,000 for travel and related expenses to meet with new potential partners with the view to developing and conducting a funded research project.

Under the *Pilot Project Grants* portion of this scheme, University staff may seek support for research projects involving private or government enterprises that are prepared to provide a cash contribution to the project at least matching the sum requested from the University. The scale of the cash contribution requested from the University can range from a minimum of \$10,000 to a maximum of \$20,000. Higher ratios of partner cash contributions are favourably regarded.

It is expected that the partner organisation(s) and the University will also contribute the necessary resources in-kind to enable the project to proceed.

2.2 Project Term

Partnership Seed Funding is available for a period of up to 6 months from the date of outcome notification.

Under the *Pilot Project Grants* portion of the scheme, funding is available for a period of up to 12 months from the date of execution of the Enterprise Partner Agreement.

3. Eligibility

3.1 Eligibility of Applicant

To be eligible to apply for funding, an applicant must be a member of the academic staff holding a continuing or fixed-term appointment at the commencement, and for the duration, of the grant period.

At the time of submission, applicants must not have any outstanding progress and/or final reports for previous external and internal grant funding. Applications that do not meet this condition will be ruled ineligible and will not be assessed.

Applications will not be accepted unless developed in conjunction with a Research Partnerships Manager (RPM) from University Research Services. Contact details for RPMs are available on page 1 of these Funding Rules and from [this website](#).

An EPS grant may be held concurrently with any other Macquarie University research grant. A limit of two concurrent EPS grants (calculated including *Pilot Project Grants* and/or *Partnership Seed Funding*) can be held by any one staff member, at any one point in time.

A *Partnership Seed Funding* application, may lead to a future *Pilot Project Grant* application, as long as the above limits are not exceeded.

Researchers enrolled for undergraduate or postgraduate degrees are NOT eligible to apply.

Funds from these schemes may not be used to support research towards a higher degree.

3.2 Eligibility of Partners

The EPS *Pilot Project Grants* are designed to promote *genuine* and ongoing research collaborations between the University and suitable research partners and end-users. Applicants must demonstrate in their applications that the project and the partnership will fulfil that aim, and is not merely a stratagem to elicit maximum subsidisation from the University for the benefit of the partner. This means that applicants must demonstrate a program of research in Section 14 of the application form, outlining clear and probable avenues of funding for the next phase(s) of research beyond the Pilot Research Grant.

There is no distinction between overseas-based and Australian-based collaborating partners. However, the establishment of a strong partnership must be described in the application and be shown to have potential economic, social or environmental benefit to Australia.

4. Enterprise Partner

4.1 Costing and Implications

The nature of the *Pilot Project Grants* portion of the scheme is designed for situations where both the University and the enterprise partner contribute resources to a research project aimed at establishing a longer term relationship, and both benefit from the results.

Researchers should understand the real cost of research, and convey this understanding to any intending collaborating partner: it is important that both researchers and research end-users alike realise that the cost of research is far higher than the direct project costs. Indirect costs (infrastructure, administrative and management costs) average around 230% of direct salaries across the university. Thus, even where an enterprise partner provides 50% of the direct costs for the project in cash, it should be understood that the University is still providing a very significant subsidy to the research.

Where a research end-user insists on owning all project output (materials and/or intellectual property), the policy of the University is that the end-user pay full costs. However, with careful negotiation this outcome will only be considered necessary by both parties in the minority of cases.

Most enterprise partners will be quite prepared to accept rights to exploit the results of the project on reasonable commercial terms as an acceptable return for the co-investment. Research Partnership Managers will assist the negotiation with partners to achieve the preferred outcomes.

4.2 Enterprise Partner Agreements for Pilot Project Grants

It is a condition of any award under this scheme that before any University account is opened to accommodate either the University or the collaborating partner funds, there must be a written and fully-executed Enterprise Partner Agreement, providing for specific matters including the role and contribution of each partner in the project, arrangements for any postgraduate research student engaged upon the project, ownership of intellectual property, confidentiality, publications issues, and so on.

Research Services generates all agreements relating to this funding scheme. The relevant Research Partnerships Manager within Research Services, in consultation with the Office of Commercialisation and Innovation, will assist the researcher to negotiate the commercial terms of the agreement, including intellectual property. Researchers are required to contact their RPM prior to applying for funds under this scheme. RPMs are also available to assist researchers find eligible partners for the scheme.

No staff member may commit the University, that is, sign contracts or agreements on behalf of the University. Only the Vice-Chancellor or delegates may do so, and in the case of research agreements and contracts, the delegate is the Deputy Vice-Chancellor (Research).

4.3 Requirements Regarding Collaborating Partners

The *Pilot Project Grants* application must include a **letter of commitment** from the intended collaborating partner. This letter must state:

- the cash sum the collaborating partner intends to contribute. The cash contribution must at least match dollar-for-dollar the amount requested from the University under the Scheme. The maximum available from the University is \$20,000; collaborating partners may wish to contribute more than this amount, noting that partner contributions and commitment to the proposed research are criteria in the assessment of applications.
- a statement to the effect that the partner has read and understands these Funding Rules and the purpose of the scheme.
- a statement indicating the partners commitment to further fund the Macquarie research team (i.e., the next stage of the of the project through funded collaborative research, ARC Linkage or other partnership or grant schemes).
- The letter must also include a statement regarding the ownership of project intellectual property. The University's preferred position is that the University will own project intellectual property and the enterprise partner will be granted a royalty-free licence of the project intellectual property for internal, non-commercial purposes with an option to acquire a commercial licence of the project intellectual which will be negotiated upon commercial arms-length terms.

Contact your RPM for a copy of a letter template to be sent to your partner(s).

Organisations which meet the criteria for officially recognised charitable or not-for-profit status may be considered for exemption from the matching dollar-for-dollar requirements of this scheme, with partial contributions (with a minimum of 25% cash contribution) allowed in cases where significant in-

kind contributions are made in lieu contributing project specific resources. Note that a strong case needs to be made that the project has clear prospect of leading to highly competitive future funding applications/proposals.

Exemption categories are:

- a. Exempt Archive and Public Record Office;
- b. Exempt Charity;
- c. Exempt Community Organisation;
- d. Exempt Herbarium;
- e. Exempt Museum and Collecting Organisation;
- f. Exempt Non-Profit Organisation; and
- g. Exempt Start-up.

To determine the eligibility of a partner organisation for exemption please contact your RPM.

5. The application process

5.1. Certifications

All applicants to either portion of the scheme must complete the partnerships [Project Brief](#) in order to capture the required approvals.

5.2 Preparation and Submission

The application form is available electronically via the [Research Services Website](#). Applicants are required to consult with the relevant Research Partnerships Manager prior to completing the form.

- All applicants are encouraged to take advantage of any mentoring or other grant writing assistance provided within their faculty prior to submitting an application to this (or any other) research grant scheme. Applicants should talk to their Head of Department or Faculty Research Manager for more information.
- Applications must be in the prescribed format. All text within the application form and CVs must be a minimum of size 12, and in a highly legible font type, such as Arial or Times New Roman. The layout of the form must not be altered. The reference list or bibliography may be in size 10-point font.
- Great care should be taken in preparing the application form. The application must be informative to non-experts in the field, such that assessors can understand what it is that the applicant is proposing to do, and how this might be achieved.
- **The application must be submitted electronically**, emailed to research.preaward@mq.edu.au (cc your [Research Partnerships Manager and Faculty Research Manager](#)).
- Please note that **hard copy applications will not be accepted** and incomplete applications will be deemed ineligible.

5.3 Assessment

Upon receipt of an application, Research Services in conjunction with the relevant Faculty Associate Dean will carry out an assessment of the project, and make recommendations to the Deputy Vice Chancellor Research, who has the authority to approve funding. Where research has commercial implications, assessment will be undertaken in conjunction with the Office of Commercialisation and Innovation. The final decision will be conveyed to the applicant by Research Services.

6. Budget

Three basic principles must be used in determining and justifying budgets. These are:

- accurate costing (all budget items must be expressed in Australian Dollars excluding GST).
- a clear explanation of reasons for all proposed expenditure in relation to the research plan.
- the costs of the external Partner Organisation(s) will not be met from Macquarie University funds under any circumstances.

A budget must not merely state proposed expenditure in general terms. The University will not support vague, general requests for assistance. It is essential that accurate cost estimates are provided and a justification is given for all budget items. This justification must be made in relation to the aims and the research plan of the project. Without justification, applications are not likely to be successful in gaining support.

As the overall aim of the scheme is to foster strong relationships with private sector, not-for-profit and government by delivering useful results in a timely manner, activities that are likely to support this aim are most likely to be funded.

Additional requirements for Partnership Seed Funding portion of the scheme:

- Applications specifically for *Partnership Seed Funding* may include costs of travel to meet with the partner(s), workshops involving Macquarie researchers and partners, communication and administrative costs, and teaching relief as appropriate and where strongly justified and supported by Head of Department and Faculty.

Additional requirements for *Pilot Project Grants* portion of the scheme:

- Bona fide requests for teaching relief so that the researcher can focus on the project and travel expenses that will facilitate an ongoing face-to-face communication with the partner may be considered.
- More general items which can probably be sourced by other means, for example computers, are unlikely to be funded.
- Other justifiable activities may include the costs of collaborative research that will enable key results to be produced and/or key methodologies to be demonstrated, either of which will underpin the proposed research relationship.
- The cash contribution requested from Macquarie University should be equal or lesser than the cash contribution of the partner organisation, not the total of the cash and in-kind contributions.
- Named investigators cannot receive any part of their salary from the Macquarie University portion of EPS scheme funds. Partial salary support may be considered from partner funding when not appropriately funded from another source.

Please ensure that your RPM has reviewed your proposal and budget prior to submission.

7. Criteria for Assessment

In assessing an application, the following primary criteria will be used:

- The extent to which the proposal is likely to lead to a substantial long-term collaborative relationship between the enterprise partner and the University.
- The extent to which the applicants have demonstrated the collaborative nature of the project and its benefits to the University and the collaborating partner.
- A well-articulated plan for future funding.

Secondary assessment criteria include:

- Significance of the problem to be solved and innovation of the research
- Track record of the applicant in delivering on time and within budget. A demonstrated commitment to using formal project management methodology will be well regarded.
- Potential for results of the research to contribute in terms of both engagement and research impact, and to deliver economic, social or environmental benefits for Australia.
- Soundness of planning and methodology. Evidence of substantial input by the enterprise partner in the project planning process will be highly regarded.
- The extent to which the budget is justified and appropriate to the aims of the scheme and the project.
- The extent to which the project is feasible within the budget available and the capacity of the researcher(s) to undertake and manage the research.
- Previous outcomes related to any historical funding awarded to applicants through this scheme.

Applicants should pay particular attention to the following aspects of their application:

- The project summary should be prepared with great care using plain English and should include aims, significance and expected outcomes of the project. Unnecessary use of jargon, technical terms or specialised terminology may jeopardise the success of the application.
- The outline of proposed project should be set out simply and clearly in plain English, such that assessment can be made with a clear understanding of what it is the applicant is trying to do, how this might be achieved, and the value of doing it. This outline should relate directly to the budget requested.

8. Appeals

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, Manager, Pre Award, Research Services julian.zipparo@mq.edu.au.

9. 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.

10. Conditions of Grant and Reporting Requirements

Duration

The duration for EPS *Partnership Seed Funding* is up to six months from the date of outcome notification. Note that the start date of the funding period is the date that the grant is awarded.

EPS *Pilot Research Grants* are for one year only from the date of execution of the Enterprise Partner Agreement. Projects must commence within three months of the date of notification of success. It is expected that they will lead to further funding from the enterprise partner on the same or other projects.

Carry Forward

Partnership Seed Funding grants have a maximum duration of 6 months. Requests for carry forward will not be considered for funds provided under this component of the EPS scheme.

Requests to carry forward unspent Pilot Research Grant funds must be submitted on the appropriate form, available from the [Research Services web site](#). The completed and signed form must be emailed to research.postaward@mq.edu.au at least one month prior to the end of the project period

Agreements

Any Grant under the *Pilot Research Projects* component of the scheme is conditional upon, and funds will not be released until, the completion of a suitable Enterprise Partner Agreement. Partner organisations should be informed that a Macquarie template agreement will be provided to them for this purpose on award (a draft is available for prior consideration, discuss with your Research Partnerships Manager).

Partner Contribution

The collaborating partner's cash contribution must be paid into a designated Macquarie University account, upon an invoice from the Office of Financial Services.

Final Report

Grantees must produce a Final Report, countersigned by the enterprise partner, within two months of the approved project end date. The Final Report should describe outputs and outcomes relating to the original aims outlined in the application, and should describe plans for further work with the enterprise partner. The Final Report should be submitted to Research Services (research.partnerships@mq.edu.au).

Multiple MQ grants

Subject to the limit of two concurrent EPS grants, researchers may hold more than one grant under the scheme at a time with different collaborating partners and different projects.

11. Research Ethics, Integrity and Related Policies

All researchers are expected to uphold an honest, ethical and conscientious research culture and apply the principles articulated in the Australian Code for the Responsible Conduct of Research.

Macquarie 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 or guidelines, and satisfy the requirements 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.

For more information refer to <https://www.mq.edu.au/research/ethics-integrity-and-policies>

11.1 University Human Ethics, Animal Ethics and Biosafety Committees

Researchers should consult Macquarie University's Human Research Ethics Committee, Animal Ethics Committee, Biosafety Committee and Defence Trade Controls web pages to determine whether their research is subject to the respective guidelines and review processes.

If the proposed research requires human ethics, animal ethics, biosafety and/or export controls approval, the grant will not commence until approval has been obtained. Please contact the relevant Ethics Secretariat (Human or Animal), Biosafety Secretariat, Gene Technology & Biosafety Secretariat and/or the Export Controls Secretariat for further information.

11.2 Research Integrity

All researchers, research coordinators and supervisors of research students should be familiar with the Australian Code for the Responsible Conduct of Research and must comply with the standards encompassed in the Macquarie University Code for the Responsible Conduct of Research.

Researchers are expected to be scrupulous in transparently declaring and managing conflicts of interest when engaged in research, including in the peer review process.