VU Research Fellowship Guidelines 2019

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Part A INTRODUCTION

A1.1 Overview
A1.1.1 Victoria University’s strategic research vision is to be renowned for research excellence in Sport, Health and Active Living and Sustainable Industries and Liveable Cities. To achieve this vision the University will engage collaboratively with industry, government and community to co-innovate responses and solutions to contemporary challenges and opportunities. The result of this effort will be to contribute to healthier, smarter and more sustainable communities in our immediate region and beyond.

A1.1.2 Such a vision requires the University to make carefully considered investments of resources to areas that are demonstrably aligned with our research purpose and focus so as to produce outcomes that advance the University’s vision, mission and strategic objectives.

A1.1.3 VU Research leads, supports, manages and administers all the strategically aligned research and research training activity of the University. VU Research is responsible for allocating all resources to conduct research and research training, including approving the provision of resources for research to College based academic staff.

A1.1.4 The resources of the University to support research and research training activity undertaken by College based academic staff are approved through a Research Fellowship. The resources available for Research Fellowships in any year are constrained by the funds available in the VU Research budget.

A1.2 Objectives
A1.2.1 These Guidelines have been prepared to assist College based academic staff at VU to understand the process and requirements for submitting an application to VU Research for a Research Fellowship in 2019.

A1.2.2 These Guidelines apply only to VU Research Fellowships in 2019.

Part B MAJOR CHANGES FOR 2019

B1.1.1 Building on the experience of the VU Research Fellowships in 2018, several changes to the arrangement and process have been made. Applicants should read the Guidelines carefully to understand the requirements for VU Research Fellowship applications, however, some of the major changes are:

a. Simplified application requirement for the scheme
   
   • Reduced number of questions.
   • A detailed budget is no longer required: The Research Fellowship process focuses solely on the FTE allocation for research.
   • Deans’ (or nominee’s) recommendation changed N1.1.
b. Progress Report and Continuation Option Part E
   • Current VU Research Fellows (excluding P18 Supervision) can apply, along with a report on 2018 activity, for a continuation of their research and research allocation in 2019.

c. Continuous Out of Cycle available for new staff and staff returning from extended leave F1.1.2
   • Staff who were on Extended Leave during the standard round application period are able to apply for a VU Research Fellowship when they return from leave.
   • If required, new staff have the opportunity to apply through an Out of Cycle process.

d. Bridging Support
   • In certain circumstances, additional FTE can be sought by those whose research productivity has been reduced; Part J

e. Selection criteria for Existing Research Fellows. I1.2

Part C  RESEARCH FELLOWSHIPS AND 2019 APPLICATIONS

C1.1 General Overview

C1.1.1 A Research Fellowship is an arrangement recommended by a Flagship Panel and approved by the Vice-President Research for an academic to undertake duties relating to research under the direction and control of VU Research as a shared resource between VU Research and the relevant Higher Education College.

C1.1.2 Approved Research Fellowships will provide an allocation of the University’s resources for research and research training.

C1.1.3 Academics applying for a VU Research Fellowship need to outline the entire scope of research they intend to undertake in the forthcoming year. This may consist of multiple research projects.

C1.2 Types of Research Fellowships

C1.2.1 There are three different forms of Research Fellowships which may be approved by VU Research.

a. Research Fellowship (Priority): For research and research training proposed to be undertaken under the Priority FoR codes and contributing to the University’s Areas of Research Focus.

b. Research Fellowship (Accreditation): For research and research training proposed to be undertaken under Accreditation FoR codes and contributing to the University’s Areas of Research Focus.

c. Research Training Supervision (Only): For research training undertaken by academic staff who do not hold a Research Fellowship (Priority or Accreditation). This type includes but is not restricted to the P18 Supervision.
C1.2.2 These guidelines apply only to Priority and Accreditation Fellowships. Academics will be required to specify the Research Fellowship type that best aligns with their research proposal in their Application.

C1.2.3 Research Training Supervision Fellowships (C1.2.1c) and research training allocations provided as part of a Research Fellowship (Priority) or Research Fellowship (Accreditation) are determined through the HDR admissions/enrolment and change of supervisor processes managed through the Office for Researcher Training, Quality and Integrity.

C1.3 Collaborative and Team Research

C1.3.1 VU Research aims to build research capacity, support for early career researchers and strengthen the VU research environment, by encouraging and supporting collaborative and team based research which is undertaken with other researchers either internally or externally. For this reason collaborative and team based research is encouraged and will be viewed highly favourably during assessment.

C1.4 New Staff

C1.4.1 New staff, who satisfy VU Research Fellowship eligibility requirements, will normally be provided with an initial research allocation as part of the University’s recruitment and appointment process.

C1.4.2 The research allocation and the duration of the allocation will vary within the limits prescribed in these Guidelines.

Part D DURATION OF RESEARCH FELLOWSHIPS

D1.1.1 Approved Research Fellowships (Priority and Accreditation) will normally be for a term of 12 months.

D1.1.2 Multi-year Research Fellowships may be awarded but only where the pre-requisites outlined at D1.2 below are satisfied. The Panel will determine if the pre-requisites are satisfied and a multi-year allocation is justified.

D1.1.3 Research Training Supervision Fellowships and research training allocations will be approved for the student enrolment period and up to maximum course duration of the student(s).
<table>
<thead>
<tr>
<th>Type</th>
<th>Priority</th>
<th>Accreditation</th>
<th>Research Training Supervision</th>
<th>P18 Supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Duration (Research)</td>
<td>1-3 years (multi-year approval subject to pre-requisites at D1.2)</td>
<td>1 year</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Duration (Research Training)</td>
<td>Period of student enrolment up to max. course duration per student</td>
<td>Period of student enrolment up to max. course duration per student</td>
<td>Period of student enrolment up to max. course duration per student</td>
<td>Term remaining on max. course duration per student, subject to continued enrolment.</td>
</tr>
</tbody>
</table>

**D1.2 Pre-requisites for multi-year Research Fellowship**

**D1.2.1** The maximum duration for any Research Fellowship is 3 years.

**D1.2.2** Apart from Research Training Supervision Fellowships a Research Fellowship will not be approved for any longer than 12 months, unless:

a. The Application demonstrates a strong alignment to the University’s strategic vision for research and the broader strategic plan of the University; and

b. The academic’s Higher Education College can support the extended Research Fellowship term, taking into account the teaching, learning and operational requirements of the College for the duration; and

c. The research has confirmed external funding for the duration of the term requested; or

d. The academic is a High Performing researcher\(^1\) as evidenced by sustained research performance in the most recent three years across all MORA indicators of research income, research outputs and HDR completions.

**D1.2.3** Where a multi-year Research Fellowship is approved, the academic will be required to submit a Progress Report every 12 months.

**D1.2.4** *VU Research* reserves the right to terminate, reduce or vary the duration, scope or resources allocated to a multi-year Research Fellowship based on the Progress Report, or at any stage, if in the opinion of *VU Research*, the particular circumstances of the Research Fellowship warrant variation or the overall budgetary circumstances of *VU Research* require it.

\(^1\) High Performance will be recognised as exceeding each of the following indicator scores by at least 25%: research income score of 4; research output score of 2; HDR completion score of 1.
Part E  PROGRESS REPORTS FOR CURRENT VU RESEARCH FELLOWSHIP (PRIORITY AND ACCREDITATION)

E1.1.1 Current VU Research Fellowship (Priority and Accreditation) holders are required to submit a Progress Report whether or not they are applying for a VU Research Fellowship in 2019. Failure to submit a Progress Report may impact on future eligibility. A Progress Report must be lodged using the SmartyGrants system and must detail the progress made towards the Outcomes as recorded in the Fellowship Arrangement.

E1.1.2 Existing VU Research Fellowship holders (Priority and Accreditation only) can apply to continue the current arrangement or propose a change to either the research or the research allocation. In either case the applicant will be required to submit a Progress Report on the 2018 VU Research Fellowship as part of their 2019 application.

E1.1.3 Progress Reports must be submitted by the due date and address each of the requirements specified in the form. Progress Reports will be assessed by the Flagship Panel as part of the Standard Round.

Part F  APPLICATION ROUNDS

F1.1.1 Applications for VU Research Fellowships (Priority or Accreditation) can be submitted either through the Standard Round or through the continuous Out of Cycle Round.

F1.1.2 The Out of Cycle Round will only be available to College academic staff in the following circumstances:

   a. The applicant was on Extended Leave in the two week period prior to the close of applications for the Standard Round. For 2019 applications, the two week period prior to the close of applications is 24 September to 8 October 2018.

   b. The applicant is seeking Bridging Support.

   c. The applicant commenced their first academic appointment with VU on or after 10 September 2018 and did not have a VU Research Fellowship awarded as part of their appointment.

Part G  IMPORTANT DATES FOR APPLICATIONS

G1.1.1 Academics should refer to Appendix 5 of these Guidelines for key dates for 2018 and Indicative Dates for 2019.

Part H  ELIGIBILITY REQUIREMENTS

H1.1.1 A VU Research Fellowship Application can only be submitted if the:

   a. substantive, salaried, position held by the academic is within a VU Higher Education College,

   b. academic has evidence of research performance, and where applicable HDR-supervision performance, as demonstrated by a MORA score in the Reference
period (2015-2017)2 relative to Research Opportunity (as defined in Appendix 1). For the avoidance of doubt, MORA scores that are based on HDR Supervision alone will not meet these Eligibility Requirements.

c. Application is in relation to research activity with objectives that will contribute to the University’s Areas of Research Focus and undertaken in Priority FoRs or Accreditation FoRs;

d. academic has a PhD qualification or equivalent. Where PhD Equivalence is claimed, the applicant will be required to demonstrate that the research previously undertaken is of the same standard (in terms of nature and complexity, independence, research amount and duration) to that of a PhD.

H1.1.2 The University can determine whether the Application meets the Eligibility Requirements specified above at any stage during assessment of the Application.

H1.1.3 If a Research Application is ineligible, the Flagship Panel must not recommend the Application for a Research Fellowship.

Part I SELECTION CRITERIA

I1.1.1 The selection criteria for VU Research Fellowship applications will vary depending on whether the applicant has previously held a VU Research Fellowship.

I1.1.2 Collaborative and team based research with other researchers either internally or externally will be viewed highly favourably during assessment.

I1.1.3 Applications for Research Fellowships (Priority or Accreditation) that meet the Eligibility Requirements will be assessed and scored by the Flagship Panel and ranked on merit using the relevant Selection Criteria as follows:

I1.2 Existing Research Fellowship (Priority) and (Accreditation) Holders

I1.2.1 All Applications for Research Fellowships (Priority and Accreditation) from College academic staff who have held a VU Research Fellowship (Priority or Accreditation) in 2018 that meet the Eligibility Requirements will be assessed and scored by the Flagship Panel and ranked on merit using the following Selection Criteria:

I1.2.2 Fellowship Applicant Research Track Record and Capacity  40%

a. Likely future research performance as measured by current MORA score and quality of HDR supervision (where applicable) taking into account Research Opportunity (as defined), including evidence of:

   i. Research Output and Publications;
   
   ii. Timely HDR Student Completions; and
   
   iii. External Research Income.

2 New staff may have a MORA calculated on the basis of research performed during the reference period in accordance with Part F of the Measuring Individual Research Activity Procedure
I1.2.3 Mentoring and capacity building capabilities (10%)
   a. Contribution to building the research capacity and capabilities of VU Research as demonstrated by at least three of the following:
      i. leadership and organisational ability to expand VU’s research capability in the Areas of Research Focus and Priority and Accreditation Fields of Research;
      ii. commitment to create research capacity, collaboration and innovation within the Research Flagships of VU Research;
      iii. evidence in the Application of capacity to build and/or maintain a research environment suitable for research students and early career researchers that enables high quality research and research training;
      iv. exceptional ability to supervise HDR students and to mentor other researchers, particularly, early and mid-career researchers;
      v. evidence of the potential to attract financial resources to enhance and support research capacity within VU Research.

I1.2.4 Progress towards the research objectives of the 2018 VU Research Fellowship 20%
   Taking into consideration the research allocation provided to the applicant in 2018:
   a. Evidence that the research specified in the 2018 VU Research Fellowship application is leading to the production of significant new knowledge or innovation;
   b. Evidence that the research is engaging and/or is leading to sustained benefit for industry, community and government.

I1.2.5 Research Plan for the next 12 months 20%
   a. The extent to which the research plan will:
      i. result in significant new knowledge and/or innovation;
      ii. build the University’s reputation in the Areas of Research Focus;
      iii. build the research quality and reputation in the University’s Priority FoRs or Accreditation FoRs;
      iv. complement and enhance the quality of teaching and learning at VU, and in particular in the academic’s College.
      v. produce engagement and/or a sustained benefit for industry, community and government.

I1.2.6 Benefit, Feasibility and Cost Effectiveness 10%
   a. The completed research will produce significant economic, commercial, environmental, social and/or cultural benefit that are aligned with the VU Research Plan 2017-2020;
   b. The extent to which the Research is funded by external sources;
   c. The Research is feasible and value for money for VU;
d. The necessary facilities are available to complete the research.

**I1.3 New Research Fellowship (Priority) and (Accreditation)**

**I1.3.1** All Applications for Research Fellowships (Priority and Accreditation) from College academic staff who have not previously held a VU Research Fellowship (Priority or Accreditation) that meet the Eligibility Requirements will be assessed and scored by the Flagship Panel and ranked on merit using the following Selection Criteria:

**I1.3.2 Fellowship Applicant Research Track Record and Capacity  40%**

a. Likely future research performance as measured by current MORA score and quality of HDR supervision (where applicable) taking into account Research Opportunity (as defined), including evidence of:

i. Research Output and Publications;

ii. Timely HDR Student Completions; and

iii. External Research Income.

**I1.3.3 Mentoring and capacity building capabilities (10%)**

a. Contributions to building the research capacity and capabilities of VU Research as demonstrated by at least three of the following:

i. leadership and organisational ability to expand VU’s research capability in the Areas of Research Focus and Priority and Accreditation Fields of Research;

ii. commitment to creating research capacity, collaboration and innovation within the Research Flagships of VU Research;

iii. evidence in the Application of capacity to build and/or maintain a research environment suitable for research students and early career researchers that enables high quality research and research training.

iv. exceptional ability to supervise HDR students and to mentor other researchers, particularly, early and mid-career researchers.

v. evidence of the potential to attract financial resources to enhance and support research capacity within VU Research.

**I1.3.4 Alignment, Quality and Innovation of the Research  30%**

a. The significance of the new knowledge that the research will produce and/or the level of innovation;

b. The extent to which the research will:

i. contribute to building the University’s reputation in the Areas of Research Focus and Priority and Accreditation Fields of Research;

ii. contribute to building research quality and reputation in the University’s Priority FoRs or Accreditation FoRs;

iii. complement and enhance the quality of teaching and learning at VU, and in particular in the academic’s College.
c. The potential for the proposed research to produce engagement and/or a sustained benefit for industry, community and government.

I1.3.5 **Benefit, Feasibility and Cost Effectiveness** 20%

a. The completed research will produce significant economic, commercial, environmental, social and/or cultural benefit that are aligned with the VU Research Plan 2017-2020;

b. The potential for the proposed research to produce engagement and/or a sustained benefit for industry, community and government;

c. The extent to which the Research is funded or likely to be funded by external sources;

d. The Research is feasible and value for money for VU;

e. The necessary facilities are available to complete the research.

I1.4 **Research Fellowship (Accreditation)**

I1.4.1 In addition to the above selection criteria at I1.2 or I1.3 for Research Fellowships (Accreditation), the following factors will be taken into account by the Panel:

a. the extent of any additional cost required for the Research Fellowship (Accreditation) to achieve a successful outcome;

b. the number and merit of Research Fellowship Applications received under the particular Accreditation FoR Code in the Research Fellowship cycle.

I1.4.2 The University is obligated to maintain a minimum threshold of research in fields of research that contribute to Course Accreditation Requirements. In some cases this minimum threshold may not be achieved through the VU Research Fellowship process alone, prompting VU Research and the relevant College to formulate developmental research plans to ensure that the strategic needs of the University are satisfied and the threshold can be achieved.

**Part J  BRIDGING SUPPORT**

J1.1.1 Academic staff who have returned from extended Parental, Sick, or Carer’s Leave have the opportunity to apply for Bridging Support in the form of an additional research allocation. The purpose of the Bridging Support Research Allocation is to help redress the disruption to research productivity which has arisen due to the Leave.

J1.1.2 Bridging Support requests must be submitted as part of a Standard Round Research Fellowship Application or through the Out of Cycle Round.

J1.1.3 To be eligible to apply for Bridging Support, applicants must:

a. Satisfy the Eligibility Criteria for the VU Research Fellowship (Part H);

b. Hold or be expected to hold a VU Research Fellowship (Priority or Accreditation) for the period in which the additional research allocation is sought;

c. Have been on approved Parental, Sick, or Carer’s Leave for a continuous period of three months or more;
d. Apply within three months of return to work from Parental, Sick, or Carer’s Leave.

J1.1.4 A Bridging Support Research Allocation will be in addition to the Base Research Allocation. Bridging Support will not exceed the value of an academic’s Base Research Allocation. The additional research allocation will be provided for a maximum period of 12 months.

J1.1.5 In assessing requests for Bridging Support the Flagship Panel will use the following criteria:

a. The applicant’s research productivity prior to Leave;

b. The feasibility of the research planned to be completed with the additional research allocation;

c. The likelihood that the additional research allocation will contribute to returning the applicant’s research track record to the level it was prior to the Leave.

J1.1.6 The University’s Diversity and Inclusion Manager will be invited to contribute to the Flagship Panel’s assessment of Bridging Support applications.

Part K RESEARCH ALLOCATION REQUESTS

K1.1.1 All Research Applications must specify the Research Allocation required by the applicant from VU Research to undertake the proposed research.

K1.1.2 A Base Research Allocation may be sought for:

a. An amount to represent the academic’s availability for research, expressed as a time fraction between 0.1 and 0.4 FTE for research.

i. Note: 1) a full-time academic is represented as 1 FTE; 2) 0.4FTE is the maximum support for research that is normally provided to a full time Academic from University resources. It is possible to have a Base Research Allocation beyond 0.4FTE but this usually requires the additional allocation to be funded from external sources;

K1.1.3 An additional research allocation under the Bridging Support opportunity (Part J) may be sought for an amount between 0.1 and 0.4 FTE.

K1.1.4 The University reserves the right to award an allocation which is less than that requested in the Research Application.

K1.1.5 If an academic has external research funds that contribute to their salary costs, this can increase their overall Research Allocation and may result in the allocation exceeding 0.4FTE.

K1.1.6 Any allocation approved will be subject to sufficient funds being available in the VU Research budget and continued satisfactory progress in accordance with the Fellowship Arrangement.

K1.1.7 While resources from VU Research are in the form of a research allocation for an academic it is expected that Research Applications demonstrate requests or support for other resources to support a successful research outcome from non-University sources.
Part L  RESEARCH FELLOWSHIP APPLICATIONS

L1.1 General overview

L1.1.1 The resources of the University required for research and research training are allocated to College based academic staff under approved Research Fellowships.

L1.1.2 To apply for University supported research under a Research Fellowship, academics are required to submit a Research Application. Applications are submitted either through the Standard Round or the Out of Cycle Round.

L1.1.3 Research Applications will be assessed by a Flagship Panel against the Selection Criteria. This will enable considered decisions concerning the resources required for College based academic staff to undertake research that aligns with the University’s research purpose and focus and will result in outcomes that contribute to the University’s research vision and goals.

L1.1.4 Research Applications must contain all the information necessary for assessment without the need for further written or oral explanation, or reference to additional documentation. The University may request additional information but is not obliged to do so.

L1.1.5 All details in the Research Application must be current and accurate at the time the application is submitted.

L1.1.6 A Research Application (with the exception of Bridging Support applications) may only be submitted once in the same annual Research Fellowship cycle.

L1.2 Prior to submitting a Research Application

L1.2.1 Staff members will be notified when VU Research opens Research Fellowship Applications each year.

L1.2.2 Academics are expected to notify their Dean (or nominee) of their intention to submit a Research Application.

L1.3 Online submission of Research Applications and Progress Reports

L1.3.1 Academics will be asked to submit their Research Application and/or Progress Report via the online application system by the nominated closing date, unless otherwise advised by VU Research. Submission of the application is treated as confirmation that the information contained is accurate and supported by the applicant.

L1.3.2 Research Applications must meet the format and content requirements and respond to all applicable Parts of the Application form that apply to the Research Fellowship type.

L1.4 Closing Date for Applications and Progress Report

L1.4.1 All Research Applications and Progress Reports must be submitted via the online application system by the nominated closing date and time as listed in Appendix 5 of these Guidelines.
Part M ASSESSMENT OF RESEARCH FELLOWSHIP APPLICATIONS

M1.1 VU Research through Research Services will manage the assessment and approval process of all Research Fellowship Applications.

M1.2 Assessment of Out of Cycle VU Research Fellowship applications will occur continuously during the period that the round remains open and may, to ensure timely and efficient assessment of applications, require that the Flagship Panel meeting be convened electronically.

M1.2.1 All Research Applications will be initially reviewed to confirm that they meet the Eligibility Requirements (applicable to the Research Fellowship type).

M1.2.2 Research Applications that meet the Eligibility Requirements will be assessed by the relevant Panel and may be allocated to an independent assessor with appropriate disciplinary expertise.

M1.3 Flagship Panels Convened

M1.3.1 The Deputy Vice-Chancellor and Senior Vice-President will convene a panel under each Research Flagship area and, for each Flagship Panel, will endeavour to achieve a membership that:

a. has a balanced gender representation;

b. comprises College and VU Research representatives;

c. has appropriate disciplinary representation; and

d. only involves academics and/or professional staff with relevant training and experience.

M1.3.2 It is expected that the Panel will include the following members:

a. The Executive Director of the relevant Flagship Research Institute;

b. A Deputy Director or Program Leader from the relevant Flagship Research Institute;

c. Director – Research Services Office (or nominee);

D. Dean of the Office for Researcher Training, Quality and Integrity (or nominee);

e. A College Dean representative;

f. A College Dean (or nominee) for each of the accreditation fields of research;

g. A researcher representative.

M1.3.3 The Flagship Panel will be maintained for a full annual cycle which will conclude at the opening of the round for the subsequent year. This will enable continuity of assessment of applications in the Standard Round and Out of Cycle Round as well as to consider upheld appeals.
**M1.4 Assessment against Selection Criteria**

**M1.4.1** All Research Applications will be scored, ranked and/or recommended a research allocation by the Panel on merit on the basis of the Application and the Selection Criteria, as well as any assessors’ reports (where applicable).

**M1.4.2** Research Applications may be assigned to independent assessors with appropriate disciplinary expertise to assess the Application against Eligibility Requirements and/or Selection Criteria, if considered necessary.

**M1.4.3** The Flagship Panel may cease the progression of an Application at any time during this process. Grounds for cessation include, but are not limited to the:

a. Application is considered not to meet the Eligibility Requirements set out in these Fellowship Guidelines.

b. Application contains incomplete, inaccurate or misleading information.

**M1.5 Panel Recommendations**

**M1.5.1** The Panel will make recommendations to the Vice-President Research and rank the Research Application relative to the other Applications, in relation to:

a. which Research Applications should be approved;

b. which Research Applications should not be approved;

c. which Research Applications should be varied or partially approved;

d. the level and amount of resources of the University that may be allocated; and

e. the duration of a Research Fellowship.

**Part N RECOMMENDATIONS, VARIATIONS AND APPROVAL**

**N1.1 Dean’s Recommendations**

**N1.1.1** Following the receipt of applications, Research Services will submit to College Deans a report on the VU Research Fellowship applications submitted by academics in their College. At this point, College Deans will be requested to:

i. Comment on the extent to which the research proposed will complement and enhance the quality of teaching and learning at VU, and in particular in the academic’s College.

ii. Advise of any reason why the requested FTE could not reasonably be accommodated by the College.

**N1.2 Approval of Research Fellowships**

**N1.2.1** The Panel will submit recommendations to the Vice-President Research.

**N1.2.2** Following receipt of the Panel’s recommendations, the Vice-President Research will be required to:

a. review the recommendations of the Panel as to whether a Research Application should be approved, not approved, partially approved, or varied;
b. request further information if required; and

c. approve the Research Allocation from the VU Research budget.

N1.2.3 The Vice-President Research must not approve any Research Application that fails to meet the Eligibility Requirements set out in these Fellowship Guidelines.

N1.2.4 The Vice-President Research will advise the College Dean of the outcome of all Research Applications submitted by academics in their College, including whether a Research Fellowship has been approved, not approved, or varied including the Research Allocation to be awarded.

N1.2.5 Once College Deans have been notified, Research Services will notify all applicants of the outcome of their Research Application and whether they have been approved or not approved for a Research Fellowship.

N1.2.6 Academics who have a Research Fellowship approved will be required to enter into a Fellowship Arrangement confirming their FTE availability to VU Research and the work to be undertaken under the direction and control of VU Research. If the allocated FTE is less than the applied FTE, Academics will have the opportunity to confirm with VU Research that part of the approved research that will be undertaken with the allocated FTE. Academics who are in receipt of a Research Fellowship will required to record their research activity within VU Develop.

N1.2.7 VU Research may vary the resource allocation approved for a Research Fellowship at any time if in the opinion of VU Research, the particular circumstances warrant the variation.

N1.3 Unsuccessful Applicants

N1.3.1 Unsuccessful VU Research Fellowship applicants will be provided with a brief written statement of reasons for the outcome and will be provided with the opportunity to meet with a member of the Flagship Panel to explore ways in which their application and/or research track record could be developed for future success.

N1.4 Appeals Process

N1.4.1 Academics who submit a Research Application are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the Research Application has been assessed in accordance with the procedures outlined in these Fellowship Guidelines.

N1.4.2 Appeals will be considered only against administrative process issues and not against Panel recommendations, Vice-President Research decisions, assessor or Flagship Panel member comments or the outcome of the Research Fellowship. To lodge an appeal against administrative process issues, the academic must identify the specific part of these Fellowship Guidelines which they believe has been incorrectly applied.

N1.4.3 Appeals must be submitted by the academic within 14 days of the date of the notification to the academic of the outcome of the Research Application. If an academic is on leave for the majority of the 14 day period following the notification of outcome, they will be entitled to request an extension to the appeal due date. An appeal cannot be lodged against an appeal outcome.
N1.4.4 The Appeals Process is managed through the Office of the Deputy Vice-Chancellor and Senior Vice-President in accordance with the guidelines.

N1.4.5 Appeals must be submitted to VU Research electronically to research.fellowships@vu.edu.au.

N1.4.6 The decision to uphold or reject an appeal rests solely with the University. In the case of an appeal that is upheld, the application will be referred back to the Panel for reconsideration.

Part O POINTS OF CONTACT

O1.1.1 Academics should contact:

a. the Research Services Office at research.fellowships@vu.edu.au if they have any queries regarding the Research Fellowship application process and questions on how to complete a Research Application.

b. The relevant Flagship Research Institute Deputy Director or Program Leader, for guidance on the research aspects of the application:

Institute for Health and Sport

- Professor Vasso Apostolopoulos, Program Leader - Mechanisms and Interventions in Health & Disease
- Professor Mary Carolan, Program Leader - Clinical and Community Health and Wellbeing
- Professor Alex Parker, Program Leader - Healthy & Inclusive Communities- Sport, Physical Activity & Culture
- Associate Professor Sam Robertson, Program Leader - Sport Performance & Business

Institute for Sustainable Industries and Liveable Cities

- Dr Randall Robinson, Deputy Director
- Associate Professor Dianne Hall, Deputy Director.

Part P SCOPE

P1.1.1 These Guidelines do not form part of any contract between any person and VU. Any reference to obligations or requirements of the University in these Guidelines is not intended to give rise to contractual obligations binding on the University.

P1.1.2 Any dispute about the application of these Guidelines will be resolved by the University in accordance with these Guidelines and at its sole and absolute discretion. These Guidelines may be varied from time to time and replaced or removed in its entirety at the discretion of VU.
APPENDIX 1: DEFINITIONS

**Accreditation FoR Codes** means the FoR Codes identified and defined by the University as eligible for access to human, physical or financial resources for research where it is necessary for course accreditation purposes.

**Areas of Research Focus** means the areas of research focus outlined in the VU Research Plan 2017-2020, namely:
1. Supporting Industry Growth and Response to Change
2. Building Resilient, Inclusive and Creative Communities
3. Enabling Healthy and Active Populations
4. Promoting High Performance in Sport
5. Creating Effective Teaching and Learning for Diverse Populations
6. Enhancing the Evidence Base for Public Policy

**Base Research Allocation** is the FTE allocation that is provided by VU Research for an academic to undertake University supported research.

**Bridging Support Research Allocation** is the FTE allocation that is provided by VU Research for an academic to undertake additional University supported research in order to redress a disruption to research productivity which has arisen due to extended periods of Parental, Sick or Carer’s Leave.

**Career Interruption** means a period of absence from employment greater than six months which has arisen due to any of the following: maternity or paternity leave, illness, carer’s responsibilities, unemployment or employment in industry.

**Course Accreditation Requirements** the standards required of universities in order to qualify courses for accreditation from professional peak bodies.

**Dean** means the Dean of the academic’s College, including their delegates or nominees.

**Early Career Researcher (ECR)** means an academic whose research higher degree qualification (or equivalent) has been conferred on or after the 1 October 2013.

**Extended Leave** means approved Parental Leave, Long Service Leave, Personal Leave of greater than 6 weeks duration.

**Fellowship Arrangement** means the conditions under which the academic will undertake research or research training under the direction and control of VU Research.

**Field of Research (FoR)** means the Australian and New Zealand Standard Research Classifications which classify research according to the research undertaken, rather than the purpose of the activity. It describes what is being researched. The FoR is a hierarchical classification with three levels, namely Divisions (2 digits), Groups (4 digits) and Fields (6 digits). Each level is identified by a unique number.

**Panel** means the group of experts appointed by the Deputy-Vice Chancellor and Senior Vice-President to assess eligible Research Applications and to provide a recommendation for the allocation of resources to support research under a Research Fellowship to the Vice-President Research.
Collaborative Research means a particular Research project which involves multiple (internal or external) researchers and may be interdisciplinary.

MORA means the University’s Measure of Research Activity used for the measurement of individual academic research activity and performance at the MSAL level, as calculated in accordance with the University’s MORA Policy and Procedure.

P18 Supervision means existing pre-2018 research supervision commitments made prior to the commencement of operations for VU Research (ie prior to 1 January 2018).

Priority FoR Codes means the FoR Codes which the University has strategically identified to invest and redirect the human, physical and financial resources to support the University’s vision and defined Areas of Research Focus.

Reference period means the period that is the three most recent years prior to the Research Application being submitted for which audited data is available. For example, Applications for Research Fellowships in 2019 will use data collected from 2015, 2016 and 2017.

Research means the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, understandings, inventions and applications of this knowledge. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes. This definition of research encompasses pure and strategic basic research, applied research and experimental development.

1. This definition of research is consistent with a broad notion of research and experimental development, including creative work undertaken on a systematic basis in order to increase the stock of knowledge, such as knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications.

2. Activities that do not satisfy the definition of research include:
   (a) scientific and technical information services;
   (b) general purpose or routine data collection;
   (c) standardization and routine testing;
   (d) feasibility studies (except into research and experimental development projects);
   (e) specialized routine medical care;
   (f) commercial, legal and administrative aspects of patenting, copyright or licensing activities; and
   (g) routine computer programming, systems work or software maintenance.

Research Allocation is the total FTE allocation that is provided for an academic to undertake University supported research. The Research Allocation total includes the:

- Base Research Allocation,
- Any allocation provided as Bridging Support,
- Any externally funded FTE.

Research Application means the application submitted by an academic to VU Research which includes a project/plan for research and requests approval for an allocation resources from VU Research.
**Research Fellowship** means a Research Application approved, varied or partially approved by the Vice-President Research to receive a research allocation in the form of an FTE allocation from *VU Research*, for the academic to undertake a research or research supervision within *VU Research*.

**Research Flagships** Means the two overarching conceptual branches of *VU Research*, under which the following research centres and institutes will deliver research programs:

1. **Research Flagship: Sustainable Industries and Liveable Cities**
   - (a) Institute of Sustainable Industries and Liveable Cities
   - (b) Centre of Policy Studies (COPS)
   - (c) Centre for International Research in Education Systems (CIRES)

2. **Research Flagship: Sport, Health and Active Living**
   - (a) Institute for Health and Sport.

**Research Opportunity** means information designed to provide the Flagship Panels with an accurate appreciation of career history against a timeline of years since graduation from highest educational qualification. Flagship Panels will recognise research opportunities and experience in the context of employment, the research allocation provided to an academic from *VU Research*, including industry experience outside of academia, and any Career Interruption (as defined in Appendix 1). Access to research mentoring and other research support facilities and any other relevant aspects of career experience or opportunities for research will complete the considerations.

**Research Output and Publications** as defined in the *MORA Policy*, meaning Research output that meets the definition of research and has been published or made publicly available within the reference period, submitted and/or claimed in VU Elements and accepted for the University’s annual research publication collection, including recognised Creative Works as Research.

**Research Training** is defined as a formal course of postgraduate study that leads to the acquisition of advanced skills, techniques and knowledge in the conduct of research, and requires the production of a substantial original research output, such as a thesis and usually refers to studies for Research Masters and Research Doctorate degrees (AQF Levels 9 and 10). The phrase ‘higher degree(s) by research’ (HDR) has the same scope. (see *TEQSA Guidance Note*)

**Standard Round** means the major, annual round of VU Research Fellowships, which occurs over the period September – November, for research support in the forthcoming academic year.

**Timely Completion** means those Higher Degree Research Student Completions that are completed in a timely manner. In equivalent full-time (EFT) terms, from enrolment to submission for examination, a timely completion is 4.0 years or less for Research Doctorates and 2.0 years or less for Research Masters.

**VU Elements** means the research information management system that provides a single source for all of the University’s research publication data.
## APPENDIX 2: OVERVIEW OF ROLES AND RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Roles</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| Research Services| • Receives all Research Applications from academics for Research Fellowships  
• Manages MORA (Calculates and releases MORA results and considers requests for recalculation of MORA)  
• Initiates VU Research FoR code reviews.  
• Notify applicants of the outcome of VU Research Fellowship applications.                                                                                                                                                                           |
| Flagship Panel   | Assess Research Applications that meet the Eligibility Requirements against the Selection Criteria and make recommendations to the Vice-President Research including:  
• Rank Research Applications (Priority and Accreditation) on merit using the Selection Criteria;  
• Whether the Research Application or a portion of it should be approved under a Research Fellowship;  
• The duration of any Research Fellowship;  
• The appropriate level of FTE to be allocated;  
• Any additional FTE to be allocated as Bridging Support; and  
• Any recommended variations to the research before approval of a Research Fellowship.  
For the avoidance of doubt, the Panel reserves the right to recommend project scope, cost, FTE availability or project duration which is less than that requested in the Research Application. |
| Academic         | • develop a Research Application which outlines the entire research they intend to undertake in the forthcoming year under a Research Fellowship.  
• submit all required data and evidence as required under these Guidelines to support their Application through prescribed systems and processes by the due date.  
• ensure all information already stored in prescribed systems and processes is up-to-date and accurate.  
• provide accurate evidence (in the form of facts and data) to support the Research Application.  
• notify their Dean of their intention to submit a Research Application to VU Research for a Research Fellowship.  
• enhance or amend their Research Application as a result of any suggestions they receive from their peers or mentor.  
• check carefully that all the information contained in the Research Application is accurate prior to the submission (changes cannot be made once the Application has been submitted)  
• submit a Progress Report on the VU Research Fellowship.                                                                                                                                  |
| Dean             | • Comment on the extent to which the research proposed will complement and enhance the quality of teaching and learning at VU, and in particular in the academic’s College.  
• Comment on the availability of an academic for the FTE being requested.                                                                                                                  |
<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice-President Research</td>
<td>Consider recommendations from the Panel, and:</td>
</tr>
<tr>
<td></td>
<td>• determine whether a Research Fellowship should be approved, not approved, or if</td>
</tr>
<tr>
<td></td>
<td>the Application should partially approved, or varied;</td>
</tr>
<tr>
<td></td>
<td>• Request further information if required;</td>
</tr>
<tr>
<td></td>
<td>• approve any resources to be allocated under a Research Fellowship from the</td>
</tr>
<tr>
<td></td>
<td><em>VU Research</em> budget.</td>
</tr>
<tr>
<td>Deputy Vice-Chancellor and Senior Vice-</td>
<td>Convenes a panel under each Research Flagship area</td>
</tr>
<tr>
<td>President</td>
<td>• Considers VU Research Fellowship appeals.</td>
</tr>
</tbody>
</table>
APPENDIX 3: AREAS OF RESEARCH FOCUS

The University has identified six Areas of Research Focus in the VU Research Plan 2017-2020:

1. **Supporting Industry Growth and Response to Change**
   Goal: To provide key partner industries with the required systems, policies, practices and technologies to effectively respond to constantly changing political, economic, social and technological landscapes.

2. **Building Resilient, Inclusive and Creative Communities**
   Goal: To work with key community and government partners to explore the complex relationships between diverse people and communities, built infrastructure and natural environments and identify practical policies and evidence-based interventions to build more resilient and inclusive communities.

3. **Enabling Healthy and Active Populations**
   Goal: To develop evidence-based interventions, policies, practices, and technologies to promote positive population health outcomes using integrated, multidisciplinary approaches.

4. **Promoting High Performance in Sport**
   Goal: To enhance high performance in sport by advancing and translating our understanding of bio-physical and psycho-social processes and theories to improve sport systems, policies and practices.

5. **Effective Teaching and Learning for Diverse Populations**
   Goal: To identify, validate and implement effective teaching and learning systems, policies and practices which empower individuals from diverse backgrounds to achieve success throughout their life.

6. **Enhancing the Evidence Base for Public Policy**
   Goal: To develop and apply advanced methods for the provision of evidence-based analysis of the full ramifications of public policy alternatives in order to achieve the best outcomes in the face of constantly changing economic, political, physical and social environments.
APPENDIX 4: FIELDS OF RESEARCH

The University has strategically selected discipline areas and prioritised 4-digit Fields of Research (FoR) codes which support research in the Areas of Research Focus and/or are required by accreditation bodies for course accreditation purposes.

Priority FoR Codes

The Priority FoR codes identified by the University for 2018 are:

<table>
<thead>
<tr>
<th>Code</th>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>0102</td>
<td>Applied Mathematics</td>
</tr>
<tr>
<td>0601</td>
<td>Biochemistry and Cell Biology</td>
</tr>
<tr>
<td>0602</td>
<td>Ecology</td>
</tr>
<tr>
<td>0801</td>
<td>Artificial Intelligence and Image Processing</td>
</tr>
<tr>
<td>0805</td>
<td>Distributed Computing</td>
</tr>
<tr>
<td>0806</td>
<td>Information Systems</td>
</tr>
<tr>
<td>0904</td>
<td>Chemical Engineering</td>
</tr>
<tr>
<td>0905</td>
<td>Civil Engineering</td>
</tr>
<tr>
<td>0906</td>
<td>Electrical and Electronic Engineering</td>
</tr>
<tr>
<td>0908</td>
<td>Food Sciences</td>
</tr>
<tr>
<td>0913</td>
<td>Mechanical Engineering</td>
</tr>
<tr>
<td>1006</td>
<td>Human Movement and Sports Science</td>
</tr>
<tr>
<td>1106</td>
<td>Nursing</td>
</tr>
<tr>
<td>1110</td>
<td>Medical Physiology</td>
</tr>
<tr>
<td>1116</td>
<td>Public Health and Health Services</td>
</tr>
<tr>
<td>1301</td>
<td>Education Systems</td>
</tr>
<tr>
<td>1302</td>
<td>Curriculum and Pedagogy</td>
</tr>
<tr>
<td>1303</td>
<td>Specialist Studies In Education</td>
</tr>
<tr>
<td>1402</td>
<td>Applied Economics</td>
</tr>
<tr>
<td>1503</td>
<td>Business and Management</td>
</tr>
<tr>
<td>1506</td>
<td>Tourism</td>
</tr>
<tr>
<td>1608</td>
<td>Sociology</td>
</tr>
<tr>
<td>1701</td>
<td>Psychology</td>
</tr>
<tr>
<td>2002</td>
<td>Cultural Studies</td>
</tr>
<tr>
<td>2103</td>
<td>Historical Studies</td>
</tr>
</tbody>
</table>

The University will regularly review and evaluate the performance of the Priority FoR Codes (at least every two years) to ensure alignment with the University's disciplinary expertise, strategic direction and Areas of Research Focus, within the budgetary setting. These reviews may result in adjustments to the Priority FoR Codes.

Accreditation FoR Codes

The Accreditation FoR codes identified by the University for 2018 are:

<table>
<thead>
<tr>
<th>Code</th>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>1501</td>
<td>Accounting, Auditing and Accountability</td>
</tr>
<tr>
<td>1607</td>
<td>Social Work</td>
</tr>
<tr>
<td>1801</td>
<td>Law</td>
</tr>
</tbody>
</table>

It is anticipated that Accreditation FoRs will be reviewed annually and will be subject to change. The accreditation requirements of a course alone will not result in Accreditation FoR Code status. The University will determine whether Accreditation FoR Code status is appropriate by evaluating:

- course viability, inclusive of the cost of any additional research requirements linked to course accreditation
• the particular FoR Codes’ sustained research performance
• the accreditation requirements of the relevant accrediting body with respect to research
• course alignment with the *VU Research* Strategic Plan 2017-2020 and the Areas of Research Focus of the University
• the University’s research budget

In addition to the University's expectations and requirements in relation to research, all research and research training undertaken under an Accreditation FoR Code must strictly adhered to the requirements and expectations of the relevant accreditation body.
APPENDIX 5: IMPORTANT DATES 2018/2019

The following dates apply for Applications the VU Research Fellowships (Standard Round) for 2019:

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applications open for 2019 VU Research Fellowships</td>
<td>10 September 2018</td>
</tr>
<tr>
<td>Applications for the Standard Round close</td>
<td>8 October 2018</td>
</tr>
<tr>
<td>Dean’s consideration and recommendation on Applications received for the Standard Round</td>
<td>9-12 October 2018</td>
</tr>
<tr>
<td>Applications for the Out of Cycle Round Open</td>
<td>7 January 2019</td>
</tr>
<tr>
<td>Applications for the Out of Cycle Round Close</td>
<td>9 August 2019</td>
</tr>
<tr>
<td>Dean’s consideration and recommendation on Applications received for the Out of Cycle Round</td>
<td>Within 1 week of receiving the application</td>
</tr>
<tr>
<td>Academics for the Standard Round will be notified of whether a 2019 Research Fellowship has been approved, not approved, or whether their Application has been partially approved or varied.</td>
<td>29 October – 2 November 2018</td>
</tr>
<tr>
<td>Academics submitting an application in an Out of Cycle round or for Bridging Support notified of outcome.</td>
<td>Within 6 weeks of lodging the application</td>
</tr>
</tbody>
</table>

**2019 Indicative Dates**

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applications open for 2020 VU Research Fellowships</td>
<td>9 September 2019</td>
</tr>
<tr>
<td>Applications for the Standard Round close</td>
<td>8 October 2019</td>
</tr>
</tbody>
</table>