

# VU Research Fellowship Guidelines 2022

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## **Part A INTRODUCTION**

### **A1.1 Overview**

- A1.1.1 Victoria University's vision is to be a global leader in dual sector learning and research by 2028. Our strategic research purpose is to create life-changing and world-changing research for the wellbeing of our people, place and planet. 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 2022.
- A1.2.2 These Guidelines apply only to VU Research Fellowships in 2022.

## **Part B MAJOR CHANGES FOR 2022**

- B1.1.1 Applicants should read the Guidelines carefully to understand the requirements for VU Research Fellowship applications, however, some of the major changes are:
- a. New Additional Research Allocations outlined in J1.3 to J1.6.
  - b. A report on activity in 2020 for those who held a VU Research Fellowship (Priority and Accreditation) in 2020, which will count 20% toward the Track Record Selection Criterion.

## **Part C RESEARCH FELLOWSHIPS AND 2021 APPLICATIONS**

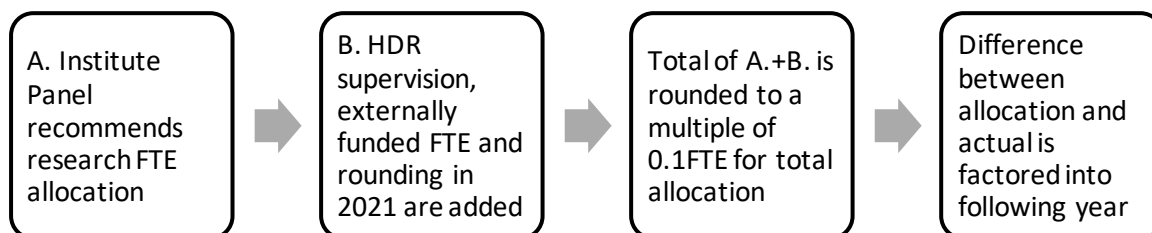
### **C1.1 General Overview**

- C1.1.1 A Research Fellowship is an arrangement approved by the Deputy Vice-Chancellor (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 All academics seeking a VU Research Fellowship in 2022 must submit an application using *SmartyGrants*, including academics holding a current VU Research Fellowship that ends in 2021 (including VU Research Fellows with externally funded time in 2022).

## 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 and Emerging 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).
- 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.
- C1.2.4 Externally funded research time (i.e. time on a project funded through contract research or a research grant) is in addition to HDR supervision and VU Funded time. The approved costing tool must demonstrate the funding pays for the VU Research Fellow's time.
- C1.2.5 While a basic research allocation, HDR supervision time and externally funded research time will be factored into the final total allocation of time, the final allocation must be an increment of 0.1FTE and fixed for the year. Any difference between the final FTE allocation and time formally recognised throughout the year (for instance due to changes in HDR supervision) will be factored into the following year's allocation.



### 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 a VU Research Fellowship allocation as part of the University's recruitment and appointment process where an Executive Director of a VU Research Institute (or delegate) is on the recruitment panel and the recommendation of a VU Research Fellowship including FTE allocation is made to the Deputy Vice-Chancellor (Research).
- 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 Research Fellowships may be for a period of up to 3 years for academics recommended for 0.4FTE research allocation or greater by the Institute Panels, noting the Deputy Vice-Chancellor may choose to guarantee the basic research allocation or a total allocation for the period of the Fellowship.
- 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).

Type	Priority	Accreditation	Research Training Supervision
Duration (Research)	1 year  <i>3 years for VURFs recommended by a Institute Panel for 0.4FTE allocation or greater</i>		N/A
Duration (Research Training)	Period of student enrolment up to max. course duration per student		Period of student enrolment up to max. course duration per student

## Part E PROGRESS REPORTS FOR VU RESEARCH FELLOWSHIP (PRIORITY AND ACCREDITATION)

- E1.1.1 The Deputy Vice-Chancellor (Research) or an Institute Executive Director can request a VU Research Fellow (Priority and Accreditation) to provide a report on their progress at any time, due no earlier than 10 business days from the request being sent.

- E1.1.2 Holders of a VU Research Fellowship (Priority and Accreditation) will be required to report annually on the progress of their research, via a process determined by the Deputy Vice-Chancellor (Research).
- E1.1.3 Holders of a VU Research Fellowship (Priority and Accreditation) deemed to have made unsatisfactory progress may have their Fellowship terminated or future eligibility for a VU Research Fellowship may be impacted
- E1.1.4 Failure to submit a Progress Report on time may impact on future eligibility.

## **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 an Out of Cycle Round.
- F1.1.2 The Out of Cycle Round will only be available to College academic staff who were on Extended Leave of longer than 6 weeks including the two weeks prior to applications closing.

## **Part G IMPORTANT DATES FOR APPLICATIONS**

- G1.1.1 Academics should refer to Appendix 4 of these Guidelines for key dates for 2021 and Indicative Dates for 2022.

## **Part H ELIGIBILITY REQUIREMENTS**

- H1.1.1 An application for a new VU Research Fellowship in 2022 can only be submitted if the:
- substantive, salaried, position held by the academic is within a VU Higher Education College,
  - academic has evidence of research performance, and where applicable HDR-supervision performance, as demonstrated by a MORA score greater than 0 in the Reference period (2018-2020)<sup>1</sup> 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.
  - 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;
  - 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 Institute Panel must not recommend the Application for a Research Fellowship.

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<sup>1</sup> 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](#)

## Part I SELECTION CRITERIA

l1.1.1 Collaborative and team based research with other researchers either internally or externally and research which is engaged with industry and community will be viewed highly favourably during assessment.

l1.1.2 Applications for Research Fellowships (Priority or Accreditation) that meet the Eligibility Requirements will be assessed and scored by the Institute Panel and ranked on merit using the relevant Selection Criteria as follows:

### l1.2 Research Fellowship (Priority) and (Accreditation)

l1.2.1 All Applications for Research Fellowships (Priority and Accreditation) from College academic staff (Priority or Accreditation) that meet the Eligibility Requirements will be assessed and scored by the Institute Panel and ranked on merit using the following Selection Criteria:

#### l1.2.2 Fellowship Applicant Research Track Record and Capacity 40%

a. Likely future research performance as measured by current MORA score taking into account Research Opportunity (as defined), as well as subsequent achievement, based on evidence of:

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

For clarity, all achievements must be actual or contracted, and not simply planned in the future or submitted for approval.

b. For holders of a VU Research Fellowship (Priority and Accreditation) in 2020, your VU Research Fellowship activity in 2020, including outputs measured in MORA, contribution to leadership, mentoring, capacity building, strategic alignment and impact and engagement achievements. (20% of Track Record and Capacity score for this cohort).

#### l1.2.3 Research Leadership, mentoring and capacity building capabilities (10%)

a. Demonstrated 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, Emerging Priority and Accreditation Fields of Research;
- ii. commitment to creating research capacity, collaboration and innovation within *VU Research*;
- iii. capacity to build and/or contribute to a research environment;
- iv. exceptional supervision of HDR students and mentoring of other researchers, particularly early and mid-career researchers.

#### l1.2.4 Alignment of the Research with Strategy 30%

a. The extent to which the research will:

- i. contribute to building research quality and reputation (including via planned outputs and funding) in the University's:
  - i. Areas of Research Focus a<sup>2</sup> (listed in Appendix 1: Definitions)
  - ii. Priority and Emerging Priority FoRs or Accreditation FoRs as evidenced by alignment, quality and number of planned outputs (see Appendix 3);
- ii. complement and enhance the quality of teaching and learning at VU, and in particular in the academic's College.

#### **I1.2.5 Pathway to Impact and Feasibility 20%**

- a. The completed research will produce economic, commercial, environmental, social and/or cultural benefit that are aligned with the five key thematic areas;
- b. The potential for the proposed research to produce engagement and/or a sustained benefit for industry, community and government;
- c. The Research is feasible and the necessary facilities are available to complete the research.

### **I1.3 Research Fellowship (Accreditation)**

I1.3.1 In addition to the above selection criteria at **Error! Reference source not found.** or I1.2 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.

I1.3.2 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 RESEARCH ALLOCATION REQUESTS**

### **J1.1 General overview**

J1.1.1 All Research Applications must specify the Research Allocation required by the applicant from *VU Research* to undertake the proposed research.

### **J1.2 Base Research Allocation**

J1.2.1 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

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<sup>2</sup> See [Start Well, Finish Brilliantly](#) p.16 and [VU Research Strategy 2021-2025](#) pp.14-19



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 and/or in conjunction with external research funding;

- J1.2.2 An additional research allocation under the Bridging Support opportunity (**Error! Reference source not found.**1.3) may be sought for an amount between 0.1 and 0.4 FTE.
- J1.2.3 The University reserves the right to award an allocation which is less than that requested in the Research Application.
- J1.2.4 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.
- J1.2.5 Any allocation approved may be adjusted at a later date if it is determined that progress is unsatisfactory relative to the application made for 2022. The determination of unsatisfactory progress will be made:
- by the Deputy Vice-Chancellor (Research and Impact) on the recommendation of the VU Research Fellow's Institute Executive Director
  - After reviewing available documentation at least 10 working days after a Progress Report has been requested (see Part E).
- J1.2.6 While resources from *VU Research* are in the form of a research allocation for an academic it is expected that Research Fellowship Applications feature pipelines for external funding to support successful research.

### **J1.3 Additional Research Allocation 1: Bridging Support**

- J1.3.1 Academic staff who take extended Parental, Sick, or Carer's Leave have the opportunity 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.
- J1.3.2 Bridging Support requests should, where possible, be submitted prior to taking leave using the online SmartyGrants form and notifying [research.fellowships@vu.edu.au](mailto:research.fellowships@vu.edu.au).
- J1.3.3 To be eligible to apply for Bridging Support, applicants must:
- Satisfy the Eligibility Criteria for the VU Research Fellowship (Part H);
  - Hold or be expected to hold a VU Research Fellowship (Priority or Accreditation) for the period in which the additional research allocation is sought;
  - Have been approved to take Parental, Sick, or Carer's Leave for a continuous period of three months or more;
  - Apply before taking Parental, Sick or Carer's Leave, or, where this is not possible, within three months of return to work from such leave.
- J1.3.4 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.

- J1.3.5 In assessing requests for Bridging Support the Institute Panel will use the following criteria:
- The applicant's research productivity prior to Leave;
  - The feasibility of the research planned to be completed with the additional research allocation;
  - 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.
- J1.3.6 The University's Diversity and Inclusion Manager may be invited to contribute to the Institute Panel assessment of Bridging Support applications by the Institute Panel or Institute Executive Director.
- J1.4 Additional Research Allocation 2: Externally funded research**
- J1.4.1 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.
- J1.5 Additional Research Allocation 3: Embedded industry research**
- J1.5.1 An academic will receive 0.05FTE extra if they are 'embedded' one day per week for at least 6 months (equivalent to 26 full-time days) in an end-user organisation or have a researcher from an end-user embedded at VU at least 1 day per week for 6 months, as evidenced by a letter of support by the end-user organisation and a research plan.
- J1.5.2 This allocation is only available to recipients of a VU Research Fellowship (Priority and Accreditation)
- J1.6 Extra Research Allocation 4: Internships**
- J1.6.1 An academic will receive 0.05FTE extra for each PhD student with a maximum of 0.1FTE total:
- For whom they are the Principal Supervisor; and
  - Who undertook a research internship with an end-user
    - Within 18 months of their enrolment
    - For at least 60 full-time equivalent days
 and
  - In 2021
- J1.6.2 This allocation is only available to recipients of a VU Research Fellowship (Priority and Accreditation)

## **Part K HDR Supervision allocation**

### **K1.1 General overview**

- K1.1.1 Time for the supervision of enrolled HDR students will be calculated, based on the following factors
- The number of students for whom the academic is principal or associate supervisor

- b. For each student:
    - (i) Whether the student is part-time or full-time
    - (ii) The supervision weighting
  - c. Only HDR researchers will be included in the calculation, where they:
    - (i) Are currently enrolled
    - (ii) Not on intermission
    - (iii) Within their timely completion period
    - (iv) Have not submitted their thesis for examination
- K1.1.2 College-based academics who do not receive a VU Research Fellowship (Priority or Accreditation) whose HDR supervision allocation would be less than 0.05FTE will receive their allocation directly through their College as part of their Research, Scholarship and Professional Contribution when agreeing their allocation of academic duties.

## **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 Applications for a VU Research Fellowship in 2022 will be assessed by an Institute 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 wishing to apply for a new VU Research Fellowship 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 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**

- L1.4.1 All Research Applications must be submitted via the online application system by the nominated closing date and time as listed in Appendix 4 of these Guidelines.
- L1.4.2 All Progress Reports must be submitted in form and by the date and time nominated by the Deputy Vice-Chancellor (Research and Impact) or Institute Executive Director (see Part E).

## **Part M ASSESSMENT OF RESEARCH FELLOWSHIP APPLICATIONS**

- M1.1.1 *VU Research* through Research Services will manage the assessment and approval process of all Research Fellowship Applications.
- M1.1.2 Assessment of Out of Cycle *VU Research* Fellowship applications will occur at times and dates as listed in Appendix 4 to ensure timely and efficient assessment of applications, and may require that the Institute Panel meeting be convened electronically.

### **M1.2 Assessment against Eligibility Requirements**

- 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 seeking a *VU Research* Fellowship in 2022 that meet the Eligibility Requirements will be assessed by the Panel and may be allocated to an independent assessor with appropriate disciplinary expertise.

### **M1.3 Institute Panels Convened**

- M1.3.1 The Deputy Vice-Chancellor (Research) will convene Flagship Panels and 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 Panels will include the following members:
  - a. The Executive Director of the relevant Research Institute or delegate;

- b. Two Deputy Directors or Program Leaders from the relevant Research Institute;
- c. A College Dean representative;
- d. A researcher representative
- e. Dean and Director (ORTQI), or nominee.

#### **M1.4 Assessment against Selection Criteria**

- M1.4.1 All Applications by eligible applicants for a VU Research Fellowship (Priority and Accreditation ) in 2022 will be scored, ranked and/or recommended a research allocation by the Panel on merit and 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 Institute 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 Deputy Vice-Chancellor (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 in 2022**

- N1.2.1 The Panel will submit recommendations to the Deputy Vice-Chancellor (Research).
- N1.2.2 Following receipt of the Panel's recommendations, the Deputy Vice-Chancellor (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 Deputy Vice-Chancellor (Research) must not approve any Research Application that fails to meet the Eligibility Requirements set out in these Fellowship Guidelines.
- N1.2.4 The Deputy Vice-Chancellor (Research and Impact) 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 complete a Researcher Profile and associate their ORCID to their Scopus profile<sup>3</sup> by 31 December 2022 or other date specified by the Deputy Vice-Chancellor (Research and Impact)
- N1.2.7 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 be required to record their research activity within [VU Develop](#).
- N1.2.8 *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 the opportunity to meet with a member of the Institute 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

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<sup>3</sup> Linking Scopus Author ID from ORCID:

1. Login to ORCID
2. In the Works section, select 'Add works' and then 'Search & link'
3. Select Scopus Elsevier from the list and authorise
4. Follow the steps to associate your Scopus profile and works with ORCID

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, Deputy Vice-Chancellor (Research and Impact) decisions, assessor or Institute 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 Vice-Chancellor in accordance with the guidelines.
- N1.4.5 Appeals must be submitted to *VU Research* electronically to [research.fellowships@vu.edu.au](mailto: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 Delegation**

- O1.1.1 The Deputy Vice-Chancellor (Research and Impact) can delegate any or all of her or his powers in writing to another member of VU Research.

## **Part P POINTS OF CONTACT**

- P1.1.1 Academics should contact:
  - a. the Research Services office at [research.fellowships@vu.edu.au](mailto: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 Research Institute Executive Director, Deputy Director or Program Leader, for guidance on the research aspects of the application
- P1.1.2 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.
- P1.1.3 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 Strategy 2021-2025*, namely:

1. *Supporting Industry Responses to Change*
2. *Building Resilient and Inclusive Communities*
3. *Enabling Healthy and Active Populations*
4. *Enhancing High Performance in Sport*
5. *Education Systems and Practices for Diverse Populations*
6. *Enhancing the Evidence Base for Public Policy*
7. *Epistemic Justice for Aboriginal and Torres Strait Islanders*

**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 either: 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

**Collaborative Research** means a particular Research project which involves multiple (internal or external) researchers and may be interdisciplinary.

**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 2015.

**Embedded Industry Research Allocation** is the FTE allocation that is provided by *VU Research* for an academic to host or be located with an End-User

**End-User** A community or organisation (which is not another higher education provider or medical research institute) that may directly use or benefit from research findings.

**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](#) (last updated in 2020) 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.

**Internship Allocation** is the FTE allocation that is provided by *VU Research* in recognition of the work involved for a Principal Supervisor to support PhD student arranging an internship with an End-User.

**Key Thematic Areas** means the five key thematic areas described in *Start Well, Finish Brilliantly*, the Victoria University Strategic Plan 2022-28:

1. *Sport, wellness and health*



2. *First Nations knowledge*
3. *New generation skills and workforce impact*
4. *Green research translation*
5. *New frontiers in policy, advocacy and justice*

**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](#).

**Panel or Institute Panel** means the group of experts appointed by the Deputy Vice-Chancellor (Research and Impact) to assess eligible Research Applications and to provide a recommendation for the allocation of resources to support research under a Research Fellowship to the Deputy Vice-Chancellor (Research and Impact).

**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.

**Provisional Track Record Score** is the provisional track record score provided to the Panel based solely on the MORA of the applicant.

**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 2020 will use data collected from 2017, 2018 and 2019.

**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 additional allocations, such as for Bridging Support, Embedded Industry Research and Internships
- Any externally funded FTE.

**Research Application** means the application submitted by an academic to *VU Research* using the specified online form in SmartyGrants and requests approval for an allocation of resources from *VU Research*.

**Research Fellowship** means a Research Application approved, varied or partially approved by the Deputy Vice-Chancellor (Research and Impact) 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 Institute Panels with an accurate appreciation of career history against a timeline of years since graduation from highest educational qualification. Institute 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 and commissioned reports 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](#))

**Researcher Profile** is defined as [Find a Researcher](#) profile using the [Researcher Profile System](#) introduced in 2019.

**Standard Round** means the major, annual round of VU Research Fellowships, for research support in the forthcoming academic year. This will be run September – November in 2021 and, indicatively, August-October 2022.

**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: ROLES AND RESPONSIBILITIES

Roles	Responsibility
Research Services	<ul style="list-style-type: none"> <li>• Administers the VU Research Fellowship process</li> <li>• Receives all Research Applications from academics for Research Fellowships</li> <li>• Manages MORA (Calculates and releases MORA results and considers requests for recalculation of MORA)</li> <li>• Initiates <i>VU Research</i> FoR code reviews.</li> <li>• Notify applicants of the outcome of VU Research Fellowship applications.</li> </ul>
Institute Panel	<p>Assess Research Applications for a new VU Research Fellowship (Priority and Accreditation) or increased Research Allocation that meet the Eligibility Requirements against the Selection Criteria and make recommendations to the Vice-President Research including:</p> <ul style="list-style-type: none"> <li>• Rank Research Applications (Priority and Accreditation) on merit using the Selection Criteria;</li> <li>• Whether the Research Application or a portion of it should be approved under a Research Fellowship;</li> <li>• The duration of any Research Fellowship;</li> <li>• The appropriate level of FTE to be allocated;</li> <li>• Any additional FTE to be allocated as Bridging Support; and</li> <li>• Any recommended variations to the research before approval of a Research Fellowship.</li> </ul> <p>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.</p>
Academic	<ul style="list-style-type: none"> <li>• submit all required data and evidence as required under these Guidelines to support their Application through prescribed systems and processes by the due date.</li> <li>• ensure all information already stored in prescribed systems and processes is up-to-date and accurate.</li> <li>• provide accurate evidence (in the form of facts and data) to support the Research Application.</li> <li>• enhance or amend their Research Application as a result of any suggestions they receive from their peers or mentor.</li> <li>• 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)</li> <li>• submit a Progress Report on the VU Research Fellowship.</li> </ul>
Dean	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Comment on the availability of an academic for the FTE being requested.</li> </ul>
Deputy Vice-Chancellor (Research and Impact)	<p>Consider recommendations from the Panel, and:</p> <ul style="list-style-type: none"> <li>• determine whether a Research Fellowship should be approved, not approved, or if the Application should partially approved, or varied;</li> <li>• Request further information if required;</li> <li>• approve any resources to be allocated under a Research Fellowship from the <i>VU Research</i> budget.</li> <li>• Convenes a panel under each Research Institute</li> </ul>

## APPENDIX 3: 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. The University has also identified emerging priority FoR codes, which are recognised for future strategic potential and supported towards the achievement at the level of a Priority FOR. Priority and Emerging FoR codes are used to guide strategic investment and to direct the human, physical and financial resources of the University.

### Priority FoR Codes

The Priority FoR codes identified by the University for 2022 are:

4901	Applied Mathematics	4402	Criminology
3101	Biochemistry and Cell Biology	3208	Medical Physiology
3103	Ecology	4206	Public Health
4602	Artificial intelligence	3903	Education Systems
4606	Distributed computing and systems software	3901	Curriculum and Pedagogy
4609	Information Systems	3904	Specialist Studies In Education
4004	Chemical Engineering	3801	Applied Economics
4005	Civil Engineering	3508	Tourism
4008	Electrical Engineering	4407	Policy and Administration
3006	Food Sciences	4410	Sociology
4017	Mechanical Engineering	5201	Applied and developmental psychology
4207	Sports science and exercise	5203	Clinical and health psychology
3504	Commercial Services	5205	Social and personality psychology
4205	Nursing	4702	Cultural Studies
3210	Nutrition and Dietetics	4303	Historical Studies
3302	Built environment & Design	45	Indigenous Studies

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 2022 are:

FoR-08	Description
3501	Accounting, Auditing and Accountability
4409	Social Work
4801	Commercial law
4802	Environmental and resources law
4803	International and comparative law
4804	Law in context
4805	Legal systems
4806	Private law and civil obligations
4807	Public law

## Emerging Priority FoR codes

FoR-20	Description
3204	Immunology
3509	Transportation, logistics and supply chains
3507	Strategy, management and organisational behaviour
3902	Education policy, sociology and philosophy
4009	Electronics, sensors and digital hardware
4603	Computer vision and multimedia computation

## APPENDIX 4: IMPORTANT DATES 2021

The following dates apply for Applications the VU Research Fellowships (Standard Round) for 2021:

Event	Date
2021 Standard Round opens for VURFs in 2022	20 September 2021
<b>Applications close</b>	<b>13 October 2021</b>
Applicants and Colleges notified of final results	12 November 2021

## APPENDIX 5: PROCESS FOR RECOMMENDING FINAL FTE ALLOCATION

Final FTE allocation for a VU Research Fellowship is a multiple of 0.1FTE.

- 2021 VURF is decided
  - VU Research Fellowship Institute Panels recommend a research allocation
    - ECRs are reviewed as a separate cohort in this process
  - HDR Supervision FTE and known externally funded FTE are added to this, and then the Institute Panel will recommend the final 0.1FTE increment figure rounded (up or down).
  - Deputy Vice-Chancellor (Research and Impact) decides final allocation.
- Actual 2021 FTE are recorded
  - HDR supervision FTE are recorded at 3 time points in the year so that a total 2021 HDR Actual Supervision FTE can be calculated
    - First 5 working days of 2021
    - 1 May 2021
    - 1 September 2021 (to enable difference between allocated and actual to be calculated and factored into final 2022 VURF).
- 2022 VURF is decided per (1.) above, this time also adding or subtracting the difference between the VURF's 2021 allocation and actual FTE worked in 2021.

The DVC (Research) can increase or decrease a VURF by 0.1FTE where changes in externally funded time (or commitments to externally funded grants which required matching contributions or do not pay for CI time) are greater than 0.1FTE for that year, or other factors.

## **APPENDIX 6: PROVISIONAL TRACK RECORD SCORE ASSOCIATED WITH A MORA SCORE**

The component of a track record score associated with a MORA will be calculated interpolating (on a straight line) between the following Provisional Track Record Scores associated with the nearest MORAs in the following table.

<b>MORA</b>	<b>Provisional Track Record Score</b>
0.00	0.00
1.00	0.28
2.00	1.18
3.00	2.70
4.00	4.58
5.00	6.46
6.00	8.03
7.00	9.12
8.00	9.72
9.00	9.96
10.00	10.00

The final track record score will be agreed by the Panel based on the Provisional Track Record score, and factors such as Research Opportunity, impact of COVID.

For applicants who held a VU Research Fellowship (Priority and Accreditation) in 2020, the applicant's VU Research Fellowship activity in 2020, will count toward 20% of the final Track Record score including outputs measured in MORA, contribution to leadership, mentoring, capacity building, strategic alignment and impact and engagement achievements in 2020.