



**DEPARTMENT OF EDUCATION,  
TRAINING AND YOUTH AFFAIRS**

**Strategic Partnerships with Industry -  
Research and Training Scheme**

**Guidelines for Year 2001 Grants**



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## Acronyms

<b>APAI</b>	Australian Postgraduate Awards Industry
<b>APDI</b>	Australian Postdoctoral Fellowships Industry
<b>ARC</b>	Australian Research Council
<b>CRC</b>	Cooperative Research Centres
<b>CSIRO</b>	Commonwealth Scientific and Industrial Research Organisation
<b>DETYA</b>	Department of Education, Training and Youth Affairs
<b>HECS</b>	Higher Education Contribution Scheme
<b>HEFA</b>	Higher Education Funding Act, 1988
<b>IAS</b>	Institute of Advanced Studies
<b>NHMRC</b>	National Health and Medical Research Council
<b>SPIRT</b>	Strategic Partnerships with Industry – Research and Training
<b>UIRCC</b>	University-Industry Research Collaboration Committee

## **1. Introduction**

The Higher Education Targeted Research Programme provides funding to teams or individuals for worthy and high quality research through several application-based and formula-driven grant schemes. These schemes aim to maintain and strengthen Australia's knowledge base and research capabilities by developing an effective research and research training system, focused on the higher education sector.

## **2. Objectives**

The objectives of the Strategic Partnerships with Industry - Research and Training (SPIRT) Scheme are to:

- encourage and develop long-term strategic research alliances between higher education institutions and industry to apply advanced knowledge to problems, or to provide opportunities to obtain national economic or social benefits;
- support collaborative research on issues of benefit to regional and rural communities;
- provide industry-oriented research training to prepare high-calibre postgraduate research students;
- foster opportunities for postdoctoral researchers to pursue internationally competitive research in collaboration with industry, targeting those who have demonstrated a clear commitment to high quality research; and
- produce a national pool of world-class researchers to meet the needs of Australian industry.

## **3. Description**

The SPIRT Scheme supports collaborative research projects between higher education researchers and industry with an identified allocation for projects of benefit to regional and rural communities. Proposals must contain a matching industry contribution, in cash or in kind (see Appendix 2).

The following project costs are supported under the Scheme.

a) Personnel including:

- Australian Postdoctoral Fellowships Industry (APDI) for researchers with less than three years' postdoctoral experience (see Appendix 4 for entitlements);
- Australian Postgraduate Awards Industry (APAI) for postgraduate research students studying for a PhD (see Appendix 3 for entitlements). Where the project is to be undertaken by an APAI alone, the University-Industry Research Collaboration Committee (UIRCC) will only consider funding project costs for equipment, maintenance or travel in exceptional circumstances;
- Research Associates, technicians, laboratory attendants, etc; and
- relief from other duties for Chief Investigators, if the request is fully justified (see section 3.3).

b) Equipment.

c) Maintenance.

d) Travel.

### 3.1 Type of research supported

The SPIRT Scheme supports research and development projects undertaken to acquire new knowledge and involving risk or innovation. It does not support studies that, while important in themselves, do not lead to conceptual advances or discoveries.

The critical element is the interaction from the outset with actual or potential users of research outcomes. The scope of the Scheme is broad as it supports pure basic, strategic basic, or applied research.

- **Pure basic research** is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge.
- **Strategic basic research** is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems.
- **Applied research** is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

Applicants determine, in collaboration with the Industry Partner(s), which type of resources are appropriate and necessary for the project they wish to undertake. The contribution from the Industry Partner(s) must be specific to the project and not be part of a broader contribution to the institution.

The Industry Partner(s) contribution may, for example, include a contribution towards personnel costs for the project, provision of equipment or use of a laboratory. Information for Industry Partner(s) and prospective applicants concerning the eligibility of Industry Partner(s), application information, contributions and tax incentives are shown at Appendix 2.

### 3.2 Areas of investigation/work not supported

The SPIRT Scheme does not support:

- **medical research and training and public health research and training areas** which are covered by the NHMRC;
- **scholarly investigations** which, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Such projects as uncritical bibliographical compilations and purely descriptive catalogues or editions that do not involve original research are not funded;
- **projects where the Industry Partner(s) is seeking expert external assistance**, not available within their own organisation(s), to develop specific applications involving little innovation or low risk, which the UIRCC deems to be contracted research or consultancies;
- **projects which do not significantly enhance links with industry;**
- **extensions of existing projects** previously funded by the Commonwealth under an Australian Research Council (ARC)/DETYA scheme;

- **activities that lead solely to the creation or performance of a work of art**, including visual art, musical compositions, drama, dance, designs and literary works. Commonwealth Government support for these activities is provided through the Australia Council for the Arts;
- **production of teaching materials**, even though some research may be involved in their production;
- **compilation of data**, unless an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which the data would contribute; and
- **development of research aids and tools** (including databases and computer programmes), unless they form an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute. These projects do not usually attract high ratings from the Committee.

### 3.3 Budget items not supported

- **Costs of capital works and general infrastructure**

Capital works and general infrastructure costs are not considered as project costs to be funded from a project grant. They must not be included as the industry contribution.

- **Salaries of Team Leaders, Chief Investigators, Partner Investigators and Associate Investigators**

The Commonwealth will not provide support, in whole or in part, to meet the salaries of Team Leaders, Chief Investigators, Partner Investigators or Associate Investigators under the SPIRT Scheme. However, certain early career researchers are eligible to apply for an APDI as a component of a SPIRT Scheme grant.

SPIRT funding is not usually provided for Chief Investigators to gain substantial relief from normal duties. However, the Committee may consider a request for such funding, for a period of not more than six months per year, if it means that the project will achieve a successful outcome. If approved, the funding contribution is limited to the base rate of the Senior Research Associate scale, regardless of the level of appointment of the staff member.

- **Special Studies Programmes**

Funds are not provided for travel or other expenses for researchers when on a Special Studies Programme. Travel to special facilities away from the base where a researcher is conducting his/her study is seen as part of the normal costs of a Special Studies Programme.

- **Research support for investigators not resident in Australia**

Funding will not be provided for research assistance to an overseas Partner Investigator.

- **International students' fees and Higher Education Contribution Scheme (HECS) liability**

Funds are not provided to pay the fees of international students or HECS liabilities for Australian students.

- **Computer facilities for molecular analysis**

Applicants for projects involving molecular biology should be aware that the Australian Research Council (ARC) supports the Australian National Genomic Information Service which provides access to a range of databases and a large suite of analysis programmes. As this

service is available at modest cost, proposals seeking funding for computer facilities to undertake molecular analysis will have to justify such needs very thoroughly.

- **Basic facilities**

The SPIRT Scheme will not fund basic facilities, resources and infrastructure such as:

- laboratory, research and office accommodation (suitably equipped and furnished in standard ways);
- access to workshop services (eg. machine tools and qualified technicians available to each member of staff to enable them to carry out their research);
- access to a basic library collection;
- adequate computing time (excluding access to high-performance computers);
- standard reference materials or funds for abstracting services;
- basic computing, word processing and microfilm reading facilities; and
- use of photocopiers, telephones, mail, fax, email and Internet services.

## **3.4 Funding**

### **3.4.1 Level of funding**

From 2001, funding for the Scheme will provide for \$10 million annually to be dedicated to support collaborative research on issues of benefit to regional and rural communities.

The level of funding granted for a project is usually between \$20,000 and \$150,000 per year. A few exceptional projects may receive larger funding.

Where an application will seek less than \$20,000 per year on average, applicants should consider carefully whether the application should be directed to the SPIRT Scheme or to the Small Grants Scheme within their institution.

The amount of Commonwealth funding being sought in a SPIRT application will depend on the applicants' capacity to obtain the required Industry Partner(s) contribution (refer to Appendix 2).

### **3.4.2 Duration of funding**

Projects can be between one and three years in duration.

Projects involving an APAI are awarded for a maximum period of three years with provision under certain conditions for an additional six months' support from the Commonwealth for PhD students. Where an application seeks funding for less than the three-year maximum, including a Masters degree, a successful applicant will only be awarded a stipend for the period sought without the opportunity to extend.

## **4. Eligibility**

### **4.1 Applicant eligibility**

There are various applicant roles under the SPIRT Scheme: Team Leader, Chief Investigator (including APDIs), Partner Investigator and Associate Investigator. Applications must include at least one Chief Investigator named on the project. A Chief Investigator may be an APAI supervisor only. An applicant must meet the eligibility criteria for one of the applicant roles stated below.

### **4.1.1 Team Leader**

A Team Leader is a researcher who leads a team of researchers involved in a number of related research projects. To be eligible to apply as a Team Leader, a researcher must meet all the eligibility criteria for a Chief Investigator (see section 4.1.2) except that:

- a Team Leader need only spend a minimum of two days (rather than four), out of a maximum of twenty-one working days per month available for all activities, on the project; and
- there must be at least one other Chief Investigator as part of the team.

Directors of Special Research Centres and Key Centres of Teaching and Research may apply for SPIRT funding as a Team Leader.

Where it is not specified in these guidelines, reference to Chief Investigators, particularly the first named Chief Investigator, includes Team Leaders.

A Team Leader may act as a supervisor for an APAI in the application.

### **4.1.2 Chief Investigator**

To be eligible to apply as a Chief Investigator, a researcher must:

- be an active researcher;
- reside in Australia for the full term of the grant whether having permanent resident status or not;
- be substantively employed at an eligible higher education institution (as listed at Appendix 1), except the Institute of Advanced Studies (IAS) (see section 4.2), as an academic staff member who is at least a 50% salaried member of the institution, or the holder of an adjunct appointment who does not have a substantive position or paid appointment elsewhere;
- take intellectual responsibility for the project, its conception, any strategic decisions called for in its pursuit and for the communication of results;
- not have any direct or indirect financial interest in any of the proposed Industry Partner(s) for the project (see section 4.3.2 on exemptions for portfolio interests); and
- have the time and capacity to make a serious commitment to the project.

The ARC deems as appropriate a minimum of four days out of a maximum of twenty-one working days per month available for all activities for each named Chief Investigator. However, where the Chief Investigator is to supervise an APAI to undertake the project, and the APAI funding is the only funding sought in the application, the Chief Investigator should commit a minimum of two working days per month to supervise the work of the student on the project.

Where an APAI is part of a project team, a Chief Investigator on the project team must act as a supervisor for the APAI. Where the project is to be undertaken by an APAI alone, the applicant must be the Chief Investigator who will be supervising the APAI.

#### ***4.1.2.1 Chief Investigator seeking an APDI***

A Chief Investigator seeking an APDI does not have to currently be substantively employed at an eligible higher education institution, but is required to satisfy all the other criteria for a Chief Investigator (above) and must:

- be a researcher who has been awarded a PhD since 1 January 1997, or has not yet submitted his/her PhD but will do so before 31 December 2000 (in which case the Fellowship cannot commence until the PhD has been awarded). If the PhD thesis is not submitted by 31 December 2000, any offer of grant for a project involving the APDI award will be automatically cancelled;
- not have previously held an ARC/DETYA Research Fellowship; and
- make a full-time commitment to the project (ie. twenty-one days per month).

The UIRCC regards an APDI as a prestigious award for early career Chief Investigators. If the UIRCC considers the APDI applicant to be critical to the success of the project then, in the event that the APDI applicant cannot take up the award, the entire project will be terminated.

Further information on eligibility and entitlements for APDIs is at Appendix 4.

#### **4.1.3 Partner Investigator**

A Partner Investigator is a researcher with specialist expertise who can contribute to a project where he/she:

- is not eligible to apply as a Chief Investigator;
- is employed by an organisation outside the higher education sector, including Industry Partner organisations and organisations being funded for research from State or Commonwealth sources (eg. the IAS, CRCs & CSIRO), other companies and industry peak bodies and overseas organisations;
- derives more than 50% of his/her salary from employment in the organisation and has the time and capacity (a minimum of two days per month out of twenty-one working days per month available for all activities) to undertake the proposed research project in addition to commitment to the organisation's activities;
- secures an appropriate contribution of time and operating costs from his/her organisation for the proposed project; and
- does not receive funding from the project.

A Partner Investigator may act as a supervisor for an APAI in conjunction with a Chief Investigator in the application.

#### **4.1.4 Associate Investigator**

For researchers to be eligible to participate in a project as Associate Investigators, their participation must warrant mention of their names on publications arising from the project but they will not be involved to the extent required of a Chief Investigator or a Partner Investigator. They may provide expertise on limited aspects of the research or a specific skill essential to the project. A researcher may participate in a project as an Associate Investigator where he/she:

- does not receive funding from the project; and
- commits up to a maximum of four working days a month to the project.

An Associate Investigator may act as a supervisor for an APAI in conjunction with a Chief Investigator in the application.

## **4.2 Eligibility of researchers at the Institute of Advanced Studies**

Researchers in a substantive position at the IAS, or who have at least 50% of their salary paid by the IAS, are not normally eligible to apply for SPIRT projects due to the special Commonwealth funding arrangements for the IAS. However, provided all other eligibility criteria are met, a researcher at the IAS may:

- apply as a Chief Investigator to supervise an APAI student where the costs for the APAI are the only funding sought in the application;
- be involved in an application as a Partner Investigator; or
- apply for an APDI and, if awarded, resign from the IAS to take up the Fellowship.

## **4.3 Eligibility exemptions**

### **4.3.1 Chief Investigator applying for an APDI**

In some circumstances, an applicant who is seeking an APDI may not satisfy all the required eligibility criteria due to a career interruption. If this is the case, an applicant may apply for an exemption from the eligibility criteria.

If, after carefully reading these guidelines, a researcher is unsure whether he/she is eligible to apply for an APDI, he/she should consult the institution's Research Office in the first instance.

If the candidate wishes to submit a specific eligibility exemption request, this should be lodged, in writing, through the institution's Research Office, with the Executive Manager - SPIRT Scheme at DETYA, before 1 April 2000. The eligibility exemption request must include a statement justifying the applicant's special circumstances for an eligibility exemption. The applicant will be advised of the decision as soon as possible to allow time for a detailed application to be completed.

If an applicant fails to meet the above deadline, he/she may submit an eligibility exemption request when he/she submits his/her application but will run the risk of exclusion if the request is denied. There will be no opportunity for an applicant's position to be re-categorised after submission (eg. by seeking to be only a Research Associate rather than an APDI, either by the applicant or by the UIRCC).

### **4.3.2 Financial interests of Chief Investigators**

Chief Investigators (including Team Leaders) may apply for an eligibility exemption from the requirement not to have any direct or indirect financial interest in any of the proposed Industry Partner(s) for the project. Such exemptions may be given to applicants where the ARC determines that their financial interest is not a significant controlling interest and does not constitute a significant degree of ownership or vested interest in the Industry Partner.

In these cases, a request for exemption may be lodged, together with a statement detailing their financial interests and justifying their special circumstances, for an eligibility exemption. Requests for eligibility exemption must be received before 1 April 2000. The applicant will be advised of the decision approximately one week later, allowing time for a detailed application to be completed.

## **4.4 Institution eligibility**

Applications may only be submitted by eligible institutions listed at Appendix 1. To be eligible for Commonwealth funding under the SPIRT Scheme, projects must:

- be undertaken by Team Leaders and/or Chief Investigators (including APDIs), or by an APAI student under the supervision of a Chief Investigator;
- involve a high degree of collaboration with the eligible Industry Partner(s); and
- demonstrate the development of new university-industry links, or the significant enhancement of existing links.

Information regarding the eligibility of the Industry Partner(s) and the selection of APAI students are provided at Appendices 2 and 3 respectively.

## **4.5 Cross-scheme eligibility**

If applicants (excluding Associate Investigators) have a funding request for any project, salary or equipment which is, or will be, submitted to any other Commonwealth funding body, the SPIRT application must reference each request. Applicants must indicate the level of funding obtained, or being sought, from all other schemes and list all existing research funding from all sources. If these processes are not observed, the SPIRT application will be excluded.

The UIRCC may liaise with other funding agencies to discuss any overlap between applications in order to avoid duplication of funding or to check on researchers' time commitments.

### **4.5.1 Research Centres**

Researchers at eligible institutions who meet the above eligibility criteria and who are associated with Commonwealth-funded Research Centres (eg. Special Research Centres, Key Centres of Teaching and Research and Cooperative Research Centres) can apply to the SPIRT Scheme, provided the project is determined by the ARC to be sufficiently different from the core activities of the Commonwealth-funded Centre and the Chief Investigator(s) have the time and capacity to undertake the project.

In this case, when completing sections 8 and 10 of the SPIRT Scheme application form must explain:

- the nature of his/her employment or association with the Centre; and
- the difference between the proposed research and the core activities of the Centre.

Directors of Special Research Centres, Key Centres of Teaching and Research and Cooperative Research Centres are not eligible to apply as Chief Investigators, Partner Investigators or Associate Investigators for SPIRT funding except where:

- the SPIRT project is scheduled to commence after the Commonwealth funding for the Centre has ceased; or
- the SPIRT project will be undertaken by an APAI student where the Director (or another researcher associated with the Centre) will be the student's supervisor.

However, Directors of Special Research Centres and Key Centres of Teaching and Research may apply for SPIRT funding if their role will be as a Team Leader (see section 4.1.1).

The UIRCC is concerned about issues of 'double funding' of research, especially research within a Commonwealth funded centre such as an Special Research Centre or CRC. Projects where the research proposed is within the core activities for which these centres are funded will not be funded separately under the SPIRT Scheme.

#### **4.5.2 Research Fellowships**

Applicants applying for both a SPIRT Scheme APDI and any other ARC/DETYA Research Fellowship must cross-reference the applications. Only one grant can be accepted in the event that both applications are successful.

#### **4.5.3 Funding under the ARC or the NHMRC**

Some proposals may be at the interface of areas of research covered by the NHMRC and ARC respectively.

Where it is not clear to an applicant whether an application should be made under the SPIRT Scheme or a NHMRC grant scheme, the applicant should submit an application to both funding agencies. While the NHMRC has no direct equivalent to the SPIRT Scheme, applicants may wish to seek advice from the NHMRC in relation to applying for a NHMRC Development Grant.

Applicants to both the SPIRT Scheme and a NHMRC grant scheme for essentially the same project by essentially the same team must cross-reference their applications. If this process is not observed, the SPIRT application will be excluded. Only one grant can be accepted in the event that both applications are successful.

The ARC will consult with the NHMRC to determine if an application is appropriate for funding under the SPIRT scheme. Any SPIRT Scheme application involving research into medical research and training and public health research and training areas which are covered by the NHMRC will be excluded from further consideration.

## **5. Application Process**

As the application is the prime source of information available to the selection committee, applicants should submit their projects as mature research plans ready for implementation. The application should contain all the information necessary for assessment of the project without the need for further written or oral explanation, or for reference to additional documentation, unless requested by the selection committee. All details in the application, particularly concerning any successful grants, must be current.

### **5.1 Application procedure**

Applications consist of three parts - application form, additional text and supporting documentation. All documents must be written in English and must comply strictly with the format and submission requirements. Each part must be included in the application and submitted by the closing date of **5 May 2000**.

Various components underpinning a project are to be framed in a single SPIRT application. If separate applications are submitted seeking project funding for APDIs and APAs for essentially the same project by essentially the same team as in other SPIRT applications, the UIRCC will accept only one for consideration.

Applicants applying for an APDI should note that they are required to submit separate information on the work they will undertake within the SPIRT project.

### **5.1.1 Application form**

Applicants must use the application form available from the institution's Research Office and the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#spirt>

Applicants should note that **a new section (2.3) has been added to the application form**, with effect from 23 December 1999, to take account of the new regional/rural focus.

**You should ensure that you complete the current version of the application form.**

The information required from the Industry Partner(s) relating to the nature of the collaboration, the company profile and the cash and/or in-kind contribution is shown at Appendix 2.

*The following advice may assist you to complete the application form.*

The numbers refer to the relevant sections in the application form.

#### ***Total number of sheets contained in this application***

Enter the number of sheets of paper being submitted. This is used for scanning and image storage purposes.

#### ***1. Organisation to administer grant***

Enter the name of the organisation which will administer this project from the list at Appendix 1.

##### ***1.1 Australian Business Number (ABN)***

Enter the ABN for the administering organisation.

#### ***2. Support being applied for***

Select the type of project costs being sought from the Commonwealth in this application by ticking the appropriate box(es) on the left-hand side of the page. If the application is seeking APAI(s) (including APAI(s) in the fields of information, computers and communications technology for which additional funds have been allocated by the Commonwealth), please indicate the number of APAIs being sought in the appropriate boxes on the right-hand side of the page.

Enter the total support being requested from the Commonwealth in this application for each year (which must match the totals entered in Section 5.4). APDI salary and APAI stipend amounts are to be included. They are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/salaryscales.html>

If the application is seeking funding only for an APAI research student, a designated stipend plus an allowance for travel on appointment and a thesis allowance are paid at the rates shown on the Web site above. It is expected that support for the student's research will be provided by the Industry Partner.

### **3. Project title**

Enter a short descriptive title of no more than 20 words. The title should be precise but as informative as possible. Do not use quotation marks as they create information storage problems.

### **4. Project summary**

Provide a summary of the project in no more than 100 words. The summary must be presented in clear, plain English using the minimum of terminology unique to the area of study to assist assignment of the application to appropriate assessors. The summary may also be used by the Commonwealth in press releases and publicity material, and for evaluation purposes.

### **5. Participant summary**

- 5.1** Enter the named participants on the project in order. Enter each participant's role on the project (for a Chief Investigator seeking an APDI, please indicate 'APDI' as the role).
- 5.2** List Industry Partner organisations in the order of their total cash and in-kind contributions to the project. Enter the cash and in-kind contributions for each Industry Partner organisation for each year (which must equal the total amount entered for each Industry Partner organisation in Section 7.2). Sum to the Total row below.
- 5.3** Sum the total cash and in-kind contributions for all Industry Partner organisations listed in Section 5.2 and then add them together for a total Industry Partner organisation contribution.
- 5.4** Enter the breakdown of the support requested from the Commonwealth in this application by the type of support requested for each year. Personnel should include amounts sought to support APDI and APAI personnel contained in the application. Sum the support requested for each year to the Total column. Sum the totals for each year to the Total funds requested row below.

### **6. Budget**

Provide a detailed list of all items in the project for which support is being sought from the Commonwealth in this application. Applicants should submit their applications taking into account the full effect of the GST and other New Tax System changes where:

- 'GST' has the meaning given in section 195-1 of the *A New Tax System (Goods and Services Tax) Act 1999*; and
- 'New Tax System changes' has the meaning given in section 75AT of the *Trade Practices Act 1974*.

Group each category of item according to Personnel, Equipment, Maintenance, Travel and Other. Personnel should include amounts sought to support APDI and APAI personnel listed in the application. Within each group, provide details of the individual funding sought for each item in each of the three years.

Indicate a priority for each item from A to C (eg. A1, A2, B1, etc.) according to the following criteria:

- A** essential for the project to be completed in a timely fashion and to remain internationally competitive;
- B** necessary to maintain a reasonable rate of progress in bringing the project to completion; and

C other items which would be useful in supporting the project.

Total all items to the Total row below and ensure that these amounts equal those stated in Section 2.2.

## **7. Industry Partner organisation details**

This section must be completed for each Industry Partner organisation participating in the project.

**7.1** Enter the Industry Partner's organisation number as listed against the organisation in the first column of Section 5.2.

Please provide the organisation contact's details **even if the institutional contact is a Partner Investigator on the application.**

Provide the organisation postal address including full organisation name, postal address lines 1 and 2 (if required), locality (the suburb or city that corresponds to the postcode), State, postcode and country.

Enter the organisation's Australian Business Number (ABN), the Universal Resource Locator (URL) to reference the Industry Partner's World Wide Web address, if available, and a single, three-digit, Australia and New Zealand Standard Industrial Classification (ANZSIC - ABS Catalogue Number 1292.0) for each Industry Partner organisation. Classification lists are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap2.htm#class>

**7.2** Provide details of the contributions to the project from each Industry Partner organisation listing each item under one of the following categories - Personnel, Equipment, Maintenance, Travel or Other. Within each category, provide details of the contribution for each item in each of the three years. Total each Industry Partner contribution to the Total row below (which must equal the totals in Section 5.2).

**7.3** To be signed by the Industry Partner's Chief Executive Officer or his/her authorised delegate.

## **8. Participant details**

**8.1** This section must be completed for each Team Leader, Chief Investigator (including those seeking APDIs for whom 'APDI' is the role), Partner Investigator and Associate Investigator participating in the project.

**8.1.1** To simplify data entry, applicants have the option of providing their unique GAMS Id and abbreviated details instead of their full address and other personal details. (GAMS is the secure Grant Application Management System used by DETYA in the selection process.) If applicants provide their GAMS Id and abbreviated details, the application will be linked to their personal details record on GAMS which contains their full address, expertise and other personal information. Obviously not all applicants will have a GAMS Id. Those who do not will need to provide their full details. The success of an application will in no way be linked to the details provided and applicants will be neither advantaged nor disadvantaged by using either their GAMS Id or their full details. Applicants can obtain their GAMS Id from their institution's Research Office.

**8.1.2** This section must be completed by **all applicants who have not provided a GAMS Id in Section 8.1.1 above.**

**8.1.3** This section must be completed by **all applicants.**

**8.2** This section must be completed for each Chief Investigator seeking an APDI.

**8.2.1** Enter the APDI applicant's family name and person number as listed against the participant in the first column of Section 5.1.

Set out the current information on the APDI applicant.

**8.2.2** Indicate if an eligibility exemption has been granted for the APDI applicant.

**8.2.3** Indicate if the project is dependent on obtaining funding for the APDI applicant. Please note that if the UIRCC considers an APDI applicant to be critical to the success of the project, in the event that the APDI applicant cannot take up the award, the entire project may be terminated.

**8.3** This section must be completed for each Team Leader, Chief Investigator (including APDIs) and Partner Investigator participating in the project.

List the current support received (C), support requested for 2001 (R) and support received in the past (P), for all projects/programmes/activities for each Team Leader, Chief Investigator (including APDIs) and Partner Investigator, from their own organisations and all other sources, including this application.

## **9. *Classifications and other statistical information***

**9.1** Select up to six keywords to describe the proposed research. You should select the key words carefully, as they are considered when discipline panels are selecting assessors for the application. They should be of the kind normally required for submitting an article to a major refereed journal.

**9.2** Enter at least one code under each of the Research Fields, Courses and Disciplines (RFCD) and Socio-Economic Objective (SEO) classifications.

The **RFCD** classification defines the research according to discipline areas. There is provision for up to three codes on the application form. The relative importance of each code should be indicated by using a percentage (rounded to the nearest multiple of 10) which must total 100%. If the application is multi-disciplinary, codes from more than one discipline will need to be identified.

The **SEO** classification indicates the sectors which are most likely to benefit from the research. There is provision for up to three codes on the application form. The relative importance of each code should be indicated by using a percentage (rounded to the nearest multiple of 10) which must total 100%.

RFCD and SEO classifications are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap2.htm#class>

According to the RFCD classification(s) entered, the application will be electronically assigned to a panel.

9.3 Please indicate which countries will have researchers involved in international collaboration on this project.

## 10. *Additional project details*

10.1 List any ARC/DETYA applications which have been submitted and are currently under consideration for each Team Leader, Chief Investigator and Partner Investigator. Please indicate whether the SPIRT application is dependent on the success of any of the other applications. Please indicate whether the SPIRT application duplicates aspects of the other applications.

10.2 Please indicate whether the SPIRT application duplicates aspects of an application to another agency eg. NHMRC.

10.3 Please indicate whether the SPIRT application is dependent on support other than from the Commonwealth and the Industry Partner(s).

## 11. *Certifications*

In addition to signing their individual budget page at Section 7.3 of the application form, each Industry Partner must provide a certification signed by the Chief Executive Officer or his/her authorised delegate.

By signing this document, you are certifying that:

- all the details on the application form are correct;
- you have complied with the Guidelines and, if successful, will accept the Conditions of Grant relating to the SPIRT Scheme;
- you understand and agree that all statutory and other requirements, as detailed in the Conditions of Grant, must be met before the proposed research can commence; and
- in submitting this application, you consent to its referral to assessors, other ARC/DETYA Schemes and/or other funding agencies for consideration.

The Pro Vice-Chancellor (Research) or delegate in the administering institution/research body is also required to sign this part of the application form.

### 5.1.2 **Additional text**

Applicants should note that applications are considered by a committee of which membership may include people who are not specialists in the field of the application. Consequently, the project and its expected outcomes should be described in a way that can be appreciated by all committee members (both specialist and non-specialist). This additional text should, in **no more than ten pages** and within the required format, provide the following information. In the case of an application involving a single APAI, the selection committee would expect the applicant to provide the required information **within five pages**.

#### **For all projects:**

1. Address the selection criteria at section 6.1.
2. Elaborate on the aims and significance of the project and expected outcomes.
3. Provide information on the significance of any APDI or APAI in the research.

4. Explain the project's scientific importance and show how you expect it to contribute to Australia's industrial competitiveness, economic or social advancement.
5. Define the scope and limitations of the project and give an indication of the timetable. Set out clearly the questions posed, the hypothesis being tested and the strategies to be used, with an expected time frame.
6. Describe clearly the proposed contribution of the Team Leader and each Chief Investigator and Partner Investigator to the project. In addition, describe each Partner Investigator's contribution of funds or other resources.
7. Provide a justification of the items in the budget, explaining why each item listed is required for the project and indicating the reasons for its priority. The Committee requires justification of all claims for items.
8. Explain the value and nature of each Industry Partner's contribution to the project.
9. Explain the need for the personnel requested and justify any requests for relief from teaching or other duties.
10. Justify requests for items of new equipment over \$1000. Items below this value should be requested under 'Maintenance'. Plan to use existing equipment wherever possible. For very expensive items of equipment, the ARC expects that the institution, the Industry Partner or another organisation would make a significant contribution to the purchase price of the equipment. The application should state whether this money is unconditionally committed or is contingent on ARC/DETYA funding, including from the Research Infrastructure Equipment and Facilities (RIEF) Scheme.
11. Itemise under 'Travel' the cost of fares, field expenses and field allowances. Include travel expenses for the appointment of Senior Research Associates, Research Associates and other personnel in accordance with the institution's policy. Show the origin and destination of all fares requested.

#### **For APDIs:**

In no more than five additional pages, address the additional selection criteria at section 6.1.1 and provide a justification of the APDI applicant's proposed research (including a relevant curriculum vitae). The APDI publication list should be included as supporting documentation in the normal manner for a Chief Investigator.

#### **5.1.3 Supporting documentation**

**All applicants** must provide:

- a letter of confirmation from each Industry Partner detailing its commitment to the application and the information as required in Appendix 2;
- a short profile of each Industry Partner;
- a relevant publication list for the last five years for each Chief Investigator and Partner Investigator; and
- a one-page report detailing progress on each closely related ARC/DETYA project which received funding between 1995 and 1999.

**In addition, each APDI applicant** must provide a referee report from his/her research supervisor/team leader which is available on the World Wide Web site at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#spirt>

#### 5.1.4 Application format

All pages should be in black type, size 12 font on white A4 paper, single-sided, and unbound, with at least 1 cm margins on each side..

As applications are scanned electronically, only the following type fonts should be used: Arial, Courier, Palantino, Times New Roman and Helvetica. Variants such as mathematical typesetting languages may also be used.

Colour graphs or colour photographs may be included but they will be reproduced in black and white.

A table of contents, with page referencing, is to be included at the beginning of the additional text. This page will be additional to the ten pages of additional text and must be included in the number of sheets entered on the application form.

The additional text and supporting documentation must be page numbered consecutively starting at page "1".

#### 5.1.5 Copies of application

An **original and ONE IDENTICAL copy only** are required. The application must be clipped with fold-back clips, not stapled, and submitted in the following order: application form, additional text and supporting documentation.

#### 5.1.6 Application submission

All applications must:

- be signed by the appropriate persons on the Certifications page of the application form;
- identify the name, address and telephone number of an appropriate contact officer in the institution/research body;
- be submitted by the institution's closing date, through the Research Office of the administering institution; and
- be submitted electronically, by the Research Office via the Grants Application Management System (GAMS), to DETYA by the 5 May 2000.

**Late additional pages will not be accepted and applications received after 5 May 2000 will not be considered for funding.**

The Research Office will submit paper copies of the application, with a list of all applications despatched,

by **mail**, to:

Executive Manager  
Research Programme Management Group  
Higher Education Research Branch LC 121  
Department of Education, Training  
and Youth Affairs  
GPO Box 9880  
CANBERRA ACT 2601

by **courier**, to:

Executive Manager  
Research Programme Management Group  
Higher Education Research Branch LC 121  
Department of Education, Training  
and Youth Affairs  
Level 2, 14 Mort Street  
CANBERRA ACT 2600

## 5.2 Timetable

<i>Date</i>	<i>Event</i>
1 April 2000	Final date for Chief Investigator and APDI eligibility exemptions & Industry Partner eligibility rulings
<b>5 May 2000</b>	<b>Closing date for applications</b> Note: Each institution will set its own closing date
7-8 June 2000	UIRCC selection meeting for initial exclusion of ineligible and uncompetitive applications
July 2000	Institutions and applicants notified of ineligible and uncompetitive applications
July 2000	Requests for assessment of the remaining applications forwarded to selected assessors
August 2000	Deadline for appeals on first round exclusions
August 2000	External assessments due at DETYA
30 August - 1 September 2000	UIRCC selection meeting - remaining applications ranked and recommendations prepared for endorsement by the ARC
October 2000	Recommendations submitted to the Minister for approval
November 2000	Conditions of Grant sent to institutions
December 2000	Deadline for appeals on final round decisions

## 6. Selection and Approval Process

Assessment of applications is undertaken by the UIRCC and its Panels which may seek advice from appropriately qualified persons. The Committee prepares funding recommendations which are submitted to the ARC for endorsement and then to the Minister for approval. The ARC has procedures for declaring conflicts of interest and for members to withdraw from consideration of particular applications.

### 6.1 Selection criteria - SPIRT projects

Applications for funding under the Government's \$10 million commitment to support collaborative research on issues of benefit to regional or rural community/ies will be considered with regard to the nature of the research and to evidence of collaboration between the researcher(s) and the community. This could, for example, take any of the following forms:

- Industry Partner(s) being an organisation located, and/or operating in, a regional or rural community;

- Involvement by the regional/rural community in identifying the problem or issue to be addressed;
- Involvement by the regional/rural community in conducting the research;
- Evidence of an existing relationship between the researchers and the community; and/or
- Involvement by researchers with a strong track record in conducting research of benefit to regional and rural communities.

All SPIRT project applications will be assessed and scored against the following criteria.

1. Significance and innovation
2. Approach and methodology
3. Researcher(s)
4. Industry Partner(s) commitment and collaboration
5. Economic and/or social benefits for Australia

### **6.1.1 Additional selection criteria - Chief Investigator applying for an APDI**

All applicants seeking an APDI will also be assessed against the following criteria.

1. Significance
2. Approach
3. Innovation
4. Researcher
5. Environment

Further details on what the Committee will be looking for under each criterion for both the project and the APDI and the weightings given to each criterion are at Appendix 5.

## **6.2 Selection procedure**

### **6.2.1 Assessment**

#### **Stage 1**

Applications that do not meet the eligibility criteria, are incomplete or are judged to be uncompetitive against the pool of applications based on the selection criteria, are excluded. Applications which are judged to be highly competitive against the pool of applications based on the selection criteria may be recommended for funding without external assessment being sought.

#### **Stage 2**

The UIRCC seeks external assessors for applications where it believes it needs further expert advice (generally, applications seeking funding for an APAI only do not require expert external assessment). The assessors are asked to comment on the project against the selection criteria and score each criterion from 0-100. Assessor reports that indicate a score only, providing no written comment, will be disregarded. In cases where an application requires assessment by specialists from more than one discipline, the Committee takes care to select appropriate assessors.

### Stage 3

At the final selection meeting, the UIRCC ranks the applications not yet recommended for funding, taking into account assessors' reports. It then determines the level of funding for all applications which will be recommended. A list of projects recommended for funding, together with details of their budgets, is prepared and submitted to the ARC for endorsement before being forwarded to the Minister for approval.

For projects at the margin for funding, preference is given to those which involve:

- an APDI intending to move to an institution other than the one where his/her PhD was obtained;
- Australian Industry Partner(s), rather than overseas Industry Partner(s); and
- APAIs.

### 6.3 Offer of grant

Following the Minister's approval, the successful administering institution will be informed by DETYA in a letter of offer which will indicate the funding to be provided and include the Conditions of Grant.

### 6.4 Conditions of grant

Applicants should familiarise themselves with the Conditions of Grant which are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#spirt>

The grantee must accept the Conditions of Grant and the administering institution must sign the Conditions of Grant before grant payments can be made.

#### 6.4.1 Ownership of assets

The Conditions of Grant specify that the ownership of any asset purchased wholly or partly with the grant shall be vested in the host institution and listed in its assets register.

## 7. Appeals Process

Appeals will be considered only against process issues and not against Committee decisions or assessor ratings and comments. Appeals must be made on the appeals form available on the World Wide Web site at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#spirt>

The form must be lodged through the institution's Research Office and be received, **within 28 days** of the date on the letter notifying the outcome of applications, by:

The Appeals Officer  
Higher Education Research Branch LC 121  
Department of Education, Training and Youth Affairs  
GPO Box 9880  
CANBERRA ACT 2601

## **8. Grant Administration**

### **8.1 Reporting requirements**

Institutions are required to submit to DETYA:

- an **Exceptions Report** on grants that have financial exceptions by 1 November in the calendar year for which they were granted;
- an **End of Year Report** on the expenditure of grant funds by 31 March in the year following the calendar year for which they were granted;
- a **Final Report** on the project outcomes and the use and expenditure of grant funds by 30 June of the year following the final year of the grant or following termination of the grant; and
- an **Audited Financial Statement** by 30 June of the year following the year of the grant, in accordance with sub-section 23(5) of the *Higher Education Funding Act 1988* (HEFA).

DETYA reserves the right to suspend payment of further instalments of any current grant until the appropriate reports have been received and assessed as satisfactory.

#### **8.1.1 Failure to provide reports**

Where an institution fails to submit satisfactory reports, as required, the Minister may, under section 108 of the HEFA, determine that funds have not been used in accordance with conditions applicable to the grant, and that all or part of the grant must be repaid. In this case, DETYA may withhold the remainder of the institution's payments under the Scheme for the current year or initiate recovery of grant monies.

### **8.2 Monitoring and evaluation**

Reviews of ARC/DETYA schemes are undertaken periodically, as deemed necessary. Persons nominated by DETYA are to be given full access to all accounts, records, documents and premises relevant to the project being funded by DETYA.

### **8.3 Transfer of grant**

Grant payments are made to the institution at which the first Chief Investigator is employed. If, during the term of research funding, the grantee transfers to another institution, approval from the Minister's delegate is required before any funds or equipment may be transferred.

### **8.4 Financial management**

#### **8.4.1 Payments**

The Scheme operates on a calendar year basis. Subject to appropriations, payment of funds will be made to institutions in regular instalments, in accordance with approved payment arrangements made under section 111 of the HEFA. Funds must only be used for purposes approved under the Scheme otherwise they must be returned.

## **8.4.2 Carryovers**

As grants are made for the specified calendar year, carryovers beyond 31 December of the year in which the grant was made require approval. Carryover requests must be made in the End of Year Report. Only in exceptional circumstances will funds be carried over for more than twelve months.

## **8.4.3 Recoveries**

Any funds which have not been spent, or are not to be carried over, will be recovered by DETYA, following advice provided in the End of Year Report, in accordance with section 108 of the HEFA.

# **9. General Information**

## **9.1 Roles and responsibilities**

### **9.1.1 The Minister**

The Minister for Education, Training and Youth Affairs, under the HEFA, has responsibility for approving:

- the mechanism for allocation of funds awarded for research;
- research funding schemes' objectives, guidelines and associated conditions;
- the expenditure, carryover and recovery of Research Programme funds; and
- variations to grants and the reallocation of unused funds.

### **9.1.2 Australian Research Council**

The ARC, under the *Employment, Education and Training Act 1988*, provides advice on research policy, and recommendations on the allocation of funding resources, to the Minister.

### **9.1.3 DETYA staff**

Staff of the Higher Education Research Branch, DETYA, on behalf of the Minister's delegates, are responsible for:

- providing advice to the Minister on the allocative mechanisms;
- providing advice to the Minister, the ARC and institutions on the operation of the schemes; and
- administering the range of research funding schemes and mechanisms, including providing secretariat support to the ARC during selection meetings.

### **9.1.4 Higher education institutions and other organisations**

Research Offices of higher education institutions and other organisations are the first points of contact for parties interested in grant opportunities and are responsible for:

- maintaining records on the receipt and expenditure of grant funds;
- exercising quality control over grant applications; and
- ensuring compliance with grant conditions.

## **9.2 Privacy of individuals**

Documents containing personal information are handled and protected in accordance with the provisions of the *Privacy Act 1988* which sets standards for the collection, storage, use and disclosure of, and access to, personal information. Personal information is disclosed only with permission of the individual to whom it relates or where the Act allows.

## **9.3 Freedom of information**

All documents are subject to the *Freedom of Information Act 1982* unless exempt in accordance with the provisions of the Act.

## **9.4 Confidentiality**

Information contained in applications is regarded as confidential unless otherwise stated and will be received and treated as confidential by DETYA, the ARC, institutions and assessors.

## **9.5 Intellectual property**

The institution must adhere to an intellectual property policy, approved by the institution's governing body, which has as one of its aims the maximisation of national benefits arising from research. Industry Partner(s) and the institution must enter into a written agreement to cover intellectual property arrangements before expenditure on the project can begin (see Appendix 2).

## **9.6 Incomplete/misleading information**

If an application is incomplete or contains information which is considered misleading, it will be excluded from any further consideration for funding.

If the UIRCC believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the matter will be referred to one of DETYA's Investigation and Compliance Units for investigation. The Commonwealth Government is committed to protecting its revenue, expenditure and property from any attempt, either by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees to gain financial or other benefits by deceit.

Examples of malpractice include, but are not restricted to:

- providing fictitious track records; and
- falsifying claims in publications records (eg. describing a paper as accepted for publication when it has only been submitted).

## **9.7 Insurance and liabilities**

By accepting funds under an ARC/DETYA research scheme, institutions agree to indemnify the Commonwealth from any expense arising from any action that may be made or brought against the Commonwealth resulting from activities funded under the Scheme. Institutions are responsible for taking out appropriate insurance.

## 9.8 Contact points

For further information, the institution's Research Office should be contacted in the first instance.

Enquires about this Scheme may be addressed to:

Scheme Manager  
SPIRT Scheme  
Research Programme Management Group LC 121  
Higher Education Research Branch  
Department of Education, Training and Youth Affairs  
GPO Box 9880  
CANBERRA ACT 2601  
Fax: (02) 6123 6900  
Email: [rbspirt@detya.gov.au](mailto:rbspirt@detya.gov.au)

**Web site address:** <http://www.detya.gov.au/highered/research/grants/grantap1.htm#spirt>

## Appendix 1: Eligible higher education institutions

### Higher Education Institutions in Receipt of Commonwealth Funding on a Triennial Basis

#### *New South Wales*

Charles Sturt University  
Macquarie University  
Southern Cross University  
The University of New England  
The University of New South Wales  
The University of Newcastle  
The University of Sydney  
University of Technology, Sydney  
University of Western Sydney  
University of Wollongong

#### *Victoria*

Deakin University  
La Trobe University  
Monash University  
Royal Melbourne Institute of Technology  
Swinburne University of Technology  
University of Ballarat  
The University of Melbourne  
Victoria University of Technology

#### *Queensland*

Central Queensland University  
Griffith University  
James Cook University  
Queensland University of Technology  
The University of Queensland  
University of Southern Queensland  
The University of the Sunshine Coast

#### *Western Australia*

Curtin University of Technology  
Edith Cowan University  
Murdoch University  
The University of Western Australia

#### *South Australia*

The Flinders University of South Australia  
The University of Adelaide  
University of South Australia

#### *Tasmania*

University of Tasmania  
Australian Maritime College

#### *Northern Territory*

Northern Territory University  
Batchelor College

#### *Australian Capital Territory*

The Australian National University \*  
University of Canberra

#### *Multi-State*

Australian Catholic University

\* Researchers from the IAS are only eligible to apply as a Chief Investigator to supervise an APAI student undertaking a SPIRT Scheme project - please refer to section 4.2. They may also be named as Partner or Associate Investigators in the application.

## **Appendix 2: Information for an Industry Partner applying under the SPIRT Scheme**

### **Eligibility**

To be eligible as an Industry Partner, an organisation must be:

- a private sector industry organisation; and/or
- a State/Local Government Agency; or
- a private non-profit organisation.

The following organisations and types of organisations are not eligible as Industry Partners under the SPIRT Scheme:

- higher education institutions and their controlled entities, including their commercial arms;
- Rural Research and Development Boards;
- State and Territory Government Research and Development organisations;
- Co-operative Research Centres;
- the Defence Science and Technology Organisation (DSTO);  
the Australian Nuclear Science and Technology Organisation (ANSTO);  
the Commonwealth Scientific and Industrial Research Organisation (CSIRO);  
the Australian Geological Survey Organisation (AGSO);  
the Australian Institute of Marine Sciences (AIMS);  
the Institute of Advanced Studies (AIS) at the Australian National University;  
the Environmental Research Institute of the Supervising Scientist (ERISS);  
the Australian Antarctic Division (AAD);

and any other organisation that the UIRCC considers as primarily funded for research from State, Territory or Commonwealth Government sources, or from Governments of other countries.

State, Territory or Commonwealth Government organisations are eligible to apply as Industry Partners where funds they are committing to the project have not previously been appropriated either for internal research related activities or for any other purpose of research, evaluation and/or consultancy. Any State, Territory, or Commonwealth Government organisation applying to the SPIRT Scheme as an Industry Partner must demonstrate, in their letter of support, that no part of their cash contribution is drawn from funds previously appropriated for the purposes of research, evaluation and/or consultancy activity. Failure to do so is grounds for exclusion.

If, after reading these guidelines, any doubt exists over the eligibility of an organisation to be an Industry Partner, applicants can seek advice from DETYA as to the status of the Industry Partner organisation prior to the development of the application. Any requests seeking an Industry Partner eligibility ruling must be lodged, in writing, through the institution's Research Office, with the Executive Manager - SPIRT Scheme at DETYA, after 1 January 2000 and before 1 April 2000. DETYA will forward any request to the UIRCC who will rule on and advise of the decision as soon as possible to allow time for a detailed application to be completed.

## Overseas Industry Partner

ARC/DETYA is prepared to accept a non-government overseas organisation as an eligible Industry Partner provided that, in the application, the following criteria are addressed to the satisfaction of the committee:

- the economic or social benefit of the research to Australia; and
- the intended use of the research outcomes in Australia.

Where similar projects involving Australian and overseas Industry Partner(s) are competing at the margin for funding, the committee will give priority to the Australian Industry Partner. An Australian Industry Partner is an organisation, or part of an organisation, that is incorporated under Australian law and is operating in Australia.

## Application process

The application must be submitted by an eligible higher education institution and should include a detailed description of the collaborative arrangements proposed and a clear indication of how the Industry Partner will be involved in the project. Details of the nature of the collaboration should be presented in both descriptive terms and in figures. Applications should make clear how the collaborating partner is involved in the project, how the project fits into the company's overall strategic plan and how the project is of value to the company.

The application must also include a letter of support of no more than two pages, on the organisation's letterhead, from the Industry Partner including the following information:

- a brief profile of the organisation;
- details of the cash and in-kind support that will be provided; and
- a statement that the Industry Partner has read and understood the requirements in the Conditions of Grant about Industry Partner Agreements (Clause 11) including the requirement to negotiate arrangements for intellectual property.

Grant funds from the Commonwealth can be used to support and offset project expenses including personnel (such as research associates, APDI, and laboratory staff), research training through an APAI, travel, maintenance and equipment. Detailed information about the type of research supported and the areas of investigation/work not supported are shown in section 3 of these guidelines.

## Industry Partner(s) contribution

For projects not involving an APAI, the combined Industry Partner contributions, in cash or in kind, must at least match the total amount sought from the Commonwealth on a dollar-for-dollar basis.

Where a project is seeking on average \$50,000 or more per year from the Commonwealth, the combined minimum contribution in cash should be 20% of the total amount sought from the Commonwealth.

Only in exceptional circumstances will the UIRCC waive the prerequisite above. Organisations such as community groups, small business enterprises, charities and start-up commercial organisations who can demonstrate that they do not have ready access to cash reserves may seek exemption for the minimum cash requirement. In such cases, the applicant must submit a request for exemption from the 20% cash contribution requirement before 1 April 2000 and must quantify,

in detail, the in-kind contribution and the Industry Partner's commitment to providing it. However, applicants should note that the cash contribution is an important indicator for assessors when judging the degree of commitment and level of collaboration from the Industry Partner.

The total contribution from the Industry Partner must be specific to the project and not part of a broader contribution to the institution. The contribution may be used to assist the project with personnel costs, provision of equipment or the use of a laboratory. Costs of capital works and general infrastructure are not normally considered for inclusion in the Industry Partner contribution.

The selection committee examines the proposed level of the Industry Partner's cash and in-kind financial support carefully and makes any adjustments it considers necessary to reflect the true value of the contribution. The Industry Partner's contribution (both in cash and in kind) must be reported by the institution in its End of Year Report.

## **SPIRT projects involving an APAI**

Where a project is to be undertaken by an APAI student, the Industry Partner must contribute a minimum of \$5000 in cash and \$5000 in cash or in kind (ie. \$10,000 in total) for each year the student is to receive a stipend. In-kind payments alone will not suffice as the sole contribution to the project.

However, if the application seeks additional support for project costs over and above the entitlements of the APAI student (see Appendix 3), the combined Industry Partner contribution must also at least match the additional amount sought from the Commonwealth on a dollar-for-dollar basis (eg. for other personnel or travel costs associated with the project).

## **Evaluating the adequacy of Industry Partner in-kind contributions for SPIRT Scheme projects**

Guidelines to assist applicants and Industry Partners in determining the value of in-kind Industry Partner contributions can be found in the Conditions of Grant located at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#spirt>

## **Offer of grant**

A project may not begin, nor grant funds be expended, until the Industry Partner(s) and the institution have entered into a written agreement. The agreement should cover the role of the Industry Partner(s) in the project, including the cash and in-kind contributions, supervision, leave and other arrangements for postgraduate research students; intellectual property arrangements; and an undertaking by the Industry Partner(s) to abide by the SPIRT Conditions of Grant.

## **Eligibility for concessional treatment**

Industry contributions to SPIRT projects may be eligible for the R&D Tax Concession to the extent that the expenditure is incurred by an eligible company in respect of eligible R&D activities and provided that all other eligibility requirements are met.

To be eligible, the activities being claimed must be undertaken in a way which reflects scientific method ie. be systematic, investigative and experimental. The activities must also be innovative in nature or involve high levels of technical risk, and have the objective of acquiring new knowledge

or creating new or improved materials, products, devices, processes or services. Eligible 'research and development activities' and 'research and development expenditure' are defined at sub-section 73B(1) of the Income Tax Assessment Act.

Eligible companies, which are companies incorporated in Australia or public trading trusts, can deduct up to 125% of qualifying expenditure incurred on R&D activities when lodging their tax return. Companies can also contract out R&D activities to other companies or approved Registered Research Agencies (RRAs) which have expertise and facilities to do specific types of R&D on behalf of others. Companies must exploit the results of the R&D on normal commercial terms and to the benefit of the Australian economy.

A minimum expenditure threshold of \$20,000 applies to companies claiming the concession but this threshold is waived if the work is contracted to an approved RRA. There is also provision for advance registration of up to three years and for up to 10% by value of claimed activities to be undertaken overseas.

To obtain the benefit of the concession, a company must apply annually to register eligible R&D activities with the JR&D Board, and must do so within 10 months of the end of the year of income in which the activities were undertaken e.g. by 30 April 2000 if the financial year ends on 30 June 1999. A shorter deadline applies to companies with a financial year ending before 9 April 1999.

The varying nature of arrangements which can be entered into between industry research organisations and contributing companies prevent the making of a general rule as to whether the contributions qualify for deduction under the R&D tax concession. However, the general principles regarding investments in research and development projects and collaborative research arrangements are contained in Taxation Ruling No. IT 2451.

If an eligible company is unsure whether it can claim the contribution as research and development expenditure, it can apply for a private binding ruling from the ATO. Details on how to apply and what information needs to be provided can be obtained from your nearest ATO Branch.

### **Further information**

Detailed information on the eligibility requirements for the R&D Tax Concession can be obtained from AusIndustry State Offices in each capital city. Details of the programs administered by AusIndustry can be obtained from its homepage at <http://www.ausindustry.gov.au/>.

Questions regarding qualifying expenditure, including requests for copies of Taxation Ruling No. IT 2451 and for private binding rulings, should be directed to the ATO through its Branch offices.

## **Appendix 3: APAI information**

### **Eligibility**

Students are likely to be recent graduates interested in industry research or graduates with some years of relevant work experience who wish to undertake research work in order to complete a higher degree. Grants are made on the basis of full-time study and are to commence in the first year of the grant.

To be eligible for an APAI, a student must:

- be an Australian citizen or an Australian resident with permanent resident status;
- be enrolled in a full-time postgraduate research degree at the eligible host institution;
- not be receiving similar funding or stipend from a Commonwealth Government programme;
- not already have completed a degree at the same level as the proposed candidature or at a higher level; and
- not have previously held an Australian Postgraduate Award or APAI unless it was terminated less than three months after the stipend was first paid.

The institution may credit periods of study already undertaken towards the degree. If this occurs, the periods of study prior to commencement of the APAI will be deducted from its maximum period of tenure.

The institution must inform DETYA in the Exceptions Report of any changes to an award that affect the amount or duration of funding.

APAI students may receive additional funding and/or payments from other sources provided that such funding and/or payments do not contravene their higher education institution rules applying to SPIRT Scheme APAI holders and that the Industry Partner(s) has no objection to the funding and/or payments.

### **Entitlements from the Commonwealth for APAIs**

The Commonwealth will provide an annual stipend and other entitlements in the form of an APAI for a postgraduate research student studying for either a Masters or a PhD. The APAI will be provided at the highest rate of the Australian Postgraduate Award range. Scholarship rates are indexed annually.

Details of the rates for the current year are set out on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#salaryscales>

APAIs are awarded for a maximum of three years. For a successful applicant, the Commonwealth will pay to the institution each year:

- the APAI stipend;
- \$258 per annum as an up-front contribution towards the APAI's expenses; and
- a further contribution towards relocation and thesis expenses, as outlined below.

Any funding requirements in excess of the allocation provided for these expenses should be claimed by the institution in the End of Year Report, as should unspent amounts be reported.

### **Relocation allowance**

The institution will make the following payments to APAI students relocating residence in order to take up their position, or for an approved transfer, provided that the student provides evidence of expenditure to the institution within six months of the expenditure being incurred. DETYA will reimburse the institution only as part of the Exceptions Report provided that the claim is submitted within a year of the expenditure having been incurred. DETYA will reimburse to a maximum of \$6,000 relocation expenses in accordance with the Conditions of Grant.

### **Thesis allowance**

The Commonwealth will provide up to \$800 toward the production of a PhD thesis or \$400 toward the production of a Master's thesis. This amount must be provided by the institution to the student if:

- the student's thesis is submitted within six months of the completion of the project; and
- the claim is made within twelve months of the end of the project; and
- the student provides to the institution evidence of expenditure relating to producing the thesis.

### **Taxation**

Full-time APAI stipends are tax-exempt.

### **HECS exemption**

APAI students are exempted from liability under the Higher Education Contribution Scheme (HECS).

## **Appendix 4: APDI information**

The justification for an APDI award must be submitted by an eligible Chief Investigator applicant who is seeking the Fellowship for himself/herself. It cannot be submitted by another Chief Investigator with a view to advertising for a suitable APDI. Awards commence in the first year of the grant.

Applicants must include in the application the name of an experienced researcher who will act as a mentor for the APDI. He/she could be a Team Leader, Chief Investigator or Associate Investigator, depending on the level of involvement in the project. Please note the time requirements for the various designations (see section 4.1).

A successful applicant would be appointed by the institution for three years as an APDI to be employed full-time on the approved project (that is, 21 days per month). Tenured researchers who meet the eligibility criteria and successfully apply for an APDI will have to resign from their substantive position before the project begins.

### **Entitlements from the Commonwealth for an APDI**

For a successful APDI applicant, the Commonwealth will pay to the institution each year, as part of funding for the SPIRT project, a sum in the range of \$39,188–\$42,066 per year (plus on-costs) as a contribution towards the salary of the Fellow (approximately equivalent to the former Level A (Tutor), Academic Salary Scale). Remuneration levels are reviewed each year.

The Fellowship funding represents the maximum contribution that may be paid as salary to the Fellow from Commonwealth funds in any one calendar year. The host institution must use internal funds or other resources to match local salary levels reached under enterprise bargaining agreements. Other project funds from the Commonwealth must not be used for this purpose.

### **Relocation allowance**

The institution will make the following payments to an APDI for travel and removal expenses associated with their relocating residence in order to take up their position, or for an approved transfer, on condition that the Fellow provides full particulars of mode and time of travel and the receipts for all other payments, eg. removal expenses, to the institution within six months of the expenditure being incurred. DETYA will reimburse the institution only as part of the End-of-Year Report, provided that the claim is submitted within a year of the expenditure having been incurred.

DETYA will reimburse in accordance with the Conditions of Grant the following relocation expenses.

- travel expenses, not exceeding the cost of the cheapest direct airfare, for the Fellow and his/her dependants. Where a Fellow elects to travel by car, the Commonwealth will provide a mileage allowance up to the maximum equivalent of the cheapest direct airfare. On completion of the Fellowship, the Fellow will be entitled to the same return fare provisions and removal expenses, provided that he/she has not obtained subsequent employment in Australia for a period exceeding twelve months.

- relocation costs for the Fellow and his/her dependants. For the purposes of relocation entitlements, a dependant is defined as a person who moves residence with the Fellow. A spouse/partner who transfers employment to the city of the institution may be regarded as a dependant; a child continuing to study at the former city and not intending to live with the Fellow, may not be regarded as a dependant.

## **Appendix 5: Selection criteria, procedures and weightings**

### **Selection criteria - SPIRT projects**

#### **Significance and innovation (weighting - 20%)**

Does this project address an important problem? If the aims of the project are achieved, how will scientific knowledge be advanced? What will be the effect of this project on the concepts or methods that drive this field? If the project involves one or more APAI, will it have relevance for research training in this field? Does the project employ novel concepts, approaches or methods? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies?

#### **Approach and methodology (weighting - 20%)**

Are conceptual framework, design, methods and analyses adequately developed, well integrated, and appropriate to the aims of the project? Does the application acknowledge potential problem areas and consider alternative tactics? If the project involves one or more APAI(s), is it suitable for research training for a research career in industry and/or a higher education institution? Is the intellectual content and scale of the work proposed for the APAI(s) appropriate to a research higher degree?

#### **Researcher(s) (weighting - 20%)**

Is the applicant(s) appropriately trained and well suited to carry out and/or (especially in the case of projects involving APAIs) supervise this work? Is the work proposed appropriate to the career path and experience level of the applicant(s) taking into account the quality of their past achievements, including their academic record, any awards and prizes, their research performance and evidence of referred publications, and their track record on ARC funded projects?

#### **Industry Partner commitment and collaboration (weighting - 30%)**

Is there evidence that the Industry Partner(s) is genuinely committed to, and prepared to collaborate in, the research project, eg. joint development of the application by the Chief Investigator(s) and the Industry Partner(s) and joint management and conduct of the research project by the Chief Investigator(s), the higher education institution and the Industry Partner(s)? Is the project likely to lead to further collaboration between the Industry Partner(s) and the higher education institution, and have potential for the development of long-term alliances?

#### **Economic and/or social benefits for Australia (weighting - 10%)**

What is the potential of the research project to result in economic and/or social benefits for Australia as indicated by the expected results of the project to the Industry Partner(s) within Australia, the benefits of the research to the industry sector, and the expected economic and social returns to the broader Australian community?

## **Additional selection criteria - Chief Investigator applying for an APDI**

All individuals seeking an APDI will be assessed against the following criteria in addition to the overall assessment of the SPIRT project.

### **Significance**

Does the work of the APDI applicant within the project address an important problem? If the aims of their work are achieved, how will scientific knowledge be advanced? What will be the effect of their work on the concepts or methods that drive this field?

### **Approach**

Is the intellectual content and scale of the work proposed for the APDI within the broader project appropriate to internationally competitive independent postdoctoral research (taking into account conceptual framework, design, methods and analyses)? Is the research the APDI applicant will undertake, if successful, suitable for career development in industry and/or a higher education institution?

### **Innovation**

Does the APDI applicant employ novel concepts, approaches or methods? Are the aims of their proposed work within the broader project original and innovative? Does their proposed work within the broader project challenge existing paradigms or develop new methodologies or technologies?

### **Researcher**

Is the applicant appropriately trained and well suited to carry out their proposed work? Is the proposed work appropriate to the career path and experience level of the applicant taking into account the quality of their past achievements, including their academic record, any awards and prizes, their research performance and evidence of referred publications?

### **Environment**

Does the scientific environment in which the APDI's work will be done contribute to the probability of success? Does the proposed work take advantage of the unique features of the scientific environment or employ useful collaborative arrangements? Is there evidence of institutional support?