Australian Government

Australian Research Council

# *Funding Rules for schemes under the Linkage Programme (2015 edition)*

- ***Industrial Transformation Research Hubs commencing in 2015***
- ***Industrial Transformation Training Centres commencing in 2016***
- ***Linkage Projects commencing in 2016***
- ***Linkage Infrastructure, Equipment and Facilities commencing in 2017***

*Australian Research Council Act 2001*

I, Christopher Pyne, Minister for Education and Training, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Funding Rules under section 60 of that Act.

Dated 28 August 2015

Christopher Pyne
Minister for Education and Training

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## Key Dates

Please refer to the Important Dates page on the ARC website at http://www.arc.gov.au/important-dates for key dates and updates relevant to these Funding Rules.

## Contacts

Researchers should direct requests for information to the Research Office within their organisation.

ARC Contacts can be located on the ARC website at www.arc.gov.au.

Appeals must be addressed and sent:

by mail to:

The Appeals Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or by courier to:

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Canberra Airport
CANBERRA ACT 2609

Or by email to: appeals@arc.gov.au

# Part A – General Rules for schemes under the Linkage Programme

## A1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Funding Rules for schemes under the Linkage Programme (2015 edition)*

- *Industrial Transformation Research Hubs for funding commencing in 2015*
- *Industrial Transformation Training Centres for funding commencing in 2016*
- *Linkage Projects for funding commencing in 2016*
- *Linkage Infrastructure, Equipment and Facilities for funding commencing in 2017*

## A2. Commencement

These Funding Rules shall take effect upon registration on the Federal Register of Legislative Instruments.

## A3. Definitions

In these Funding Rules, unless the contrary intention appears:

**Adjunct Appointment** or equivalent means that an Eligible Organisation has a formal agreement with a researcher which establishes an ongoing association with the Eligible Organisation, of the nature of an honorary academic or visiting fellow. The ARC may seek documentary evidence of such an association if it is considered necessary.

**Administering Organisation** means an Eligible Organisation which submits a Proposal for funding and which will be responsible for the administration of the funding if the Project is approved for funding.

**Applicant** means the Administering Organisation. Funding under the Linkage Programme is provided to Administering Organisations, not to individual researchers.

**ARC** means the Australian Research Council, as established under the ARC Act.

**ARC Act** means the *Australian Research Council Act 2001*.

**ARC Award** means a named Award position within any ARC scheme where the salary is funded wholly or partly by the ARC.

**ARC College of Experts** means a body of experts of international standing appointed to assist the ARC to identify research excellence, moderate external assessments and recommend fundable Proposals.

**ARC Fellowship** means a named Fellowship position within any ARC scheme where the salary is funded wholly or partly by the ARC.

**Bench fees** means the fees that an organisation charges for an individual to use infrastructure which would normally be provided by the organisation for their employees. This infrastructure may vary and could include, for example, an office or a laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.

**Cash Contribution** means the cash from an organisation for the Project which is transferred to and managed by the Administering Organisation.

**Chief Investigator (CI)** means a researcher who satisfies the eligibility criteria for a CI under these Funding Rules.

**Commencement Date** means the scheme specific date on which funding commences as defined in Parts B, C, D and E of these Funding Rules.

**Commonwealth** means the Commonwealth of Australia.

**Commonwealth Fellowship** means a position held by a researcher where the salary is funded wholly or partly by the Commonwealth and where the researcher in that position was a named participant in a Proposal.

**Conflict of Interest** means any Conflicts of Interest, any risk of a Conflicts of Interest and any apparent Conflicts of Interest arising through a party engaging in any activity, participating in any association, holding any membership or obtaining any interest that is likely to conflict with or restrict that party participating in the Project. The *ARC Conflict of Interest and Confidentiality Policy* is available on the ARC website at www.arc.gov.au.

**Consultancy** means the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s).

**Eligible Organisation** means an organisation listed in A17.

**Emeritus Appointment** means any Honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) in a Proposal. These positions are typically held by former academic staff members that continue to have an ongoing relationship with the institution. For ARC purposes this relationship should include access to research support comparable to employees, and would also normally include participation in postgraduate supervision. A person will not be considered to hold an Emeritus Appointment if they are in paid employment elsewhere.

**Field Research** means the collection of information integral to the Project outside a laboratory, library or workplace setting and often in a location external to the researcher's normal place of employment.

**Funding Agreement** means the agreement entered into by the ARC and an Administering Organisation when a Proposal from that organisation is approved for funding.

**GST** has the meaning as given in section 195-1 of the *A New Tax System (Goods and Services Tax) Act 1999*.

**In-Kind Contribution** means a contribution of goods, services, materials or time to the Project from an individual, business or organisation. Values should be calculated based on the most likely actual cost, for example current market, preferred provider or internal provider rates/valuations/ rentals/charges (that is in the financial year of the date of the Proposal's submission) of the costs of labour, work spaces, equipment and databases. The calculations covering time and costs should be documented by the Administering Organisation. The ARC may require these calculations to be audited.

**Instructions to Applicants** means a set of instructions prepared by the ARC to assist Applicants in completing the application form and associated documentation.

**Linkage Programme,** for the purposes of eligibility, refers to the schemes funded under the Linkage Programme of the NCGP which consist of: *Linkage Projects*; *Linkage Infrastructure, Equipment and Facilities*; *Industrial Transformation Training Centres*; *Industrial Transformation Research Hubs*; and other schemes as updated from time to time.

**Medical Research** as defined in the *ARC Medical Research Policy* available on the ARC website at www.arc.gov.au.

**Minister** means the Minister from time to time responsible for the administration of the ARC Act.

**NCGP** means the ARC's *National Competitive Grants Programme.*

**NHMRC** means the National Health and Medical Research Council.

**ORCID identifier** means a persistent digital identifier for an individual researcher, available via the ORCID website at www.orcid.org.

**Other Eligible Organisation** means an Eligible Organisation listed on a Proposal which is not the Administering Organisation.

**Other Organisation** means an organisation which is listed on a Proposal and is not an Eligible Organisation or a Partner Organisation.

**Partner Investigator (PI)** means a researcher who satisfies the eligibility criteria for a PI under these Funding Rules.

**Partner Organisation** means an Australian or overseas organisation, other than an Eligible Organisation, which satisfies the eligibility requirements for a Partner Organisation and is to be a cash and/or in-kind contributor to the Project.

**PhD** is a qualification that meets the level 10 criteria of the *Australian Qualifications Framework Second Edition January 2013*.

**Project** means a Proposal approved by the Minister to receive funding from the ARC.

**Project Research Environment** means the laboratory, department, school, centre or institute within the Administering Organisation or Partner Organisation where research will be undertaken, and which provides opportunities for knowledge growth, innovation, collaboration, mentoring and student training and support.

**Proposal** means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.

**Research impact** is the demonstrable contribution that research makes to the economy, society, culture, national security, public policy or services, health, the environment, or quality of life, beyond contributions to academia.

**Research infrastructure** means assets, facilities, services, and coordinated access to major national and/or international research facilities or consortia which directly support research in higher education organisations and more broadly and which maintain the capacity of researchers to undertake excellent research and deliver innovative outcomes.

**Research Office** means a business unit within an Eligible Organisation that is responsible for administrative contact with the ARC regarding Proposals and Projects.

**RMS** means the ARC's online Research Management System.

**Selection Advisory Committee** (SAC) means a group of experts appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the ARC.

**Special Condition** means a special condition specified in a Funding Agreement which governs the use of the funding provided by the ARC.

**Science and Research Priorities** means priority research areas identified by the Australian Government, and available via the ARC website at www.arc.gov.au.

**Technical workshop services** means specialised construction and maintenance activities carried out by a technician, often within a dedicated facility for working with materials such as wood, glass, metal, plastics or electronics.

**UA** means Universities Australia.

Additional scheme-specific definitions are detailed in Parts B, C, D and E of these Funding Rules.

## A4. Introduction

### A4.1 Overview

A4.1.1 These Funding Rules are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force then.

A4.1.2 These Funding Rules relate to schemes funded under the Linkage Programme of the ARC's *National Competitive Grants Programme*. The

Linkage Programme supports the growth of research partnerships between university-based researchers and researchers in other sectors in Australia and overseas that generate new knowledge, technologies and innovations.

The objectives of the Linkage Programme are to deliver outcomes of benefit to Australia and build Australia's research and innovation capacity through support for:

a. collaborative research between university-based researchers and researchers in other sectors;

b. research training and career opportunities that enable Australian and international researchers and research students to work with industry and other end-users; and

c. research in priority areas.

A4.1.3 The Linkage Programme schemes provide funding to Administering Organisations to support research Projects.

A4.1.4 Linkage Programme funding will be awarded on the basis of excellence through a competitive peer review process for each scheme.

A4.1.5 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the NCGP.

A4.1.6 The Key Performance Indicators (KPIs) for the Linkage Programme are specified each year in the ARC Portfolio Budget Statements and the ARC Corporate Plan. The KPIs focus on long-term outcomes as well as medium-term outcomes relating to building Australia's research capacity, for example, research careers and training, contributions in areas of national need and research collaboration. These are addressed each year in the ARC's annual report.

A4.1.7 For details of scheme-specific overviews refer to Parts B, C, D and E.

### A4.2 Research/Activities Supported

A4.2.1 For the purposes of these Funding Rules, research is defined as 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, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

A4.2.2 This definition of research is consistent with a broad notion of research and experimental development comprising "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man [humankind], culture and society, and the use of this stock of knowledge to devise new applications"[1].

## A5. Research/Activities Not Supported

A5.1.1 Except where such activities meet the definition of research in subsection A4.2.1 the *Industrial Transformation Training Centres, Industrial*

[1] OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, Paris (Page 30).

*Transformation Research Hubs* and *Linkage Projects* schemes do not support production of:

a. compilation of data, computer programs, research aids and tools;

b. descriptive data compilations, catalogues or bibliographies; or

c. teaching materials.

A5.1.2 Except where such activities meet the definition of research in subsection A4.2.1, the *Linkage Infrastructure, Equipment and Facilities* scheme does not support research infrastructure for production of teaching materials.

A5.1.3 The Linkage Programme does not support Medical Research, as defined in section A3 of these Funding Rules.

A5.1.4 Notwithstanding A5.1.3, if the Industrial Transformation Priorities include a medical research-related priority, *Industrial Transformation Research Hubs* and *Industrial Transformation Training Centres* proposals addressing the priority may be submitted, having regard to the objectives of the relevant scheme.

A5.1.5 The *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes do not support Projects where one or more Partner Organisation(s) is seeking expert external assistance, not available within their own organisation, in order to develop specific applications or outputs which:

a. involve little innovation or are low risk; or

b. the ARC deems to be essentially contracted research or a Consultancy arrangement.

## A6. Funding

### A6.1 Level and Period of Funding

A6.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.

A6.1.2 The level and period of funding, as well as details on supported budget items for each of the schemes under the Linkage Programme, are outlined in each scheme-specific Part of these Funding Rules.

A6.1.3 The ARC reserves the right to recommend funding levels which may be less than those requested in the Proposal, and a duration of ARC funding which may differ from that requested in the Proposal.

A6.1.4 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.

A6.1.5 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

## A7. Budget Items Supported

A7.1.1 Under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes, budget items that directly support a research project may be funded, including:

a. access to national and international research and infrastructure facilities including specialist archives, collections and databases;

b. access to Technical Workshop Services linked to and justified explicitly against the Project (for example, machine tools and qualified technicians);

c. expenditure on Field Research essential to the Project, including technical and logistical support, and travel and accommodation costs, for CIs, PIs, Higher Degree by Research candidates, postdoctoral fellows and research support personnel;

d. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:

   i. language translation services, transcribing services;

   ii. purchase of bibliographical or archival material (electronic or hard copy); and

   iii. data collection and analysis services;

e. equipment (and its maintenance) and consumables required for the Project. Funding will not be provided for equipment or consumables that are deemed to be for broad general use;

f. publication and dissemination of Project outputs and outreach activity costs;

g. specialised computer equipment and software essential to the Project;

h. travel costs essential to the Project, including economy travel costs for domestic and/or international travel and accommodation, not exceeding an average of $20,000 per year of the project. Funding is permitted for CIs, PIs, Higher Degree by Research candidates, postdoctoral fellows and research support personnel. Travel costs related to carrying out Field Research are supported separately under A7.1.1.c and are not counted towards the average of $20,000 per year limit detailed in this subsection A7.1.1.h;

i. web hosting and web development specific to the Project; and

j. workshops, focus groups and conferences that are necessary for the conduct of the proposed research (including reasonable hospitality costs such as morning tea, lunch and afternoon tea).

A7.1.2 All budget items must be justified in the Proposal to the satisfaction of the ARC and the assessors involved in the peer review process.

A7.1.3 For all other scheme-specific budget items supported, refer to Parts B, C, D and E of these Funding Rules.

## A8. Budget Items Not Supported

A8.1.1 Budget items which will not be supported by ARC funding and should not be requested in the budget include:

a. bench fees or similar laboratory access fees;

b. capital works and general infrastructure costs (except for as permitted under the LIEF scheme in section E7*)*;

c. costs not directly related to research or the Project, including but not limited to professional membership fees (except for as permitted under the LIEF scheme in section E7*)*, professional development courses,

fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, costs of dependents, entertainment costs, hospitality costs, insurance, and other indirect costs;

d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and

e. salaries and/or on costs, in whole or in part, for CIs or PIs.

A8.1.2 The following basic facilities must be provided and funded by the Administering Organisation, where relevant, and will not be funded by the ARC:

a. access to a basic library collection;

b. access to film or music editing facilities;

c. accommodation (for example, laboratory and office space, suitably equipped and furnished);

d. provision of basic computer facilities and standard software; and

e. standard reference materials or funds for abstracting services.

A8.1.3 For all other scheme-specific budget items not supported, refer to Part E of these Funding Rules.

A8.1.4 The Administering Organisation must ensure that any organisational In-kind Contributions in the budget section of the Proposal do not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.

## A9. Organisation General Eligibility Requirements

### A9.1 Eligible Organisations

A9.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation listed at Section A17.

A9.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations. A Proposal may only be submitted once in the same funding scheme round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

A9.1.3 The Administering Organisation and each Other Eligible Organisation on the Proposal must demonstrate a significant contribution of cash and/or in kind resources to the Project, having regard to the total cost of the Project and the relative contribution of any CI(s) at the organisation.

A9.1.4 For additional scheme-specific Eligible Organisation eligibility requirements refer to Parts C and E of these Funding Rules.

### A9.2 Partner Organisations

A9.2.1 To be eligible as a Partner Organisation, an organisation **cannot be**:

a. an Eligible Organisation;

b. a controlled entity of any Eligible Organisation; or

c. an entity (for example a joint venture) where more than 50 per cent is owned by one or more Eligible Organisations.

A9.2.2 For each Partner Organisation, three conditions must be met. There must be:

a. evidence of new or on-going collaboration between the Partner Organisation either directly with the Administering Organisation, and /or with an Other Eligible Organisation on the Proposal;

b. no duplication of Commonwealth funding for the research and/or activities funded for the Project; and

c. a contribution of cash and/or in-kind or other material resources from each Partner Organisation, having regard to the total cost of the Project and specific scheme requirements.

A9.2.3 A Proposal should include details of the collaborative arrangements proposed, including how each Partner Organisation is involved in the Project, and a Proposal submitted under the *Industrial Transformation Training Centres*, *Industrial Transformation Research Hubs* and *Linkage Projects* schemes should also detail how the Project fits into each Partner Organisation's overall strategic plan and how the Project is of value to each of the Partner Organisation(s) involved.

A9.2.4 A Proposal submitted in RMS under the *Industrial Transformation Training Centres*, *Industrial Transformation Research Hubs* and *Linkage Projects* schemes must include a letter of support from each Partner Organisation. Each Partner Organisation's letter of support must:

a. include the official letterhead;

b. be no more than two A4 pages;

c. include a brief profile of the organisation (for *Industrial Transformation Research Hubs*, this must include the number of employees within the organisation);

d. provide details of the Cash and/or In-kind Contributions;

e. demonstrate the source of its Cash Contribution (if a Cash Contribution is being made);

f. certify that no part of its Cash Contribution is drawn from funds previously appropriated or awarded from Commonwealth or Australian State or Territory sources for the purposes of research;

g. state its expectations about industry outcomes/products and market value (including, where appropriate, for the *Linkage Projects* scheme);

h. provide details regarding how the Project aligns with the Partner Organisation's objectives;

i. certify that it will meet the requirements outlined in a standard Funding Agreement, including the requirement to enter into arrangements regarding intellectual property which do not unreasonably delay academic outputs; and

j. be signed by the Chief Executive Officer, or delegate.

A9.2.5 Partner Organisations named on a Proposal must participate for the duration of the Project unless otherwise approved by the ARC.

A9.2.6 Cash and in-kind contributions from Partner Organisation(s), must be specific to the Project and must not be part of a broader contribution to an Administering Organisation and should be listed in the ensuing contractual agreement.

A9.2.7 The Proposal cannot include cash or in-kind contributions in years beyond the duration of the Project.

A9.2.8 Under the *Industrial Transformation Training Centres*, *Industrial Transformation Research Hubs* and *Linkage Projects* schemes, Partner Organisation Cash Contributions cannot be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory for the purposes of research nor from funds previously used to leverage government research or research infrastructure funding.

A9.2.9 Under the *Linkage Infrastructure, Equipment and Facilities* scheme, Partner Organisation Cash Contributions cannot be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory for the purposes of the same research infrastructure as the Proposal, nor from funds previously used to leverage government research or research infrastructure funding.

A9.2.10 The Partner Organisation Cash Contribution must not be a contribution to salaries for CIs and PIs on the Project.

A9.2.11 In-kind contributions must be essential and central to the Project. It is the responsibility of the Administering Organisation to establish the merit of the case for recognition of In-kind Contributions.

A9.2.12 The ARC reserves the right to determine the value of Partner Organisation contributions and may determine contributions to be at levels that may differ from those submitted in a Proposal.

A9.2.13 A Partner Organisation contribution must be specified in Australian dollars and, subject to these Funding Rules, contributed at the specified level regardless of currency fluctuations.

A9.2.14 For additional scheme-specific Partner Organisation requirements refer to Parts B, C and D of these Funding Rules.

### A9.3 Other Organisations

A9.3.1 Organisations that are not Eligible Organisations and not Partner Organisations but that are listed on a Proposal will be Other Organisations.

## A10. Participant General Eligibility Requirements

### A10.1 Eligibility Criteria for Participants

A10.1.1 All named participants nominated in a Proposal must satisfy the eligibility criteria for the role they are to perform as at the scheme-specific commencement date and for the duration of the Project.

A10.1.2 If the ARC considers that a participant nominated in a Proposal does not meet the eligibility criteria for the role that participant is to perform, the Proposal may be deemed ineligible.

A10.1.3 All named participants nominated in a Proposal must take responsibility for the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant.

A10.1.4 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the named participants nominated on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

### A10.2 Eligibility Criteria for Chief Investigators (CIs)

A10.2.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at the scheme-specific Commencement Date and for the duration of the Project:

a. be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or

b. be a holder of an **Emeritus Appointment** (as defined at section A3) at an Eligible Organisation.

CIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their CI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

A10.2.2 A CI must take significant intellectual responsibility for the conception and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. A CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

A10.2.3 A CI must have the experience and capacity to provide effective supervision, support and mentoring of research personnel, including Higher Degree by Research candidates and postdoctoral fellows, associated with the Project.

A10.2.4 A CI must normally reside predominantly in Australia for the full life of the Project. Any significant absences including fieldwork or study leave directly related to the Project must have approval from the Administering Organisation and must not total more than half the Project funding period.

A10.2.5 Researchers undertaking a Higher Degree by Research are not eligible to be CIs. Researchers must have their Higher Degree by Research conferred by the Commencement Date of the Project in order to be eligible.

A10.2.6 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that any replacement CI meets the CI eligibility criteria and is approved by the ARC.

### A10.3 Eligibility Criteria for Partner Investigators (PIs)

A10.3.1 A participant nominated as a PI on a Proposal **must not** meet the eligibility criteria for a CI.

A10.3.2 A participant who is an employee of an Eligible Organisation listed at section A17 who does not reside predominantly in Australia may be a PI.

A10.3.3 A PI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

A10.3.4 Under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes a PI **must**:

a. take significant intellectual responsibility for the planning and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results; and/or

b. have the experience and capacity to provide effective supervision, support and mentoring of research personnel associated with the Project in their areas of expertise; and/or

c. have demonstrated the relevant skills and experience to effectively manage a similar scale research Project.

A10.3.5 Under the *Linkage Infrastructure, Equipment and Facilities* scheme a PI must take significant intellectual responsibility for the conception and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results.

A10.3.6 PIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their PI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement.*

A10.3.7 If a Proposal has been approved for funding and a PI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided any replacement PI is approved by the ARC and meets the PI eligibility criteria.

## A11. Eligibility process

A11.1.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.

A11.1.2 A decision under subsection A11.1.1 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.

## A12. Submission of Proposals

### A12.1 Proposals

A12.1.1 The Proposal must be submitted as a mature research plan presenting the proposed Project ready for implementation and must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.

A12.1.2 All details in the Proposal must be current at the time of submission.

A12.1.3 A Proposal may only be submitted once in the same funding round regardless of any variation in the proposed research, the listed participants and/or Administering Organisation.

A12.1.4 Applicants should note the eligibility criteria for access to other funding schemes, as expressed in the Funding Rules for those schemes. The ARC reserves the right to change these criteria in future funding rounds. Funding Rules for all ARC schemes may be found on the ARC website at www.arc.gov.au.

A12.1.5 Under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes, the Proposal must list all current funding and requested funding for the named

participants under any ARC scheme, including Projects, Awards and Fellowships, or any other Commonwealth funding scheme.

A12.1.6 For additional scheme-specific requirements, including Proposal limits, refer to Parts B, C, D and E of these Funding Rules.

A12.1.7 Applicants who are applying for another ARC funding scheme (not covered by these Funding Rules) should consult the funding rules for the other scheme to determine if applying for or holding a Project under these Funding Rules will affect their eligibility for the other ARC funding scheme.

### A12.2 Submission of Proposals in RMS

A12.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.

A12.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS online form and the relevant scheme Instructions to Applicants.

### A12.3 Closing Time for Proposals

A12.3.1 The online form completed within RMS must be submitted by the relevant scheme closing date and time on the Important Dates page on the ARC website at www.arc.gov.au.

A12.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

A12.3.3 Upon receipt of a written request with justification from the Administering Organisation the ARC may approve the withdrawal of a Proposal. The ARC will only approve such a request in exceptional circumstances.

### A12.4 Certification in RMS

A12.4.1 The Administering Organisation must certify a Proposal online in RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals.

A12.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

### A12.5 Conflict of Interest

A12.5.1 Each participant or organisation named in a Proposal must declare to the Administering Organisation at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.

A12.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007), the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.

A12.5.3 As part of the certification at A12.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A12.5.1, and that any Conflict of Interest will be managed in accordance with A12.5.2.

## A13. Selection and Approval Process

### A13.1 Assessment and Selection Process

A13.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.

A13.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.

A13.1.3 All Proposals may be:

a. assigned to independent assessors, from a range of organisations, who will assess and report, which may include written comments, on the Proposal against the selection criteria; and

b. ranked and recommended a budget, relative to other Proposals, by the ARC College of Experts or a SAC, on the basis of the Proposal, any assessors' reports and any rejoinder.

A13.1.4 The ARC may cease the progression of Proposals at any time during the selection process. Grounds for cessation include, but are not limited to:

a. not meeting the eligibility requirements set out in these Funding Rules; or

b. providing incomplete, inaccurate or misleading information.

A13.1.5 Following the recommendations of the ARC College of Experts or a SAC, the CEO will make recommendations to the Minister in relation to which Proposals should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.

A13.1.6 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the ARC College of Experts or SAC, members of other ARC Committees and ARC staff. Details of these procedures are available on the ARC website at www.arc.gov.au.

A13.1.7 For all other scheme-specific requirements relating to the assessment and selection process, refer to Part B of these Funding Rules.

### A13.2 Rejoinder

A13.2.1 The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation or to Proposal participants.

### A13.3 Request Not to Assess

A13.3.1 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a 'Request Not to Assess' form as detailed on the ARC website at www.arc.gov.au. This form must be received by the ARC by the relevant scheme closing date and time available on the Important Dates page on the ARC website at www.arc.gov.au.

While the ARC may accommodate such requests, only one request may be submitted per Proposal and any request containing more than three individual assessors to be excluded for a Proposal must be directly supported in writing by the Deputy Vice-Chancellor (Research) or equivalent of the Administering Organisation with evidence justifying the exclusion of all assessors requested.

### A13.4 Recommendations and Offer of Funding

A13.4.1 In accordance with the ARC Act, the ARC CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.

A13.4.2 Under the ARC Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.

A13.4.3 All Administering Organisations will be notified of the outcomes of their Proposals (including Proposals not recommended for funding). Outcomes, funding allocations and other relevant information about the successful Proposals will be published on the ARC website at www.arc.gov.au.

A13.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.

A13.4.5 The ARC may vary the funding approval if, in the opinion of the ARC, the particular circumstances of the Project warrant variation. Any variation or change will accord with the relevant Funding Rules and Funding Agreement.

A13.4.6 If the ARC funding approved for a Project varies from the amount requested, pro rata adjustments may be made to the Partner Organisation contributions.

## A14. Appeals Process

A14.1.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the Proposal has been treated fairly and consistently in the context of selection procedures.

A14.1.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome. Appellants must identify the specific Funding Rule clause, policy or procedure which they believe has been incorrectly applied.

A14.1.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at www.arc.gov.au, authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm (AEDT/AEST) on the appeals submission due date.

A14.1.4 Appeals must be sent to the Appeals address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy Appeal submissions.

A14.1.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options. Regarding available options for external appeal, the Administrative Appeals Tribunal does not have general power to review ARC decisions.

## A15. Reporting Requirements

Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au. For additional scheme-specific reporting requirements, refer to Parts D and E of these Funding Rules.

### A15.1 Progress Reports

A15.1.1 When required, Progress Reports must be submitted by 31 March in the year following each calendar year for which the funding was awarded as directed by the ARC.

A15.1.2 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding monies will be recovered by the ARC.

A15.1.3 For all other scheme-specific reporting requirements relating to Progress Reports, refer to Parts B, C, D and E of these Funding Rules.

### A15.2 End of Year Reports

A15.2.1 The Administering Organisation must submit an End of Year Report by 31 March in the year following each calendar year for which the funding was awarded, in accordance with the instructions to be provided by the ARC each year.

### A15.3 Final Report

A15.3.1 A Final Report must be submitted for the Project within twelve months of the final payment or within twelve months of the final approved carryover of funds.

A15.3.2 The Final Report must address compliance with the *ARC Open Access Policy* as detailed at A16.5.

A15.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants on the Project.

A15.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

A15.3.5 For all other scheme-specific reporting requirements relating to Final Reports, refer to Part E of these Funding Rules.

## A16. Fundamental Principles of Conducting Research

### A16.1 Ethics and Research Practices

A16.1.1 All Proposals and ARC-funded research projects must conform to the principles outlined in the following and their successor documents. Links to these documents are available on the ARC website at www.arc.gov.au:

a. NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007);

b. as applicable, the NHMRC/ARC/UA *National Statement on Ethical Conduct in Human Research* (2007, updated 2015);

c. as applicable, NHMRC *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003);

d. as applicable, Australian Institute of Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Australian Indigenous Studies* (2012);

e. as applicable, *Australia Council for the Arts Indigenous Cultural Protocols for Producing Indigenous Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007); and

f. as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013) endorsed by the NHMRC, the ARC, the Commonwealth Scientific and Industrial Research Organisation and UA.

A16.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

**A16.2 Applicable Law**

A16.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988*, *Freedom of Information Act 1982* and the *Criminal Code Act 1995*.

**A16.3 Confidentiality**

A16.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:

a. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties in order to assess, evaluate or verify the quality, accuracy or completeness of a Proposal;

b. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties solely to comply with obligations or exercise rights under the *ARC Research Integrity and Research Misconduct Policy*;

c. disclosed by ARC personnel to third parties to enable effective management or auditing of the Linkage Programme schemes or any Funding Agreement;

d. disclosed by the ARC to the relevant Minister(s) and their staff;

e. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;

f. authorised or required by law to be disclosed;

g. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or

h. in the public domain.

A16.3.2 Where information contained in a Proposal is made available to third parties for evaluation, assessment or audit purposes the ARC will require the third parties to maintain the confidentiality of the material, including any intellectual property contained in the Proposal.

A16.3.3 In addition to the exemptions listed at A16.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project: the name of the Administering Organisation and any other parties involved in or associated with the Project; named participants and their organisations; the proposed research programme (the

title and summary descriptions of the Project); infrastructure, equipment and/or facilities funded; classifications and international collaboration country names; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Proposal title and summary descriptions would not, if released, compromise their own requirements for confidentiality (such as protection of intellectual property).

A16.3.4 In making public information about a Proposal which has been approved for funding, the ARC may use a Project description, including title and summary, which may differ from that provided in the Proposal.

### A16.4 Intellectual Property

A16.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from a Project.

A16.4.2 The Administering Organisation must adhere to an intellectual property policy, approved by the Administering Organisation's governing body, which has as one of its aims the maximisation of benefits to Australia arising from research. The Administering Organisation should ensure that applicants for ARC funding are familiar with the current intellectual property landscape for the proposal. Unless otherwise approved by the Commonwealth, the Administering Organisation's intellectual property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* and/or any successor document/s. These document/s are available on the ARC website at www.arc.gov.au.

### A16.5 Publication and Dissemination of Research Outputs

A16.5.1 All ARC-funded research projects must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is available at www.arc.gov.au. In accordance with this policy, any publications arising from a Project must be deposited into an open access institutional repository within a twelve month period from the date of publication. When depositing publications in an institutional repository the ARC Project ID should be included in the metadata.

A16.5.2 Researchers and institutions have an obligation to care for and maintain research data in accordance with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007). The ARC considers data management planning an important part of the responsible conduct of research and strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository.

A16.5.3 The ARC encourages all researchers applying for funding to have an ORCID identifier.

### A16.6 Misconduct, Incomplete or Misleading Information

A16.6.1 All ARC-funded research projects must comply with the *ARC Research Integrity and Research Misconduct Policy*, which is available at www.arc.gov.au.

A16.6.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, or involves misconduct, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

A16.6.3 A decision under subsection A16.6.2 may be made by the ARC at any stage during the assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.

A16.6.4 Examples of misleading information and misconduct include:

a. providing fictitious research opportunity and performance evidence;

b. plagiarism;

c. making false claims in relation to the authorship of the Proposal;

d. failing to make acknowledgement of intellectual, design or other significant contributions to the Proposal;

e. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);

f. making false claims in relation to qualifications and/or appointments;

g. making false certifications; or

h. failing to disclose to the Administering Organisation the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

## A17. Eligible Organisations

### A17.1 Higher Education Organisations

**Australian Capital Territory**

The Australian National University
University of Canberra

**New South Wales**

Australian Catholic University
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

**Northern Territory**

Batchelor Institute of Indigenous Tertiary Education
Charles Darwin University

**Queensland**

Bond University
Central Queensland University
Griffith University
James Cook University
Queensland University of Technology

The University of Queensland
University of the Sunshine Coast
University of Southern Queensland

**South Australia**

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

**Tasmania**

University of Tasmania

**Victoria**

Deakin University
Federation University Australia
La Trobe University
Monash University
Royal Melbourne Institute of Technology (RMIT University)
Swinburne University of Technology
The University of Melbourne
University of Divinity
Victoria University

**Western Australia**

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

## A17.2 Additional Eligible Organisations

Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)

Additional Eligible Organisations may be specified on a scheme by scheme basis.

# Part B – Scheme-specific rules for *Industrial Transformation Research Hubs* for funding commencing in 2015

## B1. Interpretation

B1.1 Part B contains the scheme-specific rules for *Industrial Transformation Research Hubs* for funding commencing in 2015.

B1.2 Funding for approved Projects for *Industrial Transformation Research Hubs* for funding commencing in 2015 will commence with effect from 1 July 2015.

## B2. Additional Definitions for Part B

For the purposes of this Part:

B2.1 **Hub Director** means a researcher who satisfies the eligibility criteria for a Hub Director under these Funding Rules.

B2.3 **Hub Manager** means a person with relevant skills and experience who is able to manage and facilitate the day-to-day operation of the Hub.

B2.4 **Industry Advisory Panel** (IAP) means a group of experts drawn from both academia and industry and appointed to assist the ARC to identify and to evaluate excellence in industry-relevant research.

B2.5 **Industry Growth Centre** means The Industry Growth Centres Initiative as described under www.business.gov.au as the centrepiece of the Government's new industry policy direction and part of the Industry Innovation and Competitiveness Agenda. These Growth Centres have been established to deliver the Initiatives in high-growth sectors within the Industry and Science Portfolio.

B2.6 **Industrial Transformation Priorities** means targeted research areas identified by the ARC and updated from time-to-time on the ARC website at www.arc.gov.au.

B2.7 **ITRH** means the *Industrial Transformation Research Hubs* scheme.

B2.8 **ITTC** means the *Industrial Transformation Training Centres* scheme.

B2.9 **Key Performance Indicators** (KPIs) means a set of quantifiable measures that an ARC Research Hub uses to monitor and report on progress of research outcomes.

## B3. Overview

B3.1. The *Industrial Transformation Research Hubs* scheme will provide funding to Eligible Organisations to engage in cutting edge research on new technologies and economic, commercial and social transformation and support the development of research in the Industrial Transformation Priorities. Research Hubs will engage Australia's best researchers in issues facing the new industrial economies and training the future workforce. The scheme supports collaborative research activity between the Australian higher education sector and industry, designed to focus on strategic outcomes not independently realisable.

## B4. Objectives

B4.1 The objectives of the *Industrial Transformation Research Hubs* scheme are to:

a. encourage collaborative R&D projects between universities and organisations outside the Australian higher education sector that will solve challenging industry issues relevant to the Industrial Transformation Priorities

b. drive growth, productivity and competitiveness to within key growth sectors

c. leverage national and international investment in targeted industry sectors, including from industry and other research end-users.

## B5. Selection Criteria

B5.1 All Proposals that meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:

a. <u>Proposed Project</u>
(30%)

- Does the research clearly address one or more of the Industrial Transformation Priorities?
- Will the aims, concepts, methods and outcomes drive growth, productivity and competitiveness within key growth sectors?
- Does the method, approach and intended benefits proposed address the objectives of the *Industrial Transformation Research Hubs* scheme?
- Does the Project draw together high quality innovative national and international partnership(s) into an integrated Hub?
- Is the conceptual/theoretical framework, genuinely integrated, broad, cross-disciplinary, innovative and original?

b. <u>Feasibility and Benefit</u>
(30%)

- Does the Research Hub demonstrate meaningful engagement with the relevant Industry Growth Centre(s)?
- Are there adequate strategies to encourage dissemination, promotion, and the commercialisation of research outcomes?
- Is there a clearly identified market opportunity and benefit to Australian industry?
- Is the design of the Project and the expertise of the participants sufficient to ensure the Project can be completed within the proposed budget and timeframe? This should include identified risks and mitigation strategies?
- Does the Project have a wide level of collaboration, including the development of national and international networks and linkages?
- Does the Project Research Environment provide high-quality intellectual support for the Project?

- Will the Project build research capacity in the Partner Organisation(s)?
- Are the necessary facilities to complete the Project available?
- Does the Research Hub represent value for money?

c. Capacity and Commitment from Partner Organisation(s) (20%)

- Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the Project?
- Is there evidence that the Partner Organisation(s) have the capacity to support the Project?
- Is the budget justification of the Cash and In-kind Contributions adequate?

d. Investigator(s) (20%)

- Is this the best team to achieve the project goals?
- Does the team demonstrate suitable Research opportunity and performance evidence (ROPE)?
- Do the leadership and team have suitable experience in management of collaborative industrial and end-user focussed research?
- Does the team have the time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s)?

## B6. Funding

### B6.1 Level and Period of Funding

B6.1.1 The minimum level of funding provided by the ARC under *Industrial Transformation Research Hubs* is $500,000 per year and the maximum is $1 million per year of funding per Project, for each year of the Project.

B6.1.2 A Project may be applied for and awarded funding for a minimum of three years and a maximum of five consecutive years, subject to sufficient funding being available for the *Industrial Transformation Research Hubs* scheme, the provisions of the ARC Act, and continued satisfactory progress of the Research Hub.

B6.1.3 Funding for approved Projects will commence effective as specified at B1.2. Funding for approved Projects will commence after Ministerial announcement or other arrangements that are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act, and continued satisfactory progress of the Project.

## B7. Budget Items Supported

B7.1 In addition to budget items supported at A7.1.1, budget items that directly support a research Project may be funded, including:

a. personnel:

i. salary support for a Hub Manager, research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 30 per cent on-costs, for the Administering Organisation; and

ii. stipends for Higher Degree by Research (HDR) candidates enrolled at an Eligible Organisation, at $31,298 (2015$, 1.0 FTE) per year.

b. teaching relief for CIs up to a total value of $50,000 per year where it is demonstrated that it will enhance engagement with the Partner Organisation(s).

## B8. Organisational Types, Roles and Eligibility

### B8.1 Partner Organisations General Requirements

B8.1.1 A Proposal must include at least one Australian Partner Organisation.

### B8.2 Partner Organisation Contribution Requirements

B8.2.1 The Proposal must demonstrate that the **combined** Partner Organisation(s) contributions (i.e. the total of the cash and in-kind contributions of the Partner Organisations) must at least match the total funding requested from the ARC.

B8.2.2 Pursuant to subsection B6.1.1, a Proposal may seek a minimum of $500,000 and up to $1 million per year from the ARC.

B8.2.3 The **combined** Partner Organisation(s) Cash Contribution where any Partner Organisation has more than 100 employees must be at least 75 per cent of the total funding requested from the ARC. Where the Partner Organisation or the largest Partner Organisation in a consortium in the proposal has 100 employees or less, there is no minimum combined Partner Organisation(s) Cash Contribution.

B8.2.4 There is no upper limit on the **combined** Partner Organisation(s) In-kind Contributions.

### B8.3 Additional Eligible Organisations

B8.3.1 In addition to the organisations listed in section A17, National ICT Australia is an Eligible Organisation for *Industrial Transformation Research Hubs* for funding commencing in 2015.

## B9. Roles and Eligibility for Participants

### B9.1 Participant Roles and General Eligibility

B9.1.1 Roles that may be nominated in a Proposal are:

a. Hub Director;

b. Chief Investigator (CI); or

c. Partner Investigator (PI).

B9.1.2 The following roles must be nominated in a Proposal:

a. at least two CIs from the Administrating Organisation, where one will be the Hub Director;

b. at least one CI from each Eligible Organisation; and

c. at least one PI from each Partner Organisation.

### B9.2 Eligibility Criteria for a Hub Director

B9.2.1 The Hub Director must meet all the eligibility criteria for a CI and must be employed by the Administering Organisation at the commencement of the Project and for the duration of the Project.

B9.2.2 The Hub Director is expected to have a minimum time commitment of 0.5 FTE on the activities of the Hub. If a Hub Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.

B9.2.3 The Hub Director will be responsible for developing and implementing the strategies and managing the research Project in cooperation with the Hub Manager (where a Manager is appointed on the Project). The Hub Director must coordinate the research effort and reporting structures across the Eligible Organisation(s) and Partner Organisation(s).

B9.2.4 The Hub Director is expected to demonstrate that they have the time and capacity to engage effectively in the activities of the Project. If a Hub Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.

B9.2.5 If a Proposal has been approved for funding and the Hub Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Hub Director provided that:

a. prior approval is obtained from the ARC for the change in Hub Director;

b. a replacement Hub Director meets the eligibility criteria for a Hub Director and those for a CI at the time of her/his nomination and for the full term of her/his participation in the Project, and the reasons for replacement justified to the satisfaction of the ARC; and

c. the Administering Organisation has obtained approval from all participating organisations for the change in Hub Director.

## B10. Proposals

### B10.1 Number of Proposals and Cross-Scheme Eligibility

B10.1.1 A CI may only submit and/or be funded concurrently for a maximum of two Projects and/or Proposals from the *Industrial Transformation Research Hubs* and *Industrial Transformation Training Centres* schemes either separately or combined. A CI may only hold the role of Hub Director, Training Centre Director or Director of an ARC Centre for one Project or Proposal at a time.

B10.1.2 A CI or Hub Director cannot be involved in more than the maximum number of *Industrial Transformation Research Hubs*/*Industrial Transformation Training Centres* Projects permitted. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding and the number of Proposals submitted for funding. A Project is considered to be funded for the years set out in the Funding Agreement.

### B10.2 Proposal Eligibility and Duplication

B10.2.1 A Proposal may only be submitted where the research addresses one or more of the Industrial Transformation Priorities for the current round.

## B11. Assessment and Selection Process

B11.1 In addition to the assessment process at A13, *Industrial Transformation Research Hubs* Proposals may be subject to additional assessment, including:

a. short-listing within the group of *Industrial Transformation Research Hubs* Proposals; and

b. interviews with the proposed Hub Director and key participants in a format determined by the ARC. The ARC will not fund interviewee participation in interviews.

## B12. Reporting Requirements

### B12.1 Key Performance Indicators

B12.1.1 The Administering Organisation will be required to submit KPIs for each Research Hub approved by the ARC.

B12.1.2 The KPIs for each Research Hub must include targets for each year of funding against standard KPIs as well as project-specific KPIs and targets for each year of funding. The ARC will provide the Administering Organisation with a form and instructions for this report.

B12.1.3 The Administering Organisation must report against the agreed KPIs annually in Progress Reports.

### B12.2 Progress Reports

B12.2.1 The Administering Organisation must submit an annual Progress Report to the ARC for each Research Hub in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au.

### B12.3 Performance Reviews

B12.3.1 Ad hoc reviews of Research Hubs, which may inform satisfactory progress according to B6.1.2, may be held at any time. A review will be triggered in special circumstances including, but not limited to:

a. a change of Hub Director; or

b. proposed transfer of the Research Hub to a new Administering Organisation.

B12.3.2 Outcomes and feedback arising from the performance reviews as outlined above may inform future evaluations of the *Industrial Transformation Research Hubs* scheme.

# Part C – Scheme-specific rules for *Industrial Transformation Training Centres* for funding commencing in 2016

## C1. Interpretation

C1.1 Part C contains the scheme-specific rules for *Industrial Transformation Training Centres* for funding commencing in 2016.

C1.2 Funding for approved Projects for *Industrial Transformation Training Centres* for funding commencing in 2016 will commence with effect from 1 January 2016.

## C2. Additional Definitions for Part C

For the purposes of this Part:

C2.1 **ICHDR** means an HDR candidate funded by the ARC through the Administering Organisation, who meets the ICHDR candidate eligibility criteria under these Funding Rules, and who will be employed on the ITTC Project.

C2.2 **ICPD** means a postdoctoral fellow funded by the ARC through the Administering Organisation, who meets the ICPD candidate eligibility criteria under these Funding Rules, and who will be employed on the ITTC Project.

C2.3 **Industry Advisory Panel** (IAP) means a group of experts drawn from both academia and industry and appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the ARC.

C2.4 **Industry Growth Centre** means The Industry Growth Centres Initiative as described under www.business.gov.au as the centrepiece of the Government's new industry policy direction and part of the Industry Innovation and Competitiveness Agenda. These Growth Centres have been established to deliver the Initiatives in high-growth sectors within the Industry and Science Portfolio.

C2.5 **Industrial Transformation Priorities** means targeted research areas identified by the ARC and updated from time-to-time on the ARC website at www.arc.gov.au.

C2.6 **ITRH** means the *Industrial Transformation Research Hubs* scheme.

C2.7 **ITTC** means the *Industrial Transformation Training Centres* scheme.

C2.8 **Key Performance Indicators** (KPIs) means a set of quantifiable measures that an ARC Training Centre uses to monitor and report on progress of research outputs and outcomes.

C2.9 **Training Centre Director** means a researcher who satisfies the eligibility criteria for a Training Centre Director under these Funding Rules.

C2.10 **Training Centre Manager** means a person with relevant skills and experience who is able to manage and facilitate the day-to-day operation of the Centre.

## C3. Overview

C3.1 The *Industrial Transformation Training Centres* is a scheme that fosters close partnerships between university-based researchers and other research end-users to provide innovative Higher Degree by Research (HDR) and postdoctoral training for the end-user focused research industries vital to Australia's future.

## C4. Objectives

C4.1 The objectives of the *Industrial Transformation Training Centres* scheme are to:

a. foster opportunities for Higher Degree by Research candidates and postdoctoral fellows to pursue industrial training

b. drive growth, productivity and competitiveness within key growth sectors; and

c. enhance competitive research collaboration between universities and organisations outside the Australian higher education sector

d. strengthen the capabilities of industries and other research end-users in identified Industrial Transformation Priority areas.

## C5. Selection Criteria

C5.1 Proposals will be assessed and ranked using the following selection criteria:

a. <u>Proposed Project</u> (30%)

- Does the method and approach proposed clearly address one or more of the nominated Industrial Transformation Priorities?
- Will the aims, concepts, methods and outcomes drive growth, productivity and competitiveness within key growth sectors?
- Does the method, approach and intended benefits proposed address the objective of the *Industrial Transformation Training Centres* scheme?
- Is the conceptual/theoretical framework genuinely integrated, cross-disciplinary, innovative and original?
- Will the Project build skills and capacity in end-user focussed research?

b. <u>Feasibility and Benefit</u> (30%)

- Does the Training Centre demonstrate meaningful engagement with the relevant Industry Growth Centre(s)?
- Are there adequate strategies to encourage dissemination, promotion, and the commercialisation of research outcomes?
- Is there a clearly identified market opportunity and benefit to Australian industry?
- Does the research Project have a wide level of collaboration, including the development of national and international networks and linkages?

- Does the research address the needs of industries and communities as articulated in Australia's Industrial Transformation Priorities for the current round?
- Does the proposed Training Centre represent value for money?

c. Collaborative Project Research Environment (20%)

- Is there evidence that the Partner Organisation(s) have the facilities and personnel to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the life of the Project?
- Does the Project Research Environment provide high-quality intellectual support for the Project?
- Are the necessary facilities to support the proposed research (physical, technical, access to infrastructure, etc.) available?
- Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research project?
- Is there evidence that each of the Partner Organisation(s) has the capacity to support the Project?
- Are there collaborative arrangements for the organisation(s) and team?

d. Training Centre Director and Supervisors (20%)

- Is this the best team to achieve the project goals?
- Do the team demonstrate suitable Research opportunity and performance evidence (ROPE)?
- Do the team have experience in engagement with industrial and/or end-user focussed research?
- Is there evidence that the Training Centre Director and supervisors have the time and capacity to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the life of the Project?
- Do the team have the time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s)?

## C6. Funding

### C6.1 Level and Period of Funding

C6.1.1 A Project may be applied for and awarded funding for four or five consecutive years, subject to sufficient funding being available for the *Industrial Transformation Training Centres* scheme, the provisions of the ARC Act, and continued satisfactory progress of the Project.

C6.1.2 Each Project should request funding from the ARC for at least ten ICHDRs and three ICPDs at the rates as indicated in subsection C7.1.a.

C6.1.3 Contributions from participating organisations may be used to top-up the salaries of the ICHDRs and ICPDs requested under C6.1.2.

C6.1.4 A Project may include additional HDR and postdoctoral roles fully funded by participating organisation contributions, however these roles are not considered to be ICHDRs and ICPDs, are not covered by the employment conditions in the Funding Agreement and are therefore not eligible to access the entitlements set out in the Funding Agreement.

C6.1.5 The minimum level of funding provided by the ARC under *Industrial Transformation Training Centres* is $650,000 per year for the first three years and $150,000 in the fourth year. There is no minimum level of funding provided by the ARC in the fifth year. The maximum level of funding is $1 million per year per Project, for each year of the Project.

C6.1.6 ICHDR stipends must be requested in the Proposal budget for a duration of two or three years, as appropriate for the HDR that the ICHDR is undertaking.

C6.1.7 It is anticipated that many or all of the ICHDR students may require a six month extension of their funding in order to complete research and submit their thesis. The six month ICHDR extension will be subject to prior ARC approval in the relevant year of the Project. Funding to support an ICHDR extension must be requested for each ICHDR candidate on the Proposal, and must be included in the relevant year of the Proposal budget.

C6.1.8 Funding for approved Projects will commence effective as specified at C1.2, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.

## C7. Budget Items Supported

C7.1 In addition to budget items supported at A7.1.1, budget items that directly support a research Project may be funded, including:

a. personnel:

i. stipends for ICHDRs enrolled at an Eligible Organisation, at $31,298 (2015$, 1.0 FTE) per year for a two or three year period. All ICHDR stipends requested from the ARC must include a request for a pro-rata six month extension in the relevant year of the Proposal budget;

ii. ICPDs, at $106,688 (2015$, 1.0 FTE) per year for researchers appointed for at least half-time (50 per cent of Full Time Equivalent) at an Eligible Organisation for the duration of their role on the Project; and

iii. salary support for a Training Centre Manager, research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 30 per cent on-costs, for the Administering Organisation.

## C8. Organisational Types, Roles and Eligibility

### C8.1 Eligible Organisations Requirements

C8.1.1 The Administering Organisation will be responsible for ensuring that:

a. ICHDRs funded under the *Industrial Transformation Training Centres* scheme conduct research for a minimum total of one year full-time placement within a Partner Organisation (outside the higher education sector) over the life of the Project; and

b. ICHDRs and ICPDs funded under the *Industrial Transformation Training Centres* scheme meet all the conditions in these Funding Rules.

C8.1.2 In addition to the organisations listed in section A17, National ICT Australia is an Eligible Organisation for *Industrial Transformation Training Centres* for funding commencing in 2016.

### C8.2 Partner Organisations General Requirements

C8.2.1 A Proposal must include at least one Australian Partner Organisation.

### C8.3 Partner Organisation Contribution Requirements

C8.3.1 The Proposal must demonstrate that the **combined** Cash and In-kind Contributions to the Training Centre are sufficient to support all the research projects described in the Proposal and particularly that of the ICHDRs and ICPDs in the Training Centre.

## C9. Roles and Eligibility for Participants

### C9.1 Participant Roles and General Eligibility

C9.1.1 Roles that may be nominated in a Proposal are:

a. Training Centre Director;

b. Chief Investigator (CI); or

c. Partner Investigator (PI).

C9.1.2 The following roles must be nominated in a Proposal:

a. at least two CIs from the Administrating Organisation, where one will be the Training Centre Director;

b. at least one CI from each Eligible Organisation; and

c. at least one PI from each Partner Organisation.

### C9.2 Eligibility Criteria for a Training Centre Director

C9.2.1 The Training Centre Director must meet all the eligibility criteria for a CI and must be employed by the Administering Organisation at the commencement of and for the duration of the Project.

C9.2.2 The Training Centre Director is expected to have a minimum time commitment of 0.5 FTE on the activities of the Centre. If a Training Centre Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.

C9.2.3 The Training Centre Director will be responsible for developing and implementing the strategies and managing the research Project in cooperation with the Training Centre Manager (where a Manager is appointed on the Project). The Training Centre Director must coordinate the research effort and reporting structures across Eligible Organisation(s) and Partner Organisation(s).

C9.2.4 The Training Centre Director is expected to be fully committed to the activities of the Project with a significant commitment of time. If a Training Centre Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.

C9.2.5 If a Proposal has been approved for funding and the Training Centre Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Training Centre Director provided that:

a. prior approval is obtained from the ARC for the change in Training Centre Director;

b. a suitable replacement Training Centre Director meets the eligibility criteria for a Training Centre Director and those for a CI at the time of her/his nomination and for the full term of her/his participation in the Project, and the reasons for replacement are justified to the satisfaction of the ARC; and

c. the Administering Organisation has obtained approval from all participating organisations for the change in Training Centre Director.

## C10. Selection of ICHDRs and ICPDs

### C10.1 General

C10.1.1 Once a successful Proposal for the *Industrial Transformation Training Centres* scheme has been approved and announced, the successful Administering Organisation must then undertake a process of competitive national and international recruitment for ICHDRs and ICPDs to be appointed under the scheme. The recruitment and selection processes must:

a. include competitive recruitment practices involving advertisement, selection and offers; and

b. demonstrate an effort to attract and recruit external and international candidates.

C10.1.2 Details of the selection and recruitment process must be made available on request to the ARC for audit purposes.

### C10.2 Roles and Eligibility for appointed ICHDRs and ICPDs

C10.2.1 For the duration of their candidature, ICHDRs recruited to and funded under the *Industrial Transformation Training Centres* scheme must be enrolled in a Higher Degree by Research at an Eligible Organisation.

C10.2.2 For the duration of their role on the Project, ICPDs funded under the *Industrial Transformation Training Centres* scheme must hold a PhD qualification and be an employee for at least half-time (50 per cent of Full Time Equivalent) at an Eligible Organisation—this excludes honorary, adjunct or equivalent appointments.

C10.2.3 The ICHDRs and ICPDs funded under the *Industrial Transformation Training Centres* scheme cannot commence another Commonwealth Award or Fellowship while they are employed with funds from the Project.

C10.2.4 In accordance with subsection C8.1.1.a, ICHDRs funded under the *Industrial Transformation Training Centres* scheme must conduct a minimum total of one year in full-time placement within a Partner

Organisation (outside the higher education sector) over the life of the Project.

### C10.3 Extension of ICHDRs

C10.3.1 In accordance with subsections C6.1.6 and C6.1.7, the Proposal must include a request for an initial two or three year stipend period in the Proposal budget, and must also include a request in the relevant year of the Proposal budget for a six month extension, for all ICHDRs.

## C11. Proposals

### C11.1 Number of Proposals and Cross-Scheme Eligibility

C11.1.1 A CI may only submit and/or be funded concurrently for a maximum of two Projects and/or Proposals from the *Industrial Transformation Training Centres* and *Industrial Transformation Research Hubs* schemes either separately or combined. A CI may only hold the role of Training Centre Director, Hub Director or Director of an ARC Centre for one Project or Proposal at a time.

C11.1.2 A CI or Training Centre Director cannot be involved in more than the maximum number of *Industrial Transformation Training Centres*/ *Industrial Transformation Research Hubs* Projects permitted in 2016. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding at 1 January 2016 and the number of Proposals submitted for funding commencing 1 January 2016. A Project is considered to be funded for the years set out in the Funding Agreement.

### C11.2 Proposal Eligibility and Duplication

C11.2.1 A Proposal may only be submitted where the research addresses one or more of the Industrial Transformation Priorities for the current round.

## C12. Reporting Requirements

### C12.1 Key Performance Indicators

C12.1.1 The Administering Organisation will be required to submit KPIs for each Training Centre approved by the ARC.

C12.1.2 The KPIs for each Training Centre must include targets for each year of funding against standard KPIs as well as project specific KPIs and targets for each year of funding. The ARC will provide the Administering Organisation with a form and instructions for this report.

C12.1.3 The Administering Organisation must report against the agreed KPIs annually in Progress Reports.

### C12.2 Progress Reports

C12.2.1 The Administering Organisation must submit an annual Progress Report to the ARC for each Training Centre in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au.

### C12.3 Performance Reviews

C12.3.1 Ad hoc reviews of Training Centres, which may inform satisfactory progress according to C6.1.1, may be held at any time. A review will be triggered in special circumstances including, but not limited to:

a. a change of Training Centre Director; or

b. proposed transfer of the Training Centre to a new Administering Organisation.

C12.3.2 Outcomes and feedback arising from the performance reviews as outlined above may inform future evaluations of the *Industrial Transformation Training Centres* scheme.

# Part D – Scheme-specific rules for *Linkage Projects* for funding commencing in 2016

## D1. Interpretation

D1.1 Part D contains the scheme-specific rules for *Linkage Projects* for funding commencing in 2016.

D1.2 The Commencement Date for *Linkage Projects* for funding commencing in 2016 is 1 July 2016.

## D2. Additional Definitions for Part D

D2.1 **Exempt Archive and Public Record Office** means a non-profit organisation which holds a significant national, state or regional collection of data or documents for the purposes of public information and record-keeping and available for the purposes of research.

D2.2 **Exempt Charity** means an organisation which meets the definition of a charity under the *Charities Act 2013*.

D2.3 **Exempt Herbarium**[2] means a non-profit, established institution in the service of society, which acquires, conserves, and researches preserved and labelled plant specimens, arranged to allow easy access and archival storage with a mission to preserve and document the diversity of plants.

D2.4 **Exempt Museum and Collecting Organisation**[3] means a non-profit, established institution in the service of society and its development, open to the public, which acquires, conserves, researches, communicates and exhibits the tangible and intangible heritage of humanity and its environment for the purposes of education, study and enjoyment.

D2.5 **Exempt Non-Profit Organisation** means an organisation which meets the Australian Taxation Office (ATO) definition of a non-profit organisation – an organisation that does **not** operate for the profit or gain of its individual members, either directly or indirectly. This applies both while the organisation is operating and when it winds up. This definition is available at www.ato.gov.au.

D2.6 **Exempt Start-up** means a company that is commercialising research and development (R&D) activities and has an average annual revenue over the previous two years of income that does not exceed $5 million per year. The start-up must have a majority of its employees (by number) and assets (by value) inside Australia.

D2.7 **LP** means the *Linkage Projects* scheme.

D2.8 **Project Leader** means the first-named CI on a Proposal.

## D3. Overview

D3.1 The *Linkage Projects* scheme provides funding to Eligible Organisations to support research and development (R&D) projects which are collaborative between higher education researchers and other parts of the national

[2] Adapted from: http://herbarium.msu.edu/definition.html
[3] Adapted from: http://icom.museum/the-vision/museum-definition/

innovation system, which are undertaken to acquire new knowledge, and which involve risk or innovation.

## D4. Objectives

D4.1 The objectives of the *Linkage Projects* scheme are to:

a. support the initiation and/or development of long-term strategic research alliances between higher education organisations and other organisations, including industry and other research end-users, in order to apply advanced knowledge to problems and/or to provide opportunities to obtain national economic, commercial, social or cultural benefits

b. provide opportunities for internationally competitive research projects to be conducted in collaboration with organisations outside the higher education sector, targeting those who have demonstrated a clear commitment to high-quality research

c. encourage growth of a national pool of world-class researchers to meet the needs of the broader Australian innovation system

d. build the scale and focus of research in the national Science and Research Priorities.

## D5. Selection Criteria

D5.1 Proposals will be assessed and merit ranked using the following selection criteria:

a. Investigator(s) (20%)

- research opportunity and performance evidence (ROPE);
- potential to engage in collaborative research with end-users; and
- time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s).

b. Proposed Project (50%) comprising

i. Significance and Innovation (25%)

- Will new methods or technologies be developed that address a specific market opportunity?
- How will the anticipated outcomes advance the knowledge base and/or provide an industry advantage?
- Does the Project plan provide a business model for implementation?
- Will the proposed research maximise economic, commercial, environmental and/or social benefit to Australia?
- Does the Project address the Science and Research Priorities?
- Are the Project aims and concepts novel and innovative?
- Does the research address an important problem for the partners?
- How will the Project benefit Partner Organisation(s) and other relevant end-users?

- Does the Project significantly enhance links with organisations outside the Australian publicly-funded research and higher education sectors?

ii. Approach and Training (15%)

- Are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the Project?
- Where relevant, is the intellectual content and scale of the work proposed appropriate to a higher degree by research?
- How appropriate is the proposed budget?
- Does the Project represent value for money?

iii. Project Research Environment (10%)

- Is there an existing, or developing, supportive and high-quality Project Research Environment for this Project, both within the Administering Organisation and in the Partner Organisation(s)?
- Are the necessary facilities available to conduct the proposed research?

c. Commitment from Partner Organisation(s) (30%)

- Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research Project?
- Will the proposed research encourage and develop strategic research alliances between the higher education organisation(s) and other organisation(s)?
- Is the budget justification for Cash and In-kind Contributions adequate?
- Are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?

## D6. Funding

### D6.1 Level and Period of Funding

D6.1.1 The minimum level of funding provided by the ARC under *Linkage Projects* is $50,000 per year of funding and the maximum is $300,000 per year of funding per Project, for each year of the Project.

D6.1.2 A Project may be applied for and awarded funding for a minimum of two to a maximum of five consecutive years.

D6.1.3 Funding for approved Projects will commence with effect at the Commencement Date specified at D1.2, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act, and continued satisfactory progress of the Project.

## D7. Budget Items Supported

D7.1 In addition to budget items supported at A7.1.1, budget items that directly support a research project may be funded, including:

a. personnel:

i. salary support for research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 30 per cent on-costs, for the Administering Organisation; and

ii. stipends for Higher Degree by Research (HDR) students, in whole or in part, at an appropriate level for the Administering Organisation or the relevant industry sector; and

b. teaching relief for CIs up to a total value for the Project of $50,000 per year.

## D8. Organisational Types, Roles, Eligibility and Contributions

### D8.1 Partner Organisations General Requirements

D8.1.1 A Proposal must include at least one Partner Organisation.

### D8.2 Partner Organisation Contribution Requirements

D8.2.1 The Proposal must demonstrate that the **combined** Partner Organisation(s) eligible contributions for a Proposal (i.e. the total of the cash and/or in-kind eligible contributions of the Partner Organisations) must at least match the total funding requested from the ARC.

D8.2.2 Pursuant to subsection D6.1.1, a Proposal must seek a minimum $50,000 and up to $300,000 a year from the ARC, for each year of the Proposal.

D8.2.3 The **combined** Partner Organisation(s) eligible Cash Contribution must be at least 25 per cent of the total funding requested from the ARC.

D8.2.4 Partner Organisation(s) whose funds are appropriated predominantly from Commonwealth or Australian State or Territory funding sources for the purposes of research are restricted in their capacity to contribute to the required Partner Organisation contribution. Cash and/or in-kind contributions from Partner Organisation(s) of this type are only eligible to make up a maximum of 25 per cent of the required Partner Organisation contribution. This maximum of 25 per cent is the combined eligible contribution from Partner Organisations of this type, and is not the maximum per individual Partner Organisation of this type.

D8.2.5 Partner Organisation(s) whose funds are appropriated predominantly from Commonwealth or Australian State or Territory funding sources for the purposes of research can make combined contributions to the Project over and above 25 per cent of the required Partner Organisation contribution, however these additional contributions are not eligible to make up part of the required Partner Organisation contribution.

D8.2.6 The following types of Partner Organisation(s), as defined at D2 of the Funding Rules, are exempt from the Cash Contribution requirements:

a. Exempt Archive and Public Record Office;

b. Exempt Charity;

c. Exempt Herbarium;

d. Exempt Museum and Collecting Organisation;

e. Exempt Non-Profit Organisation; and

f. Exempt Start-up.

D8.2.7 Proposals in which all Partner Organisations are exempt from the Cash Contribution requirements do not have to meet the overall Cash Contribution requirement specified at D8.2.3.

## D9. Roles and Eligibility for Participants

### D9.1 Participant Roles and General Eligibility

D9.1.1 Roles that may be nominated in a Proposal are:

a. Chief Investigator (CI); or

b. Partner Investigator (PI).

D9.1.2 The Proposal must nominate at least one CI from an Eligible Organisation. The first named CI must be from the Administrating Organisation and will be the Project Leader.

D9.1.3 The Proposal may nominate a PI from each Partner Organisation. A PI who is representing a Partner Organisation on the Proposal is required to have a role within that Partner Organisation.

## D10. Proposals

### D10.1 Number of Proposals and Cross-Scheme Eligibility

D10.1.1 A CI may submit and/or be funded concurrently for a maximum of four *Linkage Projects* as a CI.

D10.1.2 A CI cannot be involved in more than the maximum number of Projects (including Awards and Fellowships) permitted in 2016. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding at 1 July 2016 and the number of Proposals submitted for funding commencing 1 July 2016. A Project is considered to be funded for the years set out in the Funding Agreement.

D10.1.3 Researchers will not be permitted to relinquish a CI role, or existing Linkage Project held on 1 July 2015, to circumvent the limits in this section.

## D11. Reporting Requirements

### D11.1 Progress Reports

D11.1.1 Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.

D11.1.2 In addition to the requirements at A15.1 and D11.1.1, a Progress Report outlining progress in both research and business objectives as appropriate must be submitted for year three of a four- or five-year Project.

# Part E – Scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2017

## E1. Interpretation

E1.1 Part E contains the scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2017.

E1.2 The Commencement Date for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2017 is 1 January 2017.

## E2. Additional Definitions for Part E

E2.1 **CI Manager** means a participant with a responsibility to coordinate access to the research infrastructure and manage the communication between the organisations on the Proposal.

E2.2 **LIEF** means the *Linkage Infrastructure, Equipment and Facilities* scheme.

E2.3 **Project Leader** means the first-named CI on a Proposal.

E2.4 **Single Eligible Organisation Proposal** means a Proposal which includes only one Eligible Organisation (the Administering Organisation). A Single Eligible Organisation Proposal may or may not include Partner Organisations.

## E3. Overview

E3.1 The *Linkage Infrastructure, Equipment and Facilities* (LIEF) scheme provides funding for research infrastructure, equipment and facilities to eligible organisations. The scheme enables higher education researchers to participate in cooperative initiatives so that expensive infrastructure, equipment and facilities can be shared between higher education organisations and also with industry. The scheme also fosters collaboration through its support of the cooperative use of international or national research facilities.

## E4. Objectives

E4.1 The objectives of the LIEF scheme are to:

a. encourage Eligible Organisations to develop collaborative arrangements with other Eligible Organisations and/or Partner Organisations to develop and support research infrastructure

b. support large-scale national or international cooperative initiatives allowing expensive research infrastructure to be shared and/or accessed

c. support areas of existing and/or emerging research strength

d. support and develop research infrastructure for the broader research community.

## E5. Selection Criteria

E5.1 Proposals will be assessed and ranked using the following selection criteria:

a. <u>Significance of research to be supported with the proposed research infrastructure:</u> 20%

i. nature of the research, including aims and significance;

ii. relevance of the proposed research infrastructure to the needs of ARC and other competitively funded research projects/programmes;

iii. enhancement of support for areas of existing and/or emerging research strength; and

iv. demonstrated national or international focus for large scale cooperative initiatives.

b. Need and use of the proposed research infrastructure: 30%

i. demonstrated need for the features specific to the requested research infrastructure;

ii. availability of and access to similar research infrastructure at organisational, regional, national and/or international level;

iii. demonstrated needs from the researchers and/or research projects that will utilise the proposed research infrastructure, including level of demand and likely measurable impact on the research programme, including beyond the duration of the project;

iv. value for money and budget justification for cash and in-kind contributions, and the expected rate of use of the proposed research infrastructure;

v. planned use of the proposed research infrastructure, including proposed arrangements for broader access to individuals not named on the Proposal and the alignment of this planned use with other similar existing infrastructure within Australia and/or internationally;

vi. special needs for regional or otherwise isolated institutions; and

vii. national benefit of the proposed research infrastructure to the broader research community.

c. Nature of the alliance and commitment between the organisations named on the Proposal: 30%

i. relevance of the research to the strategic priorities of the organisations;

ii. evidence that each of the organisations is genuinely committed to, and prepared to collaborate in, the Project;

iii. existing or planned strategic research alliances between the higher education organisation(s) and other organisation(s); and

iv. effectiveness of cooperative arrangements for the management and sharing of the proposed research infrastructure, including arrangements for ongoing operational expenditure where applicable.

d. Investigator(s): 20%

i. track record of investigators relevant to the use of the proposed research infrastructure, with consideration given to Research Opportunity and Performance Evidence (ROPE);

ii. for CIs and PIs who will manage the purchase, design, manufacture, installation, maintenance and coordination of

access to the proposed research infrastructure, a demonstrated record in these activities; and

iii. relevance of the research infrastructure to the research capacity and planned activities of each CI and PI on the Proposal and, where relevant, to the research groups represented on the Proposal.

## E6. Funding

### E6.1 Level and Period of Funding

E6.1.1 The minimum level of funding provided by the ARC under LIEF is $150,000 per year.

E6.1.2 The maximum level of funding provided by the ARC for a Project under LIEF is up to 75 per cent of the total direct cost of the eligible budget items.

E6.1.3 All LIEF Proposals must have a duration of one year, except as described in E6.1.4.

E6.1.4 A Project may be applied for up to five years only for:

a. construction of research infrastructure, as described at E7.1.b; or

b. subscription or coordinated access to international facilities and major national facilities, as described at E7.1.d.

A Proposal must request ARC funding in all years of the Project and each year must be fully justified.

E6.1.5 Funding for a Project may only be carried forward for a maximum of two years from the date funding commences, unless there are exceptional circumstances and with the prior approval of the ARC.

E6.1.6 Funding for approved projects will commence effective from the Commencement Date specified at E1.2, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.

## E7. Budget Items Supported

E7.1 Budget items which directly support provision of research infrastructure for use in research projects may be funded, including:

a. purchase, upgrade, transportation of, installation of, maintenance of and/or management of access to the research infrastructure, including costs such as import taxes (and other similar expenses) for purchasing equipment, and salaries, including 30 per cent on-costs, directly associated with these activities;

b. construction of research infrastructure, for up to five years. This includes salaries, including 30 per cent on-costs, directly associated with this activity;

c. integrated research facilities consisting of multiple components which can be used either simultaneously or serially for research projects (where each of these research projects is integrated by having a single research aim or theme). However multiple components that are not

genuinely integrated, cannot be requested solely to reach the minimum level of funding specified at E6.1.1;

d. subscription or coordinated access to international facilities and major national facilities (enabled under a written agreement between the Administering Organisation and the relevant international or national facility), for up to five years;

e. library and research information infrastructure (non-capital aspects only) to support specific research projects/programmes which may also include salaries and minor pieces of equipment to build an integrated facility; and

f. compilations, catalogues, clearing houses or bibliographies that build on and develop other current or recent competitively funded projects/programmes.

E7.2 All budget items must be justified in the Proposal to the satisfaction of the ARC and the assessors involved in the peer review process, including confirmation that competitive quotes were negotiated for the research infrastructure.

E7.3 Any salary costs requested under E7.1.a or E7.1.b need to be very carefully justified.

E7.4 With regard to a written agreement as at E7.1.d, the agreement should be for the specific international facility under discussion and the negotiations about the agreement need to have commenced by the time of submission of the Proposal.

## E8. Budget Items Not Supported

E8.1 In addition to the budget items not supported under section A8, budget items which will not be supported by ARC funding and should not be requested in the budget include:

a. basic facilities that should normally be funded by an Administering Organisation, Eligible Organisation and/or Partner Organisation (including standard refurbishment costs of a laboratory);

b. costs of accommodation associated with the use of the proposed research infrastructure;

c. maintenance and/or operational costs of the proposed research infrastructure after the first year of the Project, including for multi-year Projects permitted under E6.1.4;

d. salaries and/or on costs, in whole or in part, for research using the facility (for example, for research support personnel);

e. teaching and/or teaching relief;

f. travel costs associated with use of the proposed research infrastructure; and

g. fee-for-service costs where the Proposal does not lead to capability building or development of the research infrastructure.

## E9. Organisational Roles and Eligibility

### E9.1 Eligible Organisations

E9.1.1 A Proposal must involve two or more Eligible Organisations unless it is a Single Eligible Organisation Proposal and can demonstrate that collaborative use of the proposed research infrastructure by another Eligible Organisation is not practicable.

### E9.2 Contributions

E9.2.1 All Eligible Organisations on a Proposal must make a cash contribution.

E9.2.2 Organisational cash contributions for direct costs must make up a minimum of 25 per cent of the total direct cost of the research infrastructure. Cash contributions from the Administering Organisation, Other Eligible Organisation(s), Partner Organisation(s) and Other Organisation(s) are all eligible to make up this minimum of 25 per cent, and should be a demonstration of significant commitment to the project.

E9.2.3 Organisational cash contributions for indirect costs are not eligible to make up part of the minimum of 25 per cent of the total direct cost of the research infrastructure.

### E9.3 Collaboration

E9.3.1 The research infrastructure, where appropriate, will be located at the Administering Organisation and be listed in its assets register, unless otherwise approved by the ARC.

E9.3.2 The Proposal must set out, as agreed by each organisation named on the Proposal:

a. the terms and conditions of access for participants on the Proposal;

b. the terms and conditions of access for researchers not associated with the Proposal; and

c. details of the arrangements and costs of managing the research infrastructure (including any recurrent expenditure) and how any costs will be distributed.

E9.3.3 Where the research infrastructure requested is proposed to be located in more than one organisation, the Proposal must demonstrate clearly that:

a. the facilities are genuinely integrated and collaborative;

b. the items of research infrastructure are complementary; and

c. the overall research outcomes will be enhanced by this arrangement.

## E10. Roles and Eligibility for Participants

### E10.1 Participant Roles and General Eligibility

E10.1.1 Roles that may be undertaken by researchers are:

a. Chief Investigator (CI); or

b. Partner Investigator (PI).

E10.1.2 A Proposal must nominate at least one CI; the first-named CI must be from the Administering Organisation, will be the Project Leader and must have a demonstrated high capacity to manage the Project.

E10.1.3 A Proposal may nominate no more than a total of fifteen CIs and PIs. No more than five CIs from each Eligible Organisation or five PIs from each Partner Organisation may be nominated on a Proposal. Other users may be listed in the project description section of the Proposal.

E10.1.4 Every CI and PI (and/or their research group) must be a significant and regular user of the research infrastructure, for a minimum of 10% of the available time of the research infrastructure. Where there are more than ten named participants on a Proposal, the minimum usage is the pro rated percentage of the available time. Where the research infrastructure comprises a database or a data acquisition facility, a case should be made for significant usage by each CI or PI.

### E10.2 Eligibility Criteria for Chief Investigators (CIs)

E10.2.1 Each Eligible Organisation must identify one CI who has a demonstrated record relative to opportunity in managing the proposed research infrastructure to be CI Manager for the Eligible Organisation. If an Eligible Organisation only has one CI on the Proposal, that CI will be the CI Manager for the Eligible Organisation.

### E10.3 Eligibility Criteria for Partner Investigators (PIs)

E10.3.1 A researcher nominated on a Proposal as a PI must secure a significant cash or in-kind contribution or other resources from their own organisation for the Project (having regard to the total cost of the Project and the relative contribution of other investigators).

E10.3.2 Each Partner Organisation may identify one PI who has a demonstrated record relative to opportunity in managing the proposed research infrastructure.

## E11. Limits on Projects and Proposals

E11.1 A researcher must not be nominated as a CI or as a PI on more than two LIEF Proposals in the same funding round.

E11.2 A CI or PI receiving funding under the LIEF scheme may only be named on a maximum of two concurrent Projects under this scheme.

E11.3 A researcher may only submit a Proposal which they would be eligible to hold as at the Commencement Date as specified at E1.2. The ARC will calculate this rule at the closing time of submission of Proposals, by totalling the number of LIEF Proposals submitted by the researcher, plus the number of their currently held LIEF Projects which are funded in 2017.

E11.4 For eligibility purposes a Project is considered to be funded for the years set out in the original Funding Agreement.

## E12. Reporting Requirements

### E12.1 Progress Reports

E12.1.1 Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.

E12.1.2 In addition to the requirements at A15.1 and E12.1.1, a Progress Report must be submitted for year three of a four- or five-year Project.

### E12.2 Final Reports

E12.2.1 In addition to the requirements at A15.3, the Final Report must contain information which the ARC may publicise regarding the details of the research infrastructure.