



Australian Government

Australian Research Council

Linkage Program—Special Research Initiative: PFAS (per- and poly-fluoroalkyl substances) Remediation Research Program Grant Guidelines

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| Opening date: | Available on the ARC website |
| Closing date and time: | Available on the ARC website |
| Commonwealth policy entity: | Australian Research Council (ARC) |
| Co-Sponsoring Entities | n/a |
| Enquiries: | Researchers are required to direct requests for information to the Research Office within the Administering Organisation. ARC Contacts are on the ARC website . |
| Type of grant opportunity: | Restricted competitive |

Australian Research Council Act 2001

I, Simon Birmingham, 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 Grant Guidelines under section 60 of that Act.

Dated 26 October 2017

Simon Birmingham
Minister for Education and Training

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1. Special Research Initiative: PFAS Remediation Research Program Processes

The PFAS Remediation Research Program is designed to achieve Australian Government objectives

This grant opportunity is part of the Australian Research Council (ARC) Linkage Program which contributes to the ARC's Outcome 1.

The ARC works with stakeholders to plan and design the grant program according to the *ARC Act 2001* and *Commonwealth Grants Rules and Guidelines*.



The grant opportunity opens

We publish the Grant Guidelines and advertise on GrantConnect.



You complete and submit a grant application

You may submit a *Request not to Assess* form two weeks prior to the closing date for applications.



We assess all grant applications

We assess the applications against eligibility criteria and assessment criteria including an overall consideration of value for money compared to other applications.

There are two stages of assessment before consideration by a Selection Advisory Committee.

The first stage is assessment by detailed or expert assessors. You will be given an opportunity to respond to detailed assessors' written comments through a rejoinder.

The second stage is assessment by members of a Selection Advisory Committee who are assigned to assess your application, detailed assessors' comments and your rejoinder.



We make grant recommendations

The Selection Advisory Committee collectively considers all applications and recommends to the Chief Executive Officer (CEO) the applications to be funded, and the level and duration of funding of each project.

The CEO then recommends to the Minister the applications to be funded, and the level and duration of funding of each project.



Grant Decisions are made

The Minister decides which grant applications are successful, and the level of funding and duration of funding of each project.



We notify you of the outcome

We advise you of the outcome of your application.



We enter into a grant agreement

We will enter into a grant agreement with successful applicants.



Delivery of grant

You undertake the grant activity as set out in your **grant agreement**. We manage the grant by working with you, monitoring your progress and making payments.



Evaluation of the grant opportunity

We evaluate the specific grant activity and grant opportunity as a whole. We base this on information you provide to us and that we collect from various sources.

1.1 About the grant program

The grant opportunity is available under the *Special Research Initiatives* (SRI) scheme of the ARC Linkage Program.

The ARC Linkage Program aims to encourage and extend cooperative approaches to research and improve the use of research outcomes by strengthening links within Australia's innovation system and with innovation systems internationally. By supporting the development of partnerships, the ARC encourages the transfer of skills, knowledge and ideas as a basis for securing commercial and other benefits of research.

The SRI scheme provides funding for new and emerging fields of research and builds capacity in strategically important areas. The objective of the SRI scheme is to support high-quality research which will assist in advancing Australia's research excellence to be globally competitive and deliver benefits to the community.

The PFAS Remediation Research Program (the Program) aims to facilitate the development of innovative technologies to investigate and remediate PFAS (per- and poly-fluoroalkyl substances) contaminated media including soil and other solid contaminated debris,

groundwater, waterways and marine systems. Up to \$13 million in total is available to fund a range of research projects.

The Program will be undertaken according to the *ARC Act 2001* and the *Commonwealth Grants Rules and Guidelines (CGRGs)*

<https://www.finance.gov.au/sites/default/files/commonwealth-grants-rules-and-guidelines.pdf>

1.2 About the grant opportunity

These Grant Guidelines contain information on this opportunity to apply for funding under the Program. This opportunity is part of the SRI scheme of the ARC Linkage Program.

This document sets out:

- the purpose of the grant opportunity
- the eligibility and assessment criteria
- how grant applications are assessed and evaluated
- responsibilities and expectations in relation to the opportunity.

These Grant Guidelines 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.

You must read this document before filling out an application.

1.3 Grant Opportunity outcomes

The Program is intended to fund research to:

- minimise PFAS in the environment
- develop effective technologies that can be applied to remediate PFAS contaminated soil, waterways, waste, debris and/or large volumes of groundwater
- develop options and mechanisms through which these effective technologies can be applied in the field.

The objectives of the Program are to:

- develop technologies which will do one or more of the following:
 - immobilise PFAS and prevent its movement in the environment
 - remove PFAS from soil, water and/or waste
 - breakdown PFAS by destroying the carbon-fluorine bonds, to form environmentally benign products with limited adverse environmental outcomes
- establish the potential for relevant technologies developed to be deployed in the field to treat contaminated soil, waterways, waste, debris and/or large volumes of groundwater
- develop technologies that can be scaled up for efficient and effective field deployment.

Applications must address PFAS Research Priority Areas using existing and emerging solutions for PFAS removal and disposal. The Research Priority Areas are:

- practical technologies for application in the field
- end-to-end and/or modular remediation processes
- technologies for waste, water, soil and sediment remediation
- technologies applicable to PFAS affecting the chosen media, in particular Perfluorooctane sulfonate (PFOS), Perfluorooctanoic acid (PFOA), Perfluorohexane sulfonic acid (PFHxS) and precursors.

Applications can request funding for research including but not limited to:

- end-to-end solutions including modular approaches
- technology development to take technologies from the lab to field trials
- further development of existing technologies.

These can be a mix of short and long-term solutions, which may include:

- scaling existing technologies
- blue-sky solutions targeted at emerging technology to break PFAS down into a benign product or products.

2. Grant amount

A total of \$13 million over three years is available for the Program, starting in January 2018. Two selection rounds may be held, one in 2017 for funding commencing in 2018, the second in 2018 for funding commencing in 2019, depending on the volume and quality of applications received in the first selection round.

Grant applications for a minimum of \$50,000 up to a maximum of \$1 million per year will be considered. The grant period per project is for a minimum of one year up to a maximum of three years.

Administering Organisations and Other Eligible Organisations must provide a contribution of cash and/or in-kind or other material resources to the Project (see section 3.3.1).

Partner Organisations must provide a contribution of cash and/or in-kind support. The combined contributions of all Partner Organisations must total at least 20 per cent of the funding requested from the ARC (section 3.3.2).

Your project must be completed within the period set out in your application or as indicated in any grant agreement.

3. Grant eligibility criteria

We cannot recommend your application to the Minister for funding if it does not satisfy all the eligibility criteria.

3.1 Who is eligible to apply for a grant?

We will only accept applications from the organisations listed below. The Eligible Organisation that submits the application will be the Administering Organisation and all other Eligible Organisations listed on the application will be Other Eligible 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 Wollongong
Western Sydney University

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 Southern Queensland
University of the Sunshine Coast

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

Edith Cowan University

Murdoch University

The University of Notre Dame Australia

The University of Western Australia

3.2 What are the participant eligibility requirements?

Roles that may be nominated in an application are:

- Chief Investigator (CI)
- Partner Investigator (PI).

The application must nominate at least one CI from an Eligible Organisation. The first-named CI must be from the Administering Organisation and will be the Project Leader.

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

All CIs and PIs named on an application must meet the requirements outlined below.

3.2.1 What are the Chief Investigator eligibility requirements?

Chief Investigators must:

- meet at least one of the following criteria on 1 January 2018, or as otherwise specified on the ARC website, and for the Project Activity Period of the Project:
 - be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or
 - be a holder of an Emeritus Appointment (as defined in section 14) at an Eligible Organisation
- have met all obligations for previously funded Projects, including submitting satisfactory Progress and Final Reports
- take responsibility for the authorship and intellectual content of the application, appropriately citing sources and acknowledging significant contributions where relevant
- make a serious commitment to carrying out the Project and not assume the role of a supplier of resources for work that will largely be undertaken by others
- take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results
- have the capacity to provide effective supervision, support and mentoring of research personnel, including Higher Degree by Research candidates and postdoctoral fellows, associated with the Project for whom they are responsible
- reside in Australia for more than half of the Project Activity Period. 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 Grant period. In exceptional circumstances, changes to this must be approved by the ARC in advance via a *Variation of Grant Agreement*, and
- not be undertaking a Higher Degree by Research during the Project Activity Period.

3.2.2 What are the Partner Investigator eligibility requirements?

Partner Investigators must:

- not meet the eligibility criteria for a CI on 1 January 2018, or as otherwise specified on the ARC website, and for the Project Activity Period of the Project
- take responsibility for the authorship and intellectual content of the application, appropriately citing sources and acknowledging significant contributions where relevant
- make a serious commitment to carrying out the Project and not assume the role of a supplier of resources for work that will largely be undertaken by others.

A participant who is an employee of an Eligible Organisation who will not reside predominantly in Australia during the Project Activity Period may be a PI.

3.3 What are the organisation eligibility requirements?

3.3.1 What are the Eligible Organisation eligibility requirements?

The Administering Organisation and Other Eligible Organisations must demonstrate a significant contribution of cash and/or in-kind or other material resources to the Project, having regard to the total cost of the Project and the relative contribution of any CI(s) at the organisation.

3.3.2 What are the Partner Organisation eligibility requirements?

An application must nominate at least one Australian Partner Organisation.

Partner Organisations can include Australian and international industries/businesses, international universities, government agencies, research organisations, non-government organisations and community or not-for-profit organisations.

Partner Organisations must:

- participate for the Project Activity Period unless otherwise approved by the ARC
- have 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 application
- not duplicate Commonwealth funding for the research and/or activities funded for the Project and
- contribute cash and/or in-kind or other material resources having regard to the total cost of the Project and specific scheme requirements. 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 partner organisation agreement.
- provide a letter of support which:
 - a. includes the official letterhead
 - b. is no more than two A4 pages
 - c. includes a brief profile of the organisation
 - d. provides details of the Cash and/or in-kind Contributions
 - e. demonstrates the source of its Cash Contribution (if a Cash Contribution is being made)

- f. certifies 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. states its expectations about industry outcomes/products and market value
- h. provides details regarding how the Project aligns with the Partner Organisation's strategic objectives
- i. certifies that it will meet the requirements outlined in the ARC Grant Agreement, including the requirement to enter into arrangements regarding Intellectual Property which do not unreasonably prevent or delay academic outputs; and
- j. is signed by the Chief Executive Officer, or delegate.

The combined contributions of all Partner Organisations must total at least 20 per cent of the funding requested from the ARC.

Partner Organisations must not:

- be an Eligible Organisation
- be a controlled entity of any Eligible Organisation; or
- be an entity (for example a joint venture) where more than 50 per cent is owned by one or more Eligible Organisations.

3.3.3 What are the Other Organisation eligibility requirements?

An organisation that is not an Eligible Organisation and not a Partner Organisation but that is a named organisational participant on an application will be an Other Organisation.

4. Eligible grant activities

4.1 What can the grant money be used for?

You must use the grant for Research activities.

Research is defined, for the purposes of these Grant Guidelines, 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.

The Program does not support Medical Research as detailed in the [ARC Medical Research Policy](#).

You can use the grant to pay for:

- a. salaries and on-costs of up to 30 per cent for personnel participating in the Project, who are not CIs or PIs

- b. stipends for Higher Degree by Research candidates enrolled at an Eligible Organisation, at \$32,304 (2017\$) each at 1.0 FTE per year
- c. expenditure on Field Research essential to the Project, including technical and logistical support, and travel and accommodation costs
- d. expert services of a third party if the services are 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 essential for the Project. Funding will not be provided for equipment or consumables that are considered to be for broad general use
- f. 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 for travel is permitted for CIs, PIs, Higher Degree by Research candidates, postdoctoral researchers and research support personnel. Travel costs related to carrying out Field Research are supported separately under 4.1.c. Field Research and any carers' costs in travel are not counted towards the average of \$20,000 per year limit detailed in this subsection 4.1.f; and
- g. workshops, focus groups and conferences that are essential for the conduct of the proposed research (including reasonable hospitality costs such as morning tea, lunch and afternoon tea).

All budget items must be justified in the application to the satisfaction of the ARC.

You can only spend grant funds on eligible grant activities as defined in these Grant Guidelines and any additional expenditure conditions specified in the grant agreement.

4.2 What the grant money cannot be used for?

You cannot use the grant money for the following activities:

- construction of high temperature incineration facilities (thermal breakdown of PFAS could be included as part of a modular solution to remediating waste streams)
- ecotoxicology capability building
- detection and monitoring of PFAS, except for validation purposes within a Project
- Medical Research as defined in the [ARC Medical Research Policy](#) available on the [ARC website](#); or
- the same research activities or Project previously funded or currently being funded through any other Commonwealth funding.

You also cannot use the grant for the following budget items:

- salaries and/or on-costs, in whole or in part, for CIs or PIs
- research costs for PIs

- bench fees or similar laboratory access fees
- capital works and general infrastructure costs
- fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and
- costs not directly related to research or the Project, including but not limited to professional membership fees, professional development courses, fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, entertainment costs, insurance, and other indirect costs.

The application must list all current funding and requested funding for each participant under any ARC scheme and any other Commonwealth funding scheme.

In terms of Commonwealth duplication provisions, you can apply for grants under any Commonwealth program, but if your applications are successful, you must choose either the Program grant or the other Commonwealth grant.

4.3 Eligible and ineligible expenditure

The following basic facilities must be provided and funded by the Administering Organisation, where relevant, and are not funded by the ARC:

- access to a basic library collection
- access to film or music editing facilities
- accommodation (for example, laboratory and office space, suitably equipped and furnished)
- basic computer facilities and standard software; and
- standard reference materials or funds for abstracting services.

This contribution cannot be considered to the part of the Administering Organisation's cash and/or in-kind contributions to the Project as identified in clause 3.3.1.

5. The grant selection process

5.1 Eligibility process

We will assess your application against the eligibility criteria.

We may determine whether an application meets the eligibility requirements in these Grant Guidelines at any stage during assessment of the application.

If We consider that an application is ineligible, the application may not be progressed through the assessment process.

If an application is ineligible, We must not recommend the application for funding.

5.2 Selection process

The ARC manages the assessment of applications. We may make recommendations for funding to the Minister based on any number of assessments or solely on the basis of its expertise.

All applications will be considered through a competitive grant process.

We will assess your application against the criteria set out below and against other applications. Your application will be considered on its merits, based on:

- how well it meets the criteria
- how it compares to other applications; and
- whether it provides value for money.

6. The assessment criteria

You will need to address the following assessment criteria in your application. We will judge your application based on the weighting given to each criterion. The amount of detail and supporting evidence you provide in your application should be relative to the project size, complexity and grant amount requested. The application form includes word limits.

- a. Research project—quality and innovation** **30%**
- How will the proposed research Project address the objectives of the PFAS Remediation Research Program?
 - How will the Project address one or more of the research priority areas of the PFAS Remediation Research Program? Addressing multiple PFAS Research Priority Areas will strengthen the application.
 - How will the Project lead to an advancement of PFAS knowledge, expertise and technologies?
 - How will the Project monitor effective remediation of PFAS?
 - What are the expected volumes of PFAS contaminated materials that the technology will be able to process?
 - What is the likely treatment efficiency of the proposed technology? How will the treatment efficiency be measured under different treatment conditions and scenarios?
- b. People and partners** **30%**
- What will be the contribution of the Chief Investigators and Partner Investigators to the Project and do they have appropriate capacity, capability and commitment to the Project?
 - Why are the investigators and partners suitable and relevant to the conduct and delivery of the Project, including Research Opportunity and Performance Evidence (ROPE)?

- How will the Project be managed in collaboration with the Participating Organisation(s) and what is their role?

c. Feasibility

20%

- How will the Project be completed within the proposed budget and timeframe? This should include identified risks and mitigation strategies.
- What evidence is there that each of the Participating Organisation(s) is genuinely committed to, and prepared to participate in, the Project, including through in-kind or funding support?
- Are the necessary facilities and contaminated materials available to conduct the Project?
- What is an appropriate organisational, management and governance structure for the Project?
- How will the proposed conceptual framework, design, methods and analyses, Project structure and risk mitigation strategies be developed, integrated and appropriate to the aims of the Project?
- How will the Project framework ensure any identified remediation technologies will be independently verified?
- For destructive technologies, does the project plan identify how PFAS destruction will be analytically proven, and how potential production of environmentally harmful by-products will be assessed?

d. Benefit and outcomes

20%

- Will the Project maximise environmental benefit to Australia and minimise economic imposts?
- How will partners and end-users be involved in the research, dissemination, translation and/or implementation of outcomes?
- How will the Project deliver value for money?

7. The grant application process

7.1 Overview of application process

You must read these Grant Guidelines, the application form, the Instructions to Applicants, and the draft grant agreement before you submit an application.

You are responsible for ensuring that your application is complete and accurate. Giving false or misleading information will exclude your application from further consideration.

You must address all of the eligibility and assessment criteria to be considered for a grant. Please complete each section of the application form and make sure you provide the information we have requested.

7.2 Application process timing

Submit your application/s to the ARC by the closing date listed on the [ARC website](#). Late applications will not be accepted.

The expected Funding Commencement Date for round one the granting activities is 1 January 2018 and for round two is 1 January 2019.

Subject to these Grant Guidelines, a grant will commence:

- on the Funding Commencement Date for the scheme
- after Ministerial announcement
- on a date set by the Minister; or
- in line with other arrangements that are approved by the ARC, whichever is the later.

The expected completion date will depend on the duration for which funding is granted and expenditure of ARC funds.

7.3 Completing the grant application

You must submit your grant application on the application form in Research Management System (RMS). The application form includes help information and further information is in the Instructions to Applicants document on the ARC website.

If you have any technical difficulties, please contact ARC-Systems@arc.gov.au.

We will not provide application forms or accept applications for this grant opportunity by fax or mail.

You must make sure that your application is complete and accurate and submitted in accordance with these Grant Guidelines, grant agreement and application form.

You must certify an application online in RMS. Research Offices must ensure that the person assigned the 'Research Office Delegate' role in RMS is authorised to certify and submit applications.

We reserve the right at any point in the process to seek evidence from you to support the certification of applications.

You cannot change your application after the closing date and time.

We do not have to accept any additional information, nor requests from applicants to correct applications after the closing time.

Upon receipt of a written request with justification from the Administering Organisation we may approve the withdrawal of an application. We will only approve such a request in exceptional circumstances.

An application may only be submitted once in the same grant round regardless of any variation in the proposed research, the named participants and/or Administering Organisation.

7.4 Questions during the application period

If you have any questions during the application period, please contact the Research Office of your organisation. Answers to questions may also be published on the ARC website under Frequently Asked Questions.

8. Assessment of grant applications

8.1 Who will assess applications?

All applications will be:

- assigned to independent assessors to assess and report on the application against the assessment criteria; and
- ranked relative to other applications and recommended a budget by the Selection Advisory Committee (SAC) on the basis of the application, any assessors' reports and any rejoinder.

A SAC will assess each application on its merit. The SAC will be made up of a group of experts from academia, industry and other end-users appointed to assist the ARC to evaluate applications.

The SAC will make recommendations to the CEO on which applications should be approved for funding, which applications should not be approved for funding, and the level of funding and duration of Projects.

External assessors may be asked to inform the assessment process. Any assessor who is not an Australian Public Servant will be treated as the ARC's staff in accordance with Part 1, section 2.9 of the CGRGs.

We reserve the right to request two or more applicants to work together to combine applications for resubmission to the ARC for consideration.

8.1.1 Request not to assess process

You may name up to three persons whom you do not wish to assess an application by submitting a 'Request Not to Assess' form as detailed on the [ARC website](#). This form must be received by us two weeks prior to the scheme closing date.

Only one request containing the names of up to three individual assessors may be submitted per application.

In extraordinary circumstances, you may submit a 'Request Not to Assess' form naming more than three persons whom you do not wish to assess an application. Any request

containing more than three names must be accompanied by comprehensive evidence justifying the request for each person named. If we consider the evidence is not sufficient for one or more of the named people, we may reject part or all of the request.

We will have absolute discretion whether we will accommodate a request.

8.1.2 Rejoinder Process

You will be given the opportunity to respond to assessors' written comments through a rejoinder, and to provide any additional information requested by the ARC. Names of assessors will not be provided. Further information on the Rejoinder process is available on the [ARC website](#).

8.2 Who will approve grants?

In accordance with the ARC Act, the CEO will submit funding recommendations to the Minister for consideration. We reserve the right to recommend funding levels which may be less than those requested in the application, and duration of ARC funding which may differ from that requested in the application.

The Minister will determine which applications will be funded and the amount and timing of funding to be paid to Administering Organisations for approved applications.

The Minister's decision is final in all matters, including:

- the approval of the grant
- the grant funding amount to be awarded
- the duration of the grant; and
- the terms and conditions of the grant.

The Minister must not approve funding for any application that fails to meet the eligibility criteria set out in these Grant Guidelines, and/or if they reasonably consider the program funding available across financial years will not accommodate the funding offer, and/or the application does not represent value for money.

9. Notification of application outcomes

You will be advised of the outcomes of your application in writing, following a decision by the Minister. If you are successful, you will be advised about any specific conditions attached to the grant.

If you are unsuccessful, we will notify you in writing.

If unsuccessful, You can submit a new application for the same project (or a similar project) in any future grant opportunity rounds. You should include new or more information to address any weaknesses that may have prevented your previous application from being successful.

9.1 Feedback on your application

Written feedback for unsuccessful applications will be provided.

10. Successful grant applications

10.1 The grant agreement

If you are successful, you must enter into a legally binding grant agreement with the Commonwealth represented by the ARC. Standard terms and conditions for the grant agreement will apply and cannot be changed. Any additional conditions attached to the grant will be identified in the Grant Offer.

You will be required to conduct the Project substantially in accordance with the 'Project Description' contained in the application for that Project.

The Grantee owns the Intellectual Property brought into being as a result of the Projects for which funding is provided. The grantee will provide the Commonwealth and State Governments with a permanent, non-exclusive, irrevocable, royalty-free licence (including a right to sub license) to use, modify, communicate, reproduce, publish and adapt the Material produced under this grant agreement.

Where a Grantee fails to meet the obligations of the grant agreement, the ARC may terminate the Project and recover any unspent Funds.

You should not make financial commitments until a grant agreement has been executed by the Commonwealth, nor commence the Project until all Agreements are in place (see clause 9 of Grant Agreement for requirements).

The ARC Grant Agreement is available on the ARC website (www.arc.gov.au).

10.2 How the grant will be paid

The grant agreement will state the maximum grant amount to be paid.

We will not exceed the maximum grant amount under any circumstances. If you incur extra eligible expenditure, you must pay it.

Grant funding will not be indexed. Grant funding will be paid:

- monthly, exclusive of GST; and
- through the ARC's payment system.

If the ARC is not satisfied with the progress of your Project, further payment of funds may 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 Project may be terminated and all outstanding funding will be recovered by the ARC.

10.3 Grant agreement variations

We recognise that unexpected events may affect the progress of a Project. In these circumstances, you can request a Project variation, including:

- changing a Project's internal budget or research plan
- extending the timeframe for completing the Project; and
- changing participants or organisations named on the Project

The Program does not allow for an increase to the agreed amount of grant funds. If you want to propose changes to the grant agreement, you must submit them through a *Variation of Grant Agreement*.

You should not assume that a variation request will be successful. We will consider your request based on factors such as:

- how it affects the Project outcome
- consistency with the SRI scheme objectives, the Project's aim and objectives and any relevant ARC policies.

11. Announcement of grants

All Administering Organisations will be notified of the outcomes of their applications (including applications not recommended for funding). Outcomes, funding allocations and other relevant information about the successful applications will be published on the ARC website and GrantConnect.

Administering Organisations whose applications are approved will be notified via RMS. If successful, your grant will be listed on the GrantConnect website no later than twenty one calendar days after the date of effect¹ as required by section 5.3 of the CGRGs.

12. Delivery of grant activities

12.1 Your responsibilities

You must submit reports in line with the timeframes in the grant agreement. The following reporting requirements must be met:

- **Progress and End of Year Reports**
 - The Administering Organisation must submit a biannual Progress Report to the ARC in the format and by the due dates detailed in the grant agreement. Details of ARC reporting requirements can be found on the [ARC website](#).
 - The Administering Organisation must submit an End of Year Report.
 - If the ARC is not satisfied with the progress of your Project, further payment of funds may not be made until satisfactory progress has been made on the Project. If

¹ See glossary

satisfactory progress is still not achieved within a reasonable period of time, the Project may be terminated and all outstanding funding will be recovered by the ARC.

- The form for these reports will be made available by the ARC, with instructions on the [ARC website](#).

- **Final Reports**

- A Final Report must be submitted for the Project within 12 months of the final ARC approved Project end date. The form for this report will be made available by the ARC in RMS, with instructions on the [ARC website](#).
- The Final Report must address compliance with the conditions as set out in the grant agreement.
- If any reports are not submitted or are not satisfactory to the ARC this will be noted against future applications submitted by all participants named on the Project.
- The ARC may also seek additional information about subsequent Research Outputs after submission of the Final Report.

You will also be responsible for:

- meeting the terms and conditions of the grant agreement and managing the activity efficiently and effectively
- complying with record keeping, reporting and acquittal requirements as set out in the grant agreement
- participating in any SRI scheme evaluation as specified in the grant agreement; and
- participating in ad hoc performance reviews of Projects at any time. The performance reviews may inform whether there is satisfactory progress of the Project, which affects the continued provision of funding as per section 2.

Outcomes and feedback arising from the performance reviews as outlined above may inform any evaluations of the SRI Scheme.

- **Ethics and Research Practices**

- All applications and ARC-funded research Projects must conform to the principles outlined in the following and successor documents:
 - » the *Australian Code for the Responsible Conduct of Research* (2007)
 - » as applicable, the *National Statement on Ethical Conduct in Human Research* (2007, updated 2015)
 - » as applicable, *NHMRC Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003)
 - » as applicable, *Australian Institute of Aboriginal and Torres Strait Islander Studies Guidelines for Ethical Research in Australian Indigenous Studies* (2012)
 - » as applicable, *Australia Council for the Arts Indigenous Cultural Protocols for Producing Indigenous Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007)
 - » as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013).

- If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.
- **Intellectual Property**
 - You must adhere to an Intellectual Property policy, approved by your governing body, which has as one of its aims the maximisation of benefits to Australia arising from publicly funded research. You should ensure that participants applying for ARC funding are familiar with the current Intellectual Property and patent landscape for the research areas included in the application. Unless otherwise approved by the Commonwealth, the your 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](#).
 - You will provide the Commonwealth and State Governments with a permanent, non-exclusive, irrevocable, royalty-free licence (including a right to sub license) to use, modify, communicate, reproduce, publish and adapt the Material produced through the Project under the grant agreement.
- **Publication and Dissemination of Research Outputs and Research Data**
 - All ARC-funded research Projects must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is on the [ARC website](#).
 - Participants and institutions have an obligation to collect and maintain research data in accordance with the *Australian Code for the Responsible Conduct of Research (2007)*. Data arising from a Project must be deposited in an appropriate publicly accessible repository, such as **data.gov.au**. Participants must outline briefly in their application how they plan to manage research data arising from a Project.
 - The ARC strongly encourages all participants applying for funding to have an Open Researcher and Contributor ID (ORCID) in their RMS Profile.
- **Misconduct, Incomplete or Misleading Information**
 - All ARC-funded research Projects must comply with the [ARC Research Integrity and Research Misconduct Policy](#), which is available on the [ARC website](#).
 - If we consider that an application is incomplete, inaccurate or contains false or misleading information, or involves misconduct, the ARC may in its absolute discretion decide to recommend that the application not be approved for funding.
 - A decision may be made by the ARC at any stage during the assessment of the application and may result in non-progression of the application through the assessment process.
 - Examples of misleading information and misconduct include:
 - » providing fictitious Research Opportunity and Performance Evidence
 - » plagiarism
 - » making false claims in relation to the authorship of the application
 - » failing to make adequate acknowledgement of intellectual, design or other significant contributions to the application
 - » making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted)
 - » making false claims in relation to qualifications and/or appointments

- » making false certifications; or
- » 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 application/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

12.2 The ARC's responsibilities

The ARC will:

- meet the terms and conditions set out in the grant agreement
- provide timely administration of the grant
- evaluate the performance of the Project.

We will monitor the progress of your Project by assessing reports you submit and may conduct site visits to confirm details of your reports. Occasionally we may need to re-examine claims, seek further information or request an independent audit of claims and payments.

12.3 Grant payments and GST

Payments will be made as set out in the grant agreement.

A payment will be made once the grant agreement is signed by the Commonwealth.

You are responsible for any and all financial and taxation implications associated with receiving funds.

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.

All amounts referred to in these Grant Guidelines are to be read as exclusive of GST (if any), unless expressly stated otherwise.

12.4 Evaluation

The ARC will evaluate the Program to measure how well the outcomes and objectives have been achieved. Your Grant Agreement requires you to provide information to help with this evaluation, including information provided in progress and final reports.

12.5 Acknowledgement

Subject to commercial sensitivities and Intellectual Property considerations, the outcomes of Projects are expected to be communicated to the research community and, where appropriate and possible, to the community at large.

You must ensure that the ARC's contribution and support of the Project is acknowledged in a prominent place and an appropriate form acceptable to the ARC when, at any time during or after completion of a Project, you or the researchers or any other party publishes, produces or is involved in promotional material, such as books, articles, television or radio programs,

electronic media, newsletters or other literary or artistic works, which relate to the Project,. Similar efforts must be made when publicly speaking about a Project. Advice of acceptable forms of acknowledgement and use of the logo is provided on the [ARC website](#). Where the Research Output is a publication, in addition to acknowledging ARC support, the relevant Project ID must be included.

13. Probity

We will ensure that the SRI scheme process is fair, according to the published guidelines, incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct and is consistent with the CGRGs.

13.1 Complaints process

The ARC's appeals process applies to complaints about the administrative process used to assess applications. All complaints about a grant process must be lodged in writing. Appeals must be submitted by you on the ARC Appeals Form on the ARC website, authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received within 28 days of the date of the notification to you of the outcome of applications. We will not accept appeals later than 5.00pm (AEDT/AEST) on the appeals submission due date.

Appeals must be submitted to the ARC electronically to the Appeals email address appeals@arc.gov.au.

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

Any questions you have about grant decisions for the SRI scheme should be sent to arcncgp@arc.gov.au.

The Administrative Appeals Tribunal does not have general power to review ARC decisions. If you do not agree with the way the ARC has handled your complaint, you may complain to the Commonwealth Ombudsman. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with the ARC.

The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072

Email: ombudsman@ombudsman.gov.au

Website: www.ombudsman.gov.au

13.2 Conflict of interest

Any conflicts of interest could affect the performance of the grant.

If a perceived or actual Conflict of Interest exists or arises, you must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the *Australian Code for the Responsible Conduct of Research*

(2007), the ARC Conflict of Interest and Confidentiality Policy and any relevant successor documents.

You will be asked to declare, as part of your application, any perceived or existing conflicts of interests or that, to the best of your knowledge, there is no conflict of interest.

If you later identify that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to a grant application, you must inform us in writing immediately. Committee members and other officials including the decision maker must also declare any conflicts of interest.

We will handle any conflicts of interest as set out in Australian Government policies and procedures. Conflicts of interest for Australian Government staff will be handled as set out in the Australian Public Service Code of Conduct (Section 13(7)) of the *Public Service Act 1999*. We publish our conflict of interest policy on the ARC website.

13.3 Privacy: confidentiality and protection of personal information

The ARC collects personal information from you and from CIs and PIs where the collection is necessary for our functions.

We treat your personal information according to the 13 Australian Privacy Principles and the *Privacy Act 1988*. This includes letting you know:

- what personal information we collect
- why we collect your personal information
- who we give your personal information to.

You are required, as part of your application, to declare your ability to comply with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors you engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.

Your personal information can only be disclosed to someone else if you are given reasonable notice of the disclosure; where disclosure is authorised or required by law or is reasonably necessary for the enforcement of the criminal law; if it will prevent or lessen a serious and imminent threat to a person's life or health; or if you have consented to the disclosure.

The Australian Government may also use and disclose information about grant applicants and grant recipients under the Program in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.

We may reveal confidential information to:

- the SAC and other Commonwealth employees and contractors to help us manage the program effectively
- employees and contractors of our department so we can research, assess, monitor and analyse our programs and activities

- employees and contractors of other Commonwealth agencies for any purposes, including government administration, research or service delivery
- other Commonwealth, State, Territory or local government agencies in program reports and consultations
- the Auditor-General, Ombudsman or Privacy Commissioner
- the responsible Minister or Parliamentary Secretary
- a House or a Committee of the Australian Parliament.

We may share the information you give with other Commonwealth agencies for any purposes including government administration, research or service delivery and according to Australian laws, including the:

- *Public Service Act 1999*
- *Public Service Regulations 1999*
- *Public Governance, Performance and Accountability Act*
- *Privacy Act 1988*
- *Crimes Act 1914*
- *Criminal Code Act 1995*

We will treat the information you give us as sensitive and therefore confidential if it meets all of the four conditions below:

1. you clearly identify the information as confidential and explain why we should treat it as confidential
2. the information is commercially sensitive
3. revealing the information would cause unreasonable harm to you or someone else
4. you provide the information with an understanding that it will stay confidential.

The grant agreement will include any specific requirements about special categories of information collected, created or held under the grant agreement.

13.4 Freedom of information

All documents in the possession of the Australian Government, including those about the Program, are subject to the *Freedom of Information Act 1982 (FOI Act)*.

The purpose of the FOI Act is to give members of the public rights of access to information held by the Australian Government and its entities. Under the FOI Act, members of the public can seek access to documents held by the Australian Government. This right of access is limited only by the exceptions and exemptions necessary to protect essential public interests and private and business affairs of persons in respect of whom the information relates.

All Freedom of Information requests must be referred to the Freedom of Information Coordinator in writing.

By mail: Freedom of Information Coordinator
 Australian Research Council
 GPO Box 2702
 CANBERRA ACT 2601

By email: foi@arc.gov.au

14. Glossary

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| Active Project | A Project that is receiving funding according to the terms of the original Grant Agreement, or has any carryover funds approved by the ARC, or an approved variation to the Project's end date. |
| Administering Organisation | An Eligible Organisation which submits an application for a grant and which will be responsible for the administration of the grant if the application is approved for funding. |
| applicant | The Administering Organisation. |
| application | A request to the ARC for the provision of funding which is submitted in accordance with the Grant Guidelines. |
| ARC | The Australian Research Council, as established under the ARC Act. |
| ARC Act | The <i>Australian Research Council Act 2001</i> . |
| ARC website | www.arc.gov.au |
| assessment criteria | The specified principles or standards against which applications will be judged. These criteria are also used to assess the merits of applications and to determine application rankings. |
| bench fees | 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 | The cash from an organisation for the Project which is transferred to and managed by the Administering Organisation. |
| Chief Executive Officer (CEO) | The person holding the position of Chief Executive Officer of the ARC in accordance with the ARC Act or any person acting in that position. |
| Chief Investigator (CI) | A participant who satisfies the eligibility criteria for a CI under these Grant Guidelines. |
| Commonwealth | The Commonwealth of Australia. |
| conflict of interest | A conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional |

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| | actions of a person or institution are or may be unduly influenced by other interests. This refers to a financial or non-financial interest which may be perceived, potential or actual conflict of interest. The <u>ARC Conflict of Interest and Confidentiality Policy</u> is available on the <u>ARC website</u> . |
| date of effect | The date in which a grant agreement is signed or a specified starting date. |
| eligibility criteria | The principles, standards or rules that a grant applicant and a participant must meet to qualify for consideration of a grant. Eligibility criteria apply in addition to assessment criteria. |
| Eligible Organisation | An organisation listed at section 3.1 of these guidelines. |
| Emeritus Appointment | Any honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) (or equivalent) in the application. For ARC purposes this relationship must include access to research support comparable to employees. The person would not be considered to hold an Emeritus Appointment for the purposes of these Grant Guidelines if they hold a substantive, paid position elsewhere. |
| field research | The collection of information integral to the Project outside a laboratory, library or workplace setting and often in a location external to the participant's normal place of employment. |
| Funding Commencement Date | The date on which funding payments for a grant may commence. |
| grant agreement | The agreement entered into by the ARC and an Administering Organisation when an application from that organisation is approved for funding. |
| Grant Offer | The funding offers listed in RMS showing the Project Details. |
| grant | An arrangement for the provision of funding by the Commonwealth or on behalf of the Commonwealth: <ul style="list-style-type: none"> a) under which relevant money or other Consolidated Revenue Fund (CRF) money, is to be paid to a recipient other than the Commonwealth; and b) which is intended to assist the recipient achieve its goals; and c) which is intended to help address one or more of the Australian Government's policy objectives; and under which the recipient may be required to act in accordance with specified terms or conditions. |
| grant activity | The Project / activity that the Administering Organisation is required to undertake with the grant money. It is described in the grant agreement. |
| GrantConnect | The central information system for all Commonwealth grants awarded found at <u>www.grants.gov.au</u> . |

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| grant opportunity | A notice published on GrantConnect advertising the availability of Commonwealth grants. |
| grantee | An organisation that has been awarded a grant. |
| GST | The meaning as given in section 195-1 of the <i>A New Tax System (Goods and Services Tax) Act 1999</i> . |
| in-kind contribution | 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 year of the date of the application'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. |
| Material | Material includes documents, equipment, software (including source code and object code versions), goods, information and data stored by any means including all copies and extracts of them. |
| Minister | The Minister responsible for the administration of the <i>Australian Research Council Act 2001</i> . |
| Other Eligible Organisation | An Eligible Organisation which is listed on an application as a contributor to the Project but is not the Administering Organisation. |
| Other Organisation | An organisation which is listed on an application and is not an Eligible Organisation or a Partner Organisation. |
| Participating Organisation(s) | Organisations that may be named in an application which are the Administering Organisation, Other Eligible Organisations and Other Organisations. |
| Partner Investigator (PI) | A participant who satisfies the eligibility criteria for a PI under these Grant Guidelines. |
| Partner Organisation | 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 or other material resources contributor to the Project. |
| PBS Program | Described within the ARC's Portfolio Budget Statement, PBS programs each link to a single outcome and provide transparency for funding decisions. These high level PBS programs often comprise a number of lower level, more publicly recognised programs, some of which will be Grant Programs. A PBS Program may have more than one Grant Program associated with it, and each of these may have one or more grant opportunities. |
| Project | An application approved by the Minister to receive funding from the ARC. |

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| Project Activity Period | The period during which a Project is receiving funding according to the original Grant Offer, or has any carryover funds approved by the ARC, or an approved variation to the Project's end date. During this period, the Project is known as an Active Project. |
| Project End Date | The expected date that the Project activity is completed and the grant spent by. |
| Research Office | A business unit within an Eligible Organisation that is responsible for administrative contact with the ARC regarding applications and Projects. |
| RMS | The ARC's online Research Management System. |
| Selection Advisory Committee | A group of experts from industry and academia appointed to assist the ARC to evaluate applications and to provide recommendations for funding to the ARC. |
| Selection process | The method used to select potential grants. |
| We | The Australian Research Council (ARC). |
| You | The Eligible Organisation submitting an application; or the Administrating Organisation following the approval of an application for funding. |