



Australian Government

Australian Research Council

Funding Rules for schemes under the Linkage Program (2017 edition)

- ***Industrial Transformation Research Hubs*** for funding commencing in 2018
- ***Industrial Transformation Training Centres*** for funding commencing in 2018
- ***Linkage Projects*** for funding applied for in 2018
- ***Linkage Infrastructure, Equipment and Facilities*** for funding commencing in 2019

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 Funding Rules under section 60 of that Act.

Dated 14 August 2017

Simon Birmingham

Minister for Education and Training

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Key Dates

Please refer to the [Important Dates](#) page on the [ARC website](#) for key dates and updates relevant to these Funding Rules.

Contacts

Researchers are required to direct requests for information to the Research Office within the Administering Organisation.

ARC Contacts can be located on the [ARC website](#).

Appeals must be addressed and sent to the Appeals Officer by email to: appeals@arc.gov.au.

Part A General Rules for schemes under the Linkage Program

A1. **Name of Funding Rules**

These Funding Rules are the Australian Research Council *Funding Rules for schemes under the Linkage Program (2017 edition)*

- *Industrial Transformation Research Hubs* for funding commencing in 2018
- *Industrial Transformation Training Centres* for funding commencing in 2018
- *Linkage Projects* for funding applied for in 2018
- *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2019

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:

Active Project means a Project that is receiving funding according to the terms of the original Funding Agreement, or has any carryover funds approved by the ARC, or an approved variation to the Project's end date.

Active Project Assessment Date means the date on which Active Project eligibility will be considered.

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 Proposal is approved for funding.

Applicant means the Administering Organisation.

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.

ARC website is www.arc.gov.au.

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 Executive Officer (CEO) means 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) means a participant who satisfies the eligibility criteria for a CI under these Funding Rules.

Commonwealth means the Commonwealth of Australia.

Commonwealth Fellowship means a position held by a participant where the salary is funded wholly or partly by the Commonwealth.

Conflict of Interest means any conflicts of interest, any risk of a conflict of interest and any apparent conflict 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](#).

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 A13.

Emeritus Appointment means any honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) (or equivalent) in the Proposal. 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 Funding Rules if they hold a substantive, paid position 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 participant'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.

Funding Commencement Date means the date on which funding may commence as defined for each scheme in Parts B to E of these Funding Rules.

Funding Offer means the Project Details listed in RMS under Funding Offers.

GrantConnect means the central information system for all Commonwealth grants publicised and awarded and is found at www.grants.gov.au.

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

Industry Growth Centre means The Industry Growth Centres Initiative as described under www.business.gov.au.

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 Proposal form.

Linkage Program refers to, for the purposes of eligibility, the schemes funded under the Linkage Program of the NCGP which consist of: *Industrial Transformation Research Hubs; Industrial Transformation Training Centres; Linkage Projects; Linkage Infrastructure, Equipment and Facilities; Learned Academies Special Projects, Supporting Responses to Commonwealth Science Council Priorities, ARC Centres of Excellence and Special Research Initiatives. While Learned Academies Special Projects, Supporting Responses to Commonwealth Science Council Priorities, ARC Centres of Excellence and Special Research Initiatives do impact on eligibility, detailed rules will be covered in separate documents.*

Medical Research means medical research as defined in the [ARC Medical Research Policy](#) available on the [ARC website](#).

Minister means the Minister responsible for the administration of the ARC Act.

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

NHMRC means the National Health and Medical Research Council.

ORCID Identifier means a persistent digital identifier for an individual participant, available on the [ORCID website, www.orcid.org](http://www.orcid.org).

Other Eligible Organisation means an Eligible Organisation which is listed on a Proposal as a contributor to the Project but 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 participant 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 or other material resources 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 Activity Period means the period during which a Project is receiving funding according to the original Funding 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 Leader means the participant from the Administering Organisation who is either the first-named CI on a Proposal, or in the case of the *Industrial Transformation Research Hubs* and *Industrial Transformation Training Centres* schemes, the Research Hub Director or Training Centre Director, respectively.

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

Research is defined, for the purposes of these Funding Rules, 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.¹

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.

¹ 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”

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

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 contact with the ARC regarding Proposals and Projects.

Research Output means all products of a research Project.

RMS means the ARC's online Research Management System.

Selection Advisory Committee (SAC) means a group of experts from industry and academia appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the CEO. A SAC may be drawn from the ARC College of Experts.

Special Condition means a special condition specified in a Funding Offer 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 on the [ARC website](#).

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.

Travel Costs means domestic and international economy travel costs associated with the Project, including to foster and strengthen collaborations between researchers in Australia and overseas.

Additional scheme-specific definitions are detailed in Parts B to E of these Funding Rules.

A4. *Introduction*

A4.1 Objectives

- A4.1.1 The objectives of the Linkage Program 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.

A4.2 Overview

- A4.2.1 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.
- A4.2.2 These Funding Rules relate to schemes funded under the Linkage Program of the NCGP. The Linkage Program 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.
- A4.2.3 The Linkage Program schemes provide funding to Administering Organisations to support research Projects.
- A4.2.4 Linkage Program funding will be awarded on the basis of excellence through a competitive peer review process for each scheme.
- A4.2.5 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the Linkage Program.
- A4.2.6 The Key Performance Indicators (KPIs) for the Linkage Program 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.

A5. *Organisation General Eligibility Requirements*

A5.1 Eligible Organisations

- A5.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation listed in A13.
- A5.1.2 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.

- A5.1.3 The Administering Organisation and each Other Eligible Organisation on the Proposal 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.
- A5.1.4 For additional scheme-specific Eligible Organisation eligibility requirements refer to Parts B to E of these Funding Rules.

A5.2 Partner Organisations

- A5.2.1 To be eligible as a Partner Organisation, an organisation cannot be:
- an Eligible Organisation;
 - a controlled entity of any Eligible Organisation; or
 - an entity (for example a joint venture) where more than 50 per cent is owned by one or more Eligible Organisations.
- A5.2.2 For each Partner Organisation, three conditions must be met. There must be:
- 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;
 - no duplication of Commonwealth funding for the research and/or activities funded for the Project; and
 - 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.
- A5.2.3 A Proposal should include details of the collaborative arrangements proposed, including how each Partner Organisation is involved in the Project. 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.
- A5.2.4 A Proposal submitted 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:
- include the official letterhead;
 - be no more than two A4 pages;
 - include a brief profile of the organisation (for *Industrial Transformation Research Hubs*, this must include the number of employees within the organisation);
 - provide details of the Cash and/or in-kind Contributions;
 - 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 (if a Cash Contribution is being made). See A5.2.8 and A5.2.9 for more details;
 - 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 strategic objectives;
 - i. certify that it will meet the requirements outlined in a standard ARC Funding Agreement, including the requirement to enter into arrangements regarding Intellectual Property which do not unreasonably prevent or delay academic outputs; and
 - j. be signed by the Chief Executive Officer, or delegate.
- A5.2.5 Partner Organisations named on a Proposal must participate for the Project Activity Period unless otherwise approved by the ARC.
- A5.2.6 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.
- A5.2.7 The Proposal cannot include cash or in-kind contributions in years beyond the Project Activity Period.
- A5.2.8 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.
- A5.2.9 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.
- A5.2.10 The Partner Organisation Cash Contribution must not be a contribution to salaries for CIs and/or PIs on the Project.
- A5.2.11 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.
- A5.2.12 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.
- A5.2.13 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.

- A5.2.14 For additional scheme-specific Partner Organisation requirements refer to Parts B, C and D of these Funding Rules.

A5.3 Other Organisations

- A5.3.1 Organisations that are not Eligible Organisations and not Partner Organisations but that are a named organisational participant on a Proposal will be Other Organisations.

A6. *Participant General Eligibility Requirements*

A6.1 Eligibility Criteria

- A6.1.1 Under the Linkage Program, named participants may include:
- a. Centre Director
 - b. Research Hub Director;
 - c. Training Centre Director;
 - d. CI; and
 - e. PI.
- A6.1.2 For details of scheme-specific eligible participants, refer to Parts B to E.
- A6.1.3 To be eligible to apply, all Directors, CIs and PIs named on a Proposal must:
- a. satisfy the eligibility criteria for the role they are to perform as at the scheme-specific Funding Commencement Date and for the Project Activity Period;
 - b. take responsibility for the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant;
 - c. 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 undertaken by others; and
 - d. have met all obligations for previously funded Projects, including submitting satisfactory Progress and Final Reports.
- A6.1.4 Except as otherwise provided in subsection A6.4.5(i), a Proposal may only be submitted for funding under a scheme that the participant(s) would be eligible to hold under these rules as at the scheme-specific Active Project Assessment Date.
- A6.1.5 A Project cannot commence until all CIs, PIs and Directors meet the eligibility criteria in these Funding Rules.
- A6.1.6 For additional scheme-specific eligibility requirements refer to Parts B to E of these Funding Rules.

A6.2 Chief Investigators

- A6.2.1 A participant nominated on a Proposal as a CI must meet at least one of the following criteria at the scheme-specific Funding Commencement Date and for the Project Activity Period 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 in A3) at an Eligible Organisation.
- A6.2.2 For the purposes of eligibility, a Centre of Excellence Director or an Research Hub or Training Centre Director is considered to be a CI.
- A6.2.3 Participants undertaking a Higher Degree by Research are not eligible to be CIs. Participants must have their Higher Degree by Research conferred by the Funding Commencement Date of the Project in order to be eligible.
- A6.2.4 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.
- A6.2.5 A CI must 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.
- A6.2.6 A CI must reside predominantly in Australia for 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 Project funding period. In exceptional circumstances, changes to this must be approved by the ARC in advance via a *Variation of Funding Agreement*.
- A6.2.7 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 via a *Variation of Funding Agreement*.

A6.3 Partner Investigators

- A6.3.1 A participant nominated as a PI on a Proposal must not meet the eligibility criteria for a CI.
- A6.3.2 A participant who is an employee of an Eligible Organisation listed in A13 who does not reside predominantly in Australia may be a PI.
- A6.3.3 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 capacity to provide effective supervision, support and mentoring of research personnel associated with the Project in their areas of expertise for whom they are responsible; and/or

- c. have demonstrated the relevant skills and experience to effectively manage a similar scale research Project.
- A6.3.4 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.
- A6.3.5 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 meets the PI eligibility criteria and is approved by the ARC via a *Variation of Funding Agreement*.

A6.4 Limits on Projects and Proposals

- A6.4.1 These limits do not apply to Partner Investigators, or to unnamed participants on Projects such as Higher Degree by Research students and research assistants.
- A6.4.2 Except as provided in subsection A6.4.3, within the Linkage Program (as defined in A3) a participant can be funded for a maximum of:
- a. a total of four Projects under the Linkage Program as defined in A3, with the exception of *Linkage Infrastructure, Equipment and Facilities*, as a CI; and
 - b. two Linkage Infrastructure, Equipment and Facilities Projects as a CI.
- A6.4.3 Participants can be funded for a maximum of one Director role within the limits in this subsection A6.4.
- A6.4.4 The ARC must approve Project or role relinquishments before the closing time of submission of Proposals. Any relinquishment made or approved after the Proposal submission date will not be taken into account for the purposes of calculating the limits in this subsection A6.4.
- A6.4.5 The ARC will calculate limits of Projects and Proposals as at the closing time of submission of Proposals, or when a Proposal is submitted for Linkage Projects, (and may re-calculate this rule as other scheme rounds' funding announcements are made and End of Year Reports are submitted) by totalling:
- a. the number of Linkage Program CI and Director roles that the participant will hold on Active Projects as at the scheme-specific Active Project Assessment Date; and
 - b. the number of Linkage Program Proposals currently under assessment by the ARC which include that participant as a CI.

Notwithstanding the above

- i. Proposals for *Industrial Transformation Research Hubs, Industrial Transformation Training Centres, Special Research Initiatives, Learned Academies Special Projects, Supporting Responses to Commonwealth Science Council Priorities* or any other Linkage Program scheme not included in the Linkage Program defined in A3 will not count towards limits in this subsection A6.4.

- ii. Named Participants on a successful *Industrial Transformation Research Hubs, Industrial Transformation Training Centres, Special Research Initiatives, Learned Academies Special Projects, Supporting Responses to Commonwealth Science Council Priorities* or any other Linkage Program scheme not included in the Linkage Program defined in A3 Project will be required to meet the Project limit requirements by relinquishing existing Project(s), or relinquishing role(s) on existing Projects, or withdrawing Proposal(s) that would exceed the Project limits. The Project(s) and/or role(s) to be relinquished and/or Proposal(s) to be withdrawn must be nominated in the Proposal.

A6.4.6 Applicants are advised that schemes in other Funding Rules may have different Project limits. Applicants should determine if applying for or holding a Project under these Funding Rules will affect their eligibility for the other ARC funding schemes. The ARC reserves the right to change Project and Proposal limits in future funding rounds. Funding Rules for all ARC schemes are on the [ARC website](#).

A6.5 Eligibility Process

- A6.5.1 The ARC can determine whether a Proposal meets the eligibility requirements in these Funding Rules at any stage during assessment of the Proposal.
- A6.5.2 If the ARC considers that a Proposal is ineligible, the Proposal may not be progressed through the assessment process.
- A6.5.3 If a Proposal is ineligible, the ARC must not recommend the Proposal for funding.

A6.6 Research Activities Supported

- A6.6.1 Research activities that meet the definition of Research in A3 of these Funding Rules will be supported.

A6.7 Research Activities Not Supported

- A6.7.1 Except where such activities meet the definition of Research in A3, the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes do not support the production of:
 - a. compilation of data, computer programs, research aids and tools;
 - b. descriptive data compilations, catalogues or bibliographies; or
 - c. teaching materials.
- A6.7.2 Except where such activities meet the definition of Research in A3, the *Linkage Infrastructure, Equipment and Facilities* scheme does not support research infrastructure for production of teaching materials.
- A6.7.3 The Linkage Program does not support Medical Research, as defined in A3 of these Funding Rules.
- A6.7.4 Notwithstanding A6.7.3, 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.

- A6.7.5 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; and
 - b. the ARC deems to be essentially contracted research or a Consultancy arrangement.

A7. Funding

A7.1 Level and Period of Funding

- A7.1.1 The level and period of funding for schemes under the Linkage Program are outlined in Parts B to E of these Funding Rules.
- A7.1.2 The ARC reserves the right to recommend funding levels which may be less than those requested in the Proposal, and duration of ARC funding which may differ from that requested in the Proposal.
- A7.1.3 Subject to these Funding Rules, Funding for a Project will commence:
- a. on the Funding Commencement Date for the scheme;
 - b. after Ministerial announcement;
 - c. on a date set by the Minister; or
 - d. in line with other arrangements that are approved by the ARC,
- whichever is the later.
- A7.1.4 Other Commonwealth funding may be used to augment ARC funding. However the ARC will not fund the same research activities, infrastructure or Project previously funded or currently being funded through any other Commonwealth funding. Full details of any financial assistance received for, or in connection with, the research activities or Project must be disclosed in the Proposal and on an ongoing basis.
- A7.1.5 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.
- A7.1.6 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- A7.1.7 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

A7.2 Budget Items Supported

- A7.2.1 Under the *Industrial Transformation Training Centres*, *Industrial Transformation Research Hubs* and *Linkage Projects* schemes, Project funding may be sought for budget items that directly support a research program contained in a Proposal, 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;
 - 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. publication and dissemination of Project Research 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 A7.2.1.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 A7.2.1.h;
 - i. web hosting and web development specific to the Project;
 - j. 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); and
 - k. reasonable essential extraordinary costs to allow a participant who is a carer, or who personally requires care or assistance, to undertake travel essential to the Project.
- A7.2.2 For all other scheme-specific budget items supported, refer to Parts B to E of these Funding Rules.
- A7.2.3 All budget items must be justified in the Proposal to the satisfaction of the ARC.

A7.3 Budget Items Not Supported

- A7.3.1 Budget items which are not 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 *Linkage Infrastructure, Equipment and Facilities* scheme in E8.2);
 - c. costs not directly related to research or the Project, including but not limited to professional membership fees (except for as permitted under the *Linkage Infrastructure, Equipment and Facilities* scheme in E8.2), 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;
 - d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students;
 - e. salaries and/or on costs, in whole or in part, for CIs or PIs; and
 - f. salary top ups for personnel above the salary level specified in these Funding Rules.
- A7.3.2 The following basic facilities must be provided and funded by the Administering Organisation, where relevant, and are not 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. basic computer facilities and standard software; and
 - e. standard reference materials or funds for abstracting services.
- A7.3.3 For all other scheme-specific budget items not supported, refer to Part E of these Funding Rules.
- A7.3.4 In-kind Contributions in the budget section of the Proposal should not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.

A8. Submission of Proposals

A8.1 Proposals

- A8.1.1 The Proposal must contain all the information necessary for its assessment, including eligibility assessment, without the need for further written or oral explanation, or reference to additional documentation. The ARC may request additional information but is not obliged to do so.
- A8.1.2 All details in the Proposal must be current at the time of submission.

A8.1.3 A Proposal may only be submitted once in the same funding scheme round regardless of any variation in the proposed research, the named participants and/or Administering Organisation. Notwithstanding this, a *Linkage Projects* Proposal may be submitted more than once in accordance with clause D7.

A8.1.4 For additional scheme-specific requirements refer to Parts B to E of these Funding Rules.

A8.2 Submission of Proposals in RMS

A8.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.

A8.2.2 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 available on the [ARC website](#).

A8.3 Closing Time for Proposals

A8.3.1 A Proposal form must be submitted in RMS by the relevant scheme closing date and time as listed on the Important Dates page on the [ARC website](#), except for the *Linkage Projects* scheme, for which Proposals may be submitted at any time up until the scheme round's final date as listed on the Important Dates page on the [ARC website](#).

A8.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

A8.3.3 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.

A8.4 Certification in RMS

A8.4.1 The Administering Organisation must certify a Proposal online in RMS. Research Offices must ensure that the person assigned the 'Research Office Delegate' role in RMS is authorised to certify and submit Proposals.

A8.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

A8.5 Request Not to Assess

A8.5.1 Administering Organisations may name up to three persons whom they do not wish to assess a Proposal by submitting a 'Request Not to Assess' form as detailed on the [ARC website](#). With the exception of Proposals for the *Linkage Projects* scheme, this form must be received by the ARC two weeks prior to the relevant scheme closing date. A 'Request Not to Assess' form may be submitted before or on the same date as a *Linkage Projects* scheme Proposal.

A8.5.2 Only one request containing the names of up to three individual assessors may be submitted per Proposal.

A8.5.3 If the Administering Organisation names a current ARC College of Experts member, as listed on the [ARC website](#) at the time of submitting the Request

Not to Assess form, the request must be accompanied by comprehensive evidence justifying the request for the ARC College of Experts member or members named. If the ARC considers the evidence is not sufficient for the named ARC College of Experts member or members, the ARC may reject the request.

- A8.5.4 In extraordinary circumstances, the Administering Organisation may submit a Request Not to Assess Form naming more than three persons whom it does not wish to assess a Proposal. Any request containing more than three names must be accompanied by comprehensive evidence justifying the request for each person named. If the ARC considers the evidence is not sufficient for one or more of the named people, the ARC may reject part or all of the request.
- A8.5.5 It will be at the absolute discretion of the ARC whether it will accommodate a request under A8.5.1.

A8.6 Conflict of Interest

- A8.6.1 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.
- A8.6.2 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 *Australian Code for the Responsible Conduct of Research* (2007), the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.
- A8.6.3 As part of the certification at A8.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A8.6.1, and that any Conflict of Interest will be managed in accordance with A8.6.2.

A9. Selection and Approval Process

A9.1 Assessment and Selection Process

- A9.1.1 The ARC manages the assessment of Proposals. The ARC may make recommendations for funding to the Minister based on any number of assessments or solely on the basis of its expertise.
- A9.1.2 All Proposals will be considered against the selection criteria for the relevant scheme and compliance with these Funding Rules.
- A9.1.3 All Proposals may be:
- assigned to independent assessors to assess and report on the Proposal against the selection criteria; and
 - ranked relative to other Proposals and recommended a budget by the SAC on the basis of the Proposal, any assessors' reports and any rejoinder.

- A9.1.4 The ARC may stop the progression of Proposals at any time during the selection process. Grounds for cessation include, but are not limited to:
- a. the Proposal does not meet the eligibility requirements set out in these Funding Rules; or
 - b. the Proposal contains incomplete, inaccurate or misleading information.
- A9.1.5 The SAC for the relevant scheme will make recommendations to the CEO on which Proposals should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.
- A9.1.6 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](#).
- A9.1.7 For all other scheme-specific requirements relating to the assessment and selection process, refer to Parts B and C of these Funding Rules.

A9.2 Rejoinder

- A9.2.1 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. Further information on the Rejoinder process is available on the [ARC website](#).

A9.3 Recommendations and Offer of Funding

- A9.3.1 In accordance with the ARC Act, the CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be funded and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.
- A9.3.2 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.
- A9.3.3 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](#) and GrantConnect.
- A9.3.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer and will be required to enter into a Funding Agreement in RMS.
- A9.3.5 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.
- A9.3.6 If the ARC funding approved for a Project varies from the amount requested, pro rata adjustments may be made to the Partner Organisation contributions. For scheme-specific requirements relating to funding contribution adjustments, refer to the scheme-specific sections of the relevant Funding Rules.

A10. Appeals Process

- A10.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against the administrative process used to assess Proposals. The appeals process is designed to ensure that the Proposal has been treated fairly and consistently in the context of selection procedures.
- A10.2 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 Funding Rule clause, policy or procedure which they believe has been incorrectly applied.
- A10.3 Appeals must be submitted by the Administering Organisation 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 the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00pm (AEDT/AEST) on the appeals submission due date.
- A10.4 Appeals must be submitted to the ARC electronically to the Appeals email address appeals@arc.gov.au.
- A10.5 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.

A11. Reporting Requirements

Details of ARC reporting requirements can be found on the [ARC website](#). For additional scheme-specific reporting requirements, refer to Parts B to E of these Funding Rules.

A11.1 End of Year Reports and Progress Reporting by Exception

- A11.1.1 The Administering Organisation must submit an End of Year Financial 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.
- A11.1.2 A Progress Report by exception must be completed only if significant issues are affecting the progress of the Project.
- A11.1.3 If the ARC is not satisfied with the progress of any 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 Funding may be terminated and all outstanding monies will be recovered by the ARC.
- A11.1.4 The form for these reports will be made available by the ARC in RMS, with instructions on the [ARC website](#).

A11.2 Final Reports

- A11.2.1 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](#).

- A11.2.2 The Final Report must address compliance with the conditions on which funding was granted, as set out in the Funding Agreement.
- A11.2.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants named on the Project.
- A11.2.4 The ARC may also seek additional information about subsequent Research Outputs after submission of the Final Report.

A12. Fundamental Principles of Conducting Research

A12.1 Ethics and Research Practices

- A12.1.1 All Proposals 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).
- A12.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

A12.2 Applicable Law

- A12.2.1 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*.

A12.3 Confidentiality

- A12.3.1 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:
- 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;
 - 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 Program schemes or any Funding Agreement;
- d. disclosed by the ARC to the Minister 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.

A12.3.2 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.

A12.3.3 In addition to the exemptions listed in A12.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project:

- a. the name of the Administering Organisation and any other parties involved in or associated with the Project;
- b. named participants and their organisations; the proposed research program (the title and summary descriptions of the Project); infrastructure, equipment and/or facilities funded;
- c. classifications and international collaboration country names; and
- d. 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).

A12.3.4 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.

A12.4 Intellectual Property

A12.4.1 The ARC does not claim ownership of any Intellectual Property in a Proposal or in any research arising from a Project.

A12.4.2 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 publicly funded research. The Administering Organisation 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 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](#).

A12.5 Publication and Dissemination of Research Outputs and Research Data

- A12.5.1 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](#).
- A12.5.2 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). The ARC strongly encourages the depositing of data arising from a Project in an appropriate publicly accessible subject and/or institutional repository. Participants must outline briefly in their Proposal how they plan to manage research data arising from a Project.
- A12.5.3 The ARC strongly encourages all participants applying for funding to have an ORCID Identifier in their RMS Profile.

A12.6 Misconduct, Incomplete or Misleading Information

- A12.6.1 All ARC-funded research Projects must comply with the [ARC Research Integrity and Research Misconduct Policy](#), which is available on the [ARC website](#).
- A12.6.2 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.
- A12.6.3 A decision under A12.6.2 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.
- A12.6.4 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 adequate 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).

A13. *List of Eligible Organisations*

A13.1 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 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

A13.2 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 2018

B1. Interpretation

Part B contains the scheme-specific rules for *Industrial Transformation Research Hubs* for funding commencing in 2018.

B2. Important Dates

B2.1 Funding Commencement Date

The Funding Commencement Date for *Industrial Transformation Research Hubs* for funding commencing in 2018 will be 1 January 2018.

B2.2 Active Project Assessment Date

The Active Project Assessment Date for *Industrial Transformation Research Hubs* for funding commencing in 2018 will be 1 July 2018.

B3. Additional Definitions for Part B

For the purposes of this Part:

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.

Industrial Transformation Priorities means targeted research areas identified by the ARC and updated from time-to-time on the [ARC website](#).

ITRH means the *Industrial Transformation Research Hubs* scheme.

Research Hub Director means a participant who satisfies the eligibility criteria for a Hub Director under these Funding Rules.

B4. Objectives

The objectives of the ITRH scheme are to:

- a. encourage collaborative research and development (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 within key growth sectors; and
- c. leverage national and international investment in targeted industry sectors, including from industry and other research end-users.

B5. Organisation Eligibility

B5.1 General

B5.1.1 Organisations that may participate in ITRH Projects are:

- a. Administering Organisation;
- b. Other Eligible Organisation;
- c. Partner Organisation; and
- d. Other Organisation.

B5.2 Partner Organisations

B5.2.1 A Proposal must include at least one Australian Partner Organisation.

B5.2.2 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) at least match the total funding requested from the ARC.

B5.2.3 The combined Partner Organisation(s) Cash Contribution:

- a. must be at least 75 per cent of the total funding requested from the ARC where any Partner Organisation has more than 100 employees;
- b. has no minimum where the Partner Organisation or the largest Partner Organisation in a consortium in the Proposal has 100 employees or less; and
- c. has no upper limit.

B5.2.4 There is no upper limit on the combined Partner Organisation(s) in-kind Contributions.

B6. Participant Eligibility

B6.1 General

B6.1.1 Roles that may be nominated in a Proposal are:

- a. Research Hub Director;
- b. CI; and
- c. PI.

B6.1.2 The following roles must be nominated in a Proposal:

- a. at least two CIs from the Administering Organisation, where one will be the Research Hub Director;
- b. at least one CI from each Eligible Organisation; and
- c. at least one PI from each Partner Organisation.

B6.2 Research Hub Director

B6.2.1 The Research 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 Project Activity Period.

B7. Research Hub Director Operational Requirements

- B7.1.1 The Research Hub Director is expected to have a minimum time commitment of 0.5 FTE (50 per cent of Full Time Equivalent) on the activities of the Hub. The Research Hub Director is expected to demonstrate that they have the time and capacity to engage effectively in the activities of the Project. If a Research Hub Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.
- B7.1.2 The Research 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 Research Hub Director must coordinate the research effort and reporting structures across the Eligible Organisation(s) and Partner Organisation(s).
- B7.1.3 If the Research Hub Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Research Hub Director provided that:
- prior approval is obtained from the ARC for the replacement Research Hub Director;
 - a replacement Research Hub Director meets the eligibility criteria for a Research Hub Director and those for a CI at the time of their nomination and for the full term of their participation in the Project, and the reasons for replacement justified to the satisfaction of the ARC; and
 - the Administering Organisation has obtained approval from all participating organisations for the change in Research Hub Director.

B8. Proposal Eligibility

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

B9. Funding

B9.1 Level and Period of Funding

- B9.1.1 The ARC may provide Project funding as follows:

ITRH funding level	Between \$500,000 to \$1 million per annum.
ITRH funding duration	Between three and five consecutive years.

B9.2 Budget Items Supported

- B9.2.1 In addition to budget items supported in A7.2, budget items that directly support a research Project may be funded, including:
- personnel:
 - 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;

- ii. stipends for Higher Degree by Research candidates enrolled at an Eligible Organisation, at \$32,304 (2017\$) each at 1.0 FTE per year; and
- 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).

B10. Assessment and Selection Process

B10.1 Assessment Process

- B10.1.1 In addition to the assessment process at A9, ITRH Proposals may be subject to additional assessment, such as:
- a. consultation with the Industry Growth Centres;
 - b. short-listing for interview; and
 - c. interviews with the proposed Research Hub Director and key participants in a format to be determined by the ARC. The ARC will not fund any costs for attendance at interviews.

B10.2 Selection Criteria

- B10.2.1 Proposals will be assessed and ranked using the following selection criteria:
- a. Proposed Project Quality and Innovation 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?
 - Do the method, approach and intended benefits proposed address the objectives of the ITRH scheme?
 - Does the proposed 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. Feasibility and Commitment 20%
 - 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 proposed Project have a wide level of collaboration, including the development of national and international networks and linkages?
 - Does the proposed Project Research Environment provide high-quality intellectual support for the Project?
 - Will the proposed Project build research capacity in the Partner Organisation(s)?

- Are the necessary facilities to complete the proposed Project available?
 - 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 each Partner Organisation(s) has the capacity to support the proposed Project?
 - Is the budget justification of the Cash and in-kind Contributions adequate?
- c. Benefit 30%
- Does the Research Hub represent value for money?
 - Is there a clearly identified market opportunity and benefit to Australian industry or other end users?
 - 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 it demonstrated that, where relevant, the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to industry?
- d. Investigator(s) 20%
- Is this the best team to achieve the proposed Project goals?
 - Does the team demonstrate suitable Research Opportunity and Performance Evidence ([ROPE](#))?
 - Do the leadership and team have suitable experience in management of distributed and/or collaborative industrial and end-user focussed research?

B11. Reporting Requirements

B11.1 ITRH Key Performance Indicators

- B11.1.1 The Administering Organisation will be required to submit KPIs for each Research Hub approved by the ARC.
- B11.1.2 The KPIs for each Research Hub must include targets for each year of funding against scheme 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.
- B11.1.3 The Administering Organisation must report against the agreed ITRH KPIs annually in Progress Reports.
- B11.1.4 Administering Organisations are encouraged to work with the ARC during the establishment period of the ITRH to enable better practice project planning.

B11.2 Annual Progress Reports

- B11.2.1 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](#).

B11.3 Performance Reviews

- B11.3.1 Ad hoc reviews of Research Hubs may be held at any time. A review will be triggered in special circumstances including, but not limited to:
- a. a change of Research Hub Director; or
 - b. proposed transfer of the Research Hub to a new Administering Organisation.
- B11.3.2 The performance reviews may inform whether there is satisfactory progress of the Project, which affects the continued provision of funding as per subsection A7.1.5.
- B11.3.3 Outcomes and feedback arising from the performance reviews as outlined above may inform any evaluations of the ITRH scheme.

Part C Scheme-specific rules for *Industrial Transformation Training Centres* for funding commencing in 2018

C1. *Interpretation*

Part C contains the scheme-specific rules for *Industrial Transformation Training Centres* for funding commencing in 2018.

C2. *Important Dates*

C2.1 Funding Commencement Date

The Funding Commencement Date for *Industrial Transformation Training Centres* for funding commencing in 2018 will be 1 January 2018.

C2.2 Active Project Assessment Date

The Active Project Assessment Date for *Industrial Transformation Training Centres* for funding commencing in 2018 will be 1 July 2018.

C3. *Additional Definitions for Part C*

For the purposes of this Part:

ICHDR means a Higher Degree by Research 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.

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.

Industrial Transformation Priorities means targeted research areas identified by the ARC and updated from time-to-time on the [ARC website](#).

ITTC means the *Industrial Transformation Training Centres* scheme.

Training Centre Director means a participant who satisfies the eligibility criteria for a Training Centre Director under these Funding Rules.

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.

C4. Objectives

The objectives of the ITTC 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;
- c. enhance competitive research collaboration between universities and organisations outside the Australian higher education sector; and
- d. strengthen the capabilities of industries and other research end-users in identified Industrial Transformation Priority areas.

C5. Organisation Eligibility

C5.1 General

C5.1.1 Organisations that may participate in ITTC Projects are:

- a. Administering Organisation;
- b. Other Eligible Organisation;
- c. Partner Organisation; and
- d. Other Organisation

C5.2 Partner Organisations

C5.2.1 A Proposal must include at least one Australian Partner Organisation.

C5.2.2 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.

C6. Administering Organisation Operational Requirements

C6.1.1 The Administering Organisation will be responsible for ensuring that:

- a. ICHDRs funded under the ITTC scheme conduct research for a minimum total of one year full-time placement with a Partner Organisation (outside the higher education sector) over the Project Activity Period;
- b. ICPDs funded under the ITTC scheme are encouraged to spend significant time to conduct research with a Partner Organisation; and
- c. ICHDRs and ICPDs funded under the ITTC scheme meet all the conditions in these Funding Rules.

C7. *Participant Eligibility*

C7.1 General

C7.1.1 Roles that may be nominated in a Proposal are:

- a. Training Centre Director;
- b. CI; and
- c. PI.

C7.1.2 The following roles must be nominated in a Proposal:

- a. at least two CIs from the Administering 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.

C7.2 Training Centre Director

C7.2.1 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 Project Activity Period.

C8. *Proposal Eligibility*

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

C9. *Participant Operational Requirements*

C9.1 Training Centre Director

C9.1.1 The Training Centre Director is expected to have a minimum time commitment of 0.5 FTE (50 per cent of Full Time Equivalent) on the activities of the Centre. 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.

C9.1.2 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).

C9.1.3 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 replacement 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 their nomination and for the full term of their 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.

C9.2 ICHDRs and ICPDs

- C9.2.1 Once a Project for the ITTC scheme has been approved and announced, the Administering Organisation must 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.
- C9.2.2 Details of the selection and recruitment process must be made available on request to the ARC for audit purposes.
- C9.2.3 For the duration of their candidature, ICHDRs recruited to and funded under the ITTC scheme must be enrolled in a Higher Degree by Research at an Eligible Organisation.
- C9.2.4 For the duration of their role on the Project, ICPDs recruited to and funded under the ITTC scheme must hold a PhD (or equivalent) qualification and be an employee for at least 0.5 FTE (50 per cent of Full Time Equivalent) at an Eligible Organisation.
- C9.2.5 The ICHDRs and ICPDs funded under the ITTC scheme cannot commence another Commonwealth Fellowship or award while they are employed with funds from the Project.
- C9.2.6 ICHDRs funded under the ITTC scheme must undertake a minimum total of one year in full-time placement with a Partner Organisation (outside the higher education sector) over the Project Activity Period. The placement may be at more than one Partner Organisation.

C10. Funding

C10.1 Level and Period of Funding

C10.1.1 The ARC provides Project funding, which includes stipend funding for at least ten ICHDRs and salary funding for at least three ICPDs.

ITTC funding level (funding includes ICPD and ICHDR salaries at rates as listed below)	Between \$650,000 and \$1 million per annum for the first three years. Between \$150,000 and \$1 million per annum for the fourth year. There is no minimum level of funding provided by the ARC in the fifth year.
ITTC funding duration	Between four and five consecutive years.
ICPD salary level	\$110,128 (2017\$) per person at 1.0 FTE.
ICPD salary duration	Up to five consecutive years.
ICHDR stipend level	\$32,304 (2017\$) per person at 1.0 FTE.
ICHDR stipend duration	Two or three years, as appropriate for the Higher Degree by Research that the ICHDR is undertaking.

The figures in this section are based on the 2017 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the [ARC website](#).

C10.1.2 Contributions from participating organisations may be used to top-up the stipends of the ICHDRs and salaries of the ICPDs.

C10.1.3 A Project may include additional Higher Degree by Research and postdoctoral roles fully funded by participating organisation contributions, however these roles are not considered to be ICHDRs and ICPDs and are not covered by the employment conditions in the Funding Agreement.

C10.1.4 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. Funding to support an ICHDR extension must be requested for each ICHDR candidate in the Proposal, and must be included in the relevant year of the Proposal budget. The six month ICHDR extension will be subject to prior ARC approval.

C10.2 Budget Items Supported

C10.2.1 In addition to budget items supported in A7.2, budget items that directly support a research Project may be funded, including:

- a. personnel:
 - i. stipends for ICHDRs enrolled at an Eligible Organisation. 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. salary support for ICPDs appointed for at least 0.5 FTE (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.

C11. Assessment and Selection Process

C11.1 General

C11.1.1 In addition to the assessment process at A9, ITTC Proposals may be subject to additional assessment, such as:

- a. consultation with the Industry Growth Centres;
- b. short-listing for interview; and
- c. interviews with the proposed Training Centre Director and key participants in a format to be determined by the ARC. The ARC will not fund any costs for attendance at interviews.

C11.2 Selection Criteria

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

- a. Proposed Project Quality and Innovation 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?
 - Do the method, approach and intended benefits proposed address the priorities and objective of the ITTC scheme?
 - Will the proposed Project build skills and capacity in end-user focussed research?
 - Is the conceptual/theoretical framework genuinely integrated, cross-disciplinary, innovative and original?
- b. Feasibility and Commitment 20%
 - Can the proposed Project be completed within the proposed budget and timeframe? This should include identified risks and mitigation strategies.
 - Does the Training Centre demonstrate meaningful engagement with the relevant Industry Growth Centre?
 - 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 Project Activity Period?
 - 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 Project?
 - Is there evidence that each of the Partner Organisation(s) has the capacity to support the proposed Project?
 - Are there collaborative arrangements for the organisation(s) and team?
- c. Benefit 30%
- Is there a clearly identified market opportunity and benefit to Australian industry or other end users?
 - Does the proposed 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?
 - Is it demonstrated that, where relevant, the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to industry?
- d. Investigator(s) 20%
- Is this the best team to achieve the proposed Project goals?
 - Does the team demonstrate suitable Research Opportunity and Performance Evidence ([ROPE](#))?
 - Does 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 capacity to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the Project Activity Period?
 - Does the team have the time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s)?

C12. Reporting Requirements

C12.1 ITTC Key Performance Indicators

- C12.1.1 The Administering Organisation will be required to submit ITTC 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 scheme 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 ITTC KPIs annually in Progress Reports.
- C12.1.4 Administering Organisations are encouraged to work with the ARC during the establishment period of the ITTC to enable better practice project planning.

C12.2 Annual 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](#).

C12.3 Performance Reviews

- C12.3.1 Ad hoc reviews of Training Centres 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; and
 - b. proposed transfer of the Training Centre to a new Administering Organisation.
- C12.3.2 These performance reviews may inform whether there is satisfactory progress of the Project, which affects the continued provision of funding as per subsection A7.1.5.
- C12.3.3 Outcomes and feedback arising from the performance reviews as outlined above may inform any evaluations of the ITTC scheme.

Part D Scheme-specific rules for *Linkage Projects* for funding applied for in 2018

D1. *Interpretation*

Part D contains the scheme-specific rules for *Linkage Projects* for funding applied for in 2018.

D2. *Important Dates*

D2.1 **Funding Commencement Date**

The Funding Commencement Date for *Linkage Projects* for funding applied for in 2018 Proposals submitted by 30 June 2018 will be 1 July 2018.

The Funding Commencement Date for *Linkage Projects* for funding applied for in 2018 Proposals submitted from 1 July 2018 will be 1 January 2019.

D2.2 **Active Project Assessment Date**

The Active Project Assessment Date for *Linkage Projects* for funding applied for in 2018 Proposals submitted by 30 June 2018 will be 1 January 2019.

The Active Project Assessment Date for *Linkage Projects* for funding applied for in 2018 submitted from 1 July 2018 will be 1 July 2019.

D3. *Additional Definitions for Part D*

For the purposes of this Part:

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.

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

Exempt Herbarium² 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.

Exempt Museum and Collecting Organisation³ means a non-profit, established institution in the service of society and its development, open to the public, which acquires, conserves, researches, communicates and

² Adapted from: <http://herbarium.msu.edu/definition.html>

³ Adapted from: <http://icom.museum/the-vision/museum-definition/>

exhibits the tangible and intangible heritage of humanity and its environment for the purposes of education, study and enjoyment.

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 on the [ATO website](#).

Exempt Small Business means an organisation which has fewer than twenty full-time employees.

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.

D4. Objectives

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

D5. Organisation Eligibility

D5.1 General

D5.1.1 Organisations that may participate in *Linkage Projects* are:

- a. Administering Organisation;
- b. Other Eligible Organisation;
- c. Partner Organisation; and
- d. Other Organisation.

D5.2 Partner Organisation

- D5.2.1 A Proposal must include at least one Partner Organisation.
- D5.2.2 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.
- D5.2.3 The combined Partner Organisation(s) eligible Cash Contribution must be at least 25 per cent of the total funding requested from the ARC except for Proposals where all Partner Organisations are Exempt Partner Organisations (see D5.2.6).
- D5.2.4 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.
- D5.2.5 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.
- D5.2.6 The following types of Partner Organisation(s), as defined in D3 of these Funding Rules, are exempt from the Cash Contribution requirements in D5.2.3:
- a. Exempt Archive and Public Record Office;
 - b. Exempt Charity;
 - c. Exempt Herbarium;
 - d. Exempt Museum and Collecting Organisation;
 - e. Exempt Non-Profit Organisation;
 - f. Exempt Small Business; and
 - g. Exempt Start-up.
- D5.2.7 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 D5.2.3.

D6. Participant Eligibility

D6.1 General

- D6.1.1 Roles that may be nominated in a Proposal are:
- CI; and
 - PI.
- D6.1.2 The Proposal 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.
- D6.1.3 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.

D7. Proposal Eligibility

If a Proposal from this *Linkage Projects* scheme round has previously been unsuccessful, a similar Proposal can be submitted in this round. The Proposal must identify how the current Proposal differs from the previously unsuccessful Proposal(s) submitted in this round.

D8. Funding

D8.1 Level and Period of Funding

- D8.1.1 The ARC may provide Project funding as follows:

<i>Linkage Projects</i> funding level	Between \$50,000 to \$300,000 per annum.
<i>Linkage Projects</i> funding duration	Between two and five consecutive years.

D8.2 Budget Items Supported

- D8.2.1 In addition to budget items supported in A7.2, budget items that directly support a research project may be funded, including:
- personnel:
 - 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;
 - stipends for Higher Degree by Research students, in whole or in part, at an appropriate level for the Administering Organisation or the relevant industry sector; and
 - teaching relief for CIs up to a total value for the Project of \$50,000 per year.

D9. Selection Process

D9.1 Selection Criteria

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

- a. Investigator(s) 25%
 - Research Opportunity and Performance Evidence ([ROPE](#));
 - potential to engage in collaborative research with end-users;
 - evidence of research training, mentoring and supervision; and
 - time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s).
- b. Project Quality and Innovation 25%
 - i. Significance and Innovation
 - Will new methods or technologies be developed that address a specific market opportunity?
 - How will the anticipated outcomes advance the knowledge base and/or address an important problem and/or provide an end-user and/or industry advantage?
 - Does the Project plan provide a business model for implementation?
 - Does the proposed Project address the Science and Research Priorities?
 - Are the proposed Project aims and concepts novel and innovative?
 - Does the proposed Project significantly enhance links with organisations outside the Australian publicly-funded research and higher education sectors?
 - ii. Approach and Training
 - Are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the proposed Project?
 - Where relevant, is the intellectual content and scale of the work proposed appropriate to a higher degree by research?
- c. Feasibility 20%
 - Is there an existing, or developing, supportive and high-quality environment for this research both within the Administering Organisation and in the Partner Organisation(s)?
 - Are the necessary facilities available to conduct the proposed research?
 - Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the proposed research Project?
 - How adequate are the Cash and in-kind Contributions?

- d. Benefit 30%
- How will the proposed Project benefit Partner Organisation(s) and other relevant end-users?
 - Will the proposed research encourage and develop strategic research alliances between the higher education organisation(s) and other organisation(s)?
 - Will the proposed research maximise economic, commercial, environmental and/or social benefit to Australia? Are there adequate strategies to encourage dissemination, commercialisation, if appropriate, and promotion of research outcomes?
 - Is it demonstrated that, where relevant, the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to end-users and/or industry?
 - Does the proposed Project represent value for money?

Part E Scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2019

E1. Interpretation

Part E contains the scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2019.

E2. Important Dates

E2.1 Funding Commencement Date

The Funding Commencement Date for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2019 will be 1 January 2019.

E2.2 Active Project Assessment Date

The Active Project Assessment Date for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2019 will be 1 July 2019.

E3. Additional Definitions for Part E

For the purposes of this Part:

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

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

E4. Objectives

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

E5. Organisation Eligibility

E5.1 General

E5.1.1 Organisations that may participate in LIEF Projects are:

- a. Administering Organisation;
- b. Other Eligible Organisation;
- c. Partner Organisation; and
- d. Other Organisation.

E5.2 Organisation Eligibility

E5.2.1 All Eligible Organisations on a Proposal must make a cash contribution.

E5.2.2 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. The cash contributions should be a demonstration of significant commitment to the Project.

E5.2.3 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.

E6. Participant Eligibility

E6.1 General

E6.1.1 Roles that may be undertaken by participants are:

- a. CI; and
- b. PI.

E6.1.2 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.

E6.1.3 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.

E6.1.4 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 per cent 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 rata percentage of the available time.

E6.1.5 Each Partner Organisation may identify one CI or PI who has a demonstrated research record relative to opportunity in relation to managing the proposed research infrastructure.

E6.1.6 The Proposal must identify a suitable individual(s) to be Facility Manager.

E6.2 Partner Investigators (PIs)

- E6.2.1 A participant 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).

E7. *Proposal Eligibility*

E7.1 General

- E7.1.1 Before submitting a Proposal, the LIEF register, available on the [ARC website](#), must be consulted to prevent the unnecessary duplication of research infrastructure, equipment and facilities.
- E7.1.2 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.
- E7.1.3 The Proposal must set out, as agreed by each organisation named on the Proposal:
- the terms and conditions of access for participants named on the Proposal;
 - the terms and conditions of access for researchers not associated with the Proposal; and
 - details of the arrangements and costs of managing the research infrastructure (including any recurrent expenditure) and how any costs will be distributed.
- E7.1.4 Where it is proposed that the research infrastructure requested is to be located in more than one organisation, the Proposal must demonstrate clearly that:
- the facilities are genuinely integrated and collaborative;
 - the items of research infrastructure are complementary; and
 - the overall research outcomes will be enhanced by this arrangement.

E8. *Funding*

E8.1 Level and Period of Funding

- E8.1.1 The ARC may provide Project funding as follows:

LIEF funding level	Minimum \$150,000 per annum. Maximum 75% of the total direct cost of the eligible budget items.
LIEF funding duration	Up to five consecutive years.

- E8.1.2 All LIEF Proposals must have a duration of one year, except as described in subsection E8.1.3 below.

- E8.1.3 A Project may be applied for up to five years only for:
- a. construction of research infrastructure, as described at E8.2.1b; or
 - b. subscription or coordinated access to international facilities and major national facilities, as described at E8.2.1d.
- E8.1.4 Funding for a Project may only be carried forward for a maximum of two years from the Funding Commencement Date, unless there are exceptional circumstances and with the prior approval of the ARC.

E8.2 Budget Items Supported

- E8.2.1 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 E8.1.1;
 - 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. specialised computing facilities and software essential to the Project;
 - f. compilations, catalogues, clearing houses or bibliographies that build on and develop other current or recent competitively funded projects/programs.
- E8.2.2 All budget items must be justified in the Proposal to the satisfaction of the ARC, including confirmation that competitive quotes were negotiated for the research infrastructure.
- E8.2.3 Any salary costs requested under E8.2.1a or E8.2.1b need to be very carefully justified.
- E8.2.4 With regard to a written agreement as at E8.2.1d, 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.

E8.3 Budget Items Not Supported

E8.3.1 In addition to the budget items not supported in A7.3, budget items which will not be supported by ARC funding through the LIEF scheme, 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 costs of the proposed research infrastructure after the first year of the Project, including for multi-year Projects permitted under E8.1.3;
- d. operational costs;
- e. salaries and/or on costs, in whole or in part, for research using the facility (for example, for research support personnel);
- f. teaching and/or teaching relief;
- g. travel costs associated with use of the proposed research infrastructure; and
- h. fee-for-service costs where the Proposal does not lead to capability building or development of the research infrastructure.

E9. Selection Process

E9.1 Selection Criteria

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

- a. Project Quality and Innovation 25%
 - nature of the research, including aims and significance;
 - relevance of the proposed research infrastructure to the needs of ARC and other competitively funded research projects/programs;
 - enhancement of support for areas of existing and/or emerging research strength; and
 - demonstrated national or international focus for large scale cooperative initiatives.
- b. Feasibility 25%
 - relevance of the research to the strategic priorities of the organisations;
 - evidence that each of the organisations is genuinely committed to, and prepared to collaborate in, the proposed Project;
 - existing or planned strategic research alliances between the higher education organisation(s) and other organisation(s); and

- effectiveness of cooperative arrangements for the management and sharing of the proposed research infrastructure, including arrangements for ongoing operational expenditure where applicable.
- c. Investigator(s) 20%
- track record of investigators relevant to the use of the proposed research infrastructure, with consideration given to Research Opportunity and Performance Evidence ([ROPE](#));
 - 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;
 - evidence of research training, mentoring and supervision; and
 - 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.
- d. Benefit 30%
- availability of and access to similar research infrastructure at organisational, regional, national and/or international level;
 - demonstrated needs from the researchers and/or research projects that they will utilise the proposed research infrastructure, including level of demand and likely measurable impact on the research program, including beyond the Project Activity Period;
 - value for money and budget justification for cash and in-kind contributions, and the expected rate of use of the proposed research infrastructure;
 - 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;
 - plans to ensure that publicly funded research data generated from LIEF infrastructure is made open;
 - special needs for regional or otherwise remote institutions;
 - benefit of the proposed research infrastructure to the national research community; and
 - is it demonstrated, that where relevant, the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to industry?

E10. Reporting Requirements

E10.1 Progress Reports

- E10.1.1 In addition to the requirements in A11.1, a Progress Report must be submitted in year three for a four or five year Project. The form for this report will be made available by the ARC, with instructions on the [ARC website](#).

E10.2 Final Reports

- E10.2.1 In addition to the requirements in A11.2, the Final Report must contain information which the ARC may publicise regarding the details of the research infrastructure, equipment or facilities.