Funding Rules for schemes under the Linkage Program 2015 – Linkage Infrastructure, Equipment and Facilities

Australian Research Council Act 2001

I, Christopher Pyne, Minister for Education, 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 4 February 2014

Christopher Pyne
Minister for Education
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Key Dates
Please refer to the Important Dates page on the ARC website at www.arc.gov.au/media/important_dates.htm for key dates and updates relevant to these Funding Rules.

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

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

Appeals must be addressed and sent:
by mail to: or by courier to:
The Appeals Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601
The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Majura Park
CANBERRA ACT 2609

Or 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 2015 – Linkage Infrastructure, Equipment and Facilities.

A2. Commencement
These Funding Rules shall take effect upon registration on the Federal Register of Legislative Instruments.

A3. Definitions
In these Funding Rules, unless the contrary intention appears:

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

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

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

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

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

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

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

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

**Australian Laureate Fellow** means a named Australian Laureate Fellow who receives funding under the ARC Australian Laureate Fellowships scheme.

**Cash Contribution** means the cash from an organisation for the Project which is transferred to and managed by the Administering Organisation.
Chief Investigator (CI) means a researcher who satisfies the eligibility criteria for a CI under Part B of these Funding Rules.

Commencement Date means the scheme specific date on which funding commences as defined in Part B of these Funding Rules.

Commonwealth means the Commonwealth of Australia.

Conflicts of Interest means any conflict 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 at www.arc.gov.au.

Eligible Organisation means an organisation listed in A12.

Federation Fellow means a researcher who receives funding under the ARC Federation Fellowships scheme.

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

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

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

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

LIEF means the Linkage Infrastructure, Equipment and Facilities scheme.

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

Medical and Dental Research means research and/or training primarily and substantially aimed at understanding or treating a human disease or health condition, as defined in the ARC Medical Research Policy available on the ARC website at www.arc.gov.au.
Minister means the Minister from time to time responsible for the administration of the ARC Act.

NCGP means the ARC’s National Competitive Grants Program.

NHMRC means the National Health and Medical Research Council.

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

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

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

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

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

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

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

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

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

RMS means the ARC’s online Research Management System.

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

UA means Universities Australia.

A4. Introduction

A4.1 Overview

A4.1.1 These Funding Rules are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force then.
A4.1.2 These Funding Rules relate to the LIEF scheme funded under the Linkage Program of the ARC’s National Competitive Grants Program. The Linkage Program supports research partnerships within Australia and internationally to encourage the exchange and transfer of knowledge, ideas and skills as a basis for building capacity to deliver high quality research outcomes and secure commercial and other benefits of research.

The Linkage Program aims to:

a. Support excellent collaborative research initiatives involving partnerships between higher education organisations and with other sectors, in Australia and internationally.

b. Foster research and training and career opportunities that enable excellent Australian and international researchers and research students to gain experience working in industry settings.

c. Support collaborative research in priority areas that will deliver national benefits.

d. Enhance capacity to deliver national benefits by investing in large-scale collaborative research programs.

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

A4.1.4 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the NCGP.

A4.1.5 The Key Performance Indicators (KPIs) for the Linkage Program are specified each year in the ARC Portfolio Budget Statements and the ARC Strategic Plan. The KPIs focus on long-term outcomes as well as medium-term outcomes relating to building Australia’s research capacity, for example, research careers and training, contributions in areas of national need and research collaboration. These are addressed each year in the ARC’s annual report.

A4.2 Research/Activities Supported

A4.2.1 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

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

A5. Funding

A5.1 Level and Period of Funding
A5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
A5.1.2 The scheme-specific level and period of funding are detailed at Part B of these Funding Rules.
A5.1.3 The ARC reserves the right to recommend funding levels which may be less than those requested in the Proposal, and a duration of ARC funding which may differ from that requested in the Proposal.
A5.1.4 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.
A5.1.5 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

A5.2 Budget Items Supported
A5.2.1 For all scheme-specific budget items supported, refer to Part B of these Funding Rules.

A5.3 Budget Items Not Supported
A5.3.1 Budget items which will not be supported by ARC funding and should not be requested in the budget include:
   a. bench fees or similar laboratory access fees;
   b. capital works and general infrastructure costs;
   c. costs not directly related to research or the Project, including but not limited to professional membership fees, professional development courses, fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, costs of dependents, entertainment costs, hospitality costs, insurance, and other indirect costs;
   d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and
   e. salaries and/or on costs, in whole or in part, for CIs or PIs.
A5.3.2 For all other scheme-specific budget items not supported, refer to Part B of these Funding Rules.

A6. General Eligibility Requirements

A6.1 Eligible Organisations
A6.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation listed at Section A12.
A6.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations. A Proposal may only be submitted once in the same funding scheme round regardless of any
variation in the proposed research, the listed researchers and/or Administering Organisation.

A6.1.3 The Administering Organisation and all Other Eligible Organisations on the Proposal must demonstrate a significant contribution of cash and/or in kind resources to the Project, having regard to the total cost of the Project and the relative contribution of any CI(s) at the organisation.

A6.1.4 For additional scheme-specific Eligible Organisation eligibility requirements refer to Part B of these Funding Rules.

A6.2 Partner Organisations

A6.2.1 Organisations that are not Eligible Organisations but that are listed on a Proposal will be Partner Organisations.

A6.2.2 Partner Organisations named on a Proposal must participate for the duration of the Project unless otherwise approved by the ARC.

A6.2.3 A Partner Organisation must demonstrate a significant contribution of cash and/or in kind resources to the Project having regard to the total cost of the Project and the relative contribution of any PI(s) for that Partner Organisation.

A6.2.4 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.

A6.3 Eligibility process

A6.3.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.

A6.3.2 A decision under subsection A6.3.1 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.

A6.3.3 For additional scheme-specific eligibility requirements refer to Part B of these Funding Rules.

A7. Submission of Proposals

A7.1 Proposals

A7.1.1 The Proposal must be submitted as a mature research plan presenting the proposed Project ready for implementation and must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.

A7.1.2 All details in the Proposal must be current at the time of submission.

A7.2 Submission of Proposals in RMS

A7.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.

A7.2.2 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.
A7.3 Closing Time for Proposals
A7.3.1 The online form completed within RMS must be submitted by the relevant scheme closing date and time on the Important Dates page on the ARC website at www.arc.gov.au.
A7.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
A7.3.3 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.

A7.4 Certification in RMS
A7.4.1 The Administering Organisation must certify a Proposal online in RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals.
A7.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

A7.5 Conflict of Interest
A7.5.1 Each participant or organisation named in a Proposal must declare to the Administering Organisation at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.
A7.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007), the ARC Conflict of Interest and Confidentiality Policy and any relevant successor documents.
A7.5.3 As part of the certification at A7.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A7.5.1, and that any Conflict of Interest will be managed in accordance with A7.5.2.

A8. Selection and Approval Process
A8.1 Assessment and Selection Process
A8.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.
A8.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.
A8.1.3 All Proposals may be:
   a. assigned to independent assessors, from a range of organisations, who will assess and report, which may include written comments, on the Proposal against the selection criteria; and
   b. ranked and allocated a budget, relative to other Proposals, by the ARC College of Experts or a SAC, on the basis of the Proposal, any assessors’ reports and any rejoinder.
A8.1.4 The ARC may cease the progression of Proposals at any time during the selection process. Grounds for cessation include, but are not limited to:
   a. not meeting the eligibility criteria set out in these Funding Rules; or
   b. providing incomplete, inaccurate or misleading information.

A8.1.5 Following the recommendations of the ARC College of Experts or a SAC, the CEO will make recommendations to the Minister in relation to which Proposals should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.

A8.1.6 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.

A8.2 Rejoinder

A8.2.1 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.

A8.3 Request Not to Assess

A8.3.1 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a ‘Request Not to Assess’ form available on the ARC website at www.arc.gov.au. This form must be received by the ARC by the relevant scheme closing date and time available on the Important Dates page on the ARC website at www.arc.gov.au.

While the ARC may accommodate such requests, only one request may be submitted per Proposal and any request containing more than three (3) individual assessors to be excluded for a Proposal must be directly supported in writing by the Deputy Vice-Chancellor (Research) or equivalent of the Administering Organisation.

A8.4 Recommendations and Offer of Funding

A8.4.1 In accordance with the ARC Act, the ARC CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.

A8.4.2 Under the ARC Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.

A8.4.3 All Administering Organisations will be notified of the outcomes of their Proposals (including Proposals not recommended for funding). Outcomes, funding allocations and other relevant information about the successful Proposals will be published on the ARC website.

A8.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.

A8.4.5 The ARC may vary the funding approval if, in the opinion of the ARC, the particular circumstances of the Project warrant variation. Any variation or change will accord with the relevant Funding Rules and Funding Agreement.
A9. **Appeals Process**

A9.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the Proposal has been treated fairly and consistently in the context of selection procedures.

A9.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome.

A9.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at [www.arc.gov.au](http://www.arc.gov.au), authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm (AEDT/AEST) on the appeals submission due date.

A9.4 Appeals must be sent to the Appeals address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy Appeal submissions.

A9.5 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.

A10. **Reporting Requirements**

Details of ARC reporting requirements can be found on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).

A10.1 **Progress Reports**

A10.1.1 Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.

A10.1.2 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding monies will be recovered by the ARC.

A10.1.3 When required, Progress Reports must be submitted by 31 March in the year following each calendar year for which the funding was awarded as directed by the ARC.

A10.1.4 For all other scheme-specific reporting requirements relating to Progress Reports, refer to Part B of these Funding Rules.

A10.2 **End of Year Reports**

A10.2.1 The Administering Organisation must submit an End of Year Report by 31 March in the year following each calendar year for which the funding was awarded, in accordance with the instructions to be provided by the ARC each year.
A10.3  **Final Report**

A10.3.1 A Final Report must be submitted for the Project within twelve (12) months of the final payment or within twelve (12) months of the final approved carryover of funds.

A10.3.2 The Final Report must address compliance with the ARC Open Access Policy as detailed at A11.5.

A10.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants on the Project.

A10.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

A10.3.5 For all other scheme-specific reporting requirements relating to Final Reports, refer to Part B of these Funding Rules.

A11.  **Fundamental Principles of Conducting Research**

A11.1  **Ethics and Research Practices**

A11.1.1 All Proposals and ARC-funded research projects must conform to the principles outlined in the following and their successor documents. Links to these documents are available on the ARC website at [www.arc.gov.au](http://www.arc.gov.au):

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

b. as applicable, the NHMRC/ARC/UA *National Statement on Ethical Conduct in Human Research* (2007, updated 2013);

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

d. as applicable, Australian Institute of Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Australian Indigenous Studies* (2011); and

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

A11.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

A11.2  **Applicable Law**

A11.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988* and the *Freedom of Information Act 1982*.

A11.3  **Confidentiality**

A11.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:
a. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties in order to assess, evaluate or verify the quality, accuracy or completeness of a Proposal;

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

c. disclosed by the ARC to the Minister;

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

e. authorised or required by law to be disclosed;

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

g. in the public domain.

A11.3.2 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.

A11.3.3 In addition to the exemptions listed at A11.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project: the name of the Administering Organisation and any other parties involved in or associated with the Project; named Participants and their organisations; the proposed research program (the title and summary descriptions of the Project); classifications and international collaboration country names; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Proposal title and summary descriptions would not, if released, compromise their own requirements for confidentiality (such as protection of intellectual property).

A11.3.4 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.

A11.4 Intellectual Property

A11.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from a Project.

A11.4.2 The Administering Organisation must adhere to an intellectual property policy, approved by the Administering Organisation’s governing body, which has as one of its aims the maximisation of benefits to Australia arising from research. Unless otherwise approved by the Commonwealth, the Administering Organisation’s intellectual property policy must comply with the National Principles of Intellectual Property Management for Publicly Funded Research and/or any successor document/s. These document/s are available on the ARC website at www.arc.gov.au.

A11.5 Publication and Dissemination of Research Outputs

A11.5.1 All Proposals and ARC-funded research projects must comply with the ARC Open Access Policy on the dissemination of research findings, which is available at www.arc.gov.au. In accordance with this policy, any
publications arising from a Project must be deposited into an open access institutional repository within a twelve (12) month period from the date of publication.

A11.5.2 Researchers and institutions have an obligation to care for and maintain research data in accordance with the *Australian Code for the Responsible Conduct of Research* (2007). The ARC considers data management planning an important part of the responsible conduct of research and strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository.

A11.6 *Incomplete or Misleading Information*

A11.6.1 It is a serious offence to provide false or misleading information to the Commonwealth.

A11.6.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

A11.6.3 A decision under subsection A11.6.2 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.

A11.6.4 Examples of misleading information and misconduct include:

a. providing fictitious research opportunity and performance evidence;

b. plagiarism;

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

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

e. making false certifications; or

f. 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).

A12 *Eligible Organisations*

A12.1 *Higher Education Organisations*

**Australian Capital Territory**
- The Australian National University
- University of Canberra

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

**Northern Territory**
Batchelor Institute of Indigenous Tertiary Education
Charles Darwin University

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

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

**Tasmania**
University of Tasmania

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

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

### A12.2 Other Organisations

Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)
Part B – Scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2015

**B1. Interpretation**


The Commencement Date for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2015 is 1 January 2015.

**B2. Additional Definitions for Part B**

B2.1 **CI Manager** means a participant with a responsibility to coordinate access to the research infrastructure and manage the communication between the organisations on the Proposal.

B2.2 **Single Organisation Proposal** means a Proposal which includes only one Eligible Organisation (the Administering Organisation). A Single Organisation Proposal may or may not include Partner Organisations.

**B3. Objectives**

B3.1 The objectives of the *Linkage Infrastructure, Equipment and Facilities (LIEF)* scheme are to:

a. encourage Eligible Organisations to develop collaborative arrangements with other Eligible Organisations, higher education institutions and/or their Partner Organisations to develop and support research infrastructure;

b. support large-scale national or international cooperative initiatives thereby 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.

B3.2 *LIEF* funding will be awarded on the basis of excellence through a competitive peer review process.

**B4. Selection Criteria**

B4.1 Proposals will be assessed and ranked using the following selection criteria:

a. **Significance of research to be supported with the proposed research infrastructure:** 20%

   i. nature of the research, including aims and significance;
   
   ii. relevance of the proposed research infrastructure to the needs of ARC and other competitively funded research projects/programs;
   
   iii. enhancement of support for areas of existing and/or emerging research strength; and
   
   iv. demonstrated national or international focus for large scale cooperative initiatives.
b. Need and use of the proposed research infrastructure: 30%
   i. demonstrated need for the features specific to the requested research infrastructure;
   ii. availability of and access to similar research infrastructure at organisational, regional, national and/or international level;
   iii. demonstrated needs from the researchers and/or research projects that will utilise the proposed research infrastructure, including level of demand and likely measurable impact on the research program, including beyond the duration of the project;
   iv. value for money and budget justification for cash and in-kind contributions, and the expected rate of use of the proposed research infrastructure;
   v. planned use of the proposed research infrastructure, including proposed arrangements for broader access and the alignment of this planned use with other similar existing infrastructure within Australia and/or internationally;
   vi. special needs for regional or otherwise isolated institutions; and
   vii. national benefit of the proposed research infrastructure to the broader research community.

c. Nature of the alliance and commitment between the organisations named on the Proposal: 30%
   i. relevance of the research to the strategic priorities of the organisations;
   ii. evidence that each of the organisations is genuinely committed to, and prepared to collaborate in, the Project;
   iii. existing or planned strategic research alliances between the higher education organisation(s) and other organisation(s); and
   iv. effectiveness of cooperative arrangements for the management and sharing of the proposed research infrastructure, including arrangements for ongoing operational expenditure where applicable.

d. Investigator(s): 20%
   i. track record of investigators relevant to the use of the proposed research infrastructure, with consideration given to Research Opportunity and Performance Evidence (ROPE);
   ii. for CIs and PIs who will manage the purchase, design, manufacture, installation, maintenance and coordination of access to the proposed research infrastructure, a demonstrated record in these activities; and
   iii. relevance of the research infrastructure to the research capacity and planned activities of each CI and PI on the Proposal and, where relevant, to the research groups represented on the Proposal.
B5. **Research / Activities Not Supported**

B5.1 Except where such activities meet the definition of research in subsection A4.2.1, the *LIEF* scheme does not support research infrastructure for production of teaching materials.

B5.2 The *LIEF* scheme does not support Medical and Dental Research, as defined in section A3 of these Funding Rules.

B6. **Funding**

B6.1 **Level and Period of Funding**

B6.1.1 The minimum level of funding provided by the ARC under *LIEF* is $150,000 per year.

B6.1.2 The maximum level of funding provided by the ARC for a Project under *LIEF* is up to 75 per cent of the total direct cost of the research infrastructure.

B6.1.3 A Project may be applied for and awarded funding for one (1) year, or, in the case of coordinated access to major national and/or international research facilities or consortia, up to five (5) years as described at B7.1.c. A Proposal must request ARC funding in all years of the Project.

B6.1.4 Funding for a Project may only be carried forward for a maximum of two (2) years from the date funding commences, unless there are exceptional circumstances and with the prior approval of the ARC.

B6.1.5 Funding for approved projects will commence effective 1 January 2015, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.

B7. **Budget Items Supported**

B7.1 Budget items which directly support provision of research infrastructure for use in research projects may be funded, including:

a. purchase, upgrade, construction, transportation of, installation of, maintenance of and/or management of access to the research infrastructure (including animal houses, herbaria, experimental farms), and salaries and/or on costs directly associated with these activities;

b. 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 B6.1.1;

c. coordinated access to international facilities (enabled under a written agreement between the Administering Organisation and the relevant international facility) and major national facilities, for up to five (5) years;

d. library and research information infrastructure (non-capital aspects only) to support specific research projects/programs which may also include salaries and minor pieces of equipment to build an integrated facility; and
e. compilations, catalogues, clearing houses or bibliographies that build on and develop other current or recent competitively funded projects/programs.

B7.2 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.

B7.3 With regard to a written agreement as at B7.1.c, 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.

B8. Budget Items Not Supported
B8.1 In addition to the budget items not supported under section A5.3, budget items which will not be supported by ARC funding and should not be requested in the budget include:

a. basic facilities that should normally be funded by an Administering Organisation, Eligible Organisation and/or Partner Organisation;

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

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

d. teaching and/or teaching relief; and

e. travel costs associated with use of the proposed research infrastructure.

B9 Organisational Roles and Eligibility
B9.1 Eligible Organisations
B9.1.1 A Proposal must involve two or more Eligible Organisations unless it is a Single Organisation Proposal and can demonstrate that collaborative use of the proposed research infrastructure by another Eligible Organisation is not practicable.

B9.2 Contributions
B9.2.1 No part of the cash contribution by an organisation named on the Proposal can be from Commonwealth financial assistance for projects funded or likely to be funded for the same research infrastructure.

B9.3 Collaboration
B9.3.1 The research infrastructure, where appropriate, will be located at the Administering Organisation and be listed in its assets register, unless otherwise approved by the ARC.

B9.3.2 The Proposal must set out, as agreed by each organisation named on the Proposal:

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

b. the terms and conditions of access for researchers not associated with the Proposal; and
c. details of the arrangements and costs of managing the research infrastructure (including any recurrent expenditure) and how any costs will be distributed.

B9.3.3 Where the research infrastructure requested is proposed to be located in more than one organisation, the Proposal must demonstrate clearly that:

a. the facilities are genuinely integrated and collaborative;

b. the items of research infrastructure are complementary; and

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

B10. Roles and Eligibility for Researchers

B10.1 Additional eligibility criteria for LIEF

B10.1.1 Roles that may be undertaken by researchers are:

a. Chief Investigator (CI); or

b. Partner Investigator (PI).

All CIs and PIs nominated in a Proposal must satisfy the eligibility criteria for the role they are to perform as at 1 January 2015 and for the duration of the Project.

B10.1.2 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.

B10.1.3 A Proposal may nominate no more than a total of thirty (30) CIs and PIs. No more than five (5) CIs from each Eligible Organisation or five (5) PIs from each Partner Organisation may be nominated on a Proposal.

B10.1.4 All CIs and PIs must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. All CIs and PIs must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

B10.1.5 Every CI and PI must be a significant and regular user of the research infrastructure, on average, for a minimum of four hours per week (full time equivalent) by the CI or PI and/or their research group.

B10.1.6 At the time of the submission of a Proposal, all obligations regarding previously funded ARC Projects involving the nominated CIs and PIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

B10.2 Eligibility Criteria for Chief Investigators (CIs)

B10.2.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria as at 1 January 2015, and for the duration of the Project:

a. be an employee for at least half time (50 per cent of Full Time Equivalent (FTE)) at one Eligible Organisation; or

b. be a holder of an adjunct, emeritus or equivalent appointment at an Eligible Organisation listed in section A12 and not be employed more than half-time (50 per cent of Full Time Equivalent (FTE)) at another organisation that:
i. is outside the higher education sector, and
ii. engages in research funded predominantly from state/territory or Commonwealth Government funding sources; or

c. be a Federation Fellow; or
d. be an Australian Laureate Fellow.

B10.2.2 The CI must normally reside predominantly in Australia for the life of the Project. Any significant absences including fieldwork or study leave directly related to the Project must have approval from the Administering Organisation and must not total more than half of the Project funding period.

B10.2.3 A researcher who is an employee of an Eligible Organisation listed in A12 who does not reside predominantly in Australia may be a PI.

B10.2.4 Each Eligible Organisation must identify one CI who has a demonstrated record relative to opportunity in managing the proposed research infrastructure to be CI Manager for the Eligible Organisation.

B10.2.5 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 the Project still includes at least one CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.

B10.3 Eligibility Criteria for Partner Investigators (PIs)

B10.3.1 A researcher nominated on a Proposal as a PI:

a. must not meet the eligibility criteria for a CI; and

b. 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).

B10.3.2 Each Partner Organisation may identify one PI who has a demonstrated record relative to opportunity in managing the proposed research infrastructure.

B10.3.3 If a Proposal has been approved for funding and a PI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided any replacement PI is approved by the ARC and meets the PI eligibility criteria.

B11. Limits on Projects and Proposals

B11.1 A researcher must not be nominated as a CI or as a PI on more than two LIEF Proposals in the same funding round.

B11.2 A CI or PI receiving funding under the LIEF scheme may only be named on a maximum of two concurrent Projects under this scheme.

B11.3 A researcher may only submit a Proposal which they would be eligible to hold as at the Commencement Date of the Project (1 January 2015). The ARC will calculate this rule at the closing time of submission of Proposals, by totalling the number of LIEF Proposals submitted by the researcher, plus the number of their currently held LIEF Projects which are funded in 2015.
B11.4 For eligibility purposes a Project is considered to be funded for the years set out in the original Funding Agreement.

B12. **Reporting Requirements**

**B12.1 Progress Reports**

B12.1.1 In addition to the requirements at A10.1, a Progress Report must be submitted for year three of a four- or five-year Project.

**B12.2 Final Reports**

B12.2.1 In addition to the requirements at A10.3, the Final Report must contain information which the ARC may publicise regarding the details of the research infrastructure.