



**Australian Government**  
**Australian Research Council**

## Linkage Program Grant Guidelines (2022 edition):

### Linkage Infrastructure, Equipment and Facilities

<b>Opening date:</b>	Available on <a href="#">GrantConnect</a>
<b>Closing date and time:</b>	Available on <a href="#">GrantConnect</a>
<b>Commonwealth policy entity:</b>	Australian Research Council
<b>Enquiries:</b>	Researchers are required to direct requests for information to the Research Office within the Administering Organisation. ARC Contacts are on the <a href="#">ARC website</a> .
<b>Date guidelines released:</b>	09 May 2022
<b>Type of grant opportunity:</b>	Restricted competitive

*Australian Research Council Act 2001*

I, Stuart Robert, Minister for Education and Youth, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these grant guidelines under section 60 of that Act.

Dated

28 March 2022

Stuart Robert

Minister for Education and Youth

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# 1. Linkage Program: Linkage Infrastructure, Equipment and Facilities processes

**The Linkage Program is designed to achieve the Australian Government’s objectives for research and innovation.**

This grant program contributes to the ARC’s Outcome 1, which is to grow knowledge and innovation through managing research grants, measuring research excellence and providing advice. The following process flowchart applies to the Linkage Infrastructure, Equipment and Facilities (LIEF) grant opportunity.



**The grant opportunity opens.**

We (the ARC) publish the grant guidelines and advertise on [GrantConnect](#).



**You (the Administering Organisation) complete and submit an application.**



**We manage the assessment of all applications.**

We manage the assessment of applications against eligibility criteria and assessment criteria including an overall consideration of value for money.

Your application will be assigned to Detailed Assessors to undertake in-depth assessments. You will have an opportunity to respond to Detailed Assessors’ written comments through a rejoinder.

Selection Advisory Committee (SAC) members will then assess Your application, consider the Detailed Assessors’ ratings and comments and Your rejoinder and assign a final score.



**We make grant recommendations.**

The SAC will collectively consider all applications and recommend to the Chief Executive Officer (CEO) the applications to be funded, and the level and duration of funding for each project.

The CEO will then recommend to the Minister the applications to be funded, and the level and duration of funding for each grant.

In making recommendations to the Minister, the CEO will consider the applicant’s response to the National Interest Test. The CEO will seek information from Administering Organisations on applications where there is concern about how they meet the National Interest Test based on the information provided in the application form. The CEO will make grant recommendations to the Minister that are peer assessed for research excellence, satisfy the National Interest Test and which are eligible for funding. The CEO may take into account any advice received on national security or other matters from Commonwealth agencies.



**Grant decisions are made.**

The Minister decides which applications are approved, and the level of funding and duration of funding for each approved project. The Minister may consider the National Interest Test and any advice on national security risks in determining which applications to approve.



**We notify You of the outcome.**

We advise You if Your application was successful or not through Our Research Management System (RMS).



**We enter into a grant agreement with You.**

We will enter into a grant agreement with You through RMS.



**Delivery of the grant.**

You undertake the grant activity and report to Us as set out in Your grant agreement.  
We manage the grant by monitoring Your progress and making payments.



**Evaluation of the grant opportunity.**

We evaluate the specific grant activity and the grant opportunity as a whole.  
We will use information You provide to Us through Your reports to inform evaluations.

## Introduction

- 1.1. These grant guidelines establish the rules which govern the administration of the Linkage Program including the application, eligibility, and selection processes to be followed and the selection criteria that will be used to recommend grantees.
- 1.2. These guidelines contain information for the LIEF scheme.
- 1.3. You and the named participants must read these guidelines before filling out an application.
- 1.4. This document sets out:
  - a. the purpose of the LIEF scheme;
  - b. the eligibility and assessment criteria;
  - c. how applications are considered and selected;
  - d. how grantees are notified and receive grant payments;
  - e. how grantees will be monitored and evaluated; and
  - f. responsibilities and expectations in relation to the LIEF scheme.
- 1.5. These grant guidelines are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force at that date.

## 2. About the Linkage Program

- 2.1. The Linkage Program is one of two Programs under the ARC National Competitive Grants Program (NCGP).

### Objectives

- 2.2. The Linkage Program supports the growth of research partnerships between university-based researchers and researchers in other sectors in Australia and overseas for projects that generate new knowledge, technologies and innovations.
- 2.3. 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 Australian Government priority areas, including the National Manufacturing Priorities.
- 2.4. Consistent with these objectives, no less than 70% of recommended Linkage Program grants will be aligned with the National Manufacturing Priorities.
- 2.5. The purpose of the Linkage Program is to promote national and international research partnerships between researchers and business, industry, community organisations and other publicly funded research agencies. By supporting the development of partnerships, the ARC encourages the transfer of skills, knowledge and ideas as a basis for securing commercial and other benefits of research. The Linkage Program encourages and extends cooperative approaches to research and improve the use of research outcomes by

strengthening links within Australia's innovation system and with innovation systems internationally.

- 2.6. The grant opportunities currently available under the Linkage Program are:
- a. Industrial Transformation Research Program (ITRP) comprising:
    - Industrial Transformation Research Hubs (Research Hubs);
    - Industrial Transformation Training Centres (Training Centres);
  - b. Linkage Projects;
  - c. LIEF;
  - d. ARC Centres of Excellence;
  - e. Special Research Initiatives;
  - f. Learned Academies Special Projects (LASP); and
  - g. Supporting Responses to Commonwealth Science Council Priorities.

### **Intended Outcome**

- 2.7. The intended outcome of the Linkage Program is to increase Australia's research and innovation capacity to generate new knowledge and result in the development of new technologies, products and ideas, the creation of jobs, economic growth and an enhanced quality of life in Australia.

### **Scope and timeframes**

- 2.8. Linkage Program grants are awarded on the basis of excellence through a competitive peer review process for each grant opportunity.
- 2.9. Depending on the grant opportunity, Linkage Program grant applications may be accepted once a year, on a continuous basis or as required.
- 2.10. These grant guidelines will be in effect from the date the Minister signs these grant guidelines.

### **Key performance indicators**

- 2.11. The key performance indicators (KPIs) for the Linkage Program are identified each year in the ARC Portfolio Budget Statements and the ARC corporate plan. Reporting is provided every year in Our annual report.
- 2.12. 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.

### **Other relevant information**

- 2.13. The Linkage Program grant opportunities are undertaken according to the *Australian Research Council Act 2001* (ARC Act) and the *Commonwealth Grants Rules and Guidelines 2017* (CGRGs).

## About the Linkage Infrastructure, Equipment and Facilities grant opportunity

### Important dates

- 2.15. The grant commencement dates and active project assessment dates for each LIEF grant opportunity will be available on the [ARC website](#).

### Description

- 2.16. The LIEF scheme provides funding for research infrastructure, equipment and facilities to Eligible Organisations. It enables researchers to participate in cooperative initiatives so that expensive research infrastructure, equipment and facilities can be shared between higher education organisations and also with industry. The scheme also fosters collaboration through its support of the cooperative use of international or national research facilities.
- 2.17. Participating organisations must commit a significant contribution of cash and/or in-kind and/or other material resources to the application having regard to the total cost of the proposed LIEF project and the relative contribution of named participants at the organisation.

### Objectives

- 2.18. The LIEF scheme objectives are to:
- a. support excellent basic and applied research and research training through the acquisition of research equipment and infrastructure and access to national and international research facilities; and
  - b. encourage Eligible Organisations to develop collaborative arrangements with other Eligible Organisations and/or Partner Organisations for the acquisition and use of research equipment and infrastructure or access to national and international facilities.
- 2.19. The intended outcomes of the LIEF scheme are:
- a. enhanced scale and focus of research in areas of existing and/or emerging research strength; and
  - b. research infrastructure for the broader research community.

### Timeframe

- 2.20. LIEF grant applications are accepted once a year.

### 3. Grant amount and grant period

3.1. For each LIEF grant opportunity, applications for the levels of funding listed in Table 1 will be considered.

3.2. **Table 1:** LIEF funding and grant duration.

Category	Details
LIEF funding level	Minimum \$150,000 per year. Maximum 75% of the total direct cost of the eligible budget items.
LIEF funding duration	One year; or One to five years if the application is for leasing infrastructure, equipment or facilities, the construction of research infrastructure, or subscription or coordinated access to international facilities and major national facilities.

### 4. Eligibility criteria

#### What are the eligibility requirements for applications?

- 4.1. To be eligible, Your application must:
- Include at least one Chief Investigator (CI). The first named CI will be the Project Leader;
  - nominate none, one or more Partner Investigators (PIs);
  - nominate no more than 15 CIs and PIs in total. Of these You may nominate a maximum of five CIs from any one Eligible Organisation; and a maximum of five PIs from any one Partner Organisation. Other users may be listed in the project description section of the application; and
  - have a duration of one year, or one or more years (maximum of five years). You may apply for one or more years if it is for:
    - the construction of research infrastructure, which may include (for example) building equipment or facilities, or the development of an online archive;
    - subscription or coordinated access to international facilities and major national facilities; or
    - leasing equipment or infrastructure where that would be more cost effective than purchasing the item/s.
- 4.2. You and each of the Other Eligible Organisation(s) on an application must make a cash contribution.
- 4.3. Organisational cash contributions for direct costs must make up a minimum of 25% of the total direct cost of the research infrastructure. Cash contributions from You, Other Eligible Organisation(s), Partner Organisation(s) and Other Organisation(s) are all eligible to make up this minimum of 25%. The cash contributions should be a demonstration of significant commitment to the project.

- 4.4. Organisational cash contributions for indirect costs are not eligible to make up part of the minimum of 25% of the total direct cost of the research infrastructure.
- 4.5. You can only submit one application for the same project in any grant opportunity. This includes applications which fundamentally have the same research intent, approach and outcomes, regardless of any variations in the research, the named participants and/or organisations.

### Who is eligible to apply for a grant?

- 4.6. We will only accept applications from the Eligible Organisations in Table 2.
- 4.7. The Eligible Organisation that submits the application will be the 'Administering Organisation' and is referred to as 'You'. All Other Eligible Organisations named on the application will be an 'Other Eligible Organisation'.
- 4.8. **Table 2:** Eligible Organisations:

Organisation Name	Organisation ABN
Australian Catholic University	15 050 192 660
Australian Institute of Aboriginal and Torres Strait Islander Studies	62 020 533 641
Avondale University	53 108 186 401
Batchelor Institute of Indigenous Tertiary Education	32 039 179 166
Bond University	88 010 694 121
Central Queensland University	39 181 103 288
Charles Darwin University	54 093 513 649
Charles Sturt University	83 878 708 551
Curtin University	99 143 842 569
Deakin University	56 721 584 203
Edith Cowan University	54 361 485 361
Federation University Australia	51 818 692 256
Flinders University	65 542 596 200
Griffith University	78 106 094 461
James Cook University	46 253 211 955
La Trobe University	64 804 735 113
Macquarie University	90 952 801 237

Organisation Name	Organisation ABN
Monash University	12 377 614 012
Murdoch University	61 616 369 313
Queensland University of Technology	83 791 724 622
Royal Melbourne Institute of Technology (RMIT University)	49 781 030 034
Southern Cross University	41 995 651 524
Swinburne University of Technology	13 628 586 699
The Australian National University	52 234 063 906
The University of Adelaide	61 249 878 937
The University of Melbourne	84 002 705 224
The University of New England	75 792 454 315
The University of New South Wales	57 195 873 179
The University of Newcastle	15 736 576 735
The University of Notre Dame Australia	69 330 643 210
The University of Queensland	63 942 912 684
The University of Sydney	15 211 513 464
The University of Western Australia	37 882 817 280
Torrens University Australia	99 154 937 005
University of Canberra	81 633 873 422
University of Divinity	95 290 912 141
University of South Australia	37 191 313 308
University of Southern Queensland	40 234 732 081
University of Tasmania	30 764 374 782
University of Technology Sydney	77 257 686 961
University of the Sunshine Coast	28 441 859 157
University of Wollongong	61 060 567 686

Organisation Name	Organisation ABN
Victoria University	83 776 954 731
Western Sydney University	53 014 069 881

### Who is not eligible to be a Partner Organisation?

- 4.9. An organisation cannot be a Partner Organisation if it is:
- included on the National Redress Scheme’s website on the list of ‘Institutions that have not joined or signified their intent to join the Scheme’ ([www.nationalredress.gov.au](http://www.nationalredress.gov.au));
  - an Eligible Organisation;
  - a controlled entity of any Eligible Organisation; or
  - an entity (for example a joint venture) where more than 50% is owned by one or more Eligible Organisations.

### Partner Organisation requirements

- 4.10. Each Partner Organisation must:
- participate in the project for the project activity period unless otherwise approved by Us; and
  - make a contribution of cash and/or in-kind and/or other material resources that is specific to the project, and having regard to the total cost of the project and not be part of a broader contribution to Your organisation or an Other Eligible Organisation.
- 4.11. Partner Organisation cash contributions cannot:
- be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory Government for the purposes of the same research infrastructure as the application, nor from funds previously used to leverage government research or research infrastructure funding; or
  - be a contribution to salaries for CIs and/or PIs on the application.

### Who is not eligible to be an Other Organisation?

- 4.12. An organisation cannot be an Other Organisation if it is:
- included on the National Redress Scheme’s website on the list of ‘Institutions that have not joined or signified their intent to join the Scheme’ ([www.nationalredress.gov.au](http://www.nationalredress.gov.au));
  - an Eligible Organisation; or
  - a Partner Organisation.

## Other Organisation requirements

- 4.13. Organisations that are not Eligible Organisations and not Partner Organisations but that are named as organisational participants on an application will be Other Organisations.
- 4.14. Other Organisations are not required to make a cash or in-kind contribution to the project, but must be relevant to and involved with the project.

## Who is eligible to be a named participant?

- 4.15. Named participants are those individual researchers who are nominated for the particular roles identified for each grant opportunity.
- 4.16. Roles that named participants may be nominated for under the LIEF scheme are:
  - a. Chief Investigators (CIs); and
  - b. Partner Investigators (PIs).
- 4.17. All named participants in an application must:
  - a. satisfy the eligibility criteria for the role they are to perform;
  - b. take responsibility for the authorship and intellectual content of the application, appropriately citing sources and acknowledging all significant contributions, including from third parties; and
  - c. have met their obligations regarding previously funded projects, including submission of satisfactory final reports to the ARC at the grant opportunity closing date.
- 4.18. Every CI and PI (and/or their research group) must be a significant and regular user of the research infrastructure.
- 4.19. A project cannot commence until all named participants meet the eligibility criteria in these grant guidelines.
- 4.20. An application will not be considered where We have made a decision to exclude grant applications involving a particular named participant for a period of time, whether or not they otherwise meet the eligibility requirements.

## Chief Investigators

- 4.21. CIs are expected to:
  - a. 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;
  - b. ensure effective supervision, support and mentoring at all times of research personnel, including Higher Degree by Research (HDR) candidates and postdoctoral researchers for who they are responsible; and
  - c. make a commitment to carrying out the project and not assume the role of a supplier of resources for work that will largely be undertaken by others.
- 4.22. The Project Leader must be an employee for at least 0.2 FTE at the Administering Organisation as at the grant commencement date, and, if successful, for the project activity period.
- 4.23. CIs who are not the Project Leader must meet at least one of the following criteria as at the grant commencement date, and, if successful, for the project activity period:

- a. be an employee for at least 0.2 FTE at an Eligible Organisation; or
  - b. be a holder of an honorary academic appointment at an Eligible Organisation. An honorary academic appointment for eligibility purposes means a position that gives full academic status to the researcher, as certified by the Deputy Vice-Chancellor (Research) (or equivalent) in the application. The researcher must have access to research support comparable to employees e.g., an emeritus appointment. The researcher is not eligible to be a Chief Investigator using their honorary academic appointment if they are employed by an organisation other than an Eligible Organisation for more than 0.2 FTE.
- 4.24. CIs must reside in Australia for more than 50% of the project activity period. Any significant absences including fieldwork or study leave directly related to the project must have approval from You and must not total more than half the project activity period. In extraordinary circumstances, changes must be approved via a Variation.
- 4.25. CIs must not undertake an HDR during the Project Activity Period.

### **Partner Investigators**

- 4.26. PIs are expected to take significant intellectual responsibility for the planning and conduct of the project and for any strategic decisions required in its pursuit and the communication of results.
- 4.27. PIs must not meet the eligibility criteria for a CI as at the grant commencement date and, if successful, at any time during the project activity period.
- 4.28. PIs may, or may not, be an employee of a Partner Organisation.
- 4.29. Researchers who do not meet all of the eligibility criteria for being a CI may be PIs. An employee of an Eligible Organisation who will not reside in Australia for more than 50% of the project activity period may be a PI.

### **What are the limits on the number of applications and projects per named participant?**

- 4.30. These limits only apply to CIs.
- 4.31. The limits are designed to ensure that named participants have the capacity to undertake each project.
- 4.32. A named participant can apply for and be concurrently funded for a maximum of two LIEF projects as a CI.
- 4.33. At the grant opportunity closing time we will count:
  - a. the number of LIEF CI roles that the participant will hold as active projects as at the active project assessment date; and
  - b. the number of LIEF applications We are currently assessing which include that participant as a CI.
- 4.34. If a role or Project must be relinquished to meet the limits, We must approve the Variation before the grant opportunity closing date. Any relinquishment Variation submitted or approved after the grant opportunity closing date will not be taken into account when counting the number of projects under Section 4.32.

- 4.35. It is Your responsibility to determine if applying for, or holding, a project under these guidelines will affect an individual researcher's eligibility for the other ARC grant opportunities as other ARC grant opportunities may have different project limits. We reserve the right to change project and application limits in future grant opportunities.

## 5. What grant money can be used for

### Eligible grant activities

- 5.1. The Linkage Program supports research activities including those that meet the definition of 'research infrastructure' stated in the glossary in these grant guidelines.

### Ineligible grant activities

- 5.2. The Linkage Program does not support applications that involve medical research as detailed in the *ARC Medical Research Policy* on the [ARC website](#).
- 5.3. The Linkage Program does not support activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, film, broadcasts, designs and literary works, unless those works are directly related to the project activities and demonstrably research based.
- 5.4. The LIEF scheme does not support the management of access to existing infrastructure, equipment or facilities, including those already funded by the Commonwealth. As per Section 5.7e below, coordinated access to international facilities and major national facilities is supported.
- 5.5. We cannot fund the same research activities, infrastructure or project previously funded or currently being funded through any other Commonwealth grant.

### What grant funds can be used for

- 5.6. You can only spend the grant on eligible expenditure items that directly support the project and in accordance with any additional special conditions in the grant agreement.
- 5.7. Eligible expenditure items are:
- 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% on-costs, directly associated with these activities;
  - construction of research infrastructure (which may (for example) include building equipment or facilities, or the development of an online archive), for up to five years. This includes salaries, including 30% on-costs, directly associated with this activity;
  - leasing of infrastructure, equipment or facilities for up to five years;
  - 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 required for a grant application to be considered eligible;
  - subscription or coordinated access to international facilities and major national facilities, for up to five years, enabled under a written agreement between the

Administering Organisation and the relevant international or national facility. As per Section 5.4, the management of access to existing infrastructure, equipment or facilities is not supported;

- f. specialised computing facilities and software essential to the project; and
  - g. compilations, catalogues, clearing houses or bibliographies that build on and develop other current or recently competitively funded projects/programs.
- 5.8. Any salary costs requested require thorough justification.

### **What grant funds cannot be used for**

- 5.9. Except where such activities meet the definition of 'research', the LIEF scheme does not support research infrastructure for the production of teaching materials.
- 5.10. You cannot request or use grant funds for the following activities:
- 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;
  - d. operational costs;
  - e. costs not directly related to the project, including but not limited to professional membership fees, professional development courses, fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, entertainment costs, insurance, mobile phones (purchase or call charges) and other indirect costs. Professional membership fees may be allowable if related to the subscription or coordinated access to international facilities and major national facilities;
  - f. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students;
  - g. salaries and/or on-costs, in whole or in part, for CIs or PIs;
  - h. salaries and/or on costs, in whole or in part, for personnel using the facility (for example, for research support personnel);
  - i. teaching and/or teaching relief;
  - j. travel costs associated with use of the proposed research infrastructure; and
  - k. fee-for-service costs where the application does not lead to capability building or development of the research infrastructure.

### **What basic facilities must be provided**

- 5.11. The following basic facilities must be provided (where relevant) and funded by You, or the Other Eligible Organisations or Partner Organisations and are not funded by the ARC:
- a. bench fees or similar laboratory access fees;
  - b. access to a basic library collection;

- c. access to film or music editing facilities;
- d. work accommodation (for example, laboratory and office space, suitably equipped and furnished);
- e. basic computer facilities such as desktop computers, portable computer devices, printers, word processing, and other standard software; and
- f. standard reference materials or funds for abstracting services.

## 6. The assessment criteria

6.1. You must address all of the relevant assessment criteria in Your application. We will assess your application based on the weighting given to each criterion. Different weightings are assigned to individual criterion.

6.2. The application form asks questions that relate to the assessment criteria. The amount of detail and supporting evidence You provide in Your application should be relative to the project size, complexity and grant amount requested. The application form includes character, word and page limits.

6.3. The LIEF assessment criteria are:

**a. Investigator(s)/Capability 20%**

Describe the:

- demonstrated record in these activities (for CIs and PIs who will manage the purchase, design, manufacture, installation, maintenance and coordination of access to the proposed research infrastructure); and
- relevance of the research infrastructure to the research capacity and planned activities of each CI and PI on the application and, where relevant, to the research groups represented on the application.

**b. Project quality and innovation 25%**

Describe the:

- aims and significance of the research that will be supported by LIEF funding;
- relevance of the proposed research infrastructure to the needs of ARC and other competitively funded research projects/programs;
- importance of equipment for the training of research students;
- enhancement of support for areas of existing and/or emerging research strength; and
- demonstrated national or international focus for large scale cooperative initiatives.

**c. Feasibility and strategic alignment 25%**

Describe the:

- extent to which the project represents value for money;
- feasibility of the plan to use the research infrastructure;
- 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 project;
- existing or planned strategic research alliances between the higher education organisation(s) and other organisation(s);
- effectiveness of cooperative arrangements for the management and sharing of the proposed research infrastructure, including arrangements for ongoing operational expenditure where applicable; and
- extent to which the project aligns with Australian Government priority areas.

If the project involves research infrastructure pertaining to Aboriginal and/or Torres Strait Islander communities describe:

- the strategies for enabling collaboration with Aboriginal and/or Torres Strait Islander communities (for example, dialogue/collaboration with an Indigenous cultural mentor);
- any existing or developing, supportive and high-quality research relationships with Aboriginal and/or Torres Strait Islander research communities; and
- any personal affiliations with local Aboriginal and/or Torres Strait Islander communities that can facilitate the proposed research infrastructure .

**d. Benefit 10%**

Describe the:

- benefit of the proposed research infrastructure to the broader research community;
- capacity to contribute to Australian Government priority areas, such as the National Manufacturing Priorities; and
- where relevant, the extent to which the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to industry.

**e. Suitability/Need 20%**

Describe the:

- 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;
- availability of and access to similar research infrastructure at organisational, regional, national and/or international level;
- planned rate of use of the proposed research infrastructure, including proposed arrangements for broader access to individuals not named on the application;
- alignment of the planned use with other similar existing infrastructure within Australia and/or internationally; and
- special needs for regional or otherwise remote institutions.

## 7. How to apply

- 7.1. Before You submit an application, You and the named participants must read these grant guidelines, the **Instructions to Applicants**, and the draft grant agreement. These documents may be found at [GrantConnect](#). Any additional alterations and addenda will be published on [GrantConnect](#) and by registering on this website you will be automatically notified of any changes.
- 7.2. You must also consult the LIEF register to prevent the unnecessary duplication of research infrastructure, equipment and facilities. This register is available on the [ARC website](#).
- 7.3. To apply, You must:
  - a. complete the application form in the format We require as detailed in the **Instructions to Applicants**;
  - b. address all of the eligibility and assessment criteria;
  - c. provide a National Interest Test statement;
  - d. make sure that Your application is submitted in accordance with these grant guidelines, grant agreement, **Instructions to Applicants** and application form. You must only submit an application, if it and the named participants, will be eligible for the grant opportunity as per these grant guidelines;
  - e. certify that the application is compliant with these grant guidelines and all relevant laws and regulations; including having regard to the *Guidelines to Counter Foreign Interference in the Australian University Sector* published on the [Department of Education website](#);
  - f. submit your application through Your Research Office; and
  - g. ensure that the person assigned the Research Office Delegate role in RMS is authorised to certify and submit application.
- 7.4. Where Your application is for subscription or coordinated access to international facilities and major national facilities, You must have commenced discussions and negotiations with the specific international facility prior to the submission of the application and provide evidence of this.
- 7.5. Your application must:
  - a. identify where the research infrastructure will be located. The expectation is that it will be located at Your institution, and be listed on Your assets register. If this is not the case and You request that the research infrastructure be located in more than one organisation, you must demonstrate clearly in Your application 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.
  - b. provide details of the usage of the research infrastructure by participants;
  - c. include details of the proposed collaborative arrangements and governance processes to be implemented, including how each Partner Organisation will be involved in the project;
  - d. set out the agreement between You and each organisation named in Your application for the following:

- the terms and conditions of access for participants named on the application;
  - the terms and conditions of access for researchers not associated with the application; and
  - details of the arrangements and costs of managing the research infrastructure (including any recurrent expenditure) and how any costs will be distributed.
- e. only include in the application budget items of eligible expenditure as specified in the eligible expenditure section of these grant guidelines.
- 7.6. In the application budget:
- a. Your Partner Organisations' cash contributions must not be a contribution to salaries for CIs and/or PIs on the project.
  - b. In-kind contributions must be essential and central to the application. It is Your responsibility to establish the merit of the case for recognition of in-kind contributions.
  - c. In-kind contributions should not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.
  - d. Your application cannot include cash or in-kind contributions in years beyond the project activity period.
  - e. Partner Organisation contributions must be specified in Australian dollars and, subject to these grant guidelines, contributed at the specified level regardless of currency fluctuations.
- 7.7. We reserve the right to determine the value of Partner Organisation contributions and may, for the purposes of assessment, determine contributions to be at levels that may differ from those in Your application.
- 7.8. You are responsible for ensuring that Your application is complete and all details in the application are accurate and current at the time of submission.
- 7.9. You cannot change Your application after the grant opportunity closing date and time, unless invited by the ARC.
- 7.10. We reserve the right at any point in the process to seek evidence from You to support the certification of applications.
- 7.11. The application form includes help information and further information is in the **Instructions to Applicants** document on [GrantConnect](#). If You have any technical difficulties, please contact [RMSsupport@arc.gov.au](mailto:RMSsupport@arc.gov.au). Attachments to the application
- 7.12. You must attach supporting documentation to the application form in line with the instructions provided in the form or in the **Instructions to Applicants**. You should only attach requested documents. We will not consider information in attachments that We do not request.

### Timing of the grant opportunities

- 7.13. We publish open and closing times for submission on [GrantConnect](#).
- 7.14. You must submit Your application to Us between the grant opportunity opening and closing date and time specified on [GrantConnect](#). We will not accept late applications, other than

in exceptional circumstances (such as due to natural disasters) in which case We will discuss this with You, and if We agree, invite You to make a late application.

- 7.15. If you are successful, a grant will commence on the grant commencement date, after Ministerial announcement or in line with other arrangements that are approved by Us.

### Questions during the application period

- 7.16. Questions during the application period should be directed to Your Research Office. Answers to frequently asked questions may also be posted on [GrantConnect](#).

### Withdrawing an application

- 7.17. We may approve the withdrawal of an application upon receipt of a written request with justification from You. We will only approve such a request in exceptional circumstances.

## 8. The grant selection process

- 8.1. All applications will be considered through a competitive peer review process.
- 8.2. We manage the assessment of applications. Further information about the assessment process is available on the [ARC website](#).
- 8.3. We may seek advice on national security or other matters from Commonwealth agencies in relation to the application.
- 8.4. We may seek information from You regarding due diligence activities in relation to the application.

### Eligibility criteria assessment

- 8.5. We will review Your application against the eligibility criteria.
- 8.6. We may determine whether an application meets the eligibility requirements in these grant guidelines at any stage during assessment of the application.
- 8.7. If an application is ineligible, the application may not be progressed through the assessment process and We must not recommend the application for funding.

### The assessment process

- 8.8. All applications which meet the eligibility criteria will be assessed and merit ranked using all assessment criteria.
- 8.9. If We consider that an application is incomplete We may in Our absolute discretion decide to recommend that the application not be approved for a grant.
- 8.10. If We consider that an application is inaccurate or contains false or misleading information, or is otherwise a breach of the *Australian Code for the Responsible Conduct of Research*, We will in Our absolute discretion decide to recommend that the application not be approved for a grant.
- 8.11. Your application will be considered on its merits, based on:
- how well it meets the assessment criteria;
  - how it is ranked against other applications; and
  - whether it provides value for money (as defined in the Glossary).

- 8.12. During the assessment process, We may request additional information, which does not change the nature of Your application.
- 8.13. The process that We will undertake includes the following steps.
- a. We assign applications to General Assessors.
  - b. Applications are assigned to Detailed Assessors. In assigning assessors, We may take requests not to assess into account (see below for further information on this process).
  - c. Detailed Assessors provide assessments to Us with scores and written comments against assessment criteria for each application.
  - d. Applicants are provided with Detailed Assessors' comments and are invited to submit a rejoinder (see below for further information on this process).
  - e. Applications, scores and comments provided in the detailed assessments and the applicant's rejoinder are provided to the General Assessors for consideration. General Assessors assign their own scores against the assessment criteria.
  - f. The SAC meets to discuss the ranking of each application relative to other applications and determines funding recommendations.
  - g. The SAC makes recommendations to the CEO on which applications should be approved for funding, which applications should not be approved for funding, and the level of funding and duration of each grant.

### **National Interest Test**

- 8.14. On the application form, You must provide a separate response on the national interest of the research proposal.
- 8.15. The National Interest Test statement should address, in terms that are easily understood by the general community, the potential of the project to contribute to Australia's national interest. The statement should clearly articulate the extent to which the applicant's research might provide any specific economic, commercial, environmental, social or cultural benefits to the Australian community over the short, medium or longer terms, how the research might be used to deliver those benefits, and outline what translation and adoption pathways might be used to achieve the outcomes.
- 8.16. In making recommendations to the Minister, the CEO will:
- a. consider the recommendations from the SAC;
  - b. consider the applicant's response to the National Interest Test;
  - c. seek information from Administering Organisations on applications where there is concern about how they meet the National Interest Test based on the information provided in the application form; and
  - d. make grant recommendations to the Minister that satisfy the National Interest Test and which are eligible for funding.

### **Requests not to assess process**

- 8.17. You may name up to three persons whom You do not wish to assess an application by submitting a Request Not to Assess (RNTA) form in RMS as detailed on [GrantConnect](#) and

the [ARC website](#). This form must be received by Us in RMS two weeks prior to the grant opportunity closing date.

- 8.18. Only one request containing the names of up to three individual assessors may be submitted per application.
- 8.19. If a request includes the name of a current ARC College of Experts member, as listed on the [ARC website](#) or in RMS at the time of submitting the RNTA form, the request must be accompanied by comprehensive evidence justifying the request for the ARC College of Experts member or members named. If We consider the evidence is not sufficient for the named ARC College of Experts member or members, We will reject part, or all, of the request.
- 8.20. We will have absolute discretion about whether We accept or refuse a RNTA. We will not notify You of the outcome.

### Rejoinder process

- 8.21. You will be given the opportunity to respond to assessors' written comments through a rejoinder. Names of assessors will not be provided. Further information on the rejoinder process is available on the [ARC website](#).

### Who will assess applications?

- 8.22. Applications will be assessed by Detailed Assessors and a SAC comprising General Assessors.
- 8.23. We appoint one SAC for the LIEF grant opportunity. The SAC may consist of both eminent academic experts and/or ARC College of Expert members.
- 8.24. Any Detailed Assessors or General Assessors must adhere to and uphold the *Australian Code for the Responsible Conduct of Research* (2018).
- 8.25. General Assessors involved in the assessment process who are not a Commonwealth official, will be required to perform their duties in accordance with the CGRGs.
- 8.26. We have procedures in place for managing organisational and personal Conflicts of Interest for Detailed Assessors, SAC members and ARC staff. Details of these procedures are in the relevant section of these grant guidelines and in the ARC's *Conflict of Interest and Confidentiality Policy* available on the [ARC website](#).

### Who will approve grants?

- 8.27. In accordance with the ARC Act, Our CEO will submit grant recommendations to the Minister for consideration.
- 8.28. The CEO may seek advice on national security or other matters from Commonwealth agencies before making recommendations. The CEO will make recommendations for funding to the Minister based on any number of assessments and may take into account any advice on national security or other matters from Commonwealth agencies.
- 8.29. Under the ARC Act, the Minister may (but is not required to) rely solely on recommendations made by the CEO.

- 8.30. The Minister will determine which grants to approve. In addition to the assessment criteria set out in Section 6, the Minister may consider the National Interest Test and any advice on national security risks in determining which applications to approve.
- 8.31. The Minister’s decision is final in all matters, including:
- a. the approval of the grant;
  - b. the grant funding amount to be awarded;
  - c. the duration of the grant; and
  - d. the terms and conditions of the grant.
- 8.32. The ARC Act states that the Minister must not approve a grant for any application that fails to:
- a. meet the eligibility criteria;
  - b. comply with the assessment process; and
  - c. satisfy the requirements for financial assistance.
- 8.33. There is no ARC appeal mechanism for decisions to approve or not approve a grant. We will consider appeals against the administrative process as specified at section 13 of these grant guidelines.

## **9. Notification of application outcomes**

- 9.1. We will advise You of the outcome of Your application via RMS, following a decision by the Minister.
- 9.2. If You are unsuccessful, You may be able to submit a new application for the same, or similar, research in future grant opportunities. This will depend on the specifics of the grant opportunity You are applying for. You should include new or more information to address any weaknesses that may have prevented Your previous application from being successful.
- 9.3. If Your application is found to be ineligible, You will be notified of this through RMS.

### **Feedback on Your application**

- 9.4. Feedback will be provided on eligible applications through RMS.

## **10. Successful grant applications**

### **The grant agreement**

- 10.1. If You are successful, You must enter into a legally binding grant agreement with the Commonwealth represented by the ARC.
- 10.2. We use the ARC Linkage Program LIEF grant agreement which contains standard terms and conditions that cannot be changed. A sample grant agreement is available on [GrantConnect](#). Any special conditions attached to the grant will be identified in the grant offer.
- 10.3. You will have 30 calendar days from the date of the grant offer to execute this grant agreement with the Commonwealth.
- 10.4. We must execute a grant agreement with You before We can make any payments. We are not responsible for any of Your project expenditure until a grant agreement is executed.

## Specific research policies and practices

- 10.5. You and each participant are required to be compliant with all relevant laws, regulations and have regard to any relevant guidelines.

## Responsible and ethical research practices

- 10.6. All applications and ARC-funded research projects must comply with the requirements for responsible and ethical research practice specified in the *Australian Code for the Responsible Conduct of Research* and the codes, guidelines, practices and policies on the [ARC website](#).
- 10.7. An ethics plan must be in place prior to the commencement of the project in line with the grant agreement.

## Intellectual Property

- 10.8. We do not claim ownership of any intellectual property in an application or in any research arising from a project. All research projects funded by Us must comply with practices and policies on the [ARC website](#).

## Publication and dissemination of research outputs and research data from ARC-funded projects

- 10.9. All research projects funded by Us must comply with the *ARC Open Access Policy* on the dissemination of research outputs, which is on the [ARC website](#).
- 10.10. A data management plan must be developed prior to the commencement of the project in line with the grant agreement.
- 10.11. We strongly encourage the depositing of data arising from a project in an appropriate publicly accessible discipline and/or institutional repository.
- 10.12. All participants applying for grants are encouraged to have a persistent digital identifier such as an Open Researcher and Contributor Identifier (ORCID ID) in their RMS Profile.

## How We pay the grant

- 10.13. Payments will be made as set out in the grant agreement. Grant funding will typically be paid annually through Our payment system.
- 10.14. The grant offer will specify the approved grant amount to be paid.
- 10.15. We will not pay more than the approved grant amount under any circumstances. If you incur extra costs, You must meet them.
- 10.16. Once the grant agreement is executed by the Commonwealth payment will be made on the next available date for grant payments after the grant commencement date.
- 10.17. Any grant awarded will be subject to sufficient funds being available for the project, the provisions of the ARC Act and the continued satisfactory progress of the project.
- 10.18. Funding for a project may only be carried forward for a maximum of two years from the grant commencement date, except under exceptional circumstances and only with Our approval.

## Grants Payments and GST

- 10.19. All amounts referred to in these grant guidelines are exclusive of the Goods and Services Tax (GST), unless expressly stated otherwise.
- 10.20. You are responsible for any and all financial and taxation implications associated with receiving funds.

## 11. Announcement of grants

- 11.1. If successful, Your grant will be listed on [GrantConnect](#) 21 calendar days after the date of effect as required by Section 5.3 of the CGRGs.
- 11.2. We will publicise and report offers and grants awarded, including the following information about the project:
  - a. Your name and any other parties involved in or associated with the project;
  - b. named participants and their organisations;
  - c. the project description (the title and summary descriptions);
  - d. Your response to the National Interest Test;
  - e. classifications and international collaboration country names; and
  - f. the ARC grant funding amount.
- 11.3. You should ensure that information contained in the project title and summary descriptions will not compromise Your requirements for confidentiality (such as protection of intellectual property).
- 11.4. In making public information about a project that has been approved for a grant, We may use a project description, including title and summary, which differs from that provided in the application.
- 11.5. We will also list the research infrastructure in the LIEF Register on the [ARC website](#) under the Administering Organisations.

## 12. How We monitor Your grant activity

### Keeping Us informed

- 12.1. You must let Us know if anything is likely to affect Your project.
- 12.2. You must also inform Us of any changes to Your:
  - a. name;
  - b. address(es);
  - c. nominated contact details; and
  - d. bank account details.
- 12.3. If You become aware of a breach of terms and conditions under the grant agreement, You must contact Us immediately.

## Reporting

- 12.4. You must submit reports in line with the grant agreement. Reports must be submitted to Us through RMS, unless otherwise advised by Us.
- 12.5. The amount of detail You provide in Your reports should be relative to the project's size, complexity and grant amount.
- 12.6. We will monitor progress by assessing reports You submit and may conduct site visits or request records to confirm details of Your reports if necessary. We may occasionally need to re-examine claims, seek further information or request an independent audit of claims and payments.

## End of year report

- 12.7. You must submit an end of year financial report by 31 March in the year following each calendar year for which the grant was awarded. We will make the form for these reports available in RMS, with instructions on the [ARC website](#).

## Progress reporting

- 12.8. Progress reporting must be completed in accordance with instructions on the [ARC website](#).
- 12.9. If We are 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 not achieved within a reasonable period of time, the grant will be terminated and all outstanding grant funds will be recovered by Us.

## Final report

- 12.10. You must submit a final report for the project within 12 months of the final ARC approved project end date. We will make the form for this report available in RMS, with instructions on the [ARC website](#).
- 12.11. The final report must address compliance with the conditions on which funding was granted, as set out in the grant agreement. It must also contain information which We may publicise regarding the details of the research infrastructure, equipment or facilities, including access arrangements.
- 12.12. If the final report is not submitted or is not satisfactory to Us this will be considered as an eligibility matter for future ARC applications for the named participants on the project.

## Grant agreement variations

- 12.13. We recognise that unexpected events may affect the progress of a project. In these circumstances, You can request a variation to Your grant agreement by submitting a Variation to Us in RMS.
- 12.14. You cannot request an increase to the approved grant amount.
- 12.15. You should not assume that a variation request will be successful. We will consider your request based on provisions in the grant agreement, the likely impact on achieving outcomes and any national security risks.

## Compliance visits and record keeping

- 12.16. We may visit You during or at the completion of Your project to review Your compliance with the grant agreement. We may also inspect the records You are required to keep under the grant guidelines and grant agreement. We will provide You with reasonable notice of any compliance visit.
- 12.17. You must retain the evidence and paperwork relied upon to certify Your application in RMS and make this available to Us if requested.

## Evaluation

- 12.18. We may evaluate the grant opportunity under the Linkage Program to measure how well the outcomes and objectives have been achieved. We may use information from Your application and reports for this purpose. We may also interview You, or ask You for more information to help us understand how the grant impacted You and to evaluate how effective the program was in achieving its outcomes.
- 12.19. We may contact You up to five years after You finish Your grant for more information to assist with this evaluation.

## 13. Probity

- 13.1. The Australian Government will make sure that the grant opportunity process is fair, according to the published guidelines, incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct and is consistent with the CGRGs and the ARC Act.

## Appeals process

- 13.2. The appeals process is designed to ensure that the application has been treated fairly and consistently in the context of selection processes.
- 13.3. We will only consider appeals against the NCGP administrative process and not against committee decisions, assessor ratings and comments or the assessment outcome. Appellants must identify the specific guideline/legislative instrument clause, policy or procedure which they believe has been incorrectly applied.
- 13.4. You must submit an appeal using the ARC Appeals Form on the [ARC website](#) and have it authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 30 days** of the date You receive notification of the outcome of Your application. We will not accept appeals later than 5.00pm (AEDT/AEST) on the appeals submission due date.
- 13.5. Appeals must be submitted to Us electronically to [ARC-NCGP@arc.gov.au](mailto:ARC-NCGP@arc.gov.au).
- 13.6. If You do not agree with the way We have handled Your appeal, You may complain to the Commonwealth Ombudsman. The Ombudsman will not look into a complaint unless the matter has first been raised directly with Us. The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072

Email: [ombudsman@ombudsman.gov.au](mailto:ombudsman@ombudsman.gov.au)

Website: [ombudsman.gov.au](http://ombudsman.gov.au)

- 13.7. Applicants may at any time seek to appeal Our decisions using available external appeal options. Regarding available options for external appeal, the Administrative Appeals Tribunal does not have general power to review Our decisions.

## Conflict of interest

- 13.8. Our purpose is to support the highest quality research and as such Our conflict of interest policy is designed to ensure that all material personal interests are disclosed. Conflicts of interest are identified and managed in a rigorous and transparent way to ensure the integrity, legitimacy, impartiality and fairness of Our processes and to maintain public confidence in Our business processes.
- 13.9. Any conflicts of interest could affect conduct of the selection processes and/or the performance of the grant. There may be a conflict of interest, or perceived conflict of interest, if the relevant ARC staff, an assessor, member of a committee or advisor and/or You or any of Your personnel:
- a. has a professional, commercial or personal relationship with a party who is able to influence the application selection process, such as an Australian Government officer or SAC member;
  - b. has a relationship with, or interest in, an organisation, which is likely to interfere with or restrict the applicants from carrying out the proposed activities fairly and independently; or
  - c. has a relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives a grant under the NCGP.
- 13.10. You will be asked to certify, as part of Your application, any perceived or existing conflicts of interests or that, to the best of Your knowledge, there is no conflict of interest. Each individual or organisation named in an application must declare any conflict of interest that exists or is likely to arise in relation to any aspect of the application or project to You at the date of submission.
- 13.11. If a conflict of interest exists or arises, You must have documented processes in place for managing the Conflict of Interest for the duration of the project. Such processes must comply with the *Australian Code for the Responsible Conduct of Research (2018)*, the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.
- 13.12. If You later identify that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to an application, You must inform Us in writing immediately.
- 13.13. We will handle any conflicts of interest as set out in Australian Government policies and procedures. Conflicts of interest for Australian Government staff will be handled as set out in the *Australian Public Service Code of Conduct (Section 13(7)) of the Public Service Act 1999*. Committee members and other officials must also declare any conflicts of interest.
- 13.14. We publish Our *Conflict of Interest and Confidentiality Policy* on the [ARC website](#).

## Privacy and protection of personal information

- 13.15. We treat your personal information according to the Australian Privacy Principles and the *Privacy Act 1988*. This includes letting You know:
- a. what personal information We collect;
  - b. why We collect Your personal information; and

- c. who We give Your personal information to.
- 13.16. You are required, as part of Your application, to certify Your compliance with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors You engage to assist with the activity. You must ask for the Australian Government’s consent in writing before disclosing confidential information.
- 13.17. Your personal information can only be disclosed to someone else:
- a. if you are given reasonable notice of the disclosure;
  - b. where disclosure is authorised or required by law or is reasonably necessary for the enforcement of the criminal law;
  - c. if it will prevent or lessen a serious and imminent threat to a person’s life or health;  
or
  - d. if You have consented to the disclosure.

### **Confidential information**

- 13.18. The Australian Government may use and disclose confidential information about grant applicants and grant recipients under the NCGP in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.
- 13.19. We may reveal confidential information to:
- a. assessors, the SAC and other Commonwealth employees and contractors to help Us manage the program effectively and in accordance with any other provision of these grant guidelines or subsequent grant agreement;
  - b. the Minister and their staff;
  - c. employees and contractors of Our entity so We can research, assess, monitor and analyse Our programs and activities;
  - d. employees and contractors of other Commonwealth agencies for any purposes, including government administration, research or service delivery;
  - e. other funding bodies for the purpose of obtaining funding from that body;
  - f. other Commonwealth, State, Territory or local government agencies in program reports and consultations;
  - g. the Auditor-General, Ombudsman or Privacy Commissioner; and
  - h. a House or a Committee of the Australian Parliament.
- 13.20. We will treat the information You give Us as confidential if it meets one of the four conditions below:
- a. You clearly identify the information as confidential and explain why We should treat it as confidential;
  - b. the information is commercial in confidence;
  - c. revealing the information would cause unreasonable harm to You or someone else;  
or
  - d. You provide the information with an understanding that it will stay confidential.

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

### **Freedom of information**

- 13.22. All documents in the possession of the Australian Government, including those about the Program, are subject to the *Freedom of Information Act 1982* (FOI Act).
- 13.23. The purpose of the FOI Act is to give members of the public rights of access to information held by the Australian Government and its entities. Under the FOI Act, members of the public can seek access to documents held by the Australian Government. This right of access is limited only by the exceptions and exemptions necessary to protect essential public interests and private and business affairs of persons in respect of whom the information relates.
- 13.24. All Freedom of Information requests must be referred to the Freedom of Information Coordinator in writing.

By mail: Freedom of Information Coordinator

Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

By email: [foi@arc.gov.au](mailto:foi@arc.gov.au)

## **14. Consultation**

- 14.1. The ARC may conduct a survey of Eligible Organisations after the outcomes of each grant opportunity are announced. Outcomes of the survey have been considered in the development of these grant guidelines.

## 15. Glossary

### Acronyms

15.1. In these Grant Guidelines, the following acronyms are used.

Acronyms	Description
ARC	Australian Research Council
ARC Act	<i>Australian Research Council Act 2001</i>
CEO	Chief Executive Officer
CGRGs	<i>Commonwealth Grants Rules and Guidelines</i>
CI	Chief Investigator
FTE	Full Time Equivalent
FOI	Freedom of Information
GST	Goods and Services Tax
HDR	Higher Degree by Research
HECS	Higher Education Contribution Scheme
HELP	Higher Education Loan Program
KPI	Key Performance Indicator
NCGP	National Competitive Grants Program
LIEF	Linkage Infrastructure, Equipment and Facilities
ORCID ID	Open Researcher and Contributor Identifier
PI	Partner Investigator
PhD	Doctor of Philosophy
RMS	Research Management System
SAC	Selection Advisory Committee

## Definitions

15.2. For the purposes of these grant guidelines, terms have the meanings defined below.

Term	Definition
Aboriginal and/or Torres Strait Islander person	a person of Australian Aboriginal and/or Torres Strait Islander descent who identifies as an Australian Aboriginal and/or Torres Strait Islander person and is accepted as an Australian Aboriginal and/or Torres Strait Islander person by the community in which they live or have lived.
active project	a project that is receiving funding according to the terms of an existing Funding Agreement or grant agreement, or has any carryover funds approved by the ARC, or an approved variation to the project end date.
active project assessment date	the date on which active project eligibility will be considered for project and application limits per named participant.
Administering Organisation	an Eligible Organisation which submits an application for a grant and which will be responsible for the administration of the grant if the application is approved for funding.
applicant	the Administering Organisation.
application	a request for funding submitted through RMS by an Administering Organisation seeking grant funding under an ARC grant program. It includes the specifics of a proposed grant activity as well as the administrative information required to determine the eligibility of the application.
ARC assessor community	the Australian and international assessors that assess applications submitted to the ARC that are within their areas of expertise.
ARC College of Experts	the body of experts of international standing appointed to assist the ARC to identify research excellence, moderate external assessments and recommend applications for funding. Its members are specialist and generalist experts in their knowledge fields drawn from the Australian research community.  The <a href="#">ARC website</a> provides information on who is a member of the College of Experts.
ARC website	the website accessed using <a href="http://www.arc.gov.au">www.arc.gov.au</a> .
assessment criteria	the specified principles or standards, against which applications will be considered. These criteria are also used to assess the merits of applications and, in the case of a competitive grant opportunity, to determine application rankings.
Australian Government priority areas	those priority research areas identified by the Australian Government, including the National Manufacturing Priorities and the Science and Research Priorities.

Term	Definition
bench fees	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 laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.
cash contribution	the cash from an organisation, which is transferred to and managed by the Administering Organisation.
Chief Executive Officer	means the person holding the position of ARC Chief Executive Officer in accordance with the ARC Act or any person acting in that position.
Chief Investigator	a participant who satisfies the eligibility criteria for a CI under these grant guidelines.
combined cash contribution	means the total combined cash contribution from the Administering Organisation, Other Eligible Organisation(s), Partner Organisation(s) and Other Organisations.
Commonwealth	the Commonwealth of Australia.
Commonwealth Fellowship	a position held by a participant where the salary is funded wholly or partly by the Commonwealth.
date of effect	the date on which a grant agreement is signed or a specified starting date.
Detailed Assessors	assessors drawn from the ARC assessor community who are assigned applications to review for their specific expertise in a field of research.
eligibility criteria	the mandatory criteria which must be met to qualify for a grant. Assessment criteria may apply in addition to eligibility criteria.
Eligible Organisation	an organisation listed in Section 4.8 of these grant guidelines.
General Assessors	General Assessors utilise knowledge of their disciplinary areas and a broad understanding of intellectual and methodological issues and good research planning. Each application has a lead General Assessor (known as Carriage 1) who is typically close to the academic field of the application, and one or more General Assessors (known as Other Carriages) with supplementary expertise.
grant activity	the project/tasks/services that the grantee is required to undertake. A project consists of a number of grant activities.
grant agreement	the agreement entered into by the ARC and an Administering Organisation when an application from that organisation is approved for grant funding. This was previously referred to as a 'Funding Agreement'.
grant commencement date	the date on which grant funding may commence.

Term	Definition
grant offer	the details listed in the ARC's RMS under 'Funding Offers' showing the project details and grant amount.
GrantConnect	the Australian Government's whole-of-government grants information system, which centralises the publication and reporting of Commonwealth grants in accordance with the CGRGs.
Grantee	the Administering Organisation which has been selected to receive a grant.
grant opportunity	the specific grant round or process where a Commonwealth grant is made available to potential grantees. Grant opportunities may be open or targeted, and will reflect the relevant grant selection process.
grant opportunity closing date	The last day on which applications for a grant opportunity will be accepted for consideration for a specific grant opportunity.
grant opportunity opening date	the first day on which applications for a grant opportunity will be accepted for consideration for a specific grant opportunity.
GST	the meaning as given in Section 195-1 of the <i>A New Tax System (Goods and Services Tax) Act 1999</i> .
Higher Degree by Research (HDR)	a 'Research Doctorate or Research Masters program, for which at least two-thirds of the student load for the program is required as research work' as defined by the <i>Commonwealth Scholarships Guidelines (Research) 2017</i> .
in-kind contributions	a contribution of goods, services, materials and/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 application) of the costs of labour, work spaces, equipment and databases. The calculations covering time and costs should be documented by the Administering Organisation. We may require these calculations to be audited.
Instructions to Applicants	a set of instructions prepared by the ARC to assist applicants in completing the application form.
Key Performance Indicators (KPIs)	a set of quantifiable measures that the ARC use to monitor and report on progress of research outcomes.
legislative instrument	a law on matters of detail made by a person or body authorised to do so by the relevant enabling legislation.

Term	Definition
Linkage Program	the grant opportunities currently funded under the Linkage Program of the NCGP consist of: ARC Centres of Excellence, 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, Special Research Initiatives and other grant opportunities as announced under the Linkage Program.
LIEF	the Linkage Infrastructure, Equipment and Facilities scheme.
medical research	medical research as defined in the <i>ARC Medical Research Policy</i> available on the <a href="#">ARC website</a> .
Minister	the Minister responsible for the administration of the ARC Act, or the Minister's delegate.
named participants	individual researchers nominated for particular roles in an application.
national interest	the extent to which the research contributes to Australia's national interest through its potential to have economic, commercial, environmental, social or cultural benefits to the Australian community.
National Manufacturing Priorities	those priority areas identified by the Australian Government under the Modern Manufacturing Strategy, and available on the Australian Government's <a href="#">Manufacturing</a> website.
officials	officials of a Commonwealth entity. An official of a Commonwealth entity is an individual who is in, or forms part of the entity (see Section 8 of the PGPA Act).
ORCID Identifier	a persistent digital identifier for an individual researcher available on the ORCID website, <a href="http://www.orcid.org">www.orcid.org</a> .
Other Eligible Organisation	an organisation listed in Section 4.8 of these grant guidelines which is not the Administering Organisation on an application.
other material resources	resources where a monetary value is not relevant or to which it is difficult to assign a monetary value, for example, access to restricted data, samples or documents.
Other Organisation	an organisation that is not an Eligible Organisation and not a Partner Organisation that contributes to the research project.
participants	all named participants on an application (i.e. CIs and PIs; and all unnamed researchers such as postdoctoral research associates and postgraduate researchers working on a project.
Partner Investigator	a named participant who satisfies the eligibility criteria for a PI under these grant guidelines.

Term	Definition
Partner Organisation	an Australian or overseas organisation, other than an Eligible Organisation, which satisfies the eligibility requirements for a Partner Organisation and is to be a cash and/or in-kind and/or other material resources contributor to the project.
PhD	A qualification that meets the level 10 criteria of the <i>Australian Qualifications Framework Second Addition January 2013</i> .
Preprint or comparable resource	A preprint or comparable resource is a scholarly output that is uploaded by the authors to a recognised publicly accessible archive, repository, or pre-print service (such as, but not limited to, arXiv, bioRxiv, medRxiv, ChemRxiv, Peer J Preprints, Zenodo, GitHub, PsyArXiv and publicly available university or government repositories etc.). This will include a range of materials that have been subjected to varying degrees of peer review from none to light and full review. Ideally, a preprint or comparable resource should have a unique identifier or a DOI (digital object identifier). Any citation of a preprint or comparable resource should be explicitly identified as such and listed in the references with a DOI, URL or equivalent, version number and/or date of access, as applicable.
project	an application approved by the Minister to receive funding from the ARC through an application.
project activity period	the period during which a project is receiving funding according to the original grant offer, or has any carryover funds approved by the ARC, or an approved variation to the project's end date. During this period, the project is known as an active project.
project end date	the expected date that the project activity is completed and by which all grant funding will be spent.
Project Leader	means the named participant from the Administering Organisation who is the first-named CI on an application.
recipient	an individual or organisation who has received grant funding from the ARC.
research	<p>for the purposes of these grant guidelines, 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.</p> <p>This definition of research is consistent with a broad notion of research and experimental development comprising “creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge”</p> <p>OECD (2015), <i>Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development</i> (p.378).</p>

Term	Definition
research infrastructure	the 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	a business unit within an Eligible Organisation that is responsible for contact with the ARC regarding applications and projects.
research output	all products (including preprints or comparable resources) of a research project <u>that meet the definition of research</u> .
Selection Advisory Committee (SAC)	a group of experts from academia and industry appointed to assist the ARC to assess applications and to provide a recommendation for funding to the CEO. A SAC may be drawn from the ARC College of Experts.
selection criteria	the eligibility criteria and assessment criteria.
selection process	the method used to select potential grantees. This process may involve comparative assessment of applications or the assessment of applications against the eligibility criteria and/or the assessment criteria.
Special Condition	a condition specified in a grant offer which governs the use of the funding provided by the ARC.
travel costs	the domestic and international economy travel costs associated with the project, including to foster and strengthen collaboration between researchers in Australia and overseas.
total direct cost	total amount that can be completely attributed to the eligible budget items (excluding indirect costs such as depreciation and administrative expenses).
value for money	‘value for money’ is a judgement based on the grant application representing an efficient, effective, economical and ethical use of public resources determined from a variety of considerations: merit of the application, risk, cost and expected contribution to outcome achievement.
Variation of grant Agreement (Variation)	a request submitted to the ARC in RMS to agree a change in the grant agreement.
We	the Australian Research Council (ARC). ‘Us’ and ‘Our’ are also used in this context.
You	the Eligible Organisation that submitted the application. ‘Your’ is also used in this context.